POFT 1319—RECORDS MANAGEMENT I

LECTURE NOTES

CHAPTER 1—Records Management

As you are reading this chapter, notice the statistics on how information is growing. With all of the information made available to us on a daily basis, it is important to know how to store and find information quickly. This is the value of records management. The records management professional is becoming even more important as a result of the trend toward electronic records. Computers have made creating information faster and easier every day.

The management of records is vital to businesses. Records management is known as records and information management (RIM). The role of records in business and in our personal lives is very important. The International Organization for Standardization (ISO) is a worldwide federation of national standards organizations. ISO 15489 is a standard for records management policies and procedures. Be sure to read carefully the section on records and how they are classified.

Records serve as memory for businesses and for our personal use. We cannot get along without records, but we must be able to find them after they have been stored. There must be organization of these records for them to be useful. Remember that records can be found in many forms—paper is still the most common and easiest to use, but there are many electronic records and other types of records like microfilm, email, and computer files.

The history of records management shows how information has changed with technology and the trends of the future. Electronic records and how they are created has presented many new problems concerning their storage and retrieval. Carefully review the information on the Internet, e-commerce, blogs, podcasts, tweets, and so many other electronic terms used in this chapter. Some of you may use (EFT) electronic payments and collections with your bank.

Legislation is important for records management. Be sure to read carefully the different legislative laws and regulations that govern records. This information starts on page 16 of your text. The Freedom of Information Act of 1966 and The Privacy Act of 1974 are very important to you as an individual. As technology changes, there will be more legislative actions taken to protect business and the individual.

The life cycle of a record is something that you need to understand. The picture on page 19 describes this cycle well. You will be studying each of the parts of this cycle as you read and study this text.

There are many career opportunities available for working with records. Remember that the records are very important in any business and the person working with those records is a valuable member of that office team.

Be sure that you read and know the Key Points and Terms at the end of the chapter. Complete the REVIEW AND DISCUSS questions and turn them in for evaluation. Be sure to follow the Worksheet for a complete list of assignments and procedures.

CHAPTER 2—ALPHABETIC INDEXING RULES 1-4

This chapter introduces the first four alphabetic indexing rules. These rules must be followed consistently for document storage and retrieval to be easily facilitated and misfiles reduced. You will be learning and using the standard filing rules from the ARMA organization. This is a set of simplified rules that businesses use to set up an efficient filing storage system. Remember that the real test of an efficient records storage system is being able to retrieve the document quickly when needed.

Businesses do not all follow a universal set of rules for alphabetic filing because of differing goals and needs. As you are working with storing documents in a business, there may be exceptions to the rules that your particular company will prefer. The standard rules do, however, give each business a place to start when they are setting up their filing system. Each company should have written rules on how documents are going to be filed in order to have consistency within the company.

There are several steps to storing documents alphabetically. The first is indexing. Indexing is a mental process of determining the filing segments, and it is extremely important. The filing segment is the name by which a record is stored and requested. Be sure to read the information carefully about this process. The key unit is the first unit of the filing segment. Units 2, 3, and others (indexing units) will follow this key unit based on the number of units in the name to be indexed.

Coding is the act of assigning a file designation to records as they are classified. For paper records, coding is physically marking the record to show the key unit and the following units. Place a diagonal (/) between each word in the filing segment and underline the key unit. Place a number by the succeeding units. This process will give you an indexing order. Be sure to note the figures in the book explaining the process in detail.

You will be comparing filing segments and determining the alphabetic order. If the key units are identical, you will go to the next unit, until you find a difference. After the filing order is determined, the items are sorted in sequence for filing.

In this chapter you will be introduced to a specific filing rule and given examples. Study these examples carefully. After you have studied the rule, complete the Self-Check for each rule. Follow the directions for completing the assignment and for
checking them on the Worksheet. Be sure and ask your instructor if you have questions. The rules that you will be learning in this chapter are:

**RULE 1: INDEXING ORDER OF UNITS**
- A. Personal Names
- B. Business Names

**RULE 2: MINOR WORDS AND SYMBOLS IN BUSINESS NAMES**

**RULE 3: PUNCTUATION AND POSSESSIVES**

**RULE 4: SINGLE LETTERS AND ABBREVIATIONS**
- A. Personal Names
- B. Business Names

A cross-reference is a notation in a file or list showing that a record has been stored elsewhere. The record is stored under the name determined to be the most important (key unit). Cross-references help find a record quickly even if it is asked for by another name.

The cross-reference section of Chapter 2 is very important. Be sure that you are studying carefully the examples in the book. Cross-references will be created for many different types of documents. You are learning about several types of cross references in this chapter. The cross references are divided into two parts—personal names which include: unusual (easily confused) names, hyphenated surnames, alternate names, and similar names. Business names containing compound names, and abbreviations and acronyms will be practiced in this chapter.

Be sure to read and study the KEY POINTS and TERMS at the end of the chapter. Answer the REVIEW AND DISCUSS questions and turn in this assignment for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed.

