



Australian Government

Department of Education, Employment and Workplace Relations

TLIT207C Document a records system

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit involves the skills and knowledge required to document a records system in accordance with workplace requirements. It includes identifying records creators and their accountability requirements; locating records creators in their organisational structure; identifying the activities/function documented by the records; analysing and describing the record keeping system to identify the series; describing the links between record keeping series; describing the anomalies to the normal order of the series; and documenting the records series and its relationships over time.

Application of the Unit

Work must be carried out in accordance with regulations and workplace requirements relevant to a records management process.

Work is generally performed under some supervision, within a team/group environment. It involves the application of regulatory requirements and workplace procedures to document a records system in the transport, warehousing, distribution and/or storage industries.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

The required outcomes described in this unit of competency contain applicable facets of Employability Skills. The Employability Skills Summary of the qualification in which this competency is packaged will assist in identifying employability skill requirements.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the required performance needed to demonstrate achievement of the element. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

Elements and Performance Criteria

Element	Performance Criteria
1 Identify the records creators and their accountability requirements	<p>1.1 The creating organisation is identified as a public or private entity and likely sources of information about the creator are identified and assessed as relevant</p> <p>1.2 The record creator is identified by establishing who or what part of an organisation created the records</p> <p>1.3 Where there is more than one creator over time, all the creators are located in their organisational and chronological context</p> <p>1.4 The accountability requirements and functional responsibilities of the records creators are identified from available information sources</p> <p>1.5 Sources of information used in the research are identified as authentic and copies kept in accordance with organisational record keeping practice</p>
2 Locate the records creators in their organisational structure	<p>2.1 The nature of the jurisdiction governing the organisation is identified and described</p> <p>2.2 The location and context of the records creators are described in their organisational structure and context</p>
3 Identify the activities/function documented by the records	<p>3.1 The actions/activities which the records are generated by, or documented, are identified</p> <p>3.2 The boundaries of the activities are identified from the records and checked against a functional analysis of the organisation</p> <p>3.3 The records are matched to the functions for which the records creators are responsible</p> <p>3.4 Date-ranges for the records are determined from the records, supplemented where necessary from external sources</p> <p>3.5 Changes to the activities/function are documented</p>

- over the time period of the records
- 4 **Analyse and describe the record keeping system in which the records are created to identify the series**
 - 4.1 Elements of the record keeping system(s) are identified from the records and documented
 - 4.2 The records series is/are identified and documented in accordance with organisational standards and procedures
 - 4.3 The history and context of the records system is documented in accordance with organisational standards and procedures
 - 5 **Describe the links between record keeping series**
 - 5.1 Related record series which make up the records series system are identified from analysis of the available source information and the records themselves
 - 5.2 Predecessor and subsequent records series are described to place the series in its chronological context
 - 5.3 Anomalies to the normal order of the series are described
 - 6 **Describe the anomalies to the normal order of the series**
 - 6.1 Anomalies which have occurred over time to the systemic order of the series are identified from analysis of the available source information and the records themselves
 - 6.2 Any anomalies to the systemic order of the series are described and corrected in the way the records are maintained in accordance with organisational procedures
 - 6.3 Where they are identifiable, the causes of the anomalies which have occurred over time are described
 - 7 **Document the records series and its relationships over time**
 - 7.1 Documentation is complete, including all available information and analysis results

Required Skills and Knowledge

REQUIRED KNOWLEDGE AND SKILLS

This describes the essential knowledge and skills and their level required for this unit.

Required knowledge:

Regulations relevant to the documentation of a records system as part of a records management process

Relevant OH&S and environmental protection procedures and guidelines

Workplace procedures and policies for the documentation of a records system including policies on confidentiality and security of information and records

Focus of operation of work systems, equipment, management and site operating systems for the documentation of a records system

Problems that may occur when documenting a records system and appropriate action that can be taken to resolve the problems

Operational workflow within a records management system

Types of equipment used in the documentation of a records system and the precautions and procedures that should be followed in their use

Housekeeping standards and procedures required in the workplace

Site layout and obstacles

Required skills:

Communicate effectively with others when documenting a records system

Read and interpret instructions, procedures, information and signs relevant to documenting a records system

Interpret and follow operational instructions and prioritise work

Work collaboratively with others when documenting a records system

Adapt appropriately to cultural differences in the workplace, including modes of behaviour and interactions with others

Promptly report and/or rectify any identified problems that may occur when documenting a records system in accordance with regulatory requirements and workplace procedures

Plan own work including predicting consequences and identifying improvements

Monitor work activities in terms of planned schedule

Modify activities depending on differing operational contingencies, risk situations and environments

Work systematically with required attention to detail without injury to self or others, or damage to goods or equipment

Use a range of information technology devices including computers, radio frequency devices, electronic data exchange systems, etc.

