



**Australian Government**

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

# **BSBRKG608B Plan management of records over time**

**Revision Number: 1**

## BSBRKG608B Plan management of records over time

### Modification History

Not applicable.

### Unit Descriptor

<b>Unit descriptor</b>	<p>This unit describes the performance outcomes, skills and knowledge required to determine the breadth and depth of a collection of records, and to develop strategic and implementation plans for the management of records over time.</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 individuals who require specialist knowledge in business or records systems. These people will generally be senior staff in a specialist recordkeeping environment with responsibility for a team, though they may also be individuals with sole responsibility for recordkeeping systems within larger enterprises.</p> <p>The unit can be applied equally to all types of collections of records, although historically it has been understood to relate only to traditional archival work.</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
<p>1. Determine policies and strategies for management of records over time</p>	<p>1.1. Develop strategies to manage storage and access records, in accordance with industry standards and taking into account <i>available resources</i></p> <p>1.2. Develop strategies in the context of organisational culture, build on this, and include migration and preservation strategies</p> <p>1.3. Determine boundaries of the collection from identified recordkeeping requirements for the jurisdiction</p> <p>1.4. Determine records storage and use requirements from available documentation and observe <i>organisational behaviour</i> to enable monitoring against the strategic plan</p> <p>1.5. Identify other parties who create or use records which require storage and factor these into estimates</p> <p>1.6. Develop a vital records strategy that includes the <i>criteria for vital records</i> and the allocation of responsibility in case of a disaster</p> <p>1.7. Incorporate vital records strategy into the wider organisational disaster management strategy after approval by <i>appropriate authority</i></p>
<p>2. Develop strategy and implementation plan for managing records over time</p>	<p>2.1. Review existing <i>internal and external documents</i> which may impact on the transfer of custody and responsibility for records</p> <p>2.2. Confirm that recordkeeping jurisdictions of the organisation include boundaries of accountabilities from <i>documentation relevant to the transfer of ownership or custody of records</i></p> <p>2.3. Specify and document <i>requirements for the transfer of custody, ownership and responsibility</i></p> <p>2.4. Specify nature of agreements with receiving bodies or individuals, including rules for negotiation, minimum requirements of legal custody, and signatories to the agreements</p> <p>2.5. Clearly and logically document rules for the transfer of custody, ownership, and responsibility of records in accordance with organisational requirements</p>
<p>3. Manage preservation of records over time</p>	<p>3.1. Develop records collection strategies and policies which reflect the collecting institution's strategies and directions, and potential <i>changes in operating environments</i></p>

ELEMENT	PERFORMANCE CRITERIA
	<p>3.2. Ensure collections strategies reflect evaluation of collection use and availability of alternative formats for resource sharing and in-house collection, as well as access to records from remote sources</p> <p>3.3. Determine <i>boundaries for the collection</i>, and negotiate commonalities or overlaps of jurisdiction and common boundaries between collecting institutions</p> <p>3.4. Manage selection, acquisition and disposal of collection material to make best use of staff knowledge, expertise and resources</p> <p>3.5. Establish processes for the receipt of donations and bequests under legal deposits, policy or other directives, and review the collection in light of collection strategies, policies and disposal</p> <p>3.6. Initiate and respond to cooperative collection projects where <i>mutual benefits</i> can be gained</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
- research and evaluation skills to identify organisational current and historical practices, and to discern the values of information, documents and manuscripts.

#### Required knowledge

- key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect relevant 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 ISO 15489:2004 Records management
  - AS/NZS 4360:2004 Risk management
  - AS ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles
  - AS 5090:2003 Work process analysis for recordkeeping
  - Australian Stock Exchange(ASX) Principles of Good Corporate Governance
  - codes of practice
  - ethical principles
  - archives and records legislation
  - occupational health and safety
  - privacy and freedom of information
- general principles and processes of records management and records management systems, such as:
  - systems of control

**REQUIRED SKILLS AND KNOWLEDGE**

- records continuum theory
- mandate and ownership of business process
- organisational 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
- social and cultural trends which impact on recordkeeping.

## 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>• developing and documenting records management policies, procedures and strategies</li> <li>• documenting a recordkeeping plan</li> <li>• developing strategies that ensure records are preserved</li> <li>• knowledge of organisational functions, structure and culture.</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 or simulated environment</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 documented recordkeeping policies, procedures and plans</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 recordkeeping plans</li> <li>• observation of techniques used to preserve records</li> <li>• oral or written questioning to assess knowledge and understanding</li> <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> </ul>



<b>EVIDENCE GUIDE</b>	
	<ul style="list-style-type: none"><li>• other knowledge management units.</li></ul>

## Range Statement

<b>RANGE STATEMENT</b>	
<p>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>	
<p><b><i>Available resources</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• financial resources</li> <li>• human resources</li> <li>• physical resources</li> <li>• technological resources</li> </ul>
<p><b><i>Organisational behaviour</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• access arrangements</li> <li>• level of recordkeeping use</li> <li>• organisation growth</li> <li>• rules and monitoring of accumulation and retrieval rates</li> </ul>
<p><b><i>Criteria for vital records</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• industry standards</li> <li>• organisational facilities</li> <li>• organisational policies</li> <li>• organisational priorities</li> </ul>
<p><b><i>Appropriate authority</i></b> may include:</p>	<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>
<p><b><i>Internal and external documents</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• functional analyses</li> <li>• legislation and regulation</li> <li>• organisational and recordkeeping strategic plans</li> <li>• recordkeeping and information management system requirements</li> <li>• risk analyses</li> </ul>
<p><b><i>Documentation relevant to the transfer of ownership or custody of records</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• jurisdictional documentation</li> <li>• legislative framework</li> <li>• regulatory framework</li> </ul>
<p><b><i>Requirements for the transfer of custody, ownership and responsibility</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• agreement on price movement</li> <li>• completion of documentation about the transfer</li> <li>• physical custody arrangements</li> <li>• requirements of the records prior to, and post, transfer</li> </ul>

<b>RANGE STATEMENT</b>	
	<ul style="list-style-type: none"> <li>• storage and access agreements</li> </ul>
<i>Changes in operating environments</i> may include:	<ul style="list-style-type: none"> <li>• industry developments</li> <li>• legislative/regulatory developments</li> <li>• operating environments</li> </ul>
<i>Boundaries for the collection</i> may include:	<ul style="list-style-type: none"> <li>• appropriate match between collection policies and changing needs</li> <li>• mechanisms to improve and maintain data on collection use and user demand</li> </ul>
<i>Mutual benefits</i> may include:	<ul style="list-style-type: none"> <li>• benefits to the institution's users</li> <li>• incorporation of awareness of local, national and international issues, standards and protocols</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>		