



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **BSBRKG601B Define recordkeeping framework**

**Revision Number: 1**

## BSBRKG601B Define recordkeeping framework

### Modification History

Not applicable.

### Unit Descriptor

<b>Unit descriptor</b>	<p>This unit describes the performance outcomes, skills and knowledge required to define, identify and establish the recordkeeping framework for an organisation or business unit at functional level.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.</p>
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### Application of the Unit

<b>Application of the unit</b>	<p>This unit applies to individuals with understanding and specialist knowledge, with depth in some areas of business or records systems. The application is in relation to senior staff in a specialist recordkeeping environment with responsibility for a team, though the unit may also apply to individuals with sole responsibility for recordkeeping systems within larger enterprises.</p> <p>The development of a recordkeeping framework enables employees to create records that will adequately document the business activities in which they take part. It will also ensure that the information and processing systems which support business activities create appropriate records as part of their role in supporting those activities. The recordkeeping framework includes regulatory requirements, areas of risk, evidence to be captured as records, and responsibilities for recordkeeping to develop business systems.</p>
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## Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

<b>Prerequisite units</b>		

## Employability Skills Information

<b>Employability skills</b>	This unit contains employability skills.
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## Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Establish regulatory and social environment	1.1. Identify and document <b>legal and regulatory framework</b> for the organisation in accordance with industry standards 1.2. Analyse and document relevant legislation for implications for recordkeeping 1.3. Review documentation of organisational functions for compliance 1.4. Analyse <b>broad social context</b> in which the organisation operates to determine community expectations about how it should conduct itself
2. Determine principal areas of risk requiring recordkeeping strategy	2.1. Review and update organisation's existing risk analyses for implications in relation to redundancy of <b>records</b> 2.2. Review and document <b>regulatory requirements</b> and legal liabilities for their impact on recordkeeping framework 2.3. Determine and document risks and liabilities to be managed by recordkeeping to inform development of the framework
3. Determine record requirements for each business function	3.1. Determine and analyse risks, liabilities and regulatory requirements against each business function 3.2. Communicate and document determined evidence requirements for each business function identifying evidence to be captured as records 3.3. Form the specifications for records from the evidence requirements in accordance with organisational technologies, standards and corporate culture, and in appropriate formats
4. Establish recordkeeping framework for organisation	4.1. Develop and communicate an overview of responsibilities for recordkeeping within the organisation 4.2. Define responsibilities and authorities in relation to regulatory requirements in accordance with industry standards 4.3. Define <b>recordkeeping responsibilities</b> and rights for each business function 4.4. Integrate identified risks and liabilities managed by recordkeeping with the definition of responsibilities for each function 4.5. Define, assign and document levels of accountability

ELEMENT	PERFORMANCE CRITERIA
	<p>and responsibility for each level of recordkeeping</p> <p>4.6. Communicate documented framework including areas of risk, regulatory requirements, records specifications and responsibilities for recordkeeping review and endorsement, to <i>appropriate persons</i></p> <p>4.7. Establish a review process and charge appropriate persons with maintaining the currency of the organisation's recordkeeping framework</p>

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

#### Required skills

- communication and negotiation skills to explain complex relationships and processes effectively to users and management, and to consult with relevant stakeholders
- information management skills to analyse and synthesise documentation, verbally delivered information, and observed behaviours
- literacy skills to prepare, compile, and write complex documents and reports, and to document complex relationships and processes
- problem-solving skills to solve recordkeeping problems
- technology skills to use equipment relevant to conducting recordkeeping activities.

#### Required knowledge

- key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as:
  - anti-discrimination legislation
  - AS 1203:1996 Microfilming of engineering documents
  - AS 2840:1986 Microfilming newspapers for archival purposes
  - AS 3674:1989 Storage of microfilm
  - AS 4003:1996 Permanent paper
  - AS 5044.1:2002 AGLS Metadata element set
  - AS 5090:2003 Work process analysis for recordkeeping
  - AS ISO 15489:2004 Records management
  - AS ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles
  - AS/NZS 4360:2004 Risk management
  - Australian Stock Exchange(ASX) Principles of Good Corporate Governance
  - codes of practice
  - ethical principles
  - occupational health and safety (OHS)
  - archives and records legislation
  - privacy and freedom of information
- general principles and processes of records management and records management systems, such as:
  - systems of control
  - records continuum theory

**REQUIRED SKILLS AND KNOWLEDGE**

- mandate and ownership of business process
- organisational business functions, structure and culture
- organisational policies, strategies and procedures, particularly those relating to records access and security
- recordkeeping policies, strategies, functions and structures in the jurisdiction.

