

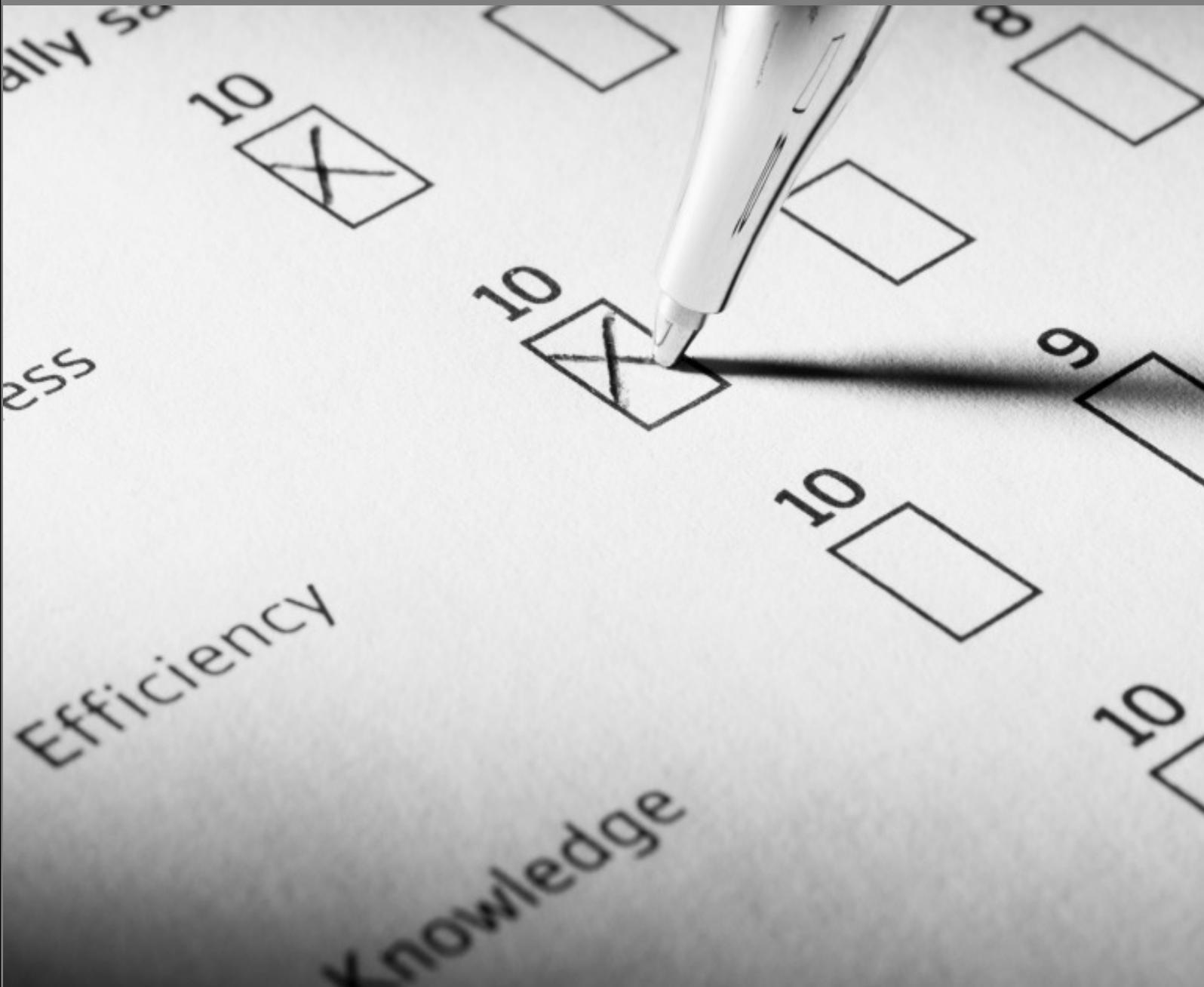


# Maintain a paper-based filing and retrieval system

D1.HGE.CL7.03

D1.HGA.CL6.03

Assessor Manual





# **Maintain a paper-based filing and retrieval system**

**D1.HGE.CL7.03**

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**Assessor Manual**



**William Angliss**  
Institute

Specialist centre  
for foods, tourism  
& hospitality

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# Competency Based Assessment (CBA) – An Introduction for Assessors

Assessment is the process of identifying a participant's current knowledge, skills and attitudes sets against all elements of competency within a unit of competency.

## Suggested Assessment Methods

For each unit of competency a number of assessment tools have been identified including:

- Work Projects
- Oral Questions
- Written Questions
- Third Party Statements
- Observation Checklists.

Instructions and Evidence Recording Sheets have been identified in this Assessment Manual for use by Assessors.

## Alternative Assessment Methods

Whilst the above mentioned assessment methods are suggested assessment methods, the assessor may use an alternate method of assessment taking into account:

- a) The nature of the unit
- b) The strengths of participants
- c) The number of participants in the class
- d) Time required to complete assessments
- e) Time dedicated to assessment
- f) Equipment and resources required.

