BUSINESS SERVICES

Mandatory Focus Area: Workplace information

Welcome. This module will assist you to review and revise the content of the **Mandatory focus area: Workplace information**. Each focus area prescribes the scope of learning for the HSC and is drawn from associated units of competency.

You will have studied one of these competencies, each of which address the scope of learning:

[BSBINM201 Process and maintain workplace information](https://training.gov.au/Training/Details/BSBINM201) **or**

[BSBINM301 Organise workplace information](https://training.gov.au/Training/Details/BSBINM301)

This module is broken up into:

* Important notes
* Key terms and concepts
* Activities
* Putting the theory into practice
* HSC Focus Areas

How to use the resource

Work through the notes and the suggested activities. Great revision techniques include working through how a problem is solved, explaining the concept, testing yourself and retrieving information from your memory. Spread your revision over a number of sessions rather than sitting at one subject for lengthy periods.

Discuss your responses with your teacher, fellow students or an interested family member.

All images, apart from those acknowledged, are Ó NSW Department of Education.

# Important notes

The HSC Content for this industry curriculum framework is organised into focus areas.

The unit [BSBINM201 Process and maintain workplace information](https://training.gov.au/Training/Details/BSBINM201) describes the skills and knowledge required to collect, process and store, and maintain workplace information and systems. It also includes the maintenance of filing and records systems.

[BSBINM301 Organise workplace information](https://training.gov.au/Training/Details/BSBINM301) describes the skills and knowledge required to gather, organise and apply workplace information in the context of an organisation’s work processes and knowledge management systems.

The outcomes of the mandatory focus area ‘Workplace information’ require that the student:

* understands the purpose and value of information and records management systems for a business services workplace
* explains methods and procedures for the systematics handling of workplace information
* considers legislative, regulatory and workplace requirements applying to organising and maintain workplace information.

You should use the information here as a prompt and guide when revising your study notes or text-book information or other resources provided by your teacher.

## Information

### What is information?

Each organisation must have access to information and data if it is to function efficiently. This information needs to be collected (or created), stored and cared for and be easily accessed or retrieved. Records, then, are sources of information (documents or other items) which the organisation wants or needs to retain. Collection of information needs to be timely and relevant to organisational needs

The overall objective of any records management system is to provide the right information, at the right time, to the right person(s) at an affordable cost. Information is stored so that specific information is available when it is needed and in such a way that security and confidentiality is maintained.

|  |  |
| --- | --- |
| Types of information | Examples |
| correspondence | faxes, letters, memos, email |
| computer databases | customer records, library catalogue |
| computer files | copies of letters, memos, other documents |
| sales records | monthly forecasts, targets achieved |
| forms | membership forms, insurance forms |
| invoices | accounts from suppliers; to debtors |
| personnel records | personal details, salary rates |
| minutes of meetings | staff meetings, board meetings |

### Requests for workplace information

Requests for information are made all the time in the workplace. It is important that the organisation can respond efficiently and effectively to these requests. Requests for information might come from people within the organisation and from people outside the organisation. Requests might arrive by telephone, letter, email or face-to-face communication. Staff need to be aware of issues surrounding:

* Receiving and recording requests for information
* Understanding the request for information
* Locating the required information
* Responding to the request

The organisation’s policy and procedures manual should outline the types of details that you should record when releasing information. As a general guide the following information is normally recorded:

* The name of the person making the request
* The name of the organisation making the request (if relevant)
* The contact details of the person making the request
* The date of the request
* The information requested
* The action taken.

### Collecting information

Workplace information needs to be held in a manner appropriate for the needs of the workplace. The information needs to be reliable, accurate and up-to-date.

In order that the customer (internal or external) receives the information that they require or request it is very important that their request is understood. A straightforward matter can usually be dealt with quickly and efficiently. Appropriate questions might be needed to clarify exactly what information is required. This will also ensure that the recipient only receives the information that is needed.

Some information may be easily found, however other requests may require some research or may need to be carried researched externally.

Locating information to respond to a request may involve one or more of the following:

* Locating the information from an internal source
	+ Filing systems
	+ Computer databases or spreadsheets
	+ Work colleagues
	+ Office library
* Locating the information from an external source
* Referring the request to an appropriate person or department; make sure you understand the process in place. When you refer a request to another party, keep a record of who the request was referred to and when. This will allow you to easily follow up on a request if necessary.

### Processing within timelines

In a business environment it is usual to have a specific amount of time in which to locate files or records, either for others in the organisation or in order to complete a task yourself. You need to be able to process information efficiently and effectively; having an understanding of the organisation’s policy and procedures, the filing systems, technology and equipment used will assist you in meeting these timeframes while maintaining security and confidentiality procedures.

