



**Australian Government**

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

# **TLIP3016A Identify and classify records to be captured**

**Release: 1**

## **TLIP3016A Identify and classify records to be captured**

### **Modification History**

Not Applicable

### **Unit Descriptor**

#### **Unit Descriptor**

This unit involves the skills and knowledge required to identify and classify records to be captured in accordance with workplace requirements including identifying records to be captured, classifying records, and registering records. Licensing, legislative, regulatory or certification requirements are applicable to this unit.

### **Application of the Unit**

#### **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 identify and classify records to be captured as part of record management processes in the transport, warehousing, distribution and/or storage industries.

### **Licensing/Regulatory Information**

Refer to Unit Descriptor

### **Pre-Requisites**

Not Applicable

## **Employability Skills Information**

**Employability Skills**            This unit contains employability skills.

## **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

### ELEMENT

### PERFORMANCE CRITERIA

#### 1 Identify records to be captured

- 1.1 Incoming material is categorised in accordance with organisational procedures for records which are to be captured
- 1.2 Storage for records including specific environmental conditions and accessibility requirements are noted and actioned as required
- 1.3 Activity documented by the record is identified from the elements of the record in accordance with organisational procedures
- 1.4 Area or action officer to which the record needs to go is identified from elements of the record or its content and staff list, in accordance with organisational procedures
- 1.5 Incoming material is assessed against organisational checklist to identify what material needs to be captured
- 1.6 Material which does not need to be registered is dealt with in accordance with organisational procedures
- 1.7 Where required by organisational procedures, the format/media of the record is modified in accordance with organisational requirements and procedures

#### 2 Classify the record

- 2.1 The identified transaction/action/activity documented by the record is matched to the organisation's classification scheme
- 2.2 The full classification of the record is selected in accordance with the system rules and organisational procedures
- 2.3 The classified record is linked to other records in the system in accordance with the system rules and organisational procedures
- 2.4 Indexing points (cross-reference terms) are selected for the record in accordance with the system rules and organisational procedures

#### 3 Register the record

- 3.1 Unique identifier is selected for record in accordance with organisational procedures and record keeping system rules
- 3.2 Record is registered into record keeping system with title, description, details of record creator, immediate location and any other control information to fulfil the system requirements in accordance with organisational procedures
- 3.3 Access and security status are determined in accordance with organisational procedures and documented in accordance with record keeping system rules
- 3.4 Disposal status of the record is determined and recorded in accordance with the record keeping system rules and organisational procedures
- 3.5 Record is forwarded to its appropriate location, which is recorded in accordance with the system rules and organisational

<b>ELEMENT</b>	<b>PERFORMANCE CRITERIA</b>
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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 identification and classification of records to be captured as part of a records management process
- Relevant OH&S and environmental protection procedures and guidelines
- Workplace procedures and policies for the identification and classification of records to be captured including policies on privacy, confidentiality and security of information and records
- Focus of operation of work systems, equipment, management and site operating systems for the identification and classification of records to be captured as part of a records management process
- Problems that may occur with the identification and classification of records to be captured and appropriate action that can be taken to resolve the problems
- Operational workflow within a records management system
- Types of equipment used in the identification and classification of records to be captured 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 identifying and classifying records to be captured
- Read and interpret instructions, procedures and information relevant to the identification and classification of records to be captured
- Interpret and follow operational instructions and prioritise work
- Complete documentation related to the identification and classification of records to be captured
- Operate electronic communication equipment to required protocol
- Work collaboratively with others when identifying and classifying records to be captured
- 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 identifying and classifying records to be captured in accordance with regulatory requirements and workplace

**Required skills:**

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 and consumables for the identification and classification of records to be captured
- Adapt to differences in equipment in accordance with standard operating procedures
- Use required personal protective equipment conforming to industry and OH&S standards

**Evidence Guide****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/or other simulated practical and knowledge assessment, and/or
  - access to an appropriate range of relevant operational situations in the workplace

## EVIDENCE GUIDE

- In both real and simulated environments, access is required to:
    - relevant and appropriate materials and equipment, and
    - 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 activities in an appropriately simulated environment 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:
- electronic
  - paper-based
  - microform
  - graphic
  - mainframe or PC-based applications

## RANGE STATEMENT

- Storage requirements may include records in various modes such as:
- paper-based
  - computer disks and reels
  - CD-ROM
  - microfiche
  - film
  - audio
- The record identification and classification process is:
- conducted as part of records management activities with the operator using discretion and judgement within established procedures
- Access status of records may be:
- confidential
  - high security (restricted)
  - open
- Records may be registered (captured) into:
- current records systems
  - archival control systems
  - business systems
  - storage facilities systems
- Storage may be:
- centralised or decentralised
  - off-line or off-site
  - in-house or out-sourced
  - commercial storage service or government repository
  - CD storage
  - imaging systems
  - microform
  - audio-visual/multimedia formats with special storage requirements (temperature controlled, dust-free, strict air-conditioning specifications)
- 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
- OH&S requirements include:
- manual handling
  - protective clothing
  - elimination/control of hazards
  - machine isolation



## RANGE STATEMENT

- Communication in the work area may include:

  - machine guarding
  - 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
- 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

**RANGE STATEMENT**

- 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**

**Competency Field**

P - Administration and Finance