Alternate assessment methods include:

- Practical demonstrations
- Practical demonstrations in simulated work conditions
- Problem solving
- Portfolios of evidence
- Critical incident reports
- Journals
- Oral presentations
- Interviews
- Videos
- Visuals/slides/audio tapes
- Case studies

- Log books
- Projects and Role plays
- Group projects
- Recognition of Prior Learning.

Whilst there is no specific instruction or evidence collection documents for all the alternative assessment methods, assessors can record competency in the 'Other' section within the 'Competency Recording Sheet'.

## **Selection of Assessment Methods**

Each assessor will determine the combination of Assessment Methods to be used to determine Competency for each Competency Unit on a student by student basis.

'Sufficient' evidence to support the 'Pass Competent'/'Not Yet Competent' decision must be captured.

In practice this means a minimum of 2 - 3 Assessment Methods for each candidate for each Competency Element is suggested.

At least one method should provide evidence of practical demonstration of competence.

The following assessment methods deemed to provide evidence of practical demonstration of competence include:

- Practical Work Projects
- Third Party Statement
- Observation Checklist.

## **Assessing Competency**

Competency based assessment does not award grades, but simply identifies if the participant has the knowledge, skills and attitudes to undertake the required task to the specified standard.

Therefore, when assessing competency, an assessor has two possible results that can be awarded:

- 'Pass Competent' (PC)
- 'Not Yet Competent' (NYC).

### ***Pass Competent (PC)***

If the participant is able to successfully answer or demonstrate what is required, to the expected standards of the performance criteria, they will be deemed as 'Pass Competent' (PC).

The assessor will award a 'Pass Competent' (PC) if they feel the participant has the necessary knowledge, skills and attitudes in all assessment tasks for a unit.

### ***Not Yet Competent' (NYC)***

If the participant is unable to answer or demonstrate competency to the desired standard, they will be deemed to be 'Not Yet Competent' (NYC).

This does not mean the participant will need to complete all the assessment tasks again. The focus will be on the specific assessment tasks that were not performed to the expected standards.

The participant may be required to:

- a) Undertake further training or instruction
- b) Undertake the assessment task again until they are deemed to be 'Pass Competent'.

## Regional Qualifications Framework and Skills Recognition System

The 'Regional Qualifications Framework and Skills Recognition System', also known as the 'RQFSRS' is the overriding educational framework for the ASEAN region.

The purpose of this framework is to provide:

- A standardised teaching and assessment framework
- Mutual recognition of participant achievement across the ASEAN region. This includes achievement in individual Units of Competency or qualifications as a whole.

The role of the 'RQFSRS' is to provide, ensure and maintain 'quality assurance' across all countries and educational providers across the ASEAN region.

## Recognition of Prior Learning (RPL)

Recognition of Prior Learning is the process that gives current industry professionals who do not have a formal qualification, the opportunity to benchmark their extensive skills and experience against the standards set out in each unit of competency/subject.

This process is a learning and assessment pathway which encompasses:

- Recognition of Current Competencies (RCC)
- Skills auditing
- Gap analysis and training
- Credit transfer.

## Code of Practice for Assessors

This Code of Practice provides:

- Assessors with direction on the standard of practice expected of them
- Candidates with assurance of the standards of practice expected of assessors
- Employers with assurance of the standards maintained in the conduct of assessment.

The Code detailed below is based on the International Code of Ethics and Practice (The National Council for Measurement in Education [NCME]):

- The differing needs and requirements of the person being assessed, the local enterprise and/or industry are identified and handled with sensitivity
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary
- All forms of harassment are avoided throughout the planning, conducting, reviewing and reporting of the assessment outcomes
- The rights of the candidate are protected during and after the assessment
- Personal and interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes
- The candidate is made aware of rights and process of appeal

- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- Assessment decisions are based on available evidence that can be produced and verified by another assessor
- Assessments are conducted within the boundaries of the assessment system policies and procedures
- Formal agreement is obtained from both the candidate and the assessor that the assessment was carried out in accordance with agreed procedures
- The candidate is informed of all assessment reporting processes prior to the assessment
- The candidate is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment
- Confidentiality is maintained regarding assessment results
- The assessment results are used consistently with the purposes explained to the candidate
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

## **Instructions and Checklist for Assessors**

### ***Instructions***

General instructions for the assessment:

- Assessment should be conducted at a scheduled time that has been notified to the candidate
- Facilitators must ensure participants are made aware of the need to complete assessments and attend assessment sessions
- If a participant is unable to attend a scheduled session, they must make arrangements with the Assessor to undertake the assessment at an alternative time
- At the end of the assessment the Assessor must give feedback and advise the participant on their PC/NYC status
- Complete the relevant documentation and submit to the appropriate department.

### ***Preparation***

- Gain familiarity with the Unit of Competency, Elements of Competency and the Performance Criteria expected
- Study details assessment documentation and requirements
- Brief candidate regarding all assessment criteria and requirements.

### ***Briefing Checklist***

- Begin the assessment by implementing the following checklist and then invite the candidate to proceed with assessment.

