



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG401B Review the status of a record

Revision Number: 1

BSBRKG401B Review the status of a record

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to review and document the changing context and status of records which have been appraised as having temporary or ongoing value, and which have been identified as requiring conditions for access. 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 who are required to demonstrate understanding of a broad knowledge base incorporating some theoretical recordkeeping concepts. The application is in relation to business or records systems that have guidelines and processes to assist in making judgements on the status and classification of records, 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		

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 classes of records justifying review	1.1. Compile and review a list of the criteria for review to be met by records and formats 1.2. Apply the records in the subject jurisdiction criteria 1.3. Identify and document the records that meet the criteria
2. Review disposal authority and access conditions	2.1. Identify disposal authority, disposal class references and any access and security conditions for records, in accordance with industry practice 2.2. Identify and document records for which neither a disposal authority nor an access restriction exist, in accordance with industry practice 2.3. Assemble copies of related appraisal reports and access conditions for analysis 2.4. Make comparisons and take notes of any anomalies arising from the comparison, and recommend changes to existing disposal authorities and access conditions
3. Prepare new appraisal reports	3.1. Prepare new appraisal reports including reference to criteria justifying the review 3.2. Make new interpretations of existing access criteria in light of criteria justifying the review 3.3. Expose new appraisals and access interpretations to appropriate stakeholders for comment, and submit for approval
4. Implement recommendations and re interpretations	4.1. Prepare methodology for implementation and assemble necessary resources 4.2. Produce and promulgate revised disposal authorities and access conditions 4.3. Document progress throughout implementation and record any issues or implications arising from revised disposal authorities and access conditions 4.4. Document implementation process and outcomes in organisation's business or recordkeeping systems

Required Skills and Knowledge

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 record content, functions and problems
- problem-solving and analysis skills to interpret and apply access and security rules, retention and disposal skills
- 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:

- defining issues in relation to a review of records
- identifying potential recordkeeping implications of a change in the disposal status of records.

Context of and specific resources for assessment

Assessment must ensure:

- access to an actual workplace or simulated 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 revised disposal authorities and access conditions
- 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.

Compiling and reviewing criteria may include:

- considering requirements for vital records including:
 - legal liabilities
 - ownership rights or entitlements
 - policy records, precedents and decisions
 - rights or entitlements of individuals
- consulting identifying documentation found in:
 - databases
 - lists
 - notes in relation to the records
 - proforma
- consulting retention and disposal schedules, which may be:
 - continuing
 - functional
 - general
 - multiple
 - one-time
 - single
- identifying:
 - access restrictions
 - any extenuating impediments to the destruction of records
 - how information is likely to be presented and manipulated
 - how information is likely to be retrieved
 - how many people will need to retrieve the information
 - what information is needed

Criteria for review may include:

- particular subject, for example, having political, educational, scientific, sociological or other interest

RANGE STATEMENT	
	• sustainability - voluminous record that is not used sufficiently frequently might not justify the resources its preservation consumes • sensitivity - some records may be deemed so sensitive that they may never be used for research • data extraction - previously unused means of extracting data from a particular record may increase its value • environmental context - business environments, community expectations, governance frameworks, legislative and regulatory mandates or relevant recordkeeping principles and standards
<i>Records and formats</i> may include:	• different stages of use: • active • archival • digital: • remote drives • servers • CDs • DVDs • imaging systems • PC-based applications • mainframe • documentation relating to: • authenticity • integrity • reliability • social or business activities • useability • 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

RANGE STATEMENT	
<i>Access and security conditions</i> may include:	• confidential • high-security (restricted) • open
<i>Anomalies</i> may include:	• changes to legislation such as census records becoming publicly accessible • citizenship status of people may change granting them different rights from what existed previously • government policy may see the value of records officially changed by decree • new technology may be developed to enable more information to be extracted from x-ray film
<i>Recordkeeping systems</i> 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

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		