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CHAPTER 10

Managing Records

Office records are stored on a variety of media. These media have different storage requirements. For example, magnetic media must be protected from magnetic sources that could erase or change the stored data. Equipment and supplies specially designed to protect magnetic media should be used. Storage equipment and supplies also are available for microforms as well as for paper records. All records that relate to a particular topic are often stored together. For example, a CD that contains a report and the paper copy of the report may be placed in a folder together.

This chapter describes the procedures, equipment, and supplies available to help you manage various forms of records efficiently. Because copies of paper records are often needed, reprographics is discussed. Managing electronic records and microforms is covered in the second topic.

Online Resources

- *The Office* Web site:
Data Files
Vocabulary Flashcards
Sort It Out, Filing Paper
Records
Chapter 10 Supplementary
Activity
- Institute of Certified Records
Managers
5818 Molloy Road
Syracuse, NY 13211
- Search terms:
records management
records retention
storage media
micrographics
imaging systems
reprographics
copyright law

Wherever you work, whether in a small company or a large one, you probably will store some records on paper. Even in offices where magnetic media and microforms are used, certain paper (hard copy) records are needed. For this reason, you should understand how to maintain paper files. Once you have a clear understanding of how to manage these files, you can easily adapt this knowledge to managing records stored on other media.

In this topic, you will learn about preparing paper records for storage. You will study methods for locating and removing records and entire folders. You also will learn about the equipment used to copy and store paper records.

Preparing Records for Storage

Before filing a record for the first time, you need to prepare it properly for storage. By doing so, you speed up the filing process and increase filing accuracy. Follow these five steps to prepare paper records for storage:

1. Collect the records.
2. Inspect the records.
3. Index/code the records.
4. Cross-reference the records, if needed.
5. Sort the records.

- Explain how to prepare records for filing
- Apply efficient filing procedures
- Describe the use of requisition forms and OUT guides in charging-out records
- Describe how inactive files are moved and stored
- Describe storage plans for vital records protection
- Identify copier features and operating procedures



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Office workers must be familiar with the procedures for managing paper files.

Collect Records

Throughout the workday, you will collect records that need to be filed. Place these records in a certain place such as a tray labeled *TO BE FILED*. Then at scheduled times, such as after lunch or at the end of the day, prepare the records for storage. You will not need to index, code, or cross-reference records that have been filed before. You will still need to inspect and sort them, however, before they can be refiled.

Inspect Records

When preparing records for storage, inspect each record by following these procedures:

release mark: an official approval to file a record

- When a record is being filed for the first time, look for a **release mark**. The initials of someone authorized to release the record, written on the record, often serve as the release mark.
- Remove all paper clips or rubber bands from the records.
- Staple all related materials together.
- Repair any torn records with transparent tape.
- Attach small records to a full sheet of paper so that they will not be lost or crumpled in the file. You could copy the small record onto a full page instead—unless the original must be kept.

Index and Code Records

You index a record by deciding how to identify it for filing purposes. The name, subject, geographic location, or number used to identify a record is called the filing segment. The name or subject most likely to be used in asking for the record is the one to be used for storage. On outgoing letters, the name of the recipient (company or person if no company is shown) is usually the most important. On incoming letters, the name of the sender (company or person if no company is shown) is usually the most important.

You should code the record using the filing segment. Coding a record allows you to tell quickly how to file a record by glancing at it. You will file the record the same way each time it must be refiled. Records may be coded by hand, the conventional method, or by bar coding.

Conventional Coding

Some companies prefer that you code records with a blue, nonreproducing pencil. If you must copy the record, the code markings will not copy. To code a record indexed by subject, geographic location, or number, write the filing segment in the upper-right corner of the record. Coding a record indexed by individual or company name involves three steps:

1. Identify the filing segment. Underline or circle the name the first time it appears on the record. If the name is not contained in the record, write it in the upper-right corner.
2. Identify the indexing units of a name. For example, there are three indexing units in the name “Grady P. Hill.” Use slash marks to divide the filing segment into separate indexing units:
Grady / P. / Hill

3. Number the units in proper indexing order according to alphabetic indexing rules. For example, individual names are filed alphabetically by last names, not by first names. Therefore, in the case of Grady P. Hill, you would number the indexing units this way:

2 3 1
Grady / P. / Hill

Figure 9-2.5 on pages 375 and 376 presents alphabetic indexing rules for names. Refer to these rules as needed when indexing records. Figure 10-1.1 shows a record properly indexed and coded.

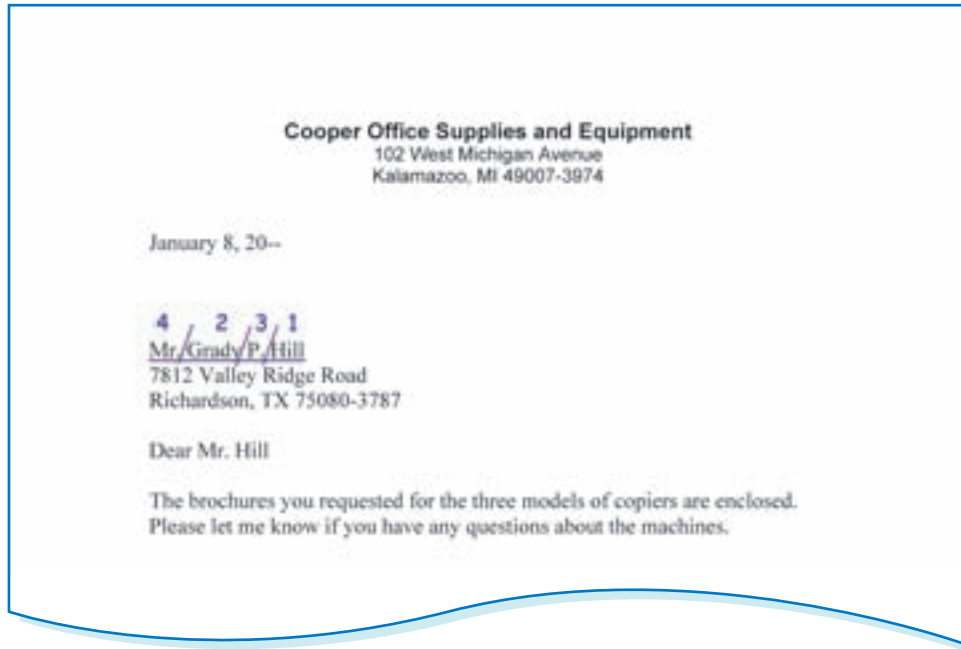


Figure 10-1.1

This copy of an outgoing letter has been indexed and coded for filing.