## Checklist for Assessors

	Tick (✓)	Remarks
<b>Prior to the assessment I have:</b>		
Ensured the candidate is informed about the venue and schedule of assessment.		
Received current copies of the performance criteria to be assessed, assessment plan, evidence gathering plan, assessment checklist, appeal form and the company's standard operating procedures (SOP).		
Reviewed the performance criteria and evidence plan to ensure I clearly understood the instructions and the requirements of the assessment process.		
Identified and accommodated any special needs of the candidate.		
Checked the set-up and resources for the assessment.		
<b>During the assessment I have:</b>		
Introduced myself and confirmed identities of candidates.		
Put candidates at ease by being friendly and helpful.		
Explained to candidates the purpose, context and benefits of the assessment.		
Ensured candidates understood the assessment process and all attendant procedures.		
Provided candidates with an overview of performance criteria to be assessed.		
Explained the results reporting procedure.		
Encouraged candidates to seek clarifications if in doubt.		
Asked candidates for feedback on the assessment.		
Explained legal, safety and ethical issues, if applicable.		
<b>After the assessment I have:</b>		
Ensured candidate is given constructive feedback.		
Completed and signed the assessment record.		
Thanked candidate for participating in the assessment.		

## Instructions for Recording Competency

### *Specifications for Recording Competency*

The following specifications apply to the preparation of Evidence Gathering Plans:

- A Competency Recording Sheet must be prepared for each candidate to ensure and demonstrate all Performance Criteria and Competency Elements are appropriately assessed. This Sheet indicates how the Assessor will gather evidence during their assessment of each candidate
- This Competency Recording Sheet is located at the end of the Assessment Plan
- It is the overriding document to record competency
- The Assessor may vary the Competency Recording Sheet to accommodate practical and individual candidate and/or workplace needs
- Assessor must place a tick (✓) in the 'Assessment Method' columns to identify the methods of assessment to be used for each candidate
- Multiple Competency Elements/Performance Criteria may be assessed at the one time, where appropriate
- The assessor and participant should sign and date the Competency Recording Sheet, when all forms of evidence and assessment have been completed
- The assessor may provide and feedback or clarify questions which the participant may have in regards to the assessment grade or findings
- All documents used to capture evidence must be retained, and attached to the Competency Recording Sheet for each candidate for each Competency Unit.

## Instructions for Different Assessment Methods

### *Specifications for Work Project Assessment*

These guidelines concern the use of work projects.

The work projects identified in the Training Manuals involve a range of tasks, to be performed at the discretion of the Assessor.

Work project tasks can be completed through any form of assessment as identified in the Trainer and Trainee Manuals and stated at the start of this section.

Assessors should follow these guidelines:

- Review the Work Projects at the end of each 'Element of Competency' in the Trainee Manual to ensure you understand the content and what is expected
- Prepare sufficient resources for the completion of work activities including:
  - Time – whether in scheduled delivery hours or suggested time participants to spend outside of class hours
  - Resources – this may involve technical equipment, computer, internet access, stationery and other supplementary materials and documents
- Prepare assessment location (if done in class) making it conducive to assessment
- Explain Work Projects assessment to candidate, at the start of each Element of Competency. This ensures that participants are aware of what is expected and can collate information as delivery takes place

- Assessors can use the following phrase as a guide (where an 'X' is identified, please input appropriate information):
 

“At the end of each Element of Competency there are Work Projects which must be completed. These projects require different tasks that must be completed.

These work projects are part of the formal assessment for the unit of competency titled X:

  - You are required to complete these activities:
    - a) *Using the 'X' method of assessment*
    - b) *At 'X' location*
    - c) *You will have 'X time period' for this assessment*
  - You are required to compile information in a format that you feel is appropriate to the assessment
  - Do you have any questions about this assessment?”
- Commence Work Project assessment:
  - The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
  - Participants complete work projects in the most appropriate format
  - Participants must submit Work Project evidence to the assessor before the scheduled due date
- Assessor must assess the participant's evidence against the competency standards specified in each Element of Competency and their own understanding. The assessor can determine if the participant has provided evidence to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

### ***Specifications for Oral Question Assessment***

These guidelines concern the use of oral questioning.

Assessors should follow these guidelines.

- Prepare Assessment Record for Oral Questioning. One record for each candidate:
  - Enter Student name
  - Enter Assessor name
  - Enter Location
- Familiarise self with Questions to be asked
- Prepare assessment location (table and chairs) making it conducive to assessment

- Explain Oral Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):  
*“These oral questions are part of the formal assessment for the unit of competency titled X.*  
*There are X questions and you are required to answer all of them to the best of your ability and I will record whether or not you have answered correctly.*  
*We have 60 minutes for this assessment.*
  - I will give you feedback at the end of the assessment.
  - Do you have any questions about this assessment?”
- Commence Oral Questioning assessment:
  - Complete Assessment Record for the Oral Questioning by:
    - a) Ticking PC or NYC, as appropriate
    - b) Entering 'Remarks' as required
    - c) Completing Oral Questioning within 60 minutes
- Complete Oral Questioning and provide feedback to candidate
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

### **Specifications for Written Question Assessment**

These guidelines concern the use of written questioning.