**CHAPTER 3—ALPHABETIC INDEXING RULES 5-8**

As you read through the chapter, you will be introduced to a new rule and given examples. Study these examples carefully. After you have studied the rule, complete the Self-Check and check your answers.

The rules that you will be learning in this chapter are:

**RULE 5: TITLES AND SUFFIXES**
- A. Personal Names
- B. Business Names

**RULE 6: PREFIXES, ARTICLES, AND PARTICLES**

**RULE 7: NUMBERS IN BUSINESS NAMES** (Be sure to read and study all of the rules associated with this rule. There are many shown on pages 70 and 71.)

**RULE 8: ORGANIZATIONS AND INSTITUTIONS**

CROSS-REFERENCING OF BUSINESS NAMES
- Popular and Coined Names
- Hyphenated Names
- Divisions and Subsidiaries
- Changed Names
- Similar Names (SEE ALSO)

Complete the Self-Check and check your answers. Be sure to read the KEY POINTS. Answer the REVIEW AND DISCUSS questions and turn in your assignment for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed.

**CHAPTER 4—ALPHABETIC INDEXING RULES 9-10**

As you read through the chapter, you will be introduced to two new rules and given examples. Study these examples carefully. After you have studied the rule, complete the Self-Check and check your answers. The rules that you will be learning in this chapter are:

**RULE 9: IDENTICAL NAMES**

As you are studying the examples and then completing the Self-Checks, remember that you are looking for the first item that is “different” between the items to be filed. Notice the order of items to check (numbered 1-4 on pages 96 and 97) if the name is identical.
RULE 10: GOVERNMENT NAMES

The government names can be more difficult. Be sure to spend time reading, studying, and understanding the examples in your textbook. Remember that you are organizing these documents so that they can be easily retrieved when needed. The government names are indexed first by the name of the governing unit—city, county, state, country. After that is determined, you will index the item that is distinctive—the department, bureau, office, etc. Be sure to ask an instructor to help you understand these government lists.

A. Local and Regional Government Names

B. State Government Names

C. Federal Government Names

The federal government is indexed by levels. The first level is always “United States Government.” The second level will be the department or agency showing a distinctive name. The last level is the division or department that is even more distinctive than level 2. These federal government items will always be filed under the “U” for United in United States Government.

D. Foreign Government Names

Foreign government names are often written in the foreign language. You will translate and file the English translation of the name. A cross reference will be created for the original language. Your textbook gives you a reference to find the English spellings, if you ever need it.

Cross References for Business Names

Be sure to read and study the Cross-References of Business Names and complete the Self-Check and then check your answers. The government names may need some extra study. Be sure to ask your instructor for some help in understanding how to code and index any items that you completed incorrectly. Study the KEY POINTS and answer the REVIEW AND DISCUSS questions. Check your worksheet for all the assignments to complete in this chapter.

CHAPTER 5—ELECTRONIC FILE MANAGEMENT

This chapter covers using the computer and using a database when storing and organizing electronic records. If you have used Excel or Access, you have some knowledge already about how the computer identifies and stores data. A database is a collection of related data stored on a computer system. This information can be gathered or extracted for various uses in the business. Databases are established in a company to have a rapid search and retrieval of specific information or facts.

A database is composed of tables containing records and fields. A field is a set of one or more characters treated as a unit of information. This is the smallest unit of information. All the fields related to one person or organization make up a (computer) record. Records related to one subject or topic make up a table. A database may contain many tables. You will practice sorting, finding, and creating records in an Excel assignment. (See the worksheet for more information.)

As you read the chapter you will see that each field is unique. It can be made up of a specific size and kind of character. The information can be alphanumeric for letters, numbers, symbols, and punctuation or numeric for numbers only. The field is important to be able to search, sort, and find specific information from the database. The primary key is a field that is unique for each record. A query is a database function used to instruct the program to find specific information and summarize that information.

E-commerce is a way of doing business using electronic resources. Most large companies have a website and many allow interaction with the visitors to their sites. HTML (HyperText Markup Language) is the language that Internet browsers interpret and display. Information may be gathered using the websites and transactions can be made for purchasing services or merchandise. All of these transactions can be completed electronically.

Computers can sort information very quickly if it has been entered correctly. The computer looks at data differently than when information is handled manually. The computer looks at the information in ASCII Values. Read about ASCII values on page 136 of your textbook. This is information only for this class. You are not required to know this. Some other classes at the college will go into more depth of ASCII values.

Some of the rules that you have learned to use in manual filing need to be modified to work with a computer. Look at the examples in the book showing you some of the changes that may need to be made when entering information for the computer databases. Some of the items that will be different are Titles and Suffixes, Numbers in Business Names, and Spacing and Punctuation. These differences need to be taken into consideration when entering information so that the sort order is correct.

The Electronic Record Life Cycle is shown on page 141. Notice the differences from the manual cycle that you learned earlier. A folder or directory is an important term for you to understand. If you are not familiar with using a computer, be sure to ask your instructor for help in understanding the folder or directory structure. Remember that a folder structure should have enough
levels to organize information, but not have too many to make retrieval difficult. Filenames should be meaningful so that retrieval can be fast.