Bar Coding

A **bar code** is a pattern of vertical lines of varying widths that contains coded data that can be read by a scanner. The scanner is also called a reader or tracker. A bar code can be printed on a label and attached to an item such as a file folder or box. Bar code labels can be printed on labels as needed, or preprinted labels may be purchased. The advantage of using preprinted labels is that an office worker will not accidentally assign the same bar code to two files.

When bar codes are used, indexes and logs as discussed in Chapter 9 are replaced by an automated indexing and tracking system. In a bar-code system, a code on a record is scanned into an electronic tracking system. This process is much the same as how product prices are scanned at a register in a store. The computer will add the date and time the record is filed or retrieved. When an item is refilled, the computer identifies the date and time of the return. Using bar codes allows less margin for human error, and fewer files are lost.

bar code: a pattern of vertical lines of varying widths that contains coded data that can be read by a scanner

Bar codes can be used to track files.



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Cross-Reference Records

cross-reference: a record that gives the alternate name or subject by which a record may be requested and the name or subject by which the record is filed

A **cross-reference** is prepared when a record may be requested by more than one name or subject. For example, in Figure 10-1.2, the record may be indexed by the name of the company sending the letter or by the subject of the letter. In this case, you would first index and code the record by the name or subject of primary importance. This name is *Star Wholesale Groceries* (the name of the company sending the letter). Then you would code the name or subject of secondary importance. This topic is *SPRING BONANZA OF VALUES* (the subject of the letter). Note that you code the subject by underlining it, numbering the indexing units, and placing an X in the margin. The X is a signal that the record is cross-referenced under that particular subject.

A record may be requested by a variation of the name under which it is filed. For example, a letter filed under the name *Bird and Casey Associates* might be requested as *Casey and Bird Associates*. In this case, you would write the cross-reference caption on the document followed by an X. You would then index and code the cross-reference name on the letter and prepare a cross-reference sheet.

Cross-Reference Sheet

A cross-reference sheet includes information about the record and is filed in the cross-referenced folder. The following information is recorded on the cross-reference sheet as shown in Figure 10-1.3.

- The name or subject under which the record was cross-referenced
- The date of the item
- A brief description of the record
- The location of the record in the files
- The name of the authorized person who released the record and the date it was released

Figure 10-1.2

This incoming letter has been coded by name and marked for a cross-reference.



The sheet shown in Figure 10-1.3 would be filed in the SPRING BONANZA OF VALUES folder. The record shown in Figure 10-1.2 would be filed in the STAR WHOLESale GROCERIES folder.

Copies of Records

Some companies do not use cross-reference sheets. Instead, they copy the original record and place the copy in the cross-referenced folder. This speeds retrieval because a complete copy of the record is available at each location. Making a copy may take the same or less time than completing a cross-reference sheet. If you use this method, be sure to code the copy for cross-referencing so you will file it in the proper folder. Procedures for copying records and information about copying equipment are presented later in this topic.

Figure 10-1.3

This is a cross-reference sheet for the letter in Figure 10-1.2.

CROSS-REFERENCE SHEET

Name or Subject Spring Bonanza of Values

Date of Item April 9, 20--

Regarding Annual spring promotion, special savings

SEE

Name or Subject Star Wholesale Groceries

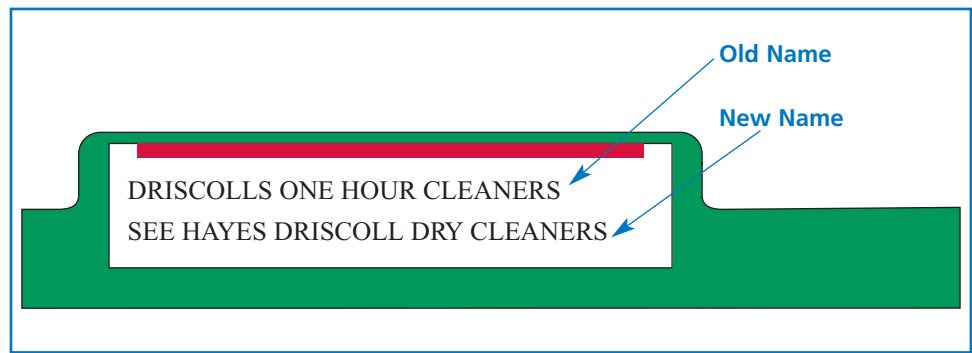
Authorized by Glenda Ackinlose Date 4/21/--

Cross-Reference Guides

If a permanent cross-reference is desired, you will need to prepare a cross-reference guide using a stiff board the same size as a file folder. A cross-reference guide might be needed when a company changes its name. You would label a fresh folder using the new company name and place in it all materials from the old folder. Then you would replace the old folder with a permanent cross-reference guide. The cross-reference guide should show the necessary retrieval information on the tab. The guide remains in the file as long as the name or subject is still active.

Figure 10-1.4

Prepare a permanent cross-reference guide for a company that changes its name.



When to Cross-Reference

As a general rule, you should cross-reference a record if doing so will save you time when you need to retrieve the item later. Too many cross-references, however, will make finding files more difficult. Follow any company guidelines that are provided to help you know when to make a cross-reference.

You usually will make cross-references only for records filed in name or subject filing systems. Geographic and numeric filing systems have alphabetic indexes that lead you directly to the item you need.

Sort Records

After you have coded the records and created the needed cross-references, you are ready to sort the records. **Sorting** is the process of arranging the records alphabetically or numerically before placing them in the folders.