Assessors should follow these guidelines:

- Familiarise self with Questions and Answers provided
- Print and distribute copies of 'Written Questions' for participants. Ideally this should take place with adequate time for participants to answer all questions before the expected due date
- Explain Written Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):  
*“These written questions are part of the formal assessment for the unit of competency titled X.*  
*There are X questions and you are required to answer all of them to the best of your ability.*  
*You may refer to your subject materials, however where possible try to utilise your existing knowledge when answering questions.*  
*Where you are unsure of questions, please ask the Assessor for further instruction. This may be answering the question orally or asking the assessor to redefine the question.*  
*We have X time for this assessment:*
  - The due date for completion of this assessment is X
  - On this date you must forward the completed questions to the assessor by X time on the date of X
  - Do you have any questions about this assessment?”

- The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
- Participants may record written answers (where possible)
- Participants must submit the written answers to the assessor before the scheduled due date
- Assessor must assess the participant's written answers against the model answers provided as a guide, or their own understanding. The assessor can determine if the participant has answered the questions to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

### ***Specifications for Observation Checklist***

These specifications apply to the use of the Observation Checklist in determining competency for candidates.

Only an approved assessor is authorised to complete the Observation Checklist.

The assessor is required to observe the participant, ideally in a simulated environment or their practical workplace setting and record their performance (or otherwise) of the competencies listed on the Observation Checklist for the Competency Unit.

To complete the Observation Checklist the Assessor must:

- Insert name of candidate
- Insert assessor name
- Insert identify of location where observations are being undertaken
- Insert date/s of observations – may be single date or multiple dates
- Place a tick in either the 'Yes' or 'No' box for each listed Performance Criteria to indicate the candidate has demonstrated/not demonstrated that skill
- Provide written (and verbal) feedback to candidate – as/if appropriate
- Sign and date the form
- Present form to candidate for them to sign and date
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Observation Checklist.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the participant.

### ***Specifications for Third Party Statement***

These specifications relate to the use of a relevant workplace person to assist in determining competency for candidates.

The Third Party Statement is to be supplied by the assessor to a person in the workplace who supervises and/or works closely with the participant.

This may be their Supervisor, the venue manager, the Department Manager or similar.

The Third Party Statement asks the Supervisor to record what they believe to be the competencies of the participant based on their workplace experience of the participant. This experience may be gained through observation of their workplace performance, feedback from others, inspection of candidate's work etc.

A meeting must take place between the Assessor and the Third Party to explain and demonstrate the use of the Third Party Statement.

To complete the Third Party Verification Statement the Assessor must:

- Insert candidate name
- Insert name and contact details of the Third Party
- Tick the box to indicate the relationship of the Third Party to the candidate
- Present the partially completed form to the Third Party for them to finalise
- Collect the completed form from the Third Party
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Third Party Statement.

The Third Party must:

- Record their belief regarding candidate ability/competency as either:
  - Pass Competent = Yes
  - Not Yet Competent = No
  - Unsure about whether candidate is competent or not = Not Sure
- Meet briefly with the assessor to discuss and/or clarify the form.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the candidate.

A separate Third Party Statement is required for each Competency Unit undertaken by the candidate.

## Competency Standard

<b>UNIT TITLE:</b> MAINTAIN A PAPER-BASED FILING AND RETRIEVAL SYSTEM		<b>NOMINAL HOURS:</b> 20
<b>UNIT NUMBER:</b> D1.HGE.CL7.03    D1.HGA.CL6.03		
<b>UNIT DESCRIPTOR:</b> This unit deals with the skills and knowledge required maintain a paper-based filing and retrieval system in a range of settings within the hotel industries.		
<b>ELEMENTS AND PERFORMANCE CRITERIA</b>		<b>UNIT VARIABLE AND ASSESSMENT GUIDE</b>
<p><b>Element 1: Maintain information systems</b></p> <p><b>1.1</b> Maintain information and filing systems in accordance with organisational requirements</p> <p><b>1.2</b> Identify, remove and/or relocate inactive or dead files in accordance with organisational requirements</p> <p><b>1.3</b> Establish and assemble new files in accordance with organisational requirements</p> <p><b>1.4</b> Update reference and index systems in accordance with organisational requirements</p> <p><b>Element 2: Retrieve files in response to information requests</b></p> <p><b>2.1</b> Locate specified files/records within designated timelines</p> <p><b>2.2</b> Retrieve relevant file</p> <p><b>2.3</b> Record movements of documentation according to enterprise policies and procedures</p> <p><b>2.4</b> Follow security and confidentiality procedures</p>		<p><b>Unit Variables</b></p> <p>The Unit Variables provide advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment.</p> <p>This unit applies to maintain a paper based filing and retrieval system within the labour divisions of the hotel and travel industries and may include:</p> <ol style="list-style-type: none"> <li>1. Food and Beverage Service</li> <li>2. Food Production</li> <li>3. Front Office</li> <li>4. Housekeeping</li> </ol> <p><i>Information may include:</i></p> <ul style="list-style-type: none"> <li>• Correspondence, such as faxes, memos, letters, email and other documents</li> <li>• Computer databases, such as library catalogue, customer records</li> <li>• Sales records, including monthly forecasts, targets achieved</li> </ul>

