**Australian Government**

**Department of Education, Employment and Workplace Relations**

# BSBRKG502B Manage and monitor business or records systems

Revision Number: 1

**ISC** INDUSTRY SKILLS COUNCILS
Creating Australia's Future

## BSBRKG502B Manage and monitor business or records systems

## Modification History

Not applicable.

## Unit Descriptor

| Unit descriptor | This unit describes the performance outcomes, skills and knowledge required to set the operational frameworks for the creation, capture and use of records and to monitor and review these frameworks and activities within a business or records system of a specific business domain. |
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| | No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement. |

## 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 theoretical concepts with substantial depth in some areas. The application is in relation to managing and monitoring business and records systems or work carried out in specialist recordkeeping environments, such as archives. |
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| | While these people will work closely with other staff members throughout an organisation, they may also have a degree of individual responsibility and autonomy. |

## Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

| Prerequisite units | | |
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## 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. Determine requirements or modifications | 1.1. Identify and *document* core business, supporting activities, *resources*, *business and social context*, using observation and *consultation* |
| | 1.2. Determine security and access requirements for business or records system content from analysis of organisation's activities |
| | 1.3. Analyse organisational reporting and accountability requirements in the context of the business documentation |
| | 1.4. Identify *organisational functions and activities* for which records must be kept, from analysis of business and context documentation |
| | 1.5. Determine nature, detail, and format of records (content and *metadata*) for each organisational function from analysis of the business and its context |
| 2. Devise an appropriate recordkeeping system | 2.1. Determine metadata needed to manage records (store, locate and retrieve) in a business or records system |
| | 2.2. Select scale, and number of *business or records systems* appropriate to scale and nature of business operations |
| | 2.3. Select technological requirements of business or records systems appropriate to scale and nature of business operations |
| | 2.4. Select cost structure for business or records systems appropriate to scale, nature, and organisational cash flow requirements |
| | 2.5. Ensure maintenance, disposal and updating requirements of business or records system conform to scale, nature, and culture of the organisation |
| | 2.6. Select business or records system suited to the projected growth of the organisation |
| 3. Develop an implementation plan | 3.1. Identify and document recordkeeping responsibilities of individual personnel or organisational units |
| | 3.2. Develop *measurable performance indicators* for recordkeeping activities |
| | 3.3. Develop *procedures and guidelines* for capturing and controlling records |
| | 3.4. Communicate an implementation plan to users of the system and other relevant organisational staff |

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| ELEMENT | PERFORMANCE CRITERIA |
|---|---|
| 4. Monitor and review business or records system | 4.1. ***Monitor*** and notify staff in accordance with approved timeframes, frequency, and ***organisational policies and guidelines*** where applicable<br><br>4.2. Record details of ***variation*** from business or records system's rules, standards and procedures that exceed agreed limits<br><br>4.3. Provide required ***reports*** to ***appropriate authority*** relating to use and maintenance of records<br><br>4.4. Designate responsibilities to staff for record creation and capture activities in accordance with organisational policies |
| 5. Identify and respond to problems and changes | 5.1. Identify any ***problems and changes*** that require a ***systemic response*** using the monitoring reports and external events<br><br>5.2. Make recommendations for ***revisions*** to systems, procedures, and strategic plans in response to identified variations, changes and problems<br><br>5.3. Devise amendments to systems and implementation or other plans where required<br><br>5.4. Prepare recommendations for system amendments, planning and implementation<br><br>5.5. Authorise or gain authorisation, for procedures for using the business or records systems, and for any subsequent alterations and amendments to the procedures |

# 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 interview users to identify their records or information needs
- literacy skills to read and interpret nature of record content, functions and problems
- negotiation skills to achieve suitable results for the organisation's recordkeeping practices
- problem-solving and analysis skills to interpret and apply recordkeeping principles and practices
- research skills to investigate changes and innovation in design and operation of business or records system
- self management skills to accurately record metadata.

**Required knowledge**

- construction and use of language in the organisation in relation to recordkeeping (past and present)
- 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 | |
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| 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: <ul><li>translating organisational needs into a business or records system</li><li>developing business or records system specifications and performance indicators to monitor and address system effectiveness</li><li>knowledge of relevant organisational policies, strategies and procedures.</li></ul> |
| **Context of and specific resources for assessment** | Assessment must ensure: <ul><li>access to an actual workplace or simulated environment</li><li>access to office equipment and resources</li><li>access to examples of records, recordkeeping systems and policies</li><li>access to workplace reference materials such procedural manuals and company policies.</li></ul> |
| **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: <ul><li>analysis of responses to case studies and scenarios</li><li>demonstration of techniques</li><li>direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate</li><li>review of reports provided to appropriate authority relating to use and maintenance of records</li><li>oral or written questioning to assess knowledge of principles and processes of recordkeeping systems.</li></ul> |
| **Guidance information for assessment** | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: <ul><li>administration units</li><li>other knowledge management units.</li></ul> |