## Workplace records

Workplace record-keeping systems need to consider the:

* nature of information to be stored and retrieved
* security and access of files and information (particularly computer records)
* validity and reliability of the information collected and the system on which it is recorded
* resources and training required
* length of time that the records should be kept (general legal requirement is seven years)

Business equipment/technology available in the work area is used to obtain information effectively. A variety of technology or business equipment can assist in the effective collection of information:

* photocopier
* computer
* printer
* binder
* filing systems – manual, computerised or electronic
* answering machine
* fax machine
* telephone

All staff should know how to use this technology and equipment. If in doubt staff should ask for training or help to become familiar with the manufacturer’s instructions.

Someone in the organisation should ensure that regular maintenance is carried out and that any faults or hazards are reported immediately; this will ensure the efficient collection of information continues.

|  |  |
| --- | --- |
| Forms of paper based storage | Examples |
| Filing cabinets | 3-drawer, 4-drawer, 2-drawer |
| Flat | flat box file, horizontal plan file |
| Lever arch | binder |
| Suspension folders | hanging files |
| Shelving | lateral cabinets, compactus |
| Other | trolley, rotary file, concertina file |

Modern-day businesses need secure, reliable and speedy access to their data, making their choice of electronic storage device an important one. There are a wide range of storage types available, each with its own advantages in terms of performance and accessibility.

|  |  |
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| Forms of electronic storage | Examples |
| Database | Microsoft Access, Microsoft Excel, IBM DB2, specific industry database software |
| Computer files | Microsoft Word, Excel files  |
| Email | google mail, Yahoo |
| Cloud storage | A model of computer data storage in which the digital data is stored on remote servers accessed from the internet, or "cloud." |
| Digitised files | Paper-based documents are scanned and converted to a digital format |

|  |  |
| --- | --- |
| Forms of image based storage | Definition |
| Micrographics | Micrographics involves filming documents to reduce their size and recording this information on microfilm or microfiche ‘pages’ allowing large quantities of records to be stored conveniently and with huge space reduction. |
| Image based backup | a backup process for a computer or that creates a copy of the operating system and all the data associated with it. The backup is saved as a single file that is called an image. |

### Records continuum

The records continuum is the whole extent of a record’s existence. It refers to a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping systems) through to the preservation and use of records as archives.

Source: Adapted from Bettington et al, eds. Keeping Archives. 3rd ed. Canberra: Australian Society of Archivists, 2008, p. 634. This work is licensed under a [Creative Commons Attribution 4.0 International Licence](http://creativecommons.org/licenses/by/4.0/).

Enterprise policy will specify how information is managed, throughout the life cycle of the information.

### Record keeping obligations

Laws that apply to the business will determine how long records need to be kept.
The following are examples of records which must be retained: best practice is to keep them for 5-7 years but this should be checked against State legislative requirements:

* a cash book or financial accounting program — records of cash receipts and payments, bank accounts, cheque books, deposit books, bank statements
* employment records — hours of work, overtime, remuneration or other benefits, leave, superannuation benefits, termination of employment, details of employment, personal details of workers and performance reviews
* training records — for both you and employees to comply with work, health and safety laws including evacuation and emergency training attendance, employee accreditation certificates and licences — copies of permits, registrations and licences employees need to do their jobs
* sales records — invoice books, receipt books, cash register tapes, credit card documentation, credit notes for goods returned and a record of goods used by the business owner personally, quotes given and won
* proof of purchases — cheque butts (larger purchases), petty cash system (smaller cash purchases), receipts, credit card statements, invoices, documents relating to purchases including copies of agreements or leases
* work, health and safety (WHS) records — workplace incidents, risk register and management plan, names of key WHS people, chemical storage records, first aid incident register, workplace assessments, Material Safety Data Sheets (MSDS).
* customer records — personal details, products purchased and product enquiries that are useful for finding new customers, customer complaints — details of complaints about products, service, staff or anything else, and steps taken to resolve them
* details of any disputes with other businesses — including how you went about resolving disputes

## Information systems

### Security and confidentiality

Offices generally store large amounts of information and a percentage of it will be confidential and should not be accessible by everyone. All classified or sensitive information should be stored in secure areas with access restricted to authorised staff.