<p><b>Element 3: Maintain existing recording and filing systems</b></p> <p><b>3.1</b> Maintain recording and filing systems according to enterprise policies and procedures</p> <p><b>3.2</b> Allocate new documents to designated category</p> <p><b>3.3</b> Monitor the issue and return of documents to ensure the integrity of the system is maintained</p> <p><b>3.4</b> <i>Archive</i>, remove and update documents to ensure appropriate space available for current records</p> <p><b>3.5</b> Identify and locate required files and dispatch to nominated person or section within designated time limits</p> <p><b>3.6</b> Monitor and record file and document movements</p> <p><b>3.7</b> Maintain documents in good condition and in correct location</p> <p><b>3.8</b> Separate <i>confidential files</i> from general files, with access available to nominated personnel only</p> <p><b>3.9</b> Monitor security system to ensure issued files are traceable at all times</p>	<ul style="list-style-type: none"> <li>• Forms, including insurance forms, membership forms</li> <li>• Invoices, such as from suppliers, to debtors</li> <li>• Personnel records, including personal details, salary rates</li> <li>• Information on training needs</li> <li>• Marketing reports/plans/budgets</li> <li>• Financial figures</li> <li>• Production targets.</li> </ul> <p><i>Organisational requirements</i> may include:</p> <ul style="list-style-type: none"> <li>• Security and confidentiality requirements</li> <li>• Legal and organisational policy/guidelines and requirements</li> <li>• Management and accountability channels</li> <li>• Code of Conduct/code of ethics</li> <li>• Procedures for updating records</li> <li>• Information protocols.</li> </ul> <p><i>Inactive or dead files</i> may include:</p> <ul style="list-style-type: none"> <li>• Completed projects/events</li> <li>• Old clients</li> <li>• Paid accounts</li> <li>• Ex-employees.</li> </ul>
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*Reference and index systems* may relate to:

- Alphabetic
- Numeric Alpha-numeric
- Topic
- Subject.

*Record movements* may include:

- Updating file register
- Updating records management system
- Temporary or permanent transfer of records.

*Security and confidentiality procedures* may include:

- Access authority
- Lockable files/cabinets
- Confidentiality.

*Archive* may refer to:

- Handling completed/closed files in accordance with the organisation's policy, procedure and system
- Storing confidential files in an internal/external repository
- Being able to retrieve archived files from storage, when required.

*Confidential files* may include:

- Staff personnel files
- Commercial in confidence.

**Assessment Guide**

The following skills and knowledge must be assessed as part of this unit:

- Ability to maintain record management systems and processes
- Ability to file data and documents systematically
- Ability to review files for relevance and updating records management system accordingly.

**Linkages To Other Units**

- Plan and establish systems and procedures
- Access and retrieve computer based data
- Perform clerical procedures
- Plan and establish systems and procedures.

**Critical Aspects of Assessment**

Evidence of the following is essential:

- Demonstrated understanding of organisation's records management system and ability to apply knowledge of organisational policies and procedures relating to the safe storage and retrieval of paper-based files
- Demonstrated ability to use established filing methods to store and retrieve paper-based files
- Demonstrated ability to establish new files and archive relevant files.

**Context of Assessment**

This unit may be assessed on or off the job:

- Assessment must relate to the individual's work area, job role and area of responsibility
- Assessment activities that require that candidate to store and retrieve files
- Assessment activities that require the candidate to apply a knowledge of established records management systems and processes.

**Resource Implications**

Training and assessment to include access to a real or simulated workplace that provides the candidate with an opportunity to demonstrate application of knowledge of records management systems; and access to workplace standards, procedures, policies, guidelines, tools and records management systems.

**Assessment Methods**

The following methods may be used to assess competency for this unit:

- Case studies
- Observation of practical candidate performance
- Oral and written questions
- Portfolio evidence
- Problem solving
- Third party reports completed by a supervisor
- Project and assignment work.

<b>Key Competencies in this Unit</b>		
<i>Level 1 = competence to undertake tasks effectively</i>		
<i>Level 2 = competence to manage tasks</i>		
<i>Level 3 = competence to use concepts for evaluating</i>		
<b>Key Competencies</b>	<b>Level</b>	<b>Examples</b>
Collecting, organising and analysing information	1	Gather and sort files for storage
Communicating ideas and information	1	Explain records management processes to other team members
Planning and organising activities	1	Plan filing storage and retrieval activities
Working with others and in teams	1	Provide team members with required files in a timely fashion
Using mathematical ideas and techniques	1	Use on numeric index system
Solving problems	2	Identifying missing files and tracking information
Using technology	1	Using technology to record file movements