Sorting serves two important purposes. First, it saves filing time. Because records are in proper sequence, you are able to move quickly from file drawer to file drawer as you place the records in folders. Second, if records are requested before you file them, you can find them quickly.

sorting: arranging records alphabetically or numerically

Charlotte Running-Bear is training Henry Davis, a new office worker. This afternoon they are preparing the records collected that day for storage. They have already indexed, coded, and cross-referenced the records that had never been filed before. Henry thinks they are ready to place the records in the folders. But Charlotte explains they have one more step to complete first.

Charlotte: "Henry, we need to sort these records alphabetically before we file them."

Henry: "It will take forever to sort this stack of records. Let's just file them in the order they are in now."

Charlotte: "Sorting doesn't take that long. First, we'll rough sort."

Henry: "What does that mean?"

Charlotte: "It means we'll group all the A records together, all the B records together, and so forth. Then we'll fine sort. That means we'll place all the A records in alphabetic order, then all the B records, and so on."

Charlotte and Henry quickly sort the records and begin to file. Their supervisor, Ms. Sanchez, approaches them and asks a question.

Ms. Sanchez: "Charlotte, I placed the Norris letter in the TO BE FILED tray, but I need it again. Have you filed it yet?"

Charlotte: "No, Ms. Sanchez. We've only filed up to the Cs."

Charlotte flips through the records, which are in alphabetic order, and quickly retrieves the Norris letter. Ms. Sanchez takes the letter and leaves.

Charlotte: "Well, Henry, now can you see why I believe sorting is worth the time it takes?"

Filing Paper Records

Office workers should set aside time each day to file. Many other tasks may seem more important than filing. However, filing records each day so they can be found quickly when needed is important. If you have followed the five steps for preparing records for storage, you can file the records quickly by following these steps:

1. Locate the proper file drawer by reading the drawer labels.
2. Search through the guides in the drawer to locate the needed alphabetic or numeric section.
3. If an individual folder has been prepared for the record, place the record in the folder. Place the front of the record facing the front of the folder and the top of the record at the left side. Place records in an individual folder according to date, with the most recent date in front.

Set aside time each day to file paper records.



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4. If no individual folder is available, file the record in the general folder for that section. Arrange records in a general folder alphabetically by name or subject. If there are two or more records for the same name or subject, they are arranged according to date with the most recent in front.

Using Special Folders

Some companies use special folders as well as general and individual folders. A special folder is a type of general folder that is used for a variety of purposes. For example, you may remove all the records coded *Smith* from the general folder and place them in a special folder. This procedure permits material filed under *Smith* to be found more quickly. You also may prepare special folders to collect information about a particular subject or project, such as *ARMA Convention Travel Plans*. You arrange records alphabetically in a special folder. Within each group of names or subjects, arrange the records by date.

Avoiding Overcrowded Files

Never allow folders to become overcrowded. Usually, a folder has score lines at the bottom. Creasing the score lines widens the folder and allows it to hold more records. A folder should not contain more than an inch of filed material. When a folder becomes too full, subdivide the records into two or more folders. The labels of each should reflect the contents of the new folders. For example, they could be labeled by date or subject.

Be sure to examine general folders often so that you can prepare individual and special folders when necessary. Do not fill a file drawer completely. You should have enough room in the drawer to move the folders easily.

Storage Equipment

Equipment and supplies for filing paper records are plentiful. Each business must decide what system works best to fit its filing needs. The following descriptions will give you a general idea of the equipment that is available for paper files and the best uses of each.

Vertical file cabinets contain one to five drawers. Of this kind of system, five-drawer cabinets provide the most filing space for the amount of floor space used. Vertical file cabinets must be arranged so there is space in front of each one to allow drawers to be opened fully.

Lateral file cabinets are common storage equipment. Lateral files are made in a variety of drawer heights, widths, and depths to fit different office needs. Fully opened drawers in such a cabinet do not open as far out into the room as do drawers in a vertical file cabinet.

Horizontal (flat) files are used to store large paper documents. Examples of such documents include advertising layouts, product drawings, and land surveys.



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Both vertical file cabinets and shelf files are used in some offices.

Storage drawers are stackable file drawers that work like traditional vertical files. These drawers come in a variety of heights, widths, and depths. Some storage drawers, often used for temporary storage, are made of cardboard; others are made of metal.

Shelf files store records on open shelves instead of in drawers. They come in a wide variety of sizes. Records on open shelves can be removed easily. Shelf filing is most appropriate for filing and retrieving entire folders and is ideally suited for numeric filing systems. Because folders on open shelves are readily visible, many companies use color-coded folder labels to improve filing efficiency. Bar coding may be used with shelf filing systems. Shelf files are generally the most efficient and modern system.



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Open shelf files provide easy access to files.

Mobile files are shelf files that have many shelves but only one aisle. The shelves are arranged next to each other on a track. To form the aisle in front of the desired shelf, the shelves are moved along the track manually or electronically. Mobile files take up less floor space than either fixed shelf files or cabinets holding the same number of records.

Storage boxes are fiberboard cartons that are often used to hold files temporarily while moving them. These boxes are also used by some companies for the storage of inactive files.

Retrieving Paper Records

Once records are in active storage, they may be retrieved and refiled many times. Charge-out procedures help workers keep track of records when they are removed from the files.

Requisition Forms

Many companies that use central files have a staff of trained workers who file and retrieve records. In companies using this arrangement, other office workers do not have direct access to the files. To retrieve records, workers must submit a **requisition form**. This form has space for all the charge-out information needed, such as:

- A description or file number of the record
- The name and contact information of the person taking the record
- The current date
- The date the record is to be returned

requisition form: a document that has space for charge-out information for a record

Requisition information might also be kept in a database program. If you work in the central files, you will keep a copy of each requisition form or record. When a record has not been returned by the expected date, you need to take appropriate follow-up action. This is an important part of managing records. A records manager also may use requisition forms to analyze how often files are used and which records are most active.

OUT Guides

When you remove a record from the files, you should replace it with a record of the charge-out information. This can be done by using an out guide. An out guide is a sheet of thick cardboard that has the word *OUT* printed on the tab. On some OUT guides, you write the charge-out information on ruled lines. On other OUT guides, there is a pocket where you insert a completed requisition form. You usually use OUT guides when individual records within a folder are removed.