## Evidence Guide

<b>EVIDENCE GUIDE</b>	
<p>The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.</p>	
<b>Overview of assessment</b>	
<b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b>	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> <li>researching and documenting the legal, regulatory and social factors which impact on the recordkeeping requirements of an organisation</li> <li>documenting a risk management plan for recordkeeping activities</li> <li>documenting recordkeeping requirements and plans required to implement the recordkeeping framework in an organisation</li> <li>knowledge of relevant legislation, regulations and standards.</li> </ul>
<b>Context of and specific resources for assessment</b>	<p>Assessment must ensure:</p> <ul style="list-style-type: none"> <li>access to an actual workplace</li> <li>access to examples of records, recordkeeping systems and policies</li> <li>access to office equipment and resources.</li> </ul>
<b>Method of assessment</b>	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> <li>assessment of written reports on the recordkeeping environment, risk management plans and recordkeeping framework plans</li> <li>demonstration of research techniques to gather information on the legal, social, regulatory and organisational environment and recordkeeping requirements</li> <li>direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate</li> <li>observation of presentations of reports on the legal, social, regulatory and organisational environment and recordkeeping requirements</li> <li>oral or written questioning to assess knowledge and understanding</li> </ul>



<b>EVIDENCE GUIDE</b>	
	<ul style="list-style-type: none"><li>• review of authenticated documents from the workplace or training environment</li><li>• review of testimony from team members, colleagues, supervisors or managers.</li></ul>
<b>Guidance information for assessment</b>	<p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none"><li>• administration units</li><li>• other knowledge management units.</li></ul>

## Range Statement

### RANGE STATEMENT

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

<p><b><i>Legal and regulatory framework</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• anti-discrimination legislation</li> <li>• AS 1203:1996 Microfilming of engineering documents</li> <li>• AS 2840:1986 Microfilming newspapers for archival purposes</li> <li>• AS 3674:1989 Storage of microfilm</li> <li>• AS 4003:1996 Permanent paper</li> <li>• AS ISO 15489:2004 Records management</li> <li>• award and enterprise agreements and relevant industrial instruments</li> <li>• codes of practice</li> <li>• corporation law</li> <li>• ethical principles</li> <li>• freedom of information legislation and principles</li> <li>• healthcare</li> <li>• tax, including income tax</li> <li>• industrial relations</li> <li>• OHS</li> <li>• privacy laws</li> <li>• statutory access</li> <li>• superannuation</li> </ul>
<p><b><i>Broad social context</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• analysis of:             <ul style="list-style-type: none"> <li>• codes of ethics, codes of professional conduct specific to an industry sector</li> <li>• community, social and ethical standards</li> <li>• requirements of internal and external stakeholders</li> <li>• legal framework regulating an organisation's operations</li> </ul> </li> </ul>
<p><b><i>Records</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• different stages of use:             <ul style="list-style-type: none"> <li>• active</li> <li>• archival</li> </ul> </li> </ul>

<b>RANGE STATEMENT</b>	
	<ul style="list-style-type: none"> <li>• digital:               <ul style="list-style-type: none"> <li>• remote drives</li> <li>• servers</li> <li>• CDs</li> <li>• DVDs</li> <li>• imaging systems</li> <li>• PC-based applications</li> <li>• mainframe</li> </ul> </li> <li>• physical:               <ul style="list-style-type: none"> <li>• audio-visual or multimedia</li> <li>• graphic</li> <li>• microform</li> <li>• paper-based (acid free or multiple copies)</li> </ul> </li> <li>• variety of sources:               <ul style="list-style-type: none"> <li>• already in the custody of the organisation</li> <li>• in the process of being transferred between organisations</li> </ul> </li> </ul>
<b>Regulatory requirements</b> may include:	<ul style="list-style-type: none"> <li>• requirements in:               <ul style="list-style-type: none"> <li>• codes of practice</li> <li>• codes of practice for self-regulation</li> <li>• international or national standards</li> <li>• regulations or rules</li> <li>• technical standards</li> </ul> </li> </ul>
<b>Recordkeeping responsibilities</b> may include:	<ul style="list-style-type: none"> <li>• auditing the accuracy of recordkeeping activities</li> <li>• establishing standards and compliances for recordkeeping</li> <li>• establishing overall records management policy and procedures for the organisation based on organisational requirements</li> <li>• generating records</li> <li>• monitoring reliability and continuing operation of systems which generate records</li> </ul>
<b>Appropriate persons</b> may include:	<ul style="list-style-type: none"> <li>• management team</li> <li>• reference body appointed by management</li> <li>• senior manager for each business function</li> </ul>

## Unit Sector(s)

<b>Unit sector</b>	
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## Competency field

<b>Competency field</b>	Knowledge Management - Recordkeeping
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## Co-requisite units

<b>Co-requisite units</b>		