



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG606B Design a records retention and disposal schedule

Revision Number: 1

BSBRKG606B Design a records retention and disposal schedule

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to develop retention periods and disposal actions for existing records, or those that may yet be brought into existence, in relation to a business function. 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 with understanding and specialist knowledge, with depth in some areas of business or records systems. The application is in relation to individuals with specialist knowledge in business or records systems. These people will generally be senior staff in a specialist recordkeeping environment with responsibility for a team, though they may also be individuals with sole responsibility for recordkeeping systems within larger enterprises.
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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. Analyse recordkeeping requirements for the function	1.1. Determine recordkeeping environment and legal, business and societal context for the business function 1.2. Establish and document organisation's accountability requirements for the function 1.3. Analyse existing recordkeeping specifications for the function's records from a range of documentation sources, and consider any relevant developments and their implications 1.4. Review and update risk analysis for the function as required in accordance with organisational and applicable Australian Standards and international standards 1.5. Research and analyse patterns of use of existing records to identify internal and external users, and periods and purposes of use 1.6. Canvass and document user views on their needs and accessibility of the records 1.7. Update and document recordkeeping specifications for the function based on review analysis and survey of user views
2. Determine disposal status of records	2.1. Identify and review the function's business processes from existing functional analyses 2.2. Develop a hierarchical structure based on the functions and establish relevant activities in the functional analysis 2.3. Develop disposal classes according to the boundaries of the transactions and activities which make up the function's processes 2.4. Develop disposal status and retention periods for each disposal class from an analysis of documentation sources for business use, legal requirements, access classifications and review of risk analysis of the function 2.5. Review disposal status and retention periods for each disposal class in relation to the internal and external use of the records, the relationship with other organisational activities, and any other requirements determined from analyses of community expectations 2.6. Describe disposal actions for each disposal class

ELEMENT	PERFORMANCE CRITERIA
3. Document disposal status and retention periods	3.1.Ensure retention and disposal documentation contain details of business activities, records classes, and required disposal actions 3.2.Identify and assign responsibility for implementing disposal actions for records from retention and disposal documentation 3.3.Submit retention and disposal documentation for approval to <i>appropriate individual or body</i> 3.4.Compile and retain documentation of the analysis and related information for the life of the approved retention and disposal documentation 3.5.Describe disposal class and status, and appropriate disposal actions in the approved retention and disposal documentation

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- communication and negotiation skills to explain complex relationships and processes effectively to users and management, and to consult with relevant stakeholders
- information management skills to analyse and synthesise documentation, verbally delivered information, and observed behaviours
- literacy skills to prepare, compile and write complex documents and reports, and to document complex relationships and processes
- problem-solving skills to solve recordkeeping problems
- technology skills to retain and dispose of records.

Required knowledge

- key provisions of relevant legislation and regulations from all forms of government, national standards and other documentation that may affect aspects of business operations, such as:
 - anti-discrimination legislation
 - AS 1203:1996 Microfilming of engineering documents
 - AS 2840:1986 Microfilming newspapers for archival purposes
 - AS 3674:1989 Storage of microfilm
 - AS 4003:1996 Permanent paper
 - 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
 - AS/NZS 4360:2004 Risk management
 - Australian Stock Exchange(ASX) Principles of Good Corporate Governance
 - codes of practice
 - ethical principles
 - archives and records legislation
 - occupational health and safety
 - privacy and freedom of information
- organisational, jurisdictional and subsidiary functions, structure, policies, strategies and processes
- organisational and wider social context in which the jurisdiction, organisation, and part of the organisation operates
- general principles and processes of records management and records management

REQUIRED SKILLS AND KNOWLEDGE

systems, such as:

- systems of control
- records continuum theory
- mandate and ownership of business process
- software applications associated with recordkeeping activities.

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: • developing and documenting a records retention and disposal schedule • knowledge of organisational, jurisdictional and subsidiary functions, structure, policies, strategies and processes.
Context of and specific resources for assessment	Assessment must ensure: • access to an actual workplace or simulated environment • access to examples of records, recordkeeping systems and policies • access to office equipment and resources.
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: • assessment of record retention and disposal schedules • direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate • observation of presentations of reports on the records retention and disposal schedule • oral or written questioning to assess knowledge and understanding • review of authenticated documents from the workplace or training environment • review of testimony from team members, colleagues, supervisors or managers.
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.

Legal, business and societal context may include:

- accountability requirements both internally and externally
- codes of ethics, codes of professional conduct specific to an industry sector
- community, societal and ethical standards
- internal and external stakeholders
- legal framework and industry standards which regulates organisational operations

Documentation sources may include:

- access (user permission) classification schemes
- function-based records classification schemes
- material prepared during or supporting documentation deriving from, the functional analyses
- statistical reports from business or records systems such as movement histories, and search room or reading room statistics

Community expectations may include:

- accountability issues
- public access and freedom of information legislation requirements
- security and disposal measures to prevent unauthorised use, and to protect privacy and personal information resulting in modifications to disposal status and practices

Disposal actions may include:

- conversion to other record formats
- destruction
- retention
- transfer

Appropriate individual or body may include:

- board of directors
- committee of management
- business owner
- chief executive officer
- external public authority
- nominated senior management representative

RANGE STATEMENT

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| | <ul style="list-style-type: none">• senior management team |
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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		