OUT			
NUMBER, NAME, OR SUBJECT	CHARGE OUT DATE	NAME OF BORROWER	DUE DATE
<i>Forest Park Florist</i>	<i>4/22/--</i>	<i>Ruth Carson</i>	<i>5/14/--</i>
<i>Spanish Village Apartments</i>	<i>6/5/--</i>	<i>Jerry Ahmed</i>	<i>5/14/--</i>

Figure 10-1.5

An OUT guide may replace a folder that has been removed from the file.

OUT Folders

An OUT folder is used when an entire folder is removed from the file. When an OUT folder is used, you may temporarily file additional records in the OUT folder until the regular folder is returned.

WORKPLACE CONNECTIONS

When Lakisha removed the Brandon-Mills folder from the files, she provided the charge-out information on the printed lines of an OUT folder. Later, when Chin Lu was filing, he placed two letters in the Brandon-Mills OUT folder. If Lakisha had not provided the OUT folder, Chin Lu would not have been able to file the two letters. This way, Chin Lu could file the records. Lakisha then would insert those records into the Brandon-Mills folder when she returned it to the files.

Removing Records from Active Storage

A retention schedule identifies which records should be removed from active storage and on which dates. Records that are placed in inactive storage usually are put into cardboard or fiberboard storage files. The boxes are sturdy and provide a place to identify the contents. Some storage boxes can be stacked, saving storage space. Color-coded storage boxes can help you locate inactive records quickly. As discussed in Chapter 9, some companies store inactive records in off-site locations, which range from rented storage space to underground vaults.



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Inactive records may be stored in cardboard or fiberboard boxes.

Protecting Vital Records

Vital records are those that are important to maintaining the operations or fulfilling the legal obligations of an organization. There are numerous methods of storage that can be used to protect vital records:

- **Multisite storage.** If a company has two or more locations, it may choose to keep duplicates of vital records at each location.
- **Planned dispersing.** Some companies use a secure vital records storage center and have a plan to disperse records there on a regular basis.
- **Duplication.** A number of organizations place vital records in microforms that are placed in a disaster-proof facility.
- **Vaulting.** Some businesses have special fire-resistant vaults, safes, or filing cabinets in which they store vital records. Other companies use an off-site facility with such protection.

Any combination of these methods may be used. Because the cost involved in storing vital records can be significant, records should be reviewed regularly. Those that are no longer of use should be removed and destroyed.

Copying Paper Records

Reprographics is the process of making copies of graphic images, such as printed documents. It also includes other image processing such as scanning images into computer files. Reprographics plays an important role in managing records. Paper is commonly used for storing documents and for sharing information with others. Copies of paper records are often needed at both the use and maintenance phases of the record life cycle.

reprographics: the process of making copies of graphic images, such as printed documents

Businesses have different needs for reprographic services. The needs depend on the size of the company and the types of documents to be copied. Some large businesses have a reprographics or copying center. In this setting, you would prepare the original from which the copies are to be made. You would use special forms to give detailed copying instructions to workers in the copying center. The company may set a minimum number of copies that will be made by the copying center. Smaller copying jobs are handled by individual employees using small copiers located throughout the business.

Small organizations do not usually have a copying center. In this setting, workers are responsible for preparing the original and making the copies. Even many larger organizations have done away with their copying centers. Instead, copiers are placed throughout the office areas.

Office Photocopiers

Photocopiers, often simply called copiers, produce copies directly from an original document. The original can be handwritten, printed, or drawn. The quality of the copy is good if the machine is in good condition and the original is of high quality. Many copiers reproduce onto one or both sides of a sheet of paper. They can copy onto letterhead paper, mailing labels, bond paper, and colored paper. Some machines copy in color as well.



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Many businesses have small copiers located throughout the offices for employee use.

Copiers/Printers

Copier/printers, sometimes called intelligent copiers, can receive, transmit, store, print, and copy data. These devices can produce copies from sources such as a computer file, graphic scanners, or even pictures. For example, you may key material at your computer and then send the file to a copier/printer at a nearby location. The copies will then be printed.

Copier/printers can use specific print fonts, justify lines, number pages, or insert graphics within the text material. These machines can merge data from various electronic sources. They can also share data with other copier/printers.



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Files can be sent electronically to a copier/printer.

Copier Classifications and Features

Copiers can be classified according to their capacity: low, mid, high, and duplicating. Copier capacity is usually determined by two factors: speed and volume. Speed is often stated in copies produced per minute. Volume is often stated in copies produced per month. As an office worker, you should select the best copier for the task at hand when more than one machine is available to you.

WORKPLACE CONNECTIONS

Maria is a new employee. Her supervisor, Lana, is explaining to her the features and capacities of each copier available for her use. Lana emphasizes that choosing an appropriate copier for each copying job is very important. She hands Maria two copying jobs. One is a ten-page proposal requiring one photocopy. The other is a 55-page report requiring 6 photocopies. Lana asks Maria to choose the copiers that will complete each job most efficiently. On the basis of what Maria has learned about the company's copiers, she knows it is most efficient to copy the 10-page proposal on the low-capacity copier and the 55-page report on the high-capacity copier.

Special features designed to meet specific copying needs are available on many copiers. Many of the copiers found in offices have several of the features listed in Figure 10-1.6, which are only a few of those available.

Common Copier Features

Automatic duplexing	Allows the user to copy on both sides of the paper, saves paper and postage costs
Automatic image shift	Creates a margin on one or both sides of the copy paper to allow space for three-hole punching or for binding the copies
Book copy mode	Allows the user to copy both pages of an open book or magazine onto the front and back of a single sheet of copy paper
Image enlargement and reduction	Allows the user to make a copy larger or smaller than the original document
Sorter	Collates the copies, arranging the copies in order or in sets
Automatic document feed	Feeds the originals into the machine
Self-diagnosis feature	Detects common problems (a paper jam, for example) and displays words or symbols to alert the user
Automatic exposure control	Adjusts the darkness or lightness of copies after sensing the density of the original
Copy counter	Allows the user to select the number of copies to be made
Roll feeding	A roll of continuous-feed paper allows copies of varying sizes to be made at one time. The paper is cut by the machine to match the sizes needed.
Job recovery	Allows an interrupted print job to be started again at the place where the user stopped the job
Color	Color images on the original are reproduced on the copies

Figure 10-1.6

You will want to be familiar with the common features of copiers found in your office.