All organisations will have policies and procedures designed to maintain security and confidentiality of information. Examples might include:

* transferring telephone calls to a private area so that confidential discussion cannot be overheard
* ensuring mail is not left unattended or open to general public view
* using passwords to restrict access to computer records; some staff have more access than others
* restricting access to organisational email
* storing specific hard-copy files in a lockable cupboard, filing cabinet or vault
* using encryption of computer files
* requiring a written request for release of files; the request might require signed authorisation from a supervisor

### Legislation and Codes of Practice

*Privacy Act 1988* (Australian Government) (as amended) regulates the way individuals’ personal information is handled. The Privacy Act gives an individual greater control over the way personal information is handled by both large and small organisations within Australia.

The Australian Privacy Principles (or APPs) are the basis of the privacy protection framework in the Privacy Act 1988 (Privacy Act). The APPs govern standards, rights and obligations around the collection and use of personal information, an organisation’s accountability and governance responsibilities, the integrity of personal information and the rights of individuals to access their personal information

### Record-keeping in accordance with workplace requirements

Business equipment/technology is used to process information in accordance with organisational requirements.

Organisations establish filing systems to accommodate the type of records they need to keep. A business might establish a centralised filing system (all the records are kept in the one place) or a non-centralised system (departments within organisations have control of their own records).

Staff need to know about the types of technology and equipment used in the organisation and how it is used to organise information. Most organisations will train staff in their own procedures for record keeping, filing systems and security procedures.

### Organisation of information

##### Electronic files

Electronic records include document files, databases, spreadsheets, electronic mail and internet documents. Electronic records need to be kept securely and at the same time, be easily accessible for retrieval.

Organisations also need to have appropriate processes in place to ensure that the electronic records are backed up and recoverable in the event of a computer or system failure. It is essential that all staff understand the electronic file management procedures of the organisation, such as how files are named and how folders (directories) are used.

If an electronic record keeping system is used it may be necessary to have the capacity to produce hard copy evidence for some agencies if requested.

##### Paper-based files

Most organisations have filing practices in place that allow the movement of paper-based files to be monitored at all times.

File Movement Register – a book, binder or electronic file, recording file name, number, date borrowed, borrower, date returned etc. Entering details into the register allows others to know the whereabouts of the file and saves valuable time in tracking the file.

File Movement Marker – an ‘outcard’ which is placed in the hard copy filing system where the file came from, or a note in an electronic system showing the borrower’s details and date borrowed.

Some organisations use a barcode borrowing system for paper-based files (similar to borrowing a library book) or ‘passing slips’ (similar to circulation slips or envelopes) recording the movement of files.

If a file could be located in more than one location it may be necessary to cross reference the file. A marker is inserted in the filing system in the alternate location, directing you to the actual location of the file.

Good filing practices include

* setting a regular time aside for filing
* removing paper clips or pins which might damage files
* mending any damage before filing
* attaching small documents to an A4 sheet before filing
* establishing new files rather than overfilling existing files
* avoiding the use of plastic covers
* returning files to the system as soon as possible
* paying attention to Work Health and Safety issues for example closing filing cabinet drawers when not in use; using a trolley when heavy or bulky items need to be moved; using a ladder when retrieving files from a high location; not storing files where they could overbalance or be tripped over

### Classifying files

The most common types of classification for records and information are alphabetic, numeric, alpha-numeric, geographic, subject, keyword and chronological.

**Alphabetical**

The most commonly used method of filing, the alphabetical system places files in alphabetical order according to the customer or business name eg the telephone book.

Note: computer filing systems will usually sort numbers before letters and would file 24-7 before the ‘A’ entries in a database listing

Filing rules can vary between organisations so staff should always check the procedures and rules at a workplace.

There are a number of rules to remember when using the alphabetic system.

* Disregard ‘joining’ words and titles such as “and”, “the”, “&”, “Mr”, “Sir”, “Dr”, “Miss” etc
* Hyphenated or compound names are treated as one word for example Jones-Smythe and van der Lynden are both indexed as one word
* Initials come before names (in filing ‘nothing comes before something’), for example B Thompson would be filed ahead of Brian Thompson
* Company names are treated in the order they are written, except if they contain a family name, for example both Grace Bros and Robert E Grace & Sons are filed under ‘Grace’, but Robert & Hickey would be filed under ‘Robert’
* Abbreviations are treated as if the word was written in full
* St is indexed as Saint, Ltd as Limited. This means that St and Saint entries are treated as if spelt the same way, and inter-sorted. Mac and Mc are also inter-sorted eg J McDonald would be filed ahead of John MacDonald
* Numbers which are part of a business or company name are regarded as though spelled for example 24-7 is indexed as twentyfour seven

**Numerical**

Each file or piece of information is filed in number order, from lowest to highest, according to

* the number on the document eg Tax Invoice number
* the customer number, account number or membership number
* another numbering system eg Dewy decimal system used in libraries

Numerical systems are usually an indirect method of filing and need to be cross-referenced to an alphabetical index eg an alphabetical list of customer names showing their account number.