Email is the most common type of internal communication in a business. It is important for there to be a system of storage, retrieval, and destruction of these email items in a company. Standards should be established for consistency.

An intranet is an internal website that is password protected for internal information in a company. Another place for distribution and use of documents in a company is on a LAN (local area network). Documents may be shared among users in the company, but only accessed when on the company premises.

A back-up is a copy of electronic files and/or folders and is a very important step in the electronic record life cycle. Data that is lost or damaged can be restored using a backup system. Companies should have a system established for the consistent backup of files.

Because electronic media changes rapidly, it is important to use data migration to copy electronic folders and files onto new media as it becomes available. This seems to be an on-going problem since software is continually changing. There should also be a standard for deleting electronic files in the Disposition Phase of the record cycle.

Personal digital assistant (PDA) equipment is also becoming more popular. These many electronic devices can store and copy information to a computer. The software on the PDA and the computer must be compatible for the sharing of information to occur. There are many changes in the phones and tools occurring every day. Your textbook shares some of them with you. Another important factor is security of electronic information.

Be sure that you familiarize yourself with the computer terms that are given in the chapter. You should understand filenames, directories, folders and other computer terms. Be sure to ask for help if this is new to you.

Read the KEY POINTS and study the TERMS. Answer the REVIEW AND DISCUSS questions and turn in your assignment for evaluation with a cover sheet showing your name, the class name, and chapter assignment. Be sure to refer to your Worksheet for other assignments that need to be completed, one of which is the electronic Excel worksheets. You will need to copy files from the I drive at school and use handouts.

CHAPTER 6—ALPHABETIC RECORDS MANAGEMENT, EQUIPMENT, AND PROCEDURES

This chapter covers terms used in the records management of correspondence. Business letters, forms, reports, and memorandums are all part of the daily correspondence that businesses transact. Even in our technological society, the greatest volume of records continues to be paper documents. Businesses use records to complete transactions, to communicate with clients and customers, and to comply with legislation. You will use the ten rules of alphabetic indexing to complete the assignments in this chapter. This chapter is going to cover the storage equipment and supplies that are available for use in businesses and at home.

Storage Equipment. Storage is necessary to actually place the document in a drawer or on a shelf. Vertical filing cabinets are deeper than they are wide and can be one to five drawers. What is being stored will determine the size and number of drawers. In lateral file cabinets, the documents are retrieved from the side. Shelf files are open and accessed from the open side. Shelving can also be mobile and motorized. Look at the pictures in your text and think about where you have seen some of these pieces of equipment being used. There are many, many varieties of storage equipment available. The next time you are in a store that sells storage equipment think about the reasons for using one type over another. The space available in the office or home and the amount of documents needing to be stored will help determine the type of equipment to be purchased, as well as cost.

Storage Supplies. You need to familiarize yourself with the names and usage of the storage supplies listed in your text: guides, folders, tabs, out guides, labels, follower blocks, sorters, and many more. Read and study the different kinds of guides and folders. You will be using these in your simulation. Look at the different types of each also. Be sure to ask your instructor to see the samples of filing supplies. They are by the printers in J112. If you have access to a sample that can be added to the collection, it would be appreciated!

Correspondence Storage Procedures. There are many advantages and disadvantages to alphabetic records management. One advantage is that it is a “direct access” method. You may go directly to the file without first referring to an index or a list of names for a location in the files. If procedures and rules are followed, storage and retrieval is easy. One disadvantage is that misfiling occurs when the rules and procedures are not established and followed. There are many more advantages and disadvantages listed in your text that you should read and study.

The use of color can help in eliminating some filing mistakes. The color can be on the folder, label, or tab. There are many manufacturers of supplies for records storage and a few are listed in your text.
As you are working with correspondence, the first step in the filing procedure is to inspect the document. A release mark must be on the document before it can be filed. This mark will be made by a person with authority and can be initials, a symbol, a stamp, or some other agreed-upon mark.

Indexing, coding, cross-referencing, sorting and storing are used on all types of correspondence. Be sure to read and study the information on pages 184-191. These are important guidelines to follow when working with correspondence.

**Tickler File.** This is an item that can take many shapes. It can be a box or perhaps just a calendar. Items are listed in date order. This is a way to remind a person of something that needs to be accomplished or checked on at a certain date and time. It “tickles” the memory.

**Misfiled and Lost Records.** Regardless of how careful a person is, there will be lost or misfiled records. Your book gives many hints on how to find lost documents. Remember the time that is being spent looking for records is valuable lost time.

Be sure to read the KEY POINTS and study the TERMS. Answer the REVIEW AND DISCUSS questions and turn in your assignment for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed. You will be practicing Correspondence Filing and a Tickler File in Jobs 5, 6, and 7 from the simulation.