Operating Procedures

Failure to follow proper copying procedures can increase copying costs. If a company has copiers located throughout the building, copier misuse may occur more often than if copying is done by only a few employees in a copying center. Employees who do not know how to operate the equipment properly may damage the copier or misuse supplies.

WORKPLACE CONNECTIONS

When Antonio found that there was no paper in the copier, he added two reams to the paper bin. Before he had run three copies, the machine was jammed. He was upset and sought help from Robin, a coworker. When Robin checked the paper bin, she said, "You haven't inserted the paper under the guides correctly." Antonio responded, "Oh, is there a special way to place the paper in the bin?" Robin then showed Antonio how the paper should be placed in the bin so that it will be guided into the copier correctly.

Office employees need to be knowledgeable about the proper use and selection of reprographic supplies. You will find that the selection of paper, toner, and other materials can significantly affect the cost of making copies and the operation of the machines. All employees are expected to follow closely the recommendations of the vendor or manufacturer and company guidelines when using copier supplies in order to control costs.



An occasional paper jam is easily cleared by an employee familiar with the equipment.

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Companies often take steps to help control copying costs and procedures. Companies with large copying needs may use a central copying center. This helps the company control the number of copies made and allows workers to make the best use of the equipment. Companies often allocate copying costs to the individual or department requesting the copies. Devices that monitor copier use may be placed on the copiers located throughout the offices. A common copier control procedure is a copier log book. More commonly, a computerized log is used. The log is based upon a code or card used by each employee or department. When a copier log book is used, employees record information for each copy job, such as the employee name, department, and the number of copies made. This data is recorded automatically when a code or card is used.

Many companies post guidelines for employees who use copiers near each copier. As a responsible employee, you should follow these general guidelines:

- Follow company policy regarding the maximum number of copies to be made at copiers. Large copier needs are best handled through a central copying center, when available.
- Be aware of copying costs when planning to use the copier. Use the copier's economy features, such as duplexing. Do not make more copies than you need.
- Comply with **copyright laws**. Copyright laws describe those documents that cannot be legally copied. Some documents should not be copied at their original size and with the intent to represent the original. Examples of these documents are money, postage stamps, birth certificates, passports, draft cards, and drivers' licenses. Many books and other documents may also be copyrighted and should not be reproduced.
- Do not use company resources to make copies for personal use.
- Follow good housekeeping rules. Always clean up the area after you have completed your copying project. Deal with any copier problems, such as a paper jam, or notify the appropriate person of the problem.
- Practice common courtesy when using the copier. If you have a long copy job and another worker needs a priority copy, stop at a convenient point and let the other person have access to the machine. If you need a few copies and someone else is near the end of a long copying job, wait until the other person is finished to make your copies.

copyright laws: regulate what documents or other information can be legally copied

Topic Review 10-1



REVIEWING THE TOPIC

1. List the five steps involved in preparing paper records for storage.
2. What is the purpose of a release mark?
3. Describe the process for coding a record indexed by name.
4. Why is it necessary to cross-reference some records?
5. Give two reasons for sorting records before filing them.
6. How should you arrange records in an individual folder?
7. What is a special folder, and how might it be used?
8. Why are shelf files the overall optimal filing equipment?
9. Under what circumstances might a requisition form be used?
10. What is the difference between an OUT guide and an OUT folder?
11. In what phases of the record life cycle are paper documents often reproduced?
12. Name and describe four common copier features.
13. Name three ways companies may attempt to control copying costs.
14. What information is typically recorded in a copier log?
15. List three general guidelines for copier use.



THINKING CRITICALLY

Personnel Services, Inc. is a small agency that places workers in both permanent and temporary jobs. The office is staffed by two placement officers and one office support worker, Eileen. Although Eileen is a competent office worker, she sometimes gets behind in her filing. This morning one of the placement officers, Mr. Thomas, said to her, “I can’t even see the top of the filing cabinet because it’s so cluttered with file folders. Don’t you think you should take time to file them?” Eileen thought to herself, “I don’t even have time to take a coffee break during the day. When am I going to find time to file all these folders?”

1. Why do you think Eileen puts filing so low on her priority list of things to do?
2. How might she find time to file and fulfill her other duties as well?

REINFORCING ENGLISH SKILLS



For written messages to be clear to the reader, commas must be used correctly. Test your skill in using commas in the sentences below. Key or write each sentence and insert commas in the correct positions.

1. Records can be organized alphabetically numerically and chronologically.
2. You will however be responsible for preparing paper records for storage.
3. As a general rule you should cross-reference a record if doing so will save you time when you need to retrieve it later.
4. Before filing a record for the first time you need to prepare it properly for storage.
5. Records may be coded by hand or bar coding may be used to code records.
6. At scheduled times such as after lunch or at the end of the day prepare the records for storage.
7. Bar code labels can be printed on labels as needed or preprinted labels may be purchased.
8. Too many cross-references however will make finding files more difficult.
9. If sorted records are requested before you file them you can find them quickly.
10. “Well Marcus now you see why sorting records is worth the time it takes.”



Topic 10-1 : ACTIVITY 1

RECORDS MANAGEMENT

Code and Cross-Reference Letters

Paper records, such as letters, must be indexed and coded properly before filing. A cross-reference should be prepared when a record may be requested under a different name than the one it is filed under. Practice coding letters and preparing cross-reference sheets in this activity.



1. Open and print the PDF file *CH10 Letters* from the data files. This file contains six letters to be coded and two blank cross-reference sheets.
2. Index and code each letter for filing. You work at Star Satellite Systems, so the letters with this company name in the letterhead are outgoing letters. The other letters are incoming letters. See Figure 10-1.2 for an example of a coded letter.
3. The letter to Anne Ashby and the letter from William Abbott require cross-references. Code cross-reference captions and prepare cross-reference sheets for these letters. See Figure 10-1.3 for an example cross-reference sheet. Which of these letters might require a permanent cross-reference guide?



