



**Australian Government**

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

# **TLIT407C Maintain control of records**

**Release: 1**

## **TLIT407C Maintain control of records**

### **Modification History**

Not applicable.

### **Unit Descriptor**

This unit involves the skills and knowledge required to maintain control of records in accordance with workplace requirements including tracking records, conducting file audits, preparing reports from a records system, preparing staff lists, and implementing disaster recovery procedures.

### **Application of the Unit**

Work must be carried out in accordance with regulations and workplace requirements relevant to a record 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 maintain control of records as part of record management processes 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

<b>Element</b>	<b>Performance Criteria</b>
<b>1 Track record</b>	<p>1.1 Unique identifier of record to be located is determined from request or instructions</p> <p>1.2 Location of record is obtained from records system in accordance with records system rules and organisational procedures</p> <p>1.3 History of record location is obtained from records system in accordance with records system rules and organisational procedures</p> <p>1.4 Information about record is obtained from records system in accordance with records system rules and organisational procedures</p> <p>1.5 Information about the record is updated and amended in accordance with organisational procedures</p> <p>1.6 All transactions on the records system are completed within the designated timeframe</p>
<b>2 Conduct a file audit</b>	<p>2.1 Files are physically located with action officer and in storage areas in accordance with supervisor's instructions</p> <p>2.2 Discrepancies between nominal and actual record locations are identified</p> <p>2.3 Supervisor is clearly/specifically informed/notified of any discrepancies and/or issue</p> <p>2.4 Unacceptable record keeping practices are observed and noted during the audit activities in accordance with organisational procedures</p> <p>2.5 Information about any anomalous record is updated and amended in accordance with organisational procedures</p> <p>2.6 Reconciliation statement is prepared and forwarded to supervisor in accordance with organisational procedures and records system procedures</p>

- 3 **Prepare reports from records system**
  - 3.1 Reports are prepared from system in accordance with supervisor's instructions or requests
  - 3.2 Reports are prepared in accordance with workplace procedures and records system procedures
  - 3.3 All reports from the records system are prepared within the designated timeframe
- 4 **Prepare staff lists**
  - 4.1 Staff and user lists are checked and updated to accord with the current locations and designations of organisational staff members in accordance with supervisor's instructions
  - 4.2 Staff and user lists are duplicated and circulated to all those requiring copies in accordance with supervisor's instructions
- 5 **Implement disaster recovery procedures**
  - 5.1 Policies and procedures are identified for disaster recovery
  - 5.2 Recovery actions are undertaken in accordance with workplace procedures and scope of authority
  - 5.3 Appropriate personnel are informed of actions taken in accordance with workplace procedures

## **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 maintenance of control of records as part of a records management process

Relevant OH&S and environmental protection procedures and guidelines

Workplace procedures and policies for the maintenance of control of records including policies on confidentiality and security of information and records

Focus of operation of work systems, equipment, management and site operating systems for the maintenance of control of records as part of a records management process

Problems that may occur with the maintenance of control of records and appropriate action that can be taken to resolve the problems

Operational workflow within a records management system

Types of equipment used in the maintenance of control of records 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 maintaining control of records

Read and interpret instructions, procedures and information relevant to the maintenance of control of records

Interpret and follow operational instructions and prioritise work

Complete documentation related to the maintenance of control of records

Operate electronic communication equipment to required protocol

Work collaboratively with others when maintaining control of records

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 maintaining control of records in accordance with regulatory requirements and workplace procedures

Apply precautions and required action to minimise, control or eliminate hazards that may exist during work activities

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

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 maintenance of control of records

Adapt to differences in equipment in accordance with standard operating procedures

Select and use required personal protective equipment conforming to industry and OH&S standards

## 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
The record control process is:	conducted as part of records management activities with the operator using discretion and judgement within established procedures
Record information to be updated may come from:	supervisor user file transfer slips action officers results of file audit requests
Standard reports prepared from the record keeping system may include:	statistics resubmits for following day

	over due action reports
	daily correspondence
Those requiring copies of staff/user lists may include:	managers of record keeping areas those undertaking classification and capture
OH&S requirements include:	manual handling protective clothing elimination/control of hazards
Communication in the work area may include:	phone fax email/internet electronic data interchange (EDI) RF systems barcode readers oral, aural or signed communications
Depending on the type of organisation concerned and the local terminology used, workplace procedures may include:	company procedures enterprise procedures 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
Hazards in the work area may include:	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
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 privacy 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