**CHAPTER 7—STORING, RETRIEVING, AND TRANSFERRING RECORDS**

This chapter covers the last two phases of the records life cycle. Maintenance includes storing, retrieving, and protecting records. Disposition includes transferring, retaining, or destroying records.

A records retention schedule is very important to a business. This consists of policies and procedures relating to what documents to keep, where the documents are kept, and how long these documents are to be kept. Retention is part of the disposition phase of the records life cycle. The length of time that a document will be retained may be determined by law for statutory, regulatory, or tax purposes. The retention policy also includes the destruction policy. This covers the procedure for dealing with records that no longer have value to the organization. Because storage of documents is expensive and uses equipment, supplies, and overhead, it is important to have this policy in place. Retaining some records longer than necessary could be costly in legal expenses as well. A records center is a centralized location where documents can be stored safely in another less expensive place.

A records inventory is a detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization’s records. This is usually completed through a survey by each department of all the records they have and use. Notice that bar codes and radio frequency identification (RFID) technology helps to identify and locate information that is filed. Knowing the types of documents and the value of them to the company will help make determinations on storage easier. Since email is a big part of business, these messages should also be on a records retention schedule. A records center is a centralized area for housing and servicing records. Be sure to look at the sample documents in your textbook of a records inventory worksheet and records retention schedule.

An official record is a significant, vital, or important record of continuing value to a business. This usually is an original, but it may also be a copy. Be sure to study the definitions of a non-record, a records series, and the retention period.

Email records also must have a retention schedule since email is becoming a primary form of business communication. Messages may need to be printed and then stored with other paper records. Most companies now have a website. The information on the website must be updated and information stored. Read the information on page 210 discussing this topic.

As mentioned in earlier chapters, retrieval is the process of locating and removing a record or file from storage. This is a very important step. This is needed for computer retrieval as well as paper-based systems. A “request” is made for the stored record to be found in storage. This can be oral, written, or delivered in person. It is important to know who has the record, what records were taken, when they were returned, and how long they are going to be out of storage.

There should be specific requisition procedures in place to track all documents that someone wants to take out of storage. You will see some samples of record request forms in your text. Remember that some documents will be confidential and will not be allowed out of the filing/storage room. There will be special authorization procedures in place for these records to be used or removed. An OUT indicator in the file cabinet allows the filer to know where in the cabinet or drawer a document or file is out. This allows for easy refilling when the document or file is returned. An on-call or wanted form is a written request for a record that is checked out by another person when the file is already out of storage. This is an efficient way to have the documents sent to the next person needing them.

In order for the process to be efficient and documents or files returned in a timely manner, there will also need to be follow-up procedures in place. The length of time that a document or file can be removed will vary from company to company and will also depend on the document itself. It is important that the document or file be returned quickly because misfilings will be fewer. A charge-out log will help keep track of documents and files.
Records may have to be transferred. They will have to be stored somewhere besides the filing room if space is critical. This is part of disposition phase of the records cycle. This transfer will be based on the type of document or file and the usefulness of the record. Some records are referenced frequently and will need to be available; others are never needed after a certain amount of time and can be archived or even destroyed. There are a couple of types of transfer methods: perpetual and periodic. Read about the differences and reasons for those differences in your text.

There are specific transfer procedures that need to be followed. There will be a transfer period determined for each type of document. This transfer period is determined by many sources: operations, legal regulations, and fiscal requirements.

Be sure that you read and understand the steps involved in the records center control procedures. These procedures involve using certain types of boxes, labels, indexes, etc. This step is important in being able to retrieve records from an inactive storage center.

Some documents will be destroyed after their usefulness is over. This is determined, recorded, and then carried out when the appropriate time has come. A file must be maintained of the list of records that are destroyed. This can be manual or computerized record keeping.

Be sure that you read the KEY POINTS at the end of the chapter and the list of TERMS. Complete the REVIEW AND DISCUSS questions and turn in for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed.

CHAPTER 8—SUBJECT RECORDS MANAGEMENT

Subject records management is an alphabetic system for storing and retrieving records by their subject or topic. Items that pertain to the same subject will be filed together. Storing these records together can be a very logical way to find the record. Categories such as products or services will be easier to locate and findability is very important. When looking for information on one subject, such as filing equipment, it would be logical to look for all this information in one place. Subjects are easy to recall, and it makes retrieving records efficient.

A rule of thumb for choosing an appropriate filing method is to match the method to the most logical way for file users to request records. A small organization may use a limited list of subject titles, but a large organization may have an extensive list of main subject titles. One or more filing methods can be combined for efficient records storage and retrieval. A company may use alphabetic, subject, numeric, and geographic.

An example that you personally use is the “Yellow Pages” of the phone book. The category is by subject and then you find the individual item needed under that category. Read the chapter for more examples of subject filing.

