



Australian Government

Department of Education, Employment and Workplace Relations

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

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit describes the work required to research the recordkeeping requirements, develop and implement a business or records system for a small office (e.g. micro business, branch / regional office). This requires considerably less formality than for a large organisation and is undertaken by a single person. In most cases recordkeeping is only a part of this person's responsibilities.

Linkages outside these National Competency Standards

ISO DIS 15489 - Draft International Standard on Records Management

Links

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

Previous Business Qualification(s)

BSBRKG301A Control records

BSBRKG302A Undertake disposal

BSBRKG303A Retrieve information from records

BSBRKG304A Maintain business records

The Same Business Qualification

BSBRK402A Provide information from and about records

Subsequent Business Qualification(s)

BSBADM504A Plan and review administration systems

BSBRKG601A Identify recordkeeping framework

BSBRKG603A Prepare a functional analysis for an organisation

BSBRKG604A Define access rules and procedures

BSBRKG605A Determine records requirements to document a function

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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

Elements and Performance Criteria

Element	Performance Criteria
1 Identify the business and resources of the office	1.1 The core business and supporting activities (organisational functions) of the organisation are identified from observation and consultation and are documented 1.2 The industry sector in which the organisation operates and industry-specific reporting requirements are identified and documented 1.3 The human resource availability for the business or records system operation and maintenance is identified for input to analysis 1.4 The technological and physical resource availability for purchase / development, location, and operation of the business or records system(s) is identified for input to analysis

- | | | |
|---|--|--|
| 2 | Describe the business context | 2.1 The legislation and regulations applicable to the organisation and industry sector are identified and documented |
| | | 2.2 The business and social context of the organisation is identified and documented and any specific expectations of its clients or other stakeholders identified |
| | | 2.3 The security and access requirements for business or records system content are determined from analysis of the organisation's activities |
| | | 2.4 All reporting and accountability requirements of the organisation are analysed from the business context documentation |
| 3 | Determine the recordkeeping requirements | 3.1 The organisational functions for which records must be kept are identified from analysis of the business and context documentation |
| | | 3.2 The nature, detail, and format of the records (content and metadata) for each of the organisation's functions are determined from the analysis of the business and its context |
| | | 3.3 The security and privacy protection restrictions applying to the records are identified and documented as part of the metadata |
| 4 | Devise an appropriate recordkeeping system | 4.1 The metadata needed to manage (for storing, locating and retrieving) the records in a business or records system are determined |
| | | 4.2 The scale, and number of the business or records system(s) selected are appropriate to the scale and nature of the business operations |
| | | 4.3 The technological requirements of the business or records system(s) selected are appropriate to the scale and nature of the business operations |
| | | 4.4 The cost structure for the business or records system(s) selected is appropriate to the scale, nature, and cash flow requirements of the organisation |
| | | 4.5 The maintenance, disposal and updating requirements of the business or records system |

- conform to the scale, nature, and culture of the organisation
- 4.6 The business or records system selected is suited to the projected growth of the organisation
- 5 Develop business rules and procedures to support the operations
- 5.1 Rules for incorporating individual records and recording information (records capture) into the business or records system are developed
- 5.2 Rules for deciding and recording retention periods and appropriate disposal actions for records are developed
- 5.3 Procedures for the use of the system are developed and documented in a format, style, and language appropriate for the scale, nature and culture of the organisation, and for the number of operators who use the system
- 5.4 Training/instruction in the use of the business or records system is provided to system users in line with the culture and scale of the organisation

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:

- synthesise business activity and reporting requirements into records requirements
- translate records requirements into a system specification

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating some theoretical concepts.

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

Organisation's functions, structure and culture

Organisation's policies and strategies

Internal controls

Recordkeeping principles and processes including functional requirements for recordkeeping

Organisation's technological base

Underpinning Skills

Consulting with practitioners, staff members, customers, and others to elicit relevant information for analysis

Identifying and viewing component parts as integral elements of the whole system

Analysing and synthesising documentation, verbally delivered information, and observed behaviours

Analysing process functions and problems

Researching and analysing organisation requirements for recordkeeping

Interpreting and applying relevant legislation, regulations and standards

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 3) - in analysing the content and structure of the records required for the organisation's functions

Communicating ideas and information (Level 2) - in explaining the operation of the business or records system to its users

Planning and organising activities (Level 2) - in collecting and organising the information for analysis

Working with teams and others (Level 2) - in introducing the new system

Using mathematical ideas and techniques (Level 3) - in assessing and analysing the system requirements for the organisation

Solving problems (Level 2) - presented by aligning the requirements of the system with the requirements of the users

Using technology (Level 2) - in developing and implementing an appropriate system

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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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

Business / organisation may be:

small / micro business
branch / regional office of a larger organisation
technical / operations centre for a larger organisation

Consultation may be with the organisation's:

principals
head office
staff
local management

Documentation may be formal or informal and may be:

diagrammatic
text
hand written
paper-based manual
on line instructions or computer-based update-able format

The business and social context of the organisation may identify:

the legal framework and industry standards which regulates its operations
accountability requirements both internal and external
the internal and external stakeholders whose interests must be taken into account
the social and ethical standards the community expects the organisation should meet
codes of ethics, codes of professional conduct specific to its industry sector

Organisational functions / activities that may be documented may include:

invoicing / sales
purchasing/ expenditure
human resource management
asset management
legislative / regulatory / licensing compliance
stock control
conventional and e-mail correspondence
risk management
customer relationship management
marketing and promotion
research and development

Legislative and regulatory requirements may include the following matters:

goods and services tax collection
business activity reporting

business and income (PAYE) taxation
corporation law reporting requirements
superannuation
occupational health and safety
industrial relations
environmental protection and waste management
privacy protection
statutory access rights and freedom of information

Regulatory requirements may be documented in:

Federal, state and local government laws and regulations or rules
technical standards
international or national standards
industry codes of practice for self-regulation

Technology used may be:

proprietary recordkeeping package
PC-based accounting systems, employee and tax records systems
cash register-based systems
paper-based accumulation and card systems

Metadata are those records which are maintained about the records themselves and may include:

unique identifiers for each record
identity of the record's creator
security and access information
record format
date, time, and location of the record's creation / registration into the system
indexing and descriptive terms
activity classification terms

Reporting requirements may for:

larger organisation
local branch of the organisation
legal / regulatory compliance
social obligation
internal management needs

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Unit Sector(s)

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