**Alpha-numeric** systems combine both letters and numbers in a file reference number.

**Geographical**

Information is indexed alphabetically according to geographical location. Australian States and Territories are indexed first, followed by the city, town or suburb, then other appropriate information eg customer name.

**Subject**

Records are sorted according to the subject matter and filed alphabetically. This allows information on the one topic, or subject, to be easily located.

**Key word**

A particular word is used as the subject classification and specific descriptors are also allocated to further classify the information. Keyword systems are usually used in large organisations where the keywords are specifically designated.

**Chronological**

Chronological filing is used in conjunction with other filing methods and involves sorting records according to their date. In a client file for example, correspondence would be filed with most recent on top. Copies of Purchase Orders would be filed with the most recently sent order on top.

### Processing information

When a document is stamped or noted ‘file’ or ‘F’ or ‘released’, all appropriate action has been taken and it is ready to be filed. The person who has dealt with the document will often indicate where it is to be filed.

**Indexing**

is the process of deciding where the document is to be stored – the indexing unit may be the keyword, customer number, business name, individual’s surname, geographic location etc.

**Coding**

makes it clear where the document is to be stored – either by highlighting the keyword or the name under which it is to be filed or writing the file number or a subject or code on the document.

**Requests for information**

should be dealt with in accordance with the instructions received. Circulation of some materials may involve photocopying, collating (or bringing together) a variety of materials or pages of information, binding these pages together or inserting into a folder, marking the information as ‘confidential’ or ‘urgent’ and dispatching the information or records (eg internal mail, post, email) within a certain timeframe.

### Maintenance of information systems

Businesses rely on having accurate information available. Files, records and information are in daily use throughout the office.

New files are being created and old files removed from both the system and file index, and information is modified and updated within files.

The integrity or accuracy of information in the system must be maintained at all times. Records will need to be:

* **updated** for example adding a new customer to the database, changing the answering machine message over a holiday period, altering the prices on a price list
* **modified** for example changing a customer’s phone number on the database, using the newsletter template but changing the contents

These changes should be done in a timely manner and in accordance with organisational requirements – updating an address after the monthly statements are sent would be ineffective; regularly updating the message on the answering machine makes a positive impact on callers.

### Establishing new files

Steps in establishing a new file:

* Identify the need to create a new file
* Assign a file name or number
* Prepare a hanging file or folder for paper based files or a sub directory or folder on the computer for electronic files
* Enter the new file in the file register or database
* Enter the file into the file index if necessary
* Gather items into the filing system in correct order
* Store as appropriate

### Updating reference and index systems

In order to maintain the integrity of the system, any reference or file index will need to be updated regularly to show the current status of records on file. An out-of-date index system will cause confusion and waste valuable time.

* Name changes or changes in file numbers or codes should be regularly maintained and modified
* Dead files must be removed from the index
* A records disposal register may also be maintained showing which records have been removed from active storage, when and with whose authorisation.
* Computer systems should be regularly checked and purged of dead or inactive files.

### Records disposal

It is necessary to identify, record and store dead files or inactive files in order to make way for new files. Inactive or dead files are identified, removed and/or relocated in accordance with organisational requirements

Organisations have procedures for routinely checking for dead or inactive records and transferring them from the active filing system to secondary storage at regular intervals.

Once records have been identified as no longer active:

* some will be retained for a specific period of time eg financial records are retained for seven years as a legal requirement
* some records, usually of historic value, will be retained indefinitely as archive files
* some dead or inactive files can be immediately destroyed by shredding (if confidential) or recycling
* the file index will be updated to show current status of records on file, removing dead files from the index. A records disposal register may also be maintained showing when and which records have been removed from active storage.