There are advantages and disadvantages to subject filing. Be sure to study them on pages 245. A subject title should be short and clearly descriptive of the material being stored. Subject titles should be chosen so that they do not overlap or duplicate other titles. These titles must be used consistently by all file users. There are two alphabetic file arrangements by subject—dictionary and encyclopedic. One thing to notice in the figures is the arrangement of the labels and what is contained on the labels. The dictionary arrangement is a single alphabetic filing arrangement in which all types of entries are filed. The encyclopedic arrangement has broad, major subject titles, and then specific subtitles under them. Be sure you read the differences carefully and look at the examples in your text.

The supplies needed for subject filing are the same as alphabetic filing. One main difference is that subject filing needs to have an index. The index is an electronic or printed list that allows the filer access to specific items contained in a larger body of information. Because an index is needed, subject filing is indirect access. Alphabetic filing is direct access since it does need an index. These indexes are electronic or printed lists that can be on paper or cards. Your text discusses several kinds of indexes on pages 256 to 259. Note the differences between a master index and a relative index. Both of these indexes must be kept up to date. The relative index is obviously more complex, but some businesses will find this type of indexing very important.

STORAGE AND RETRIEVAL PROCEDURES

It is important for you to understand the sequence and importance of each step in this process: (1) inspecting; (2) indexing; (3) coding; (4) cross-referencing, (5) sorting (6) storing, and (7) retrieving.

Inspecting is looking for an agreed upon release mark. This will differ among companies, but is necessary before storing a document. The release mark could be initials, a stamp, or date.

Indexing is the deciding of the filing title to be used in the subject file. The filer will look at the master index and find the topic that is appropriate. If one is not found, then a new title will have to be made. If the record contains information about more than one subject, the most important subject is the one by which to store the record.

Coding is marking the filing segments: subject title first and then any subdivisions. Underlining the key unit and numbering the rest of the segments until complete is the order taken. The correspondent’s name is also coded. The subject should be
written at the top of the record if the subject is not mentioned. When more than one subject is mentioned in the record, you only need to code the most important. A cross reference will be made for the less important subjects. Making copies and filing both copies can also be helpful in storing and retrieving records.

**Sorting** records by main subject titles and then subdivisions saves time.

**Storing** is placing the record in the correct place in the file or on the computer.

**Retrieving** is finding and removing a record for storage.

This chapter also talks about software that can be used to store and retrieve documents.

Be sure to read the KEY POINTS and TERMS. Answer the REVIEW AND DISCUSS questions and turn in for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed.

### CHAPTER 9—NUMERIC RECORDS MANAGEMENT

This system is an arrangement of records based on numbers. The number can be part of the record itself (such as an invoice or purchase order), or can be assigned. Records are usually filed in ascending order—lowest to highest—in the numeric system.

Expanding files is easy with a numeric filing system. There is an unlimited set of available numbers. Numbers are also impersonal and are therefore more confidential. Most people find that filing with numbers is faster and fewer errors may be made.

There are several types of numeric systems. The **consecutive** system is a method of arranging records in ascending number order. Records may be requested either by number, client, or topic and therefore a card file is necessary. This is called an **indirect access** system. The index shows where the record is stored and the number assigned. Look at the file drawer setup on page 278. Notice that alphabetic guides and folders are still necessary. The alphabetic or General file is necessary since individually numbered folders are not prepared until a predetermined number of pieces of correspondence have accumulated for one correspondent.

In order to number documents correctly and not use the same number more than once, an **accession log** is used. This is a serial list of numbers assigned to records. This log provides the numeric codes assigned to correspondents, subjects, or documents. The next available number is found and then assigned to the document.

Another necessary part of a numeric filing system is an **alphabetic index**. This is a list of correspondent names or subjects with their assigned numbers listed and the first location where a filer would look. The letter G is entered on records stored in the general alphabetic file. Filers will look for the document by using the alphabetic index, find the number, and then go to the appropriate numeric file to retrieve it. Using a computer can speed up this process by entering the information in a database.

Storage and retrieval procedures are the same for a numeric filing system. The document will be inspected, indexed, coded, and stored as in other filing systems. The use of cross references is still needed also. Documents will be stored with the most recent date on top.

Your text discusses the conversion steps taken to go from an alphabetic storage system to a consecutive numeric storage system. It also lists advantages and disadvantages of consecutive numbering.

There are many nonconsecutive numbering systems used in records storage. These systems use a block of numbers. The terminal-digit storage system is where the numbers are separated into groups by a space or a hyphen. This system is used effectively with a filing system with thousands of records. Terminal refers to the end digits of a number, and the groups of numbers are read from right to left.

Another system is middle-digit where the middle digits are used as the finding aid to organize the filing of records. The middle numbers are read first, then the left, and finally the right. Chronologic storage is a method where the records are filed in date sequence, either forward or backward. A tickler file is one form of chronologic store that you have previously studied. These documents are stored by date with the most current at the front.

Block-numeric coding is a system based on the assignment of number ranges to subjects. The duplex-numeric coding is a system using numbers with two or more parts separated by a dash, space, or comma. An unlimited number of subdivisions is possible with this coding system. Decimal-numeric coding is a numeric method of classifying records by subject in units of ten and coded for arrangement in number order. The Dewey Decimal Classification is an example of this system.

