



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG301A Control records

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit describes the work required to classify, register, and track records and information about records within a business or records system.

Linkages outside these National Competency Standards

ISO DIS 15489 - Draft International Standard on Records Management

The work described in this unit is linked to the work described in the following unit(s):

Previous Business Qualification(s)

Nil

The Same Business Qualification:

BSBRKG302A Undertake disposal

This unit represents a progression of skills described in other units. It is recommended, then, that the following units are achieved prior to the achievement of this unit:

BSBRKG303A Retrieve information from information

BSBRKG304A Maintain business records

Subsequent Business Qualification(s):

BSBRKG401A Review the status of a record

BSBRKG402A Provide information from and about the records

BSBRKG403A Set up a business or records system for a small office

BSBRKG501A Determine business or records system specifications

BSBRKG503A Develop and maintain a classification scheme

BSBRKG604A Determine security and access rules and procedures

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BSBRKG604A Determine security and access rules and procedures

Application of the Unit

Not applicable.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

Not applicable.

Elements and Performance Criteria Pre-Content

Not applicable.

Elements and Performance Criteria

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Element	Performance Criteria
1 Identify records for capture	1.1 Incoming material is categorised for records capture in accordance with organisational procedures 1.2 Activity documented by the record is identified from the elements of the record in accordance with organisational procedures 1.3 Area or action officer to which the record needs to be forwarded is identified from elements of the record, or its content, and in accordance with organisational procedures 1.4 Incoming material is assessed against organisational checklist for determining what material needs to be captured. 1.5 Material which does not need to be registered is dealt with in accordance with organisational procedures 1.6 Records on which action is complete are located, removed, or copied from the active business or records system, in accordance with organisational

procedures

- 1.7 Where required by organisation procedures, the format/media of the record is modified in accordance with organisation requirements and procedures
- 2 Classify record(s)
 - 2.1 The identified transaction/action/activity documented by the record is matched to the organisation's classification scheme
 - 2.2 The full classification and sentencing of the record is selected in accordance with the system's rules and organisational procedures
 - 2.3 The classified/sentenced record is linked to other records in the business or records system in accordance with the system's rules and organisational procedures
 - 2.4 Indexing points (cross reference terms) are selected for the record in accordance with the system's rules and organisational procedures
- 3 Register record(s)
 - 3.1 Unique identifier is selected for record in accordance with organisational procedures and business or records system rules
 - 3.2 Record is registered into business or records system with title, description, details of record creator, immediate location and any other control information to fulfil the system requirements in accordance with organisational procedures and business or records system rules
 - 3.3 Any physical dependencies or format of a record that will assist with its management over time are recorded in accordance with business or records system rules
 - 3.4 Access and security status are determined in accordance with organisational procedures and documented in accordance with business or records system rules
 - 3.5 Disposal class and status of the record is determined and recorded in accordance with the business or records system's rules, and organisational procedures and schedules

- 3.6 Record is forwarded to its appropriate location, which is recorded, in accordance with the system rules and organisational procedures
 - 3.7 The items identified for immediate destruction are separated from the rest of the body of records
- 4 Track record(s)
 - 4.1 Unique identifier of record to be located is determined from request or instructions
 - 4.2 Location of record is obtained from business or records system in accordance with system rules and organisational procedures
 - 4.3 History of record location is obtained from business or records system in accordance with system rules and organisational procedures
 - 4.4 Information about record is obtained from business or records system in accordance with system rules and organisational procedures
 - 4.5 Information about the record is updated and amended in accordance with organisational procedures
 - 4.6 All transactions on the business or records system are completed within the designated timeframe
- 5 Audit records against predetermined criteria
 - 5.1 Records are located with action officer and in storage areas in accordance with supervisors instructions
 - 5.2 Records are audited against predetermined criteria in accordance with organisational procedures and quality program
 - 5.3 Any discrepancies found are noted, and reported, in accordance with organisational procedures

Required Skills and Knowledge

Not applicable.

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

Demonstrate ability to:

Understand the processes of capture, classification, registration and tracking the location of records

Identify activities documented by records and apply classifications schemes

Record metadata accurately

Underpinning Knowledge

At this level the learner must demonstrate some relevant theoretical knowledge.

Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti-discrimination

Recordkeeping principles and processes

Concepts of, and reasons for, effective records and archives management

Knowledge and understanding of organisation's business, functions, structure, and culture

Organisation's policies, strategies and procedures, particularly those relating to records access and security

Organisational recordkeeping environments and culture including locations and nature of transactions

Organisation's recordkeeping and information (including classification) systems

Underpinning Skills

Explaining and clarifying procedures

Understanding and interpreting instructions

Listening to, questioning, and clarifying information requests

Managing own activities within a timeframe

Records management system and operation including access and security for vital records

Systematic approach to work

Using judgement and discretion with confidential information

Working systematically with accuracy and attention to detail

Reading and comprehending/interpreting nature of record content

Interpreting retention and disposal schedules

Interpreting and applying relevant access and security rules and conditions

Accurately recording metadata

Writing reports where precise meaning is required

Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement

Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package

Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment

Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

Collecting, analysing and organising information (Level 1) - to register, track and record the record within the guidelines of the organisation

Communicating ideas and information (Level 1) - in documenting the location of records

Planning and organising activities (Level 1) - in planning the classification and registration activities

Working with teams and others -

Using mathematical ideas and techniques (Level 1) - in following a logical process to classify, register and track the records

Solving problems (Level 1) - presented by discrepancies between actual and nominal record locations

Using technology (Level 1) - to register and track the records within the organisation's systems

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies. The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment.

The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

award and enterprise agreements and relevant industrial instruments

relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti-discrimination

relevant industry codes of practice

Access status of records may be:

confidential

high security (restricted)

open

Appropriate level may be:

item level

chronological group

series

business or records system

Quality assurance audit may be of part of, or all of, an organisation

Operating environment may be:

under supervision

a team effort

solo

Record information to be updated may come from:

supervisor

user

file transfer slips

action officers

results of quality assurance audit

requests

Record media may be:

electronic

paper-based

microform

graphic

mainframe

PC-based applications

Records may be registered (captured) into:

current business or records systems

archival control systems

business systems

storage facilities systems

Records may be subject to special access conditions, arising from agreement with records creator or depositor, privacy or confidentiality considerations

Standard reports prepared from the business or records system may include:

statistics

resubmits for following day

over due action reports

daily correspondence

Storage may be:

centralised or decentralised

off-line or off-site

in-house or out-sourced

commercial storage service or government repository

CD storage

imaging systems

microform

audio-visual/multimedia formats

Storage environment may be:

temperature controlled

dust free

air conditioned

fire secure

intrusion secure

Location of record may be:

on a server

on a remote drive

physical

digital

Disposal actions may include:

retention

destruction

conversion to other record formats

transfer

Criteria for audit may include:

location

unique identifier

content

titling

compliance with recordkeeping metadata standards / requirements

Discrepancies may be reported to:

colleague

supervisor

manager

Form of reporting may be:

written

oral

reconciliation statement

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Unit Sector(s)

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