Relocation of dead or inactive files may include

* periodically archiving or deleting files – relocating them to secondary storage elsewhere in the organisation or offsite
* electronic storage of files (diskette, tape, CD-ROM, Zip files)
* storing information, including printed and photographic materials, on microfilm or microfiche
* scanning information and storing electronically
* recycling or shredding

# Key terms and concepts

**You can use the following information to revise the key terms and concepts from this unit of competency**. Perhaps you could:

1. Copy the table into your own file, remove all the key terms, then fill in the blanks (without peeking at the original file) with your own answers.
2. Copy the table into your own file and remove the definitions. Write a definition in your own words – it doesn’t have to word perfect but should show you understand the concept.
3. You could add an example of this term or concept which is relevant to the Business environment. If the key term was ‘archive files’ your business example might be ‘a number of files pertaining to the establishment of the organisation have been archived’.

|  |  |
| --- | --- |
| Key term or concept | and Definition |
| Archive files | Records retained because of their research or historical value |
| Collate | To put together (a document) by sorting its pages into correct order |
| Computerised filing system | Storage of data using computers eg backup copies of correspondence, database files |
| Confidentiality | Maintaining privacy and/or security of information |
| Creditor | One to whom money is owed |
| Dead files | A closed file which must be kept for a specific period of time, usually as a legal requirement eg financial records |
| Debtor | One who owes money |
| Dispatch | To send off eg dispatching the mail |
| Electronic filing system | Electronic storage of data using computers or magnetic tape eg CD Rom or cloud storage |
| Filing system | A means of storing and providing easy access to business information |
| Forecasts | Predictions |
| Inactive files | Files that contain information that is no longer used but which might be used in the future |
| Modify Information | Make changes to, or alter, information eg update, reformat, add or delete information |
| Insurance | A safeguard against risk or harm |
| Invoice | An itemised bill or account |
| Manual filing system | A paper-based filing system containing for example letters, forms, contracts, journals |
| Meeting minutes | An official written record of what took place at a meeting |
| Personnel | Staff or employees |
| Reference and index systems | A means of locating files within the filing system eg a card index of file names, a database of file numbers, a paper index of keywords |
| Relocation (of files) | Moving files to another location usually to make the filing system more efficient |
| Sales records | Records of sales transactions eg sales reports, invoices, budgets and forecasts |
| Secondary storage | An alternate or backup location of a file |
| Security of information | Maintenance of strict confidentiality of information ensured by appropriate handling and storage of sensitive information |
| Supplier | Provider of goods or services |
| Targets | Goals to be reached |
| Time frame | A specified amount of time within which an action is to be completed |
| Update | To bring up to date |

# Activities

### Activity 1 Short answer questions

1. How can the following types of technology or business equipment assist in the effective collection of information?
	1. photocopier
	2. computerised filing systems
	3. answering machine
	4. fax machine
	5. cloud storage
2. You are concerned about confidentiality in your office. Write a memo to all staff advising two ways they can:
	1. ensure sensitive phone conversations are not overheard
	2. keep customer records secure and confidential
3. Recently there have been several accidents in your office. Two involved heavily filled filing cabinets and another was related to compactus storage. Make a list of WHS considerations for each of these types of filing system.
4. What is meant by keeping records ‘secure’ and ‘confidential’?
5. What precautions can be taken to maintain strict confidentiality in relation to sensitive records?
6. Arrange the following in correct file number order:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| 750923 | 785423 | 668239 | 237686 | 751923 |
|  |  |  |  |  |

1. How should you deal with inactive and dead files?
2. Explain ‘indexing’ and ‘coding’.
3. List some good filing practices.
4. What are the advantages of using a computer to store files?
5. Arrange the following in correct alphabetic order:

|  |  |
| --- | --- |
|  |  |
| T L Kidd |  |
| Kiddle Graphics |  |
| Kids Kommotion |  |
| H Kidby |  |
| The Kids Art Academy |  |

1. Arrange the following in correct chronological order:

|  |  |
| --- | --- |
|  |  |
| 18 September 2019 |  |
| 22 Oct 2018 |  |
| 12 February 2019 |  |
| 6 April 2018 |  |
| 10.8.19 |  |

1. Arrange the following in correct alphanumerical order:

|  |  |
| --- | --- |
|  |  |
| AN7542 |  |
| AU6450 |  |
| US2234 |  |
| NZ4523 |  |
| AN6598 |  |
| AK3422 |  |
| NZ5423 |  |

1. Arrange the following in correct alphabetical order:

|  |  |
| --- | --- |
|  |  |
| St George Cabs |  |
| St George Training and Development |  |
| Saint George Brake Service |  |
| Nicholas St George |  |
| St George Interior Designs |  |
| Saint George Locksmiths |  |
| St George Private Hospital |  |
| St George Hospital |  |

1. These files are to be placed in geographical order. What rules would you apply? Create a list below.

|  |  |
| --- | --- |
|  |  |
| Oatley NSW | Kew VIC |
| Malvern VIC | Winton QLD |
| Stirling SA | Gerringong NSW |
| Katherine NT | Adelaide SA |
| Perth WA | Winton NSW |
| Geraldton VIC | Adelong NSW |
| St Marys NSW | Darwin NT |
| St Leonards NSW | Broome WA |

1. Use the following list of terms to fill in the passage below.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Use these words |  |  |  |  |
| confidential | security | unattended | password | view |
| locked | sensitive | unauthorised | trained | concern |

The safety an ( ) of ( ) information is of great ( ) to businesses today. Staff need to be ( ) in the importance of maintaining strict confidence in relation to ( ) information and should not discuss restricted matters with ( ) persons. Records should not be left ( ) or in full ( ) and should be ( ) away when not in use. Computerised filing systems should be protected with ( ) and log-in access.