Maintain security and confidentiality of material

Identify, select and efficiently and effectively use equipment for the documentation of a records system

Operate and adapt to differences in equipment in accordance with standard operating procedures

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required knowledge and skills, the range statement and the assessment guidelines for this Training Package.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

The evidence required to demonstrate competency in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria of this unit and include demonstration of applying:

the underpinning knowledge and skills

relevant legislation and workplace procedures

other relevant aspects of the range statement

Context of and specific resources for assessment

Performance is demonstrated consistently over a period of time and in a suitable range of contexts

Resources for assessment include:

a range of relevant exercises, case studies and other simulated practical and knowledge assessment, and/or

access to an appropriate range of relevant operational situations in the workplace

In both real and simulated environments, access is required to:

relevant and appropriate materials and/or equipment, and/or

applicable documentation including workplace procedures, regulations, codes of practice and operation manuals

Method of assessment

Assessment of this unit must be undertaken by a registered training organisation

As a minimum, assessment of knowledge must be conducted through appropriate written/oral tests

Practical assessment must occur:

through appropriately simulated activities at

the registered training organisation, and/or
in an appropriate range of situations in the
workplace

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.

Work may be conducted:	in a range of work environments by day or night
Customers may be:	internal or external
Workplaces may comprise:	large, medium or small worksites
Workplace environment may include movement of:	equipment goods products materials vehicular traffic
Records may be:	paper- or electronically-based
Storage requirements may include records in various modes such as:	paper-based computer disks and reels CD-ROM microfiche film audio
Record system documentation may include but is not limited to:	the administrative and functional context over time the identity of the creators the links to other related series the record keeping system
Records may range from:	single series to multiple series in a system complexity of records creating context (multiple changes over time) complexity of system including anomalies and exception to system rules multiplicity of activities date-range and size of records series

	in various formats including paper, electronic storage media, structured; free text, graphic
Hazards in the work area may include exposure to:	height and reach implications of storage facilities dust and vapours stationary and moving equipment, parts and materials noise, light, energy sources electrical equipment humidity, air temperature, radiant heat debris on floor faulty racking poorly stacked records or boxes faulty equipment
Personal protective equipment may include:	gloves safety headwear and footwear safety glasses protective clothing high visibility clothing
OH&S requirements include:	manual handling protective clothing elimination/control of hazards machine isolation machine guarding
Communication in the work area may include:	phone fax email/internet barcode readers electronic data interchange (EDI) RF systems oral, aural or signed communications
Depending on the type of organisation concerned and the local terminology used,	company procedures enterprise procedures

workplace procedures may include:	organisational procedures established or standard procedures
Consultative processes may involve:	workplace personnel including supervisors and managers customers/clients suppliers and contractors union representatives industrial relations and OH&S specialists other professional or technical staff
Information/documents may include:	job specifications and workplace operating procedures relevant Australian or international standards pertaining to records management storage specifications and requirements manufacturers specifications for equipment/tools supplier and/or client instructions codes of practice including the National Standards for Manual Handling and the Industry Safety Code relevant regulations including the security and confidentiality requirements award, enterprise bargaining agreement, other industrial arrangements standards and certification requirements emergency procedures quality assurance standards for records management
Applicable regulations and legislation may include:	relevant codes and regulations pertaining to records management relevant Australian Standards relating to records management relevant state/territory OH&S legislation relevant state/territory environmental protection legislation privacy and confidentiality legislation and

regulations
freedom of information regulations
workplace relations regulations including
equal opportunity, equal employment
opportunity and affirmative action legislation
workers compensation regulations

Unit Sector(s)

Not applicable.

Competency Field

T - Records