



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG301B Control records

Revision Number: 1

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Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to classify, register, and track records and information about records within a business or records system. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.
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Application of the Unit

Application of the unit	This unit applies to individuals requiring some understanding of relevant theoretical knowledge relating to recordkeeping functions. It is not assumed that individuals at this level would have responsibility for supervising the work of others; however it is assumed that as a recordkeeping practitioner their work will support effective recordkeeping and governance practices across the organisation. The application is in relation to business or records systems that provide guidelines and processes to assist users in making judgements on record status and classification, and should be performed under supervision or in consultation with more senior staff or users of the system.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	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. Identify records for capture	1.1. Categorise incoming material and identify records, metadata and formats for capture 1.2. Assess incoming material against organisational checklist for determining what material needs to be captured 1.3. Deal with material which does not need to be registered 1.4. Locate, remove or copy record, when action is complete, from the active business or records system
2. Classify records	2.1. Match identified transaction, action or activity documented by records to organisation's classification scheme 2.2. Select full classification and sentencing of records in accordance with the system's rules and organisational procedures 2.3. Link classified or sentenced records to other records in business or records system 2.4. Select indexing points (cross reference terms) for records in accordance with system's rules and organisational procedures
3. Register records	3.1. Select and record unique identifiers for records in accordance with business or records system rules and procedures 3.2. Register records into business or records system 3.3. Document and forward records to appropriate locations or officers, observing any special handling requirements of the record format
4. Track records	4.1. Determine unique identifiers of records from requests or instructions 4.2. Obtain storage location, history and information of records from business or records system 4.3. Update and amend information about records 4.4. Complete all transactions within designated timeframes 4.5. Complete and obtain appropriate documentation or reports
5. Audit records	5.1. Locate records with action officer and in storage areas, in accordance with supervisor's instructions 5.2. Audit records against predetermined criteria in accordance with organisational procedures and

ELEMENT	PERFORMANCE CRITERIA
	quality program 5.3.Document and report any discrepancies

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- communication skills to explain and clarify procedures, and to receive and interpret requests for records
- literacy skills to read and interpret nature of record content
- problem-solving and analysis skills to interpret and apply descriptive standards
- self management skills to accurately record metadata.

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:
 - 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
 - Australian Stock Exchange(ASX) Principles of Good Corporate Governance
 - ethical principles
 - codes of practice
 - privacy and freedom of information
 - archives and records legislation
 - occupational health and safety
- general principles and processes of records management and records management systems such as:
 - systems of control
 - records continuum theory
 - 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.

Evidence Guide

EVIDENCE GUIDE

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.

Overview of assessment

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- registering and tracking the location of records using appropriate processes for capture and classification
- identifying activities documented by records
- applying classifications schemes
- recording metadata accurately.

Context of and specific resources for assessment

Assessment must ensure:

- access to examples records, recordkeeping systems and policies
- access to workplace reference materials such as procedural manuals and company policies.

Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- analysis of responses to case studies and scenarios
- demonstration of techniques
- direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate
- review of authenticated documents from the workplace or training environment
- oral or written questioning to assess knowledge of general principles and processes of recordkeeping systems.

Guidance information for assessment

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:

- administration units
- other knowledge management units.

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.

<i>Categorising</i> records may include:	• determining storage locations • environmental context - business environments, community expectations, governance frameworks, legislative and regulatory mandates or relevant recordkeeping principles and standards • identifying areas or officers to which records are forwarded • modifying formats or media of record in line with organisational requirements • using organisational checklists of materials for capture • taking action on records which do not require registering, including in relation to records for immediate destruction • validating the authenticity, integrity, reliability and useability of records
<i>Records</i> may include:	• different stages of use: • active • archival • digital: • remote drives • servers • CDs • DVDs • imaging systems • PC-based applications • mainframe • physical: • audio-visual or multimedia • graphic • microform • paper-based (acid free or multiple copies)

RANGE STATEMENT	
	• variety of sources: • already in the custody of the organisation • in the process of being transferred between organisations
Metadata are those records which are maintained about the records themselves and may include:	• activity classification terms • date, time, and location of record creation or registration into the system • identity of record creator • indexing and descriptive terms • record format • security and access information • unique identifiers for each record
Business or records systems may include:	• archival control systems • business systems • cash register-based systems • characteristics relating to: • aggregations • context • entities • metadata • current business or records systems • electronic records and document management system (ERDMS) • informal • paper-based accumulation and card systems • PC-based accounting systems, employee and tax records systems • proprietary recordkeeping package • storage facilities systems
Rules and procedures may relate to:	• classification • destruction • manually generated running numbers • ownership • responsibility • system generated identifiers • transfer of custody
Registering records may include:	• access and security status: • confidential • high-security (restricted)

RANGE STATEMENT	
	• open • description • details of record creator • disposal class and use including: • conversion to other record formats • destruction • retention • transfer • immediate location • other control information to fulfil system requirements • physical dependencies or format of a record that will assist with its management over time • title
<i>Special handling requirements</i> may include:	• secondary storage requirements • back-up and recovery procedures • migration requirements, which may include: • superseded media formats • format which may deteriorate over time
<i>Storage location</i> may include:	• digital: • remote drives • servers • CDs • imaging systems • physical: • centralised or decentralised • commercial storage service or government repository • in-house or outsourced • microform • offline or off-site
<i>Updating and amending information</i> may derive from:	• action officers • file transfer slips • requests • results of quality assurance audit • supervisor • user
<i>Transactions</i> may include:	• transfer of records • disposal

RANGE STATEMENT	
	• reporting • auditing, which may address: • compliance with recordkeeping metadata standards or requirements • content • location • titling • disposal
Documentation or reports may include:	• daily correspondence • over due action reports • proof of receipt • record of movement • resubmits for following day • statistics
Criteria for audit may include:	• compliance with recordkeeping metadata standards/requirements • content • location • titling • unique identifier

Unit Sector(s)

Unit sector	
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Competency field

Competency field	Knowledge Management - Recordkeeping
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Co-requisite units

Co-requisite units		

Co-requisite units		