Alphanumeric coding is a coding system that combines letters and numbers in combination with punctuation marks, to develop codes for classifying and retrieving information. Main subjects are arranged alphabetically, and their subdivisions are assigned a number.
Be sure to read the KEY POINTS and TERMS. Answer the REVIEW AND DISCUSS questions and turn in for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed. You will practice consecutive and terminal-digit numeric correspondence filing in Jobs 11 and 12.

CHAPTER 10—GEOGRAPHIC RECORDS MANAGEMENT

With our global economy, it is important that records management include a world-wide vision. Companies interact with markets in many other countries. To accommodate filing these records by location, you will be learning about a geographic records management system. Files are stored in alphabetic order or numeric code by location of an individual, an organization, or a project.

Your text will share many different types of businesses that may use this form of filing. A geographic information system (GIS) is a computer system designed to allow users to collect, manage, and analyze large volumes of data referenced to a geographic location by some type of geographic coordinates such as longitude and latitude. It lets the user query or analyze a database and receive the results in the form of a map.

There are some advantages to using a geographic filing system. The main advantage is that operations relating to a specific location are filed together. Decisions may be made, advertising promotions changed, and specific details taken care of in one area or location.

One disadvantage is that the system is very complex and the user must know the geographic location. It will take more time to establish this system and may require many subdivisions to be effective. This system will demand more time. There will also be a need for an alphabetic index of the names and addresses. This indirect system uses more time to set up and also to retrieve documents or files.

Compass point terms are used in geographic filing. A compass term uses compass points as part of the company or subject name. When filing records with compass terms, each word or unit in a filing segment containing compass terms is considered a separate filing unit.

There are two types of storage arrangements: dictionary and encyclopedic. Be sure to carefully study the figures on pages 317 through 320 to see the design of geographic storage. There are also several different lettered guide plans to study. Remember that there will be a general city folder for every city guide. Determination of a quantity of documents needed to set up an individual folder will vary between companies.

Retrieval procedures will be the same for geographic filing. Guides, folders, OUT indicators, and an alphabetic index will be needed.

Cross-references are necessary in the geographic storage system. Names of organizations having more than one address and organizations located at one address and doing business under other names at other locations are two examples. The cross references will need to be placed in the index as well as the storage file.

The alphabetic index lists all correspondents or subject in geographic storage. This can be a computerized index or list. For numeric files, the alphabetic index includes the assigned file codes for records stored in a numbered file. These indexes must be easy to update and kept current. A master index is a complete listing of all filing segments in the filing system.

E-commerce and the Internet have widened the need for geographic filing and this will be expanding widely in the future.

Be sure to read the KEY POINTS and TERMS. Answer the REVIEW AND DISCUSS questions and turn in for evaluation. Be sure to refer to your Worksheet for other assignments that need to be completed.

CHAPTER 11—ELECTRONIC AND IMAGE RECORDS

Electronic records are records stored on electronic storage media that can be readily accessed or changed. The use of computers in business and industry is rapidly expanding. Computers can read and store information very quickly, if coded correctly. Electronic records are records machine-readable records. They are digitized and coded information that must be translated by a computer or other type of equipment before it can be understood. An image record is a digital or photographic representation of a record on any medium such as microfilm or optical disk. Electronic records may contain quantitative data, text, images, or sounds that originate as an electronic signal.

There are many terms that you need to familiarize yourself with in this chapter. I have listed a few of them below. This media will change as technology changes and as the need for better and bigger storage increases. Read the information about RAID in your text on page 343. This is important for all businesses so that information is not lost by just using one method of storage.

Magnetic media are coated materials used by computers for data storage. You may be familiar with some, but not all of the types available. Magnetic tape is a preferred long-term and archival storage medium.

Optical media is a high-density storage medium including optical disks, compact disks (CDs), optical cards, digital videodisk (DVDs) and others. The high storage capacity and durability of optical disks allow the capture of text as well as graphic,
Photographic, and animation images for viewing on a computer screen. CDs were developed first for audio storage, but are now used for data storage as well. CDs provide safe and reliable media that can store information for many years. They also do not require special hardware or software to retrieve information.

There are many portable/removable data storage devices on the market today. ZIP drives or flash drives attach to a computer and is usable as a hard drive. It is very convenient to store files on a flash drive to take information to another computer.

There are many ways to input information into a computer. The most common way is through a computer keyboard. Other input devices are scanners, bar codes, optical character recognition, fax machines, voice-recognition software and scanners. A scanner converts information on paper into an electronic image. Bar codes when read by an optical reader can be converted into machine-readable language. Optical character recognition OCR is printed or written characters being read through the use of light-sensitive materials or devices. In earlier chapters you learned about PDAs. These handheld devices also can enter information into a computer. Push technology automatically delivers email and other data to a specific user.

Storage and retrieval procedures are just as important in electronic records. To locate and retrieve records is very important to all forms of storage.