PRESENTATION

RESEARCH

TEAMWORK

WORD PROCESSING

Topic 10-1

ACTIVITY 2

Reprographics Equipment Presentation



Schools, companies, libraries, government offices, and other organizations have reprographics equipment to help employees complete tasks efficiently. In this activity, you will research how this equipment is used at a local organization and report your findings to the class.

1. Work in a team with three or four other students to complete this activity.
2. With the members of your team, visit one of these local organizations as assigned by your instructor: school, library, business, government office, or copy center (any business that provides copying services for a fee).
3. Ask to see the various types of reprographics equipment used at the organization. Take note of the location and features of the equipment. Note the types of supplies used and the procedures or controls used.
4. Prepare a presentation about the reprographics equipment available at the organization. In the presentation, give the name and a brief description of the organization your team visited. For each piece of equipment, give the brand name, location, and features. Discuss the intended use of the machine—for small-size copying jobs, moderate-size copying jobs, or large jobs. Describe the types of supplies you saw in use or readiness. Discuss any controls or other procedures used (such as monitoring devices and copy logs).
5. Prepare appropriate visuals for use in your presentation. Identify the content each team member will present. Practice your presentation as a team.
6. Deliver your presentation to the class.
7. Write a thank-you letter to the organization you visited from your team. Thank the organization for allowing you to visit, and mention some information that you found particularly interesting or helpful in creating your presentation.

objectives

- Explain how to store records on magnetic media
- Describe supplies used to store and organize magnetic and optical media
- Explain why databases are useful in businesses
- Describe ways to organize microforms
- Explain how computer-assisted retrieval systems are used to speed record retrieval

As an office worker, you will need to know how to store and access information recorded on magnetic media, optical disks, and microforms. Unlike paper records, records stored on these media are not readable by simply looking at the media. These records must be accessed via a computer or a microfilm reader. For this reason, managing these media with great care is important.

Companies that keep many records for a long time may use microforms to store inactive records. Some companies use this medium for active records as well. As an office worker, you should know how these records are created and maintained. You may also need to know how to use computer-assisted retrieval systems.

Records Management Software

Records management software is a computer program that allows electronic control of records. Records can be tracked from receipt or creation, through processing, storage, and retrieval, to disposal. The advantage of such a system is that it allows records management tasks to be performed with limited personnel. Records management software is a tool that helps companies manage records efficiently.

Some records management programs are used with a computer network. This use allows the entire company to have access to records search and retrieval features. Thus, a reduced number of records clerks is required. Some software can also perform the library-like function of retrieving

records management software: computer program that allows electronic tracking and control of records

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Records stored on magnetic or optical media must be accessed using a computer.

records. This feature reduces the need for human management of requisition records. Records management software performs the functions such as:

- Tracking records from creation/reception to destruction
- Tracking stored records, whether on-site or off-site
- Creating and maintaining a retention schedule
- Archiving and managing record archives
- Identifying and managing vital records as part of a disaster recovery program

Storing Files on Magnetic and Optical Media

secondary storage: storage media or devices outside the internal memory of a computer system

Storage media used for data stored outside of a computer is referred to as auxiliary or **secondary storage**. Each collection of related data that is treated as a unit is called a file. Floppy disks, hard drives, flash drives, CDs, and DVDs are common media used for secondary storage. Because CDs and DVDs can hold many more records than a floppy disk, these media are a good choice for archiving records. They are also good for active records that do not need to be updated often.

The internal storage medium for most computer systems is a hard drive. The hard drive is used to store programs that run the system and data files. Many companies use secondary storage to make backup copies of files or for freeing hard drive space of files that are not used regularly. Files stored on the system should be examined periodically. Inactive files should be saved onto a secondary storage medium and then deleted from the internal memory of the system.

Converting Records to Electronic Form

For many large businesses, storing all records on paper is not practical. Decisions must be made about which records can be stored in other forms. Many records can be stored as electronic files on hard drives or CDs and DVDs. When planning to convert records, several questions must be answered. What computer system will be used? What files will be on individual hard drives or network drives? What records will be stored on secondary media, and which media will be used? Converting to electronic form or updating current electronic records systems involves several stages, as shown in Figure 10-2.1.

Storing Electronic Files

Electronic files must be assigned to a folder or directory and given a name so they can be identified and accessed when needed. Some operating systems limit the length of a filename to eight characters. Other systems allow longer, more descriptive names to be used. Some systems allow you to add a three-character extension (such as “doc” for document) to further identify your file. Many programs automatically add the three-character extension. Filenames should reflect the type of data stored in the file. For example, the name assigned to a mailing list file could be *Maillist* or *Austin TX Mailing List*.

Evaluate	<p>Make a careful study of the current system.</p> <p>Determine the number of workers employed to operate it and the equipment used.</p> <p>Evaluate the efficiency of the system.</p>
Develop	<p>Examine the records management software available.</p> <p>Determine the kinds of computer equipment that may work best and be most cost efficient.</p> <p>Determine the types of storage media best suited to the software, the equipment, and the organization.</p> <p>Determine the number of employees and the training required.</p>
Implement	<p>Install the equipment and software.</p> <p>Train the employees.</p> <p>Institute evaluation procedures.</p>
Evaluate	<p>Evaluate the system on an ongoing basis.</p> <p>Alter the system as necessary so that it will continue to meet the organization's needs over time.</p>

The following guidelines may be used in storing electronic files:

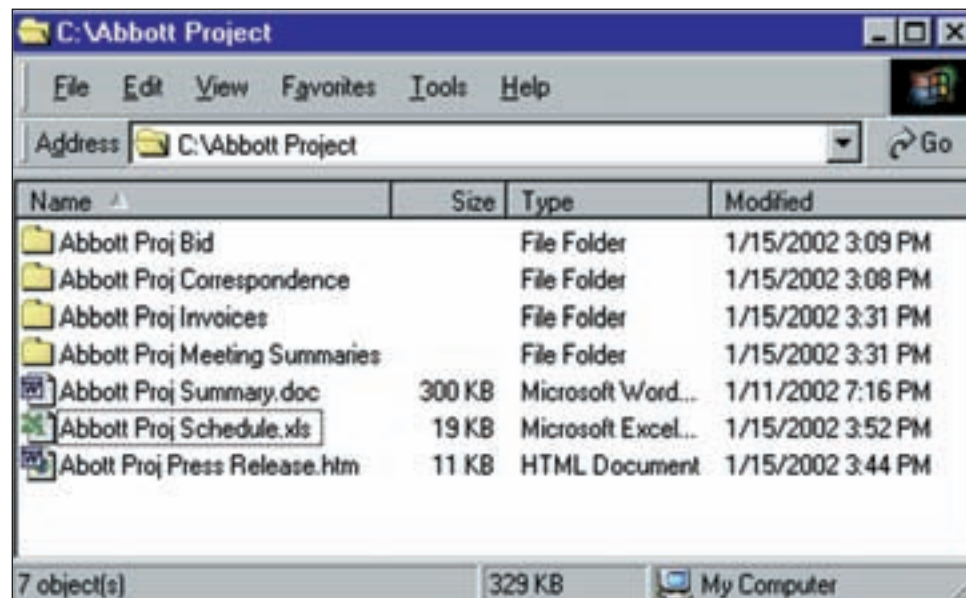
- Create folders to group related files. When a large number of files accumulate in the folder, move files into two or more new folders.
- Give each file a unique name even if it is stored in a different folder than a file with a similar name.
- Use abbreviations that are commonly recognized, for example, *Dept* for department or *Proj* for project.
- If your system allows the use of long file names, use as many characters as needed to make identifying the file easy.
- Use numbers or dates to label versions of a file. For example, your fourth letter to the Accounting Department might be labeled *AcctDpt4* or *Acct Dept Letter 4-2-06*.
- Use the default file extension or allow the program to assign the extension. For example, all word processing documents created with *Word* might use the file extension *doc*. If you use some versions of the *Microsoft Windows* operating system, you may not see file extensions. This setting can be changed in the software.

You must understand the system of drives and folders on your computer or network to store and retrieve files efficiently. The filename alone may not be enough information to retrieve the file quickly. You need to know the drive and folder name where the file is stored. This information is called the **file path**. Figure 10-2.2 shows a list of files and folders in the Abbott Project folder on the C: drive (hard drive) of a computer. The Abbott Project folder contains several subfolders. Individual files are shown for a schedule, a project summary, and a press release. File extensions are shown in this figure. You may or may not see file extensions on your system depending on the options set in the software.

file path: the complete location designation for an electronic file

Figure 10-2.2

This directory shows several folders and individual files.



Companies may have policies that tell how files should be organized on secondary storage media. For example, will all letters be stored in one folder or directory? All mailing lists in another? All business forms in another? Will various files related to one project be stored in the same folder? Will documents be stored in chronological order? By the name of the creator? By the name of the department? The type of records management system a company uses will determine how and where files will be stored.

Storage media can be organized alphabetically or numerically. Each disk, tape, drive, CD, or DVD should be labeled so that it can be located quickly. Captions should give the information to help find records quickly. Often, the labels are color coded to indicate how long the data on the media should be kept.

Making Backup Copies

Data files can be expensive to create again or replace if they become damaged and are no longer usable. Loss of important data files, such as customer, payroll, and personnel records, can cause serious problems for a company. A backup copy of each file, disk, or tape should be made if loss of the data would have serious consequences. Backing up a hard drive, tape, or disk means making a copy of all the data onto another storage medium. Backing up a file means making a copy of an individual file onto a different tape, disk, or drive.

Software programs can be expensive to replace if damaged. Store the original disks or CDs in a safe location after the programs have been loaded onto the computer. If the programs come preloaded on the computer, original disks may not be included. Make backup copies of the programs for use in restoring the software if the programs on the computer should become damaged.

In many companies, each office worker has a computer for his or her sole use. Often these computers are linked together in a local area network. They may also be linked to a wide area network of computers. In some cases, files may be backed up automatically to a network location. In other cases, each employee is responsible for backing up her or his own files.

CHAPTER 10: MANAGING RECORDS



Make a backup copy of important data files.

Most computer operating systems provide easy-to-follow procedures for making backup copies on tapes and disks. Research and practice the backup or copy commands for your particular system if you are not familiar with them. Backup disks should be labeled in the same manner as their original, perhaps with the word *Backup* added to the label. Backup copies of tapes and disks should be stored in a separate, safe location. A CD label is shown in Figure 10-2.3.



Figure 10-2.3

This CD is properly labeled with the contents and date.

Controlling File Security

password: series of letters, numbers, or symbols used to identify a user and gain access to a computer system

The security of files stored electronically is a concern to you as an office worker. You would not want a competitor to have access to a customer mailing list or a sales report that you keyed. Some companies use security measures such as access logs and **passwords**. These measures allow only authorized employees to access certain files. Employees in some companies are required to change passwords frequently. Choose passwords carefully so others cannot easily guess your password. For example, do not use variations of family members' names or birthdates or a favorite sport or hobby as a password. Choose a series of meaningless letters and numbers instead. Do not leave your password in a location where others can access it easily, such as taped to your monitor or under your keyboard. Store your password in a safe place.

Take steps to safeguard files when in use. For example, clear a document from the computer screen when you take a break or leave your computer for other reasons. Log off the computer network before leaving your computer so others cannot use your computer to access files. Do not send files containing confidential information as e-mail attachments. Store disks in a concealed location rather than on the surface of your workstation. Store disks with highly confidential information in a locked cabinet or drawer.