## Oral Questions

<b>Student name</b>	
<b>Assessor name</b>	
<b>Location/venue</b>	
<b>Unit of competency</b>	Maintain a paper-based filing and retrieval system D1.HGE.CL7.03 D1.HGA.CL6.03
<b>Instructions</b>	<ol style="list-style-type: none"> <li>1. Ask student questions from the attached list to confirm knowledge, as necessary</li> <li>2. Place tick in boxes to reflect student achievement (Pass Competent 'PC' or Not Yet Competent 'NYC')</li> <li>3. Write short-form student answer in the space provided for each question.</li> </ol>

Questions	Response	
	PC	NYC
1. What are the benefits of keeping hard copy information?	<input type="checkbox"/>	<input type="checkbox"/>
2. Why is it important to remove or destroy 'inactive' or 'dead' files?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
3. Why is it important to set up categories before filing information?	<input type="checkbox"/>	<input type="checkbox"/>
4. What is the role of reference and index systems when filing information?	<input type="checkbox"/>	<input type="checkbox"/>
5. What are examples of paper based filing systems?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
6. Why is it common to have a written record of when files are retrieved and removed from their original location?	<input type="checkbox"/>	<input type="checkbox"/>
7. Why are documents commonly moved from their original locations?	<input type="checkbox"/>	<input type="checkbox"/>
8. What are types of security and confidentiality procedures that are implemented to protect sensitive information?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
9. Hard copy information may be required to be kept for legal reasons. Provide two examples of information that must be kept for this reason.	<input type="checkbox"/>	<input type="checkbox"/>
10. What does it mean to store files in 'alphabetical' order?	<input type="checkbox"/>	<input type="checkbox"/>
11. How can you monitor the issue and return of documents?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
12. What are ways to archive files no longer in use?	<input type="checkbox"/>	<input type="checkbox"/>
13. What are some considerations that need to be taken into account when issuing files to others?	<input type="checkbox"/>	<input type="checkbox"/>
14. Why is it important to establish a 'Record Management Guidelines' document that is the controlling file management document?	<input type="checkbox"/>	<input type="checkbox"/>

Questions	Response	
	PC	NYC
15. Why is it important to keep documents in good physical condition?	<input type="checkbox"/>	<input type="checkbox"/>
16. What are examples of 'commercial in confidence' files?	<input type="checkbox"/>	<input type="checkbox"/>
17. Why is it important to ensure files can be 'traced'?	<input type="checkbox"/>	<input type="checkbox"/>

# Written Questions

## Maintain a paper-based filing and retrieval system – D1.HGE.CL7.03 D1.HGA.CL6.03

**Student Name:** \_\_\_\_\_

Answer all the following questions and submit to your Trainer.

1. What are types of hard copy information?

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2. What are types of organisational requirements that are used to correctly handle hard copy information?

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10. What is the role of security to protect confidential information?

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11. What are types of operational reports that need to be modified and updated on a regular basis?

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12. What are common techniques or ways to identify information when being filed?

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13. How can you check that records of issued and returned files are correct?

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14. What does 'archiving' mean?

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16. What are some topics you would include in your own 'Record Management Guidelines' if it were the controlling file management document?

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17. What are some ways to maintain the filing system to keep documents safe and in good condition?

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18. What are some housekeeping activities you can perform at the end of the day to keep documents in good condition?

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19. What are examples of Human Resources / staff personnel files that are considered to be 'confidential'?

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20. What are some methods used to trace and secure files?

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# Answers to Written Questions

## Maintain a paper-based filing and retrieval system – D1.HGE.CL7.03 D1.HGA.CL6.03

The following are model answers only – Trainers/Assessors must use discretion when determining whether or not an answer provided by a Student is acceptable or not.

### 1. What are types of hard copy information?

- Correspondence, such as faxes, memos, letters, email and other documents
- Computer databases, such as library catalogue, customer records
- Sales records, including monthly forecasts, targets achieved
- Forms, including insurance forms, membership forms
- Invoices, such as from suppliers, to debtors
- Personnel records, including personal details, salary rates
- Information on training needs
- Marketing reports/plans/budgets
- Financial figures – see below
- Production targets.

### 2. What are types of organisational requirements that are used to correctly handle hard copy information?

- Security and confidentiality requirements
- Legal and organizational policy/guidelines and requirements
- Management and accountability channels
- Code of Conduct/Code of Ethics
- Procedures for updating records
- Information protocols
- Who has responsibility for producing and handling documents
- Who has authority for authorising documents and signing them prior to despatch
- Filing and storing copies of documents
- Identification of (blank and pro forma) documents that need to be prepared on a regular basis – such as rosters, management reports.

**3. What are types of inactive or dead files?**

Inactive or dead files may include:

- Completed projects/events
- Old clients
- Paid accounts
- Ex-employee information.

**4. What are different types of categories that can be established to store information within in a hospitality department of your choice?**

Answers will be varied.

**5. What are examples of reference and index systems categories?**

- Alphabetic
- Numeric
- Alpha-numeric
- Topic
- Subject.

