



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG302B Undertake disposal

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 identify which records are subject to a disposal program, and to safely and securely transfer or dispose of the records. 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 the disposal of records from an existing business or records system that has guidelines and processes to assist in making judgements on the status and classification of records. These judgements 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. Conduct a records survey	1.1. Inform users of the business or records system, about the records survey to be conducted, encouraging cooperation and input in identifying and assessing records and formats for disposal 1.2. Gather required data about records in accordance with the predetermined methodology and user requirements 1.3. Assess records to determine disposal status 1.4. Present findings of survey to inform users of proposed disposal processes and requirements 1.5. Undertake quality control measures in accordance with organisational procedures, to ensure consistency in determining disposal status and retention periods
2. Undertake disposal actions	2.1. Seek approval from appropriate individual/body for disposal actions 2.2. Destroy records which are no longer required for any purpose, in accordance with approval and organisational procedures 2.3. Store records which need to be kept for a further period, in accordance with legal obligations and organisational records storage requirements 2.4. Store original vital records, and copies of vital records where applicable, in accordance with organisational procedures and vital records strategy 2.5. Record and authorise all disposal actions in accordance with legal obligations, organisational procedures and business or records system rules
3. Maintain control of records	3.1. Prepare disposal documentation by recording the unique identifiers of the records to be disposed of in a form compliant with organisational rules and procedures for the transfer of custody, ownership and/or responsibility, or destruction of records 3.2. Prepare records for transfer for movement in accordance with storage medium requirements 3.3. Retain identifying documentation for transfer as part of organisational records and forward a copy to the recipient 3.4. Document transit locations for records to be moved in the location control system, where applicable 3.5. Maintain identifying documentation for destroyed records as part of organisational records where

ELEMENT	PERFORMANCE CRITERIA
	appropriate
4. Transfer records	4.1. Determine method, timeframe and personnel to undertake the movement in accordance with the organisational procedures and record requirements 4.2. Document relocation of records in the location control system and other systems, in accordance with organisational procedures 4.3. Complete and document the movement of records in accordance with the organisational procedures 4.4. Obtain proof of receipt and forward to appropriate authority where it is required
5. Destroy records	5.1. Determine method, timeframe and personnel to undertake the destruction, in accordance with organisational procedures and record requirements 5.2. Document destruction of records in the location control system and other systems, in accordance with organisational procedures 5.3. Complete and document destruction of records in accordance with legal requirements and organisational procedures 5.4. Destroy records under secure conditions

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 consult with users of a records or business system
- literacy skills to read and interpret nature of record content
- problem-solving and analysis skills to interpret and apply rules affecting disposal of records
- 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 and tools particularly those relating to description, disposal and storage of records.

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:

- assessing records to identify disposal status
- recording and controlling processes as part of a disposal program
- knowledge of relevant legislation, regulations, standards.

Context of and specific resources for assessment

Assessment must ensure:

- access to an actual workplace or simulated work environment
- access to office equipment and resources
- access to examples of 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.

Informing users may include:

- access to staff meetings
- email
- legal or regulatory requirement
- minute or memorandum
- noticeboards
- organisation-wide publications
- personal visit
- phone call

Users may include:

- action officer
- external organisation
- manager of an operational area or section
- more experienced colleague or someone familiar with the area
- supervisor

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

Records may include:

- different stages of use:

RANGE STATEMENT	
	• 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) • variety of sources: • already in the custody of the organisation • in the process of being transferred between organisations
<i>Records survey</i> may be undertaken to:	• add to corporate memory • analyse functions of authorities • aid disaster recovery and critical records planning • identify discovery order • respond to Freedom of Information request • gather general statistics • identify records regularly required for transfer • locate time expired records • prepare retention and disposal schedules • respond to a requirement for repository or storage planning • review a variety of business or records systems • transfer or destroy records • respond to a user satisfaction survey
<i>Identifying and assessing records</i> may include:	• applying criteria for vital records, to which specific criteria apply, or which document: • legal liabilities • ownership rights or entitlements • policy records/precedent decisions

RANGE STATEMENT	
	• rights or entitlements of individuals • consulting identifying documentation found in: • databases • lists • notes about the records • proforma • consulting retention and disposal schedules which may be: • continuing • functional • general • multiple • one-time • single • environmental context - business environments, community expectations, governance frameworks, legislative and regulatory mandates or relevant recordkeeping principles and standards • identifying: • access restrictions • any extenuating impediments to the destruction • how information is likely to be presented and manipulated • how information is to be retrieved • how many people will need to retrieve the information • what information is needed
Formats may include:	• audio-visual or multimedia formats • electronic • graphic • mainframe • microform • paper-based (acid free or multiple copies) • PC-based applications
Data about records may include:	• documentation relating to: • authenticity • integrity

RANGE STATEMENT	
	• reliability • social or business activities • useability • record's: • arrangement • condition • creator • date range • format • frequency of use • function • location • owner • quantity • series title • whether or not data has been captured into a business or records system • whether or not there is a retention and disposal schedule
Disposal status may include:	• disposal actions • records requiring sentencing or review • records requiring appraisal (where no disposal authority exists)
Approval may include permission for transfer of archival records from:	• archival authority • own organisation • receiving organisation
Disposal may be:	• outsourced • undertaken by movement, permanent transfer, loan or destruction • undertaken by the organisation
Storing records may include:	• digital: • remote drives • servers • CDs • imaging systems • physical: • centralised or decentralised • commercial storage service or government

RANGE STATEMENT	
	repository • in-house or outsourced • microform • offline or off-site
<i>Transfer</i> may include:	• copying or downloading from one medium to another • flagging electronic records for offline storage • migrating from one database to another • movement between organisations • placing paper, microform, audio-visual or multimedia records into boxes
<i>Identifying documentation</i> may include:	• recording old and new unique identifiers found in: • business or record system • records themselves • documentation accompanying the records • preparing records of transfer which include: • approving officer • dates • destination • locations • method to be used • originating organisation • range of record unique identifiers • titles • who undertook the transfer

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		