**Indexing** provides a way to locate information that is stored on a computer. Files are indexed so that they can be readily retrieved and used. Having a good system in place reduces financial and legal risks and improves productivity. Indexing on a computer is similar in that units become fields and subjects become keywords. Indexing is still a mental process of deciding the name or code by which something is stored and retrieved.

In order for files to be found easily on a computer, there needs to be an efficient way to retrieve the information. There needs to be consistency in naming files and the directories/folders that they are stored in. There should be an index set up that shows the directories/folders that are used. A data warehouse is a collection of data designed to support management decision making by presenting a clear picture of business conditions at a single point in time.

Any type of media that stores information such as hard drives, compact disks, and others, needs to be labeled very well with names, dates, serial numbers, etc. These are stored in containers that keep them in order and safe from humidity, heat, and other external conditions. Records retention schedules and policies must apply to electronic records as well as records in other formats.

Because technology changes so quickly, media compatibility can become an issue. Equipment and software need to be compatible for a long period of time so that records can be accessed. This is a problem that needs to be addressed as new software and equipment is purchased and used. Media also needs to have a long life. Media stability refers to the length of time the media will maintain its original quality so that it can continue to be used. The useful life of paper and photographic media is longer than the retention periods for the information stored in electronic formats. Retention of records stored on a computer is necessary to complete the storage and retrieval process easily, so preserving these records is very important to a business. When information needs to be moved to another electric system, it is called migration. This is used when businesses upgrade hardware or software.

Protecting electronic records by storing them in remote locations is necessary for ease of retrieval and storage. Cloud computing is becoming more available for media storage. This is the use of remote servers to store and process data. Email messages need to be printed and stored on paper for long-term storage if they are considered records. Remember that these messages may be used in a lawsuit. Metadata is data about data. This describes how, when, and by whom a particular set of data (an email message, for example) was collected, and how the data is formatted. It also includes sender and receiver information, as well as the date and time the message was sent.

Copies that are used on a day-to-day basis are called working copies. Storage copies are created for retention requirements. There are master copies of electronic records that often contain inactive records that have been transferred from hard drives and they are seldom referenced. These copies can be used to restore information if it is lost.

Electronic records need to have a life cycle developed by the records manager. Retention and ways to dispose of electronic records is addressed on page 355 of your text.

Records protection of electronic records is essential to business. Records safety refers to protecting records from physical hazards existing in an office environment. There are many safety pieces of equipment that can be used to protect electronic information. Backing up files and storing them in fireproof cabinets or offsite is necessary. Protecting computer systems from viruses is also imperative. Viruses can be transmitted through email and the Internet.

Records security refers to protecting records from unauthorized access. Security policies will establish safety for records. A firewall is a combination of hardware and software buffers so that there is protection to the computer network from outside the business. Passwords, digital signatures, encryption, and a call-back system are also forms of records security.

Microform is the collective term for all microimages. These images can be microfilm, microfiche, or aperture cards. Microfilm may be in jackets, rolls, or strips. The purpose is to photograph documents and put them in much smaller format. An image
Microfilm is a photographic reproduction of a document that is greatly reduced in size. This film cannot be read with the human eye, but needs to have magnification from another piece of equipment. Paper documents can be microfilmed or the film can come directly from the computer.

Roll microfilm is the least expensive and the most widely used type of microform. Look at the pictures in your book to see examples of roll film. The film will be kept in a case and the case will be labeled for easy retrieval. You will read about many different sizes of film also. Documents are prepared for filming, filmed by a camera in the order that they appear, and then the film is developed. It is very important that documents be placed in order, because to find a specific document you must look through the roll until that document is found.

Microfiche is shaped as a rectangle. The images are placed on this sheet and a reader is needed to find and use the document. The reader may also be a printer. Many documents can be placed on a microfiche sheet, depending on the reduction ratio. These films can be duplicated and easily sent to others. There will be a name or other information at the top of this microfiche to help the reader know what kind of information is contained on it. This information you can read without the use of a special reader. You can see how these look at an example in the folder containing file folders, guides, etc. in the classroom. This process is more expensive than roll film.

A microfilm jacket is a flat, transparent, plastic carrier with channels made to hold the film. The original film is duplicated and the duplicate film is cut into correct size to fit the jacket. This jacket may be duplicated for easy transmittal to others. There will be information at the top of this jacket to tell the reader what is contained in the jacket, and it does not need special equipment to be read.

An aperture card is a rectangular card with an opening in it. This opening will hold film. A major use of these cards is for engineering drawings or blueprints. There will be information on the card that tells the reader what the film is depicting. This information can be read without special equipment.

The quality of the microfilm is dependent on many things: (1) resolution, (2) density, (3) reduction ratio, and (4) magnification ratio. The user will have to decide these factors and then purchase the appropriate equipment.

An image system is a combination of procedures and equipment that form an efficient unit for creating and using records in microform or electronic images. Preparing the documents to be filmed is a very time-consuming, but very necessary, part of microfilming. Care must be taken to put documents in correct order before filming starts. Documents must also be in good repair and straight.