1. Arrange these files according to subject.

|  |  |
| --- | --- |
|  |  |
| Miscellaneous |  |
| Training & Development: Seminars |  |
| OH&S: Workplace Committee |  |
| Finance: Audit |  |
| Training & Development: Speakers 2019 |  |
| Finance: Sales Forecasts 2019 |  |
| Finance: Sales Forecasts 2020 |  |
| OH&S: Accidents 2019 |  |
| Finance: Audit |  |
| Finance: Sales Forecasts 2019 |  |
| Finance: Sales Forecasts 2020 |  |
| Miscellaneous |  |
| OH&S: Accidents 2019 |  |
| OH&S: Workplace Committee |  |
| Training & Development: Seminars |  |
| Training & Development: Speakers 2020 |  |

### Activity 2 Select the correct record type

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Record | Active | Dead | Archival | For Disposal |
| BAS Statement for last three months |  |  |  |  |
| Photographs of the premises taken in 1945 |  |  |  |  |
| A client file – the client has notified us they are closing down their business |  |  |  |  |
| Hard copies of staff newsletters for the last three years – electronic copies have been retained |  |  |  |  |
| Applications for a position vacant |  |  |  |  |
| Leave forms for an employee who left the company ten years ago |  |  |  |  |
| Invoices issued for the current month |  |  |  |  |

### Activity 3 Research

The following diagram is from the Australian Government Office of the Australian Information Commissioner [‘Privacy management framework; enabling compliance and encouraging good practice’](https://www.oaic.gov.au/privacy/guidance-and-advice/privacy-management-framework-enabling-compliance-and-encouraging-good-practice/). Explain the purpose of good privacy governance within an organisation and provide examples of each step in the process illustrated.



Graphic from *Office of the Australian Information Commissioner website* — [www.oaic.gov.au](http://www.oaic.gov.au/) is provided under  [Creative Commons Attribution 3.0 Australia](http://creativecommons.org/licenses/by/3.0/au/deed.en) .

### Activity 4 Multiple choice

1. What does it mean when an administrative assistant has indexed/coded a document?
	1. They have stored the document on the back-up disks
	2. They have placed an out folder from where the document was taken.
	3. They have used a password to stop access to confidential information.
	4. They have underlined or highlighted the name, number or subject of the document under which it will be filed.
2. Which of the following tasks should be a daily priority in the office environment?
	1. Filing the invoices and correspondence
	2. Picking up and opening the incoming mail
	3. Ordering the stationery required for the following week’s special advertising campaign
	4. Typing and distributing a memo to staff regarding a meeting that is to be held in two weeks’ time
3. The integrity of a filing system is maintained by
	1. removing active files.
	2. defragging the computer.
	3. servicing equipment regularly.
	4. updating confidentiality procedures.
4. Mr Craig David Bloom’s file needs to be indexed. What is the first indexing unit?
	1. Bloom
	2. Craig
	3. David
	4. Mr
5. What is ONE purpose of secondary storage of electronic data?
	1. To comply with copyright laws
	2. To separate active and inactive files
	3. To create more physical office space
	4. To allow the use of a paper-based filing system

### Activity 5 Role play

You have been appointed as the administrative manager of a small office. In the first two weeks of your new job you notice that people working in the office take files from the filing cabinet whenever they want without any system of documenting the file movement.

Some take out the entire suspension file, others remove single pages from the file. You have noticed that files appear to remain on desks for extended periods and that many files are incorrectly placed in the filing drawers.

You decide you need to institute procedures for the handling of files and conduct a staff training session to introduce these procedures to all staff.

* 1. Write out a simple set of procedures which could be introduced
	2. Write out an introduction to the training session which would explain the need for the new practices
	3. Conduct the training session - you could involve other people in your class, a teacher or a family member or use a large mirror!

