



Australian Government

Department of Education, Employment and Workplace Relations

TLIP2017A Maintain control of records

Release: 1

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Modification History

Not Applicable

Unit Descriptor

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. 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 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

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 Track record

- 1.1 Unique identifier of record to be located is determined from request or instructions
- 1.2 Location of record is obtained from records system in accordance with records system rules and organisational procedures
- 1.3 History of record location is obtained from records system in accordance with records system rules and organisational procedures
- 1.4 Information about record is obtained from records system in accordance with records system rules and organisational procedures
- 1.5 Information about the record is updated and amended in accordance with organisational procedures
- 1.6 All transactions on the records system are completed within the designated timeframe

2 Conduct a file audit

- 2.1 Files are physically located with action officer and in storage areas in accordance with supervisor's instructions
- 2.2 Discrepancies between nominal and actual record locations are identified
- 2.3 Supervisor is clearly/specifically informed/notified of any discrepancies and/or issue
- 2.4 Unacceptable record keeping practices are observed and noted during the audit activities in accordance with organisational procedures
- 2.5 Information about any anomalous record is updated and amended in accordance with organisational procedures
- 2.6 Reconciliation statement is prepared and forwarded to supervisor in accordance with organisational procedures and records system procedures

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

ELEMENT**PERFORMANCE CRITERIA****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

Required skills:

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**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,

EVIDENCE GUIDE

	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 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:	paper- or electronically-based
Storage requirements may include	paper-based

RANGE STATEMENT

- records in various modes such as:
- 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

RANGE STATEMENT

Hazards in the work area may include:

- other professional or technical staff
- 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
- 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

Applicable regulations and legislation may include:

RANGE STATEMENT

- affirmative action legislation
- workers compensation regulations

Unit Sector(s)

Not Applicable

Competency Field

Competency Field P - Administration and Finance