There will also be an index on the microform. This index will identify what is on the film. This index may take many forms but it helps the person find the document needed. One form of indexing is a flash target. This target page will be filmed to show where there is a division in the alphabet, date, or other separation. Some film will automatically assign a number to each frame that is filmed. This number can then be found by a computer operator. Blip codes are also used on microfilm and will usually be placed below the image to help with retrieval. You are already familiar with bar codes. Bar codes are also used in filming.

The equipment used for microfilming is described in your text. The cameras are very sophisticated and can be very expensive. A company will have to determine whether it is cost effective to have the equipment at their own company, or whether they will send the documents out for filming. Be sure to read carefully the different kinds of cameras and duplicators. This is a huge business. I’m sure that you can see the use and need for microforms in a company that generates lots of paper documents but wants to store them efficiently.

Your author discusses the different types of storage equipment and environmental considerations. Needless to say, it is very important that the microforms be handled carefully and stored where they will be kept safe. Labels on the forms and on the containers are very important.

There are many types of readers and printers. There is also equipment that combines these features and saves floor space. The number of people using the forms and the cost will determine what type of equipment will be purchased.

Retention of microfilm is as long as the life span of paper records. The microfilm must be in a safe environment, however. Care must be taken when handling the film and the original must be kept in a very safe place. It is important to think about the
life of the record and the equipment that is needed to read the document. Technology is changing rapidly, and it would not be efficient to have the microform, and no way to read it!

Be sure to read the KEY POINTS and TERMS. Answer the REVIEW AND DISCUSS questions and turn in for evaluation.

CHAPTER 12—RECORDS AND INFORMATION MANAGEMENT PROGRAM

As you have read the chapters and practiced the techniques needed for information storage and retrieval, you have learned about many parts of records management. Records management includes responsibilities for paper, magnetic, electronic, and micrographic documents. Knowledge of forms, information technology, software, hardware, and disaster prevention and recovery make this a very important function of a business.

This chapter covers several important parts of records management. Various laws and regulations have an impact on records and information management. Businesses must adhere to records retention requirements with local, state, and federal tax laws, and many other acts.

There must be control elements involved in records management. There needs to be a system for creating, handling, processing, filing, storing, retrieving, and disposing of all types of media. This includes paper as well as film, tapes, microforms, etc. There must be a standard set of published rules for employees to follow.

Efficiency, cost, and performance controls are also on-going in a company. These are key elements that make a records and information management program function effectively. Remember that a company is in business to generate a profit and records management plays a big part in this profit margin.

Labor costs represent the largest percentage of total records and information management costs. By having a staff that knows the coding and indexing rules, files accurately, and retrieves documents efficiently, costs can be lessened. Storage space in a company is also costly. If electronic filing or the use of microforms can be used, this part of the cost of running a business can also be reduced. When making decisions to convert to electronic or digital documents, research must be made to understand the laws and regulations concerning the acceptance of these documents as evidence in court.

The records management staff will need to create and maintain documents that contain the information about the records cycle. A records audit is a periodic inspection to verify that an operation is in compliance with a records and information management program. An important first step would be to create a records retention schedule. This involves all the different departments in a company and the documents that they handle each day. After the documents have been inventoried and classified by type, then a retention schedule must be created. A records and information manual containing all information necessary for managing the RIM program in an organization should be created.

Controlling records creation is also important. The managers must decide if correspondence needs to be printed on paper or will email suffice. The creation of a document is very expensive when you factor in the salary and time of the dictator, the salary and time of the assistant, the fixed costs of rent, taxes, and other overhead, as well as the materials involved and mailing costs. All employees must be aware of these costs when creating a document.

Forms used in a company also need to be looked at carefully. A form that is created correctly can be filled out and used efficiently whether it is filled in manually or electronically. Your text shows you some forms and gives you many guidelines on good form creation. In your word processing classes, you will learn how to create forms. Use this information to help make that form efficient to use as well. The design and type of form is important for efficient use, storage, and retrieval of information contained in the form.

Another important part of records management is a disaster recovery plan. No one wants to think about a disaster happening to them or to their company, but disasters do happen. There can be emergencies and disasters at any time and place. If a plan has been developed and written down, there will be less loss of information. To create a disaster recovery plan takes many people and a very well thought-out process. Practice for a disaster is a good idea to see where there may be pieces missing. Being prepared to respond when an emergency occurs is very important. Recovering from a disaster is essential to a company continuing to do business. A recovery plan is a written and approved plan of action that details how records will be handled during and after an emergency. There is a list of activities that need to be addressed on page 396.

Knowledge management is an interdisciplinary field that is concerned with systematic, effective management and utilization of an organization’s knowledge resources. This will involve knowledge of software, hardware, email, etc. as well as skills, experience, and good management techniques by employees. Remember that all policies need to be updated regularly to encompass all the technological changes.

As you read through the textbook, I hope that you noticed all the information about how to protect and file your personal records and information about careers in records management.