### Activity 6 Mix ‘n match

Match the word with the correct definition

|  |  |  |
| --- | --- | --- |
| Use these words |  |  |
| cost | effectiveness | accessibility |
| compactness | ease of use | flexibility |

An efficient records management system will be characterised by:

|  |  |
| --- | --- |
| Term | Definition |
|  | The system needs to be easy to understand and to operate |
|  | The system needs to make best use of equipment and staff time |
|  | The equipment/technology needs to be able to store the greatest number of records in a small amount of space |
|  | Information must be easily available to everyone who uses the system |
|  | The system must be able to expand and adjust as the business requirements change |

# Putting the theory into practice

The following questions are [**from past years’ NSW HSC examination papers for this subject.**](https://educationstandards.nsw.edu.au/wps/portal/nesa/11-12/resources/hsc-exam-papers) HSC exams are intended to be rigorous and to challenge students of all abilities. To better understand a question, you should look for key words and identify the aspect of the course to which these relate. You are then in a position to formulate your answer from relevant knowledge, understanding and skills.

Questions in ‘Putting the theory into practice’ are acknowledged as © [2019 NSW Education Standards Authority (NESA) for and on behalf of the Crown in right of the State of New South Wales.](https://educationstandards.nsw.edu.au/wps/portal/nesa/mini-footer/copyright)

### Multiple Choice

1. What type of document are the minutes of a meeting?

	1. A strategic plan
	2. A business record
	3. A policy document
	4. A procedures manual
2. At the bottom of a document is the following notation:

**Records management policy\_Draft\_V0.2**

What is this an example of?

* 1. Header
	2. Version control
	3. Level of authority
	4. Classification system
1. Which piece of equipment is most commonly used by a receptionist when collecting information about clients?

	1. Keyboard
	2. Laminator
	3. Monitor
	4. Printer
2. A business wants to improve the operational efficiency of its record-keeping practices. Which of these strategies is likely to be the most effective?

	1. Rotating staff on a regular basis
	2. Providing team-building programs
	3. Increasing the level of record security
	4. Implementing regular maintenance of records
3. Which of the following is the most effective software to collect, process and store customer details?

	1. Notepad
	2. Database
	3. Spreadsheet
	4. Word processor
4. A business emails a customer to update his details. The customer replies that he is no longer using the business. Which stages of the records continuum does this reflect?

	1. Creation ⇒ Disposal
	2. Creation ⇒ Maintenance
	3. Maintenance ⇒ Disposal
	4. Disposal ⇒ Maintenance
5. A business uses an alphanumerical filing system. Which row in the table shows the files in the correct order?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | AS-0012 | AS-0013 | AH-0011 | AH-0012 |
|  | AH-0011 | AS-0012 | AH-0012 | AS-0013 |
|  | AH-0011 | AH-0012 | AS-0012 | AS-0013 |
|  | AS-0012 | AH-0012 | AH-0011 | AS-0013 |

1. Workplace policies are often reviewed.

Which of the following is a method of version control for a workplace policy document?

* 1. Cross-referencing the document
	2. Placing a file name into the header
	3. Inserting the current date in a footer
	4. Sorting documents into alphabetical order
1. A group of business people attend a conference. Their personal records have been stored in a specific way for the conference organiser to retrieve them. The table shows the organisation of the personal records.



Which method of classification has been used?

* 1. Alphabetical
	2. Chronological
	3. Geographical
	4. Numerical
1. In which of the following are all the items forms of paper­based storage?

	1. Shelving, email, rotary storage
	2. Lever arch files, shelving, email
	3. Shelving, rotary storage, lever arch files
	4. Hard drive, rotary storage, lever arch files

# Questions from Section II

These questions should be answered in the suggested number of lines (handwritten) as it gives a guide to the length of your response.

Plan out your answer and key points before you commence writing.

You may need to bring together knowledge from several areas of study/competencies to do justice to the answer.

Question 1

* 1. Provide TWO disadvantages of a decentralised filing system. (2 marks)

* 1. Using an example, show how a business record goes through the stages of the records continuum. (4 marks)

Question 2

* 1. Identify ONE factor affecting a business’s choice of information storage. (1 mark)

* 1. Why is version control important when maintaining electronic files? (3 marks)

* 1. Explain the importance of implementing security protocols for providing access to electronic files. (4 marks)

Question 3

* 1. Identify a classification system for organising personnel records in a business and justify your choice. (2 marks)

* 1. What are the risks of storing personnel records in an electronic format? (3 marks)

* 1. Outline procedures that a business could use to create, maintain and discard personnel records. (4 marks)

### Questions from Section III

You will note that questions often require you to bring together knowledge from several areas of study/competencies to do justice to the answer. You should allow about 25 minutes for the question in Section III. Map out your answer before you start.

