

What is Recordkeeping Capability? Developing Competencies and Addressing the Skills Shortage

Barbara Reed, Recordkeeping
Innovation Pty Ltd

Overview of presentation

- What are competencies?
- Background to the Australian Records and Archives Competency Standards
- Stages of development:
 - Content development
 - Packaging
 - Implementation
 - Review
- Joint Statement of Knowledge for Recordkeeping Professionals

What are competencies?

- **Assessment framework** built around a set of defined competencies
- **Competency:** A description of the tasks staff should be able to perform in the workplace and an indication of the standard to which they should perform them. Includes performance criteria

What are the key bits?

- **Knowledge:** Information that is required to understand and apply the skills in the tasks defined
- **Range Statement:** The Range Statement provides advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment.
- **Evidence Guide:** The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence

Recordkeeping Competencies

- Australian Records and Archives Competencies
 - Developed by archivists and records managers to cover generic recordkeeping competencies
 - Format neutral (both paper and electronic)
 - Very contested ground
 - Very political framework
 - Developed from about 1995-1997
 - Reviewed c2000
 - Currently under review again

Units of Competency

- BSBRKG301A CONTROL RECORDS
- BSBRKG302A UNDERTAKE DISPOSAL
- BSBRKG303A RETRIEVE INFORMATION FROM RECORDS
- BSBRKG304A MAINTAIN BUSINESS RECORDS
- BSBRKG401A REVIEW THE STATUS OF A RECORD
- BSBRKG402A PROVIDE INFORMATION FROM AND ABOUT RECORDS
- BSBRKG403A SET UP A BUSINESS OR RECORDS SYSTEM FOR A SMALL OFFICE
- BSBRKG501A DETERMINE BUSINESS OR RECORDS SYSTEM SPECIFICATIONS
- BSBRKG502A MANAGE AND MONITOR BUSINESS OR RECORDS SYSTEMS
- BSBRKG503A DEVELOP AND MAINTAIN A CLASSIFICATION SCHEME

Units of competency (cont)

- BSBRKG504A DEVELOP TERMINOLOGY FOR ACTIVITIES AND RECORDS
- BSBRKG505A DOCUMENT OR RECONSTRUCT A BUSINESS OR RECORDS SYSTEM
- BSBRKG601A DEFINE RECORDKEEPING FRAMEWORK
- BSBRKG602A DEVELOP RECORDKEEPING POLICY
- BSBRKG603A PREPARE A FUNCTIONAL ANALYSIS FOR AN ORGANISATION
- BSBRKG604A DETERMINE SECURITY AND ACCESS RULES AND PROCEDURES
- BSBRKG605A DETERMINE RECORDS REQUIREMENTS TO DOCUMENT A FUNCTION
- BSBRKG606A DESIGN A RECORDS RETENTION AND DISPOSAL SCHEDULE
- BSBRKG607A DOCUMENT AND MONITOR THE RECORD-CREATING CONTEXT
- BSBRKG608A PLAN MANAGEMENT OF RECORDS OVER TIME

Great stuff!

605: Determine Records Requirements to Document a Function

- **1. Locate the function in its organisational and regulatory context**
- 1.1 Regulatory framework for the function is identified, reviewed and documented
- 1.2 The organisation's accountability requirements for the function are established and documented
- 1.3 The business processes associated with the function are established from the existing functional analysis
- **2. Review existing recordkeeping practices for the function**
- 2.1 Existing records generated by the function are reviewed to identify essential contents, examine the patterns of use and identify any new developments in processes or regulatory requirements
- 2.2 The risks and liabilities specific to the function are identified from the organisation's risk analysis and litigation history and documented
- 2.3 Users employed in carrying out the function and creating and using the records are consulted for their assessment of the adequacy of existing records
- 2.4 The findings of the review are analysed to identify existing and new elements required in the records and documented in accordance with organisational standards

- **3. Document the function's record requirements**
- 3.1 The requirements for evidence of performance of the function are determined from the business processes, the accountabilities for the function, the risk analysis for the function and analysis of patterns of use of existing records of the function
- 3.2 The requirements for evidence are analysed to identify all the business transactions of the function which need to be documented in the business or records system
- 3.3 Criteria for identifying the business transactions to be documented in the system are developed, as are procedures for applying them
- 3.4 The content and structure of the records needed to document all necessary business transactions are determined from the business processes, standards applicable to those processes, and review of existing records
- 3.5 The document structure and the metadata for controlling the records of the business transactions are specified in accordance with external and/or organisational standards, and organisational styles
- 3.6 Procedures for capturing the documents, attaching metadata as required and managing the records are prepared and documented for the instruction of users in accordance with organisational standards

Packaging

- In 2000 decision to incorporate into Business Services Training Package
- String units of competencies into qualification levels:
 - Level 3 units = Certificate 3 in Business (Recordkeeping)
 - Level 4 units = Certificate 4
 - Level 5 = Associate Diploma
 - Level 6 = Diploma
- All pre university entrance qualifications (contested)

Implementation

- Once established, can be delivered by any Registered Training Organisation
 - regardless of quality,
 - no professional scrutiny of teaching material,
 - no reviews beyond process/procedures for training organisation
 - No guarantee on assessment
 - No professional control
 - On the plus side: courses available and accessible

Review

- Business Services Training Package current review
- Being done within the training sector framework
- Comments on preliminary analysis:
 - 'Recordkeeping' is old terminology - need to test broader term around concept of information and knowledge management
 - Too paper based
- Battle now on again for young and old!

Further information

- <http://www.ibsa.org.au>
- <http://www.rmaa.com.au>

Statement of Knowledge for Recordkeeping Professionals

- Joint ASA and RMAA statement to identify:
 - Unique body of theory, standards and ethics that differentiate recordkeeping from other information disciplines
 - To inform design of educational programs, assessments and qualifications frameworks
 - Course recognition and accreditation
 - Membership of professional associations

Fundamental knowledge

- Purposes and characteristics of records and recordkeeping systems
- The context in which recordkeeping occurs
- Recordkeeping processes and practices
- Including theories of recordkeeping
- Across time and space

Statement available:

- <http://www.rmaa.com.au>
- <http://www.archivists.org.au>

Addressing skills shortages

- Multiple strategies:
 - Qualifications:
 - Tertiary
 - vocational
 - Short courses
 - Professional development
 - Skill based training