**6. What are types of hospitality hard copy files and documents?**

- Guest mail
- Customer records
- Incoming and outgoing correspondence
- Files
- Letters
- Facsimiles (faxes)
- Memos
- Reports
- Menus
- Banquet orders
- Financial records
- Invoices
- Receipts.

**7. To keep track of files we need a record of all the files or document that people borrow. This is a File Out Book. What information is recorded in this book?**

A file-out book is simply a book in which we write

- Who borrowed the file or document
- Name of the file or document
- When they borrowed it
- When they returned it.

**8. Besides the use of File Out Books and Cards, what are ways to record document movements?**

- Updating file register
- Updating records management system
- Temporary or permanent transfer of records.

**9. What are examples of confidential and sensitive information**

Information that may be considered confidential or sensitive may include:

- Personal information relating to both personnel and guests
- Credit card information
- Salary and benefits entitled to personnel
- Personnel performance appraisal information
- Complaints
- Claims of harassment or discrimination
- Financial information
- Strategic information
- Notes left by clients at a conference
- Notes left by guests in hotel rooms.

**10. What is the role of security to protect confidential information?**

- Protect the confidential nature of business documents
- Provide back-up information in the case of computer crash
- Provide hard copy evidence.

**11. What are types of operational reports that need to be modified and updated on a regular basis?**

- Arrival and departure reports
- Revenue reports
- In-house activity reports
- Staff timesheets
- Work claim forms
- Accident reports
- Staff rosters.

**12. What are common techniques or ways to identify information when being filed?**

Techniques to organise information includes:

- Alphabetical
- Numerical
- Geographical
- Subject
- Key word
- Chronological
- Colour Coding.

**13. How can you check that records of issued and returned files are correct?**

- Check on a regular basis
- Following up outstanding files with relevant persons
- Conduct a 'stock take' of files where possible
- Remind staff of the importance of returning files to original locations.

**14. What does 'archiving' mean?**

Where files or documents pass a certain time such as 12 months after their date, they may be removed and stored in a secure location for a nominated time. This is usually 5–7 years.

**15. What are ways to issue files to others?**

- Hand to hand
- Use of a courier
- By mail
- By registered mail
- Electronically by scanning and emailing or faxing.

**16. What are some topics you would include in your own 'Record Management Guidelines' if it were the controlling file management document?**

Answers will be varied.

**17. What are some ways to maintain the filing system to keep documents safe and in good condition?**

- Keep documents that are waiting to be filed in trays, do not leave them lying about on desks or shelves
- File documents away at least once a day, or if your organisation is very small you can do it once a week
- Do not put too much in files or folders
- Put new covers on old files which get a lot of use and have become worn or torn
- Box files and lever arch files can hold more than simple folders
- Never allow filing drawers or shelves to become too full. Acquire new filing cabinets when necessary.

**18. What are some housekeeping activities you can perform at the end of the day to keep documents in good condition?**

- File all the documents you can
- Put away those you cannot file in filing trays
- Lock up all confidential documents
- Place all waste paper in rubbish bins
- Leave desks tidy.

**19. What are examples of Human Resources / staff personnel files that are considered to be 'confidential'?**

Personnel files:

- Current employees in alphabetical order
- Personal information
- Testimonials
- Job applications
- Banking Details
- Medical information.

Staff Procedures:

- Personnel Procedures
- Conditions of Employment
- Contract of Employment
- Salary Information
- Induction
- Job descriptions
- Performance Appraisals
- Staff Training
- Leave.

**20. What are some methods used to trace and secure files?**

- Check file movement recording documentation
  - Follow up with staff deemed to have files at regular intervals to list on a file census form all the files held by that person.
  - Keep a centralised record of file movements
  - Conduct a physical stock take of files in specific locations.
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# Observation Checklist

<b>Student name</b>	
<b>Assessor name</b>	
<b>Location/venue</b>	
<b>Unit of competency</b>	Maintain a paper-based filing and retrieval system D1.HGE.CL7.03 D1.HGA.CL6.03
<b>Dates of observation</b>	
<b>Instructions</b>	<ol style="list-style-type: none"> <li>1. Over a period of time observe the student completing each of the following tasks:             <ol style="list-style-type: none"> <li>a) Maintain information systems</li> <li>b) Retrieve files in response to information requests</li> <li>c) Maintain existing recording and filing systems</li> </ol> </li> <li>2. Enter the date on which the tasks were undertaken</li> <li>3. Place a tick in the box to show they completed each aspect of the task to the standard expected in the enterprise</li> <li>4. Complete the feedback sections of the form, if required.</li> </ol>

<b>Did the candidate</b>	<b>Yes</b>	<b>No</b>
<b>Element 1: Maintain information systems</b>		
Maintain information and filing systems in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>
Identify, remove and/or relocate inactive or dead files in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>
Establish and assemble new files in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>
Update reference and index systems in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 2: Retrieve files in response to information requests</b>		
Locate specified files/records within designated timelines	<input type="checkbox"/>	<input type="checkbox"/>
Retrieve relevant file	<input type="checkbox"/>	<input type="checkbox"/>