### Questions from Section IV

In the Business Services HSC exam –

* there will be one structured extended response question in Section IV worth 15 marks.
* the question will have an expected length of response of around four pages of an examination writing booklet (approximately 600 words) in total.

This will provide you with the opportunity to:

* demonstrate knowledge and understanding relevant to the question
* communicate ideas and information using relevant workplace examples and industry terminology
* present a logical and cohesive response

You should allow about 25-30 minutes for a question in Section III and the same for Section IV of the exam.

Pay particular attention to incorporating a variety of aspects of your Business Services curriculum into your responses. Consider how you might incorporate aspects of ‘workplace information’ into an answer.

# HSC Focus Areas

The HSC Content for this industry curriculum framework is organised into focus areas. Each focus area prescribes the scope of learning for the HSC and is drawn from the associated units of competency.

Students undertaking the 240 indicative hour course from the Business Services Curriculum Framework must address **all of the mandatory focus areas**:

* Customer service
* Financial records
* Innovation
* Safety
* Sustainability
* Working in the business services industry and workplace
* **Workplace information**

How to use the scope of learning for ‘Workplace information’ (which follows over).

* draw up your own mind map showing the connection between the various concepts listed; examples appear on the last page of this module
* use the key terms and concepts to add to your mind map
* add examples or case study prompts to show how the concept is applied in the information technology working environment

The following information is taken directly from page 56 ff of [Business Services
Curriculum Framework Stage 6 Syllabus based on the BSB Business Services Training Package (version 5) for implementation from 2020.](https://educationstandards.nsw.edu.au/wps/wcm/connect/e5ea12b9-2d53-415c-bdc4-4b0da5ee6a7c/vet-business-services-11-12-syllabus-based-on-BSBv5.pdf?MOD=AJPERES&CVID=)

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|  |
| --- |
| information |
| * types of information typical to a business services workplace
 |
| * business equipment and technology commonly used in the business services industry to collect, process, store and maintain workplace information
 |
| * use/operation of a range of business equipment and technology and appropriate selection for tasks/job
 |
| * requests for workplace information:
	+ internal and external sources
	+ points to consider when responding to requests:
* level of authority/scope of responsibility
* reason(s) for request
* confidentiality, privacy and/or security issues
* expected timeframes
	+ workplace procedures for responding to information requests
 |
| * collecting workplace information:
	+ importance of ensuring that collected information is:
* appropriate to workplace needs
* from reliable sources
* accurate
	+ methods for checking the validity of information and its source(s)
	+ collection methods
	+ in a timely and resource-efficient manner
	+ workplace practices to maintain the security and confidentiality of information
 |
| * processing workplace information in accordance with designated timeframes and workplace guidelines:
	+ collating, recording and documenting information
	+ formats for organising information
	+ distributing information to designated personnel
 |
| workplace records |
| * understanding of what is, and what is not, a record
 |
| * a range of records typical to a business services workplace:
	+ types
	+ characteristics
	+ purposes and uses
 |
| * records management:
	+ importance of records management for a business services workplace
	+ understanding when a record should be made
 |

|  |
| --- |
| workplace records cont/d |
| * + records continuum:
* creation of records
* maintenance of records
* disposal of records
 |
| * workplace record-keeping obligations
 |
| information systems |
| * importance of confidentiality and security in relation to information management
 |
| * key provisions of legislation, codes of practice and standards that affect information management including:
	+ *Privacy Act 1988* (Australian Government) (as amended)
	+ Australian Privacy Principles (APPs)
 |
| * record-keeping in accordance with workplace requirements:
	+ establishing and assembling new files
	+ dealing with inactive and/or dead files:
* identification
* removal
* relocation and/or archive
* disposal
 |
| * storing workplace information and records:
	+ factors affecting choice of storage
	+ forms of storage:
* fixed
* portable
* on-site and/or off-site
	+ filing:
* types of filing systems and their advantages and disadvantages:
* centralised
* decentralised
* combination
* paper-based and electronic files and folders
* methods for classifying files:
* alphabetical
* alpha-numerical
* chronological
* geographical
* numerical
* by subject
* security protocols for providing access to files and releasing files
* workplace policy for good filing practices
 |
| information systems cont/d |
| * + referencing and indexing stored information and records:
* keeping referencing and indexing up to date
* in accordance with workplace requirements
 |
| * maintaining workplace information and records:
	+ understand the need for correct maintenance of workplace information and records
	+ workplace procedures for updating and modifying workplace information and records
	+ importance of version control when maintaining files and records
	+ processes for tracking the location and/or movement of files and records
 |

Example of mind map being constructed