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# Range Statement

| RANGE STATEMENT | |
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| 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. | |
| *Documenting* core business may involve identifying: | • diagrammatic representations<br>• formal documents<br>• hand written documents<br>• informal communications<br>• online instructions or computer-based format instructions that can be updated<br>• paper-based manuals<br>• other texts |
| *Resources* may include: | • human resources and their availability<br>• location of resources currently in operation<br>• physical resources<br>• technological resources<br>• those available for purchase or development |
| *Business and social context* may include: | • clients or customers and their expectation<br>• codes of ethics and codes of professional conduct specific to industry sector<br>• industry sector characteristics and reporting requirements of that sector<br>• internal and external accountability requirements<br>• internal and external stakeholders whose interests must be taken into account<br>• other relevant legislation and regulations, including those covering:<br>  • business activity reporting<br>  • business and income ( PAYE) taxation<br>  • corporation law reporting requirements<br>  • environmental protection and waste management<br>  • goods and services tax collection<br>  • industrial relations<br>  • occupational health and safety<br>  • privacy protection |

| RANGE STATEMENT | |
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| | <ul><li>statutory access rights and freedom of information</li><li>superannuation</li></ul><ul><li>internal and external stakeholders whose interests must be taken into account</li><li>social and ethical standards the community expects the organisation to meet</li></ul> |
| *Consultation* may include organisation's: | <ul><li>head office</li><li>local management</li><li>principals</li><li>staff</li></ul> |
| *Organisational functions and activities* that may be documented may include: | <ul><li>asset management</li><li>conventional and email correspondence</li><li>customer relationship management</li><li>human resources management</li><li>invoicing and sales</li><li>legislative, regulatory and licensing compliance</li><li>marketing and promotion</li><li>purchasing and expenditure</li><li>research and development</li><li>risk management</li><li>stock control</li></ul> |
| *Metadata* are those records which are maintained about the records themselves and may include: | <ul><li>activity classification terms</li><li>date, time, and location of record creation or registration into the system</li><li>identity of record creator</li><li>indexing and descriptive terms</li><li>record format</li><li>security and access information</li><li>unique identifiers for each record</li></ul> |
| *Business or records systems* may include: | <ul><li>archival control systems</li><li>business systems</li><li>cash register-based systems</li><li>characteristics relating to:<ul><li>aggregations</li><li>context</li><li>entities</li><li>metadata</li></ul></li><li>current business or records systems</li></ul> |

## RANGE STATEMENT

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|  | • electronic records and document management system   (ERDMS)<br>• informal<br>• paper-based accumulation and card systems<br>• PC-based accounting systems, employee and tax records systems<br>• proprietary recordkeeping package<br>• storage facilities systems |
| ***Measurable performance indicators*** may be developed: | • from a strategic plan<br>• in consultation with those who will undertake the specific tasks |
| ***Measurable performance indicators*** may include: | • disposal (percentage of records, unsentenced records, those overdue for disposal action and functions or records not covered by disposal schedules)<br>• parameters for tracking of records<br>• retrieval and access (security and access rules, response to request time limits, service levels for requests)<br>• records creation and capture performance |
| ***Procedures and guidelines*** may include: | • acceptable range of variation for compliance<br>• system requirements |
| ***Monitoring*** may relate to: | • broad accumulation and growth monitoring<br>• checking spelling, spacing and numbering<br>• continuing relevance of classification<br>• disposal schedule applicability<br>• examining titling and indexing at item level<br>• new records specifications<br>• number of systems<br>• observation of localised rules and continuing relevance of classification<br>• records creation and capture performance targets<br>• single records management system |
| ***Organisational policies and guidelines*** may include: | • actions in relation to freedom of information legislation<br>• actions or accumulations of records above or below anticipated levels<br>• audit trail or log of users and activity in systems<br>• changes in use of classification and indexing |

## RANGE STATEMENT

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| | terms<br>• access rules<br>• disposal procedures<br>• procedures in relation to disparity, sentencing difficulties or gaps in retention and disposal schedule coverage<br>• procedures in relation to disputes arising from any matters, particularly access questions<br>• failures in tracking or increases in lost items<br>• input of metadata requirements<br>• legal precedents requiring changes to systems<br>• privacy requirements<br>• quality of recordkeeping about records<br>• records of authorisation of destruction<br>• procedures in relation to reliability of optical character recognition techniques<br>• retention of records in relation to a schedule<br>• scanned images<br>• security requirements<br>• specified access restrictions, in the public sector<br>• storage standards and maintenance schedules |
| *Variations* may include: | • increases or decreases in the use of particular technologies<br>• variations from the business or records system's performance or capacity<br>• variations within the agreed limit which are inconsistent |
| *Reports* may include: | • compliance<br>• maintenance<br>• record capture<br>• record creation<br>• records use |
| *Appropriate authority* may include: | • audit committee<br>• board of directors<br>• committee of management<br>• business owner<br>• chief executive officer<br>• delegated individual<br>• external public authority<br>• nominated senior management representative |

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**RANGE STATEMENT**

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|  | • recordkeeping professionals<br>• senior management team |
| ***Problems and changes*** may include: | • case-law precedents<br>• changes in administrative changes to functions and activities<br>• changes of government<br>• changes to organisational structures<br>• closures and bankruptcy<br>• legislative or other regulatory changes<br>• outsourcing and privatisation<br>• takeovers, amalgamations or relocation<br>• technological change and implementation |
| ***Systemic responses*** may include: | • amendment/s to the classification system<br>• bulk movement of records to control<br>• migration of systems<br>• new classification and controlled language<br>• new disposal classes or retention periods<br>• new legal liabilities and other risks identified requiring changes to records specifications<br>• new organisational or business unit functions |
| ***Revisions*** may be made to: | • access rules and procedures<br>• classification and indexing schemes<br>• disposal schedules<br>• records specifications<br>• storage projections and requirements |

# 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 | | |
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