Record movements of documentation according to enterprise policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>
Follow security and confidentiality procedures	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 3: Maintain existing recording and filing systems</b>		
Maintain recording and filing systems according to enterprise policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>
Allocate new documents to designated category	<input type="checkbox"/>	<input type="checkbox"/>
Monitor the issue and return of documents to ensure the integrity of the system is maintained	<input type="checkbox"/>	<input type="checkbox"/>
Archive, remove and update documents to ensure appropriate space available for current records	<input type="checkbox"/>	<input type="checkbox"/>
Identify and locate required files and dispatch to nominated person or section within designated time limits	<input type="checkbox"/>	<input type="checkbox"/>
Monitor and record file and document movements	<input type="checkbox"/>	<input type="checkbox"/>
Maintain documents in good condition and in correct location	<input type="checkbox"/>	<input type="checkbox"/>
Separate confidential files from general files, with access available to nominated personnel only	<input type="checkbox"/>	<input type="checkbox"/>
Monitor security system to ensure issued files are traceable at all times	<input type="checkbox"/>	<input type="checkbox"/>
<b>Did the student's overall performance meet the standard?</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Feedback to student and trainer/assessor</b>		
<b>Strengths:</b>		

**Improvements needed:**

**General comments:**

<b>Candidate signature</b>		<b>Date</b>	
<b>Assessor signature</b>		<b>Date</b>	



## Third Party Statement

<b>Student name:</b>			
<b>Name of third party:</b>		<b>Contact no</b>	
<b>Relationship to student:</b>	<input type="checkbox"/> Employer <input type="checkbox"/> Supervisor <input type="checkbox"/> Colleague <input type="checkbox"/> Other <i>Please specify: _____</i> <i>Please do not complete the form if you are a relative, close friend or have a conflict of interest]</i>		
<b>Unit of competency:</b>	Maintain a paper-based filing and retrieval system D1.HGE.CL7.03 D1.HGA.CL6.03		
<p>The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence.</p> <p>Please answer these questions as a record of their performance while working with you. Thank you for your time.</p>			
<b>Do you believe the trainee has demonstrated the following skills?</b> <i>(tick the correct response]</i>	<b>Yes</b>	<b>No</b>	<b>Not sure</b>
<b>Element 1: Maintain information systems</b>			
Maintain information and filing systems in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identify, remove and/or relocate inactive or dead files in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish and assemble new files in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Update reference and index systems in accordance with organisational requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Element 2: Maintain information systems</b>			
Locate specified files/records within designated timelines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Retrieve relevant file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Record movements of documentation according to enterprise policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow security and confidentiality procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Do you believe the trainee has demonstrated the following skills? <i>(tick the correct response)</i>	Yes	No	Not sure
<b>Element 3: Maintain existing recording and filing systems</b>			
Maintain recording and filing systems according to enterprise policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Allocate new documents to designated category	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitor the issue and return of documents to ensure the integrity of the system is maintained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Archive, remove and update documents to ensure appropriate space available for current records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identify and locate required files and dispatch to nominated person or section within designated time limits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitor and record file and document movements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintain documents in good condition and in correct location	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Separate confidential files from general files, with access available to nominated personnel only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitor security system to ensure issued files are traceable at all times	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>





## Competency Recording Sheet

<b>Name of Student</b>		
<b>Name of Assessor/s</b>		
<b>Unit of Competency</b>	Maintain a paper-based filing and retrieval system	D1.HGE.CL7.03 D1.HGA.CL6.03
<b>Date assessment commenced</b>		
<b>Date assessment finalised</b>		
<b>Assessment decision</b>	Pass Competent / Not Yet Competent (Circle one)	
<b>Follow up action required</b> (Insert additional work and assessment required to achieve competency)		
<b>Comments/observations by assessor/s</b>		

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
<b>Element 1: Maintain information systems</b>						
Maintain information and filing systems in accordance with organisational requirements						
Identify, remove and/or relocate inactive or dead files in accordance with organisational requirements						
Establish and assemble new files in accordance with organisational requirements						
Update reference and index systems in accordance with organisational requirements						
<b>Element 2: Retrieve files in response to information requests</b>						
Locate specified files/records within designated timelines						
Retrieve relevant file						
Record movements of documentation according to enterprise policies and procedures						
Follow security and confidentiality procedures						

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
<b>Element 3: Maintain existing recording and filing systems</b>						
Maintain recording and filing systems according to enterprise policies and procedures						
Allocate new documents to designated category						
Monitor the issue and return of documents to ensure the integrity of the system is maintained						
Archive, remove and update documents to ensure appropriate space available for current records						
Identify and locate required files and dispatch to nominated person or section within designated time limits						
Monitor and record file and document movements						
Maintain documents in good condition and in correct location						
Separate confidential files from general files, with access available to nominated personnel only						
Monitor security system to ensure issued files are traceable at all times						
<b>Candidate signature</b>			<b>Date</b>			
<b>Assessor signature</b>			<b>Date</b>			





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