Many companies have a policy manual that outlines the procedures for handling files. In addition to security and backup procedures, such a manual often includes policies regarding:

- E-mail
- Downloaded files
- Internal audits for proper use and storage of files
- Retention schedules
- Accessing or storing files at home or other off-site locations

Storing Magnetic and Optical Media

Magnetic and optical media require special care to protect the valuable data they contain. Magnetic media, such as floppy disks, hard drives, and flash drives, must be protected from extreme heat or cold, moisture, dust, and magnetic fields. Optical media, such as CDs and DVDs, should be protected from dust, moisture, and rough surfaces that may scratch the disk. Being aware of these possible hazards can help you protect the media that you handle and organize.

Disk Storage

Floppy disks, DVDs, and CDs can be organized and stored in a variety of ways. The way selected will depend on the number of items you need to store. How often the records are used is also an important factor to consider in choosing how to store the disks. Many companies color code the labels to speed the storage and retrieval process.

FOCUS ON . . .

Protecting Online Records

Online records may be stored on a single computer or a computer network. Records are stored online so they may be accessed quickly. Security procedures are needed to protect online records from destruction, damage, theft, or misuse.

Damage to online records can result from mistakes made by workers. For example, an employee may delete the wrong file or incorrect data may be keyed in a database record. Employee training can help reduce these types of errors. Restricting access to only certain users can also help protect online records.

Online records can be destroyed or misused by employees. Dishonest employees may access records to steal data such as product designs. Unauthorized users, called **hackers**, may access a computer network to steal data. They might also create computer viruses that can destroy records. A virus can also be loaded by an unsuspecting employee using an infected file. A virus is dangerous because it can copy itself and may quickly use all of the computer's memory. The virus may delete important data or cause the computer to stop working. Some viruses can transmit across networks and avoid security systems.

To protect online records, companies back up data regularly. This process prevents the data from being lost if online records are damaged. Backup copies of records are stored in a safe location. Companies

commonly issue passwords to employees. These passwords must be used to access the computer network. Passwords should be chosen carefully and stored in a secure location.

Companies use software and equipment called firewalls in an effort to prevent unauthorized use of a computer network. All messages entering or leaving the network pass through the firewall. The firewall blocks those messages that do not meet security standards. Programs are also available that can detect attempts at unauthorized access or other attacks on a computer system.

Antivirus software is designed to detect computer viruses and can destroy many viruses as well. Antivirus software can be set up to scan each file loaded on the computer or network to check for viruses. Antivirus software must be updated regularly to be effective because new viruses are created on an ongoing basis.

As an office worker, you have an important role to play in protecting online records. Security procedures are effective only if used correctly by employees. Regularly back up online records. Choose passwords carefully and store them where others cannot read them. Use antivirus software to scan all files loaded onto your computer. Update the software regularly. Follow all company procedures you are given for protecting online records.

Disks are often filed in plastic boxes, cases, or trays designed to protect them. Within the case are guides to create sections in the case and make storage and retrieval simpler. Disks may be stored in plastic pockets designed to fit a ring binder or folder. Each disk is protected by the pocket into which it slides. Some plastic pockets can hold hard copy as well as disks. Others are designed to allow disks to be placed in a standard paper file.

hacker: a person who accesses a computer or network without proper permission or approval

Colored labels on jewel cases can be used to help organize CDs.



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Reel Tape Storage

Reels of tape are stored in round, protective cases. These cases are usually hung for easy access or stored on wire racks. Sometimes the cases have handles or hooks that allow the reels to be attached to frames or cabinets. Other times the cases rest on a backward-slanting shelf. Labels on the protective cases can be color coded for easy reference.

Database Management Systems

electronic database: a collection of records accessible by computer

A database is any collection of related records. An **electronic database** is a collection of records stored and retrieved by computer. These databases are useful because thousands of records can be searched in only a few seconds. Searching the same number of records stored on paper would take a long time. In many companies, workers can get data from a database by using a computer network. This prevents the need to have the same data stored in each department or work group.

A database management system (DBMS) organizes large numbers of records in a database. A major advantage of a DBMS is that data can be compared and shared among the tables in the database. For example, the Internal Revenue Service uses a DBMS to compare data on a person's current income tax return with data on past tax returns. Another advantage of a DBMS is data security. Access to parts of the database can be limited to authorized employees who have been issued passwords.

A DBMS helps users keep database records up to date. Suppose you work in a company that uses a DBMS to manage its personnel and payroll records. If an employee's last name changes, you need to make the change only in the personnel record. The system will automatically update the payroll record.

Lao Ji works for The Supply Closet, which sells office supplies. The company's database management system contains a master record for each customer. When Lao Ji inputs data for a customer order, he simply enters the customer name in the customer order form screen. Other customer data such as the customer number, address, and available credit amount are completed by the DBMS. This data is stored in the customer master record. Lao Ji can create the customer order quickly and accurately because he does not need to key the customer number and address. He can also see whether the customer has enough available credit to cover the order.

Customer Master	
Customer Number	297338
Customer Name	Jackson Industries
Address	15445 Stony Creek Way
City	Noblesville
State	IN
ZIP	46060-4484
Telephone	317-773-1445
Contact Person	Casey O'Donald
Credit Limit	\$5,000.00

Figure 10-2.4

Master customer record from a DBMS

Image Processing Systems

Image processing is an effective way to store documents that must be seen in their original form to verify information. An image processing system uses software and special equipment, including scanners and optical disks, to store an exact copy of a paper document. The images may be very complex. Sound files may be used to provide comments about the images. These systems are like huge electronic filing cabinets linked together. They allow the user to quickly access and review the images of documents. A computer is used to display a document on the screen or to print a hard copy of it.

Optical disks are an important part of image processing systems. Optical disks offer large storage capacity and can be stored in a retrieval system called a jukebox. A jukebox contains many disks and allows records to be retrieved quickly. Jukeboxes can be linked together, which further increases storage capacity.

WORKPLACE CONNECTIONS

Sharmane is a customer service supervisor at a savings and loan company. All questions and comments from customers regarding their mortgage accounts are directed to her. The company stores all its customer accounts on optical disks. Sharmane is describing the features of the image processing system to Dewey, a new employee.

Sharmane: "Our new image processing system lets me retrieve documents quickly. When customers call with questions about a mortgage payment, I just key the customer's account number at my computer. The system quickly locates the account and displays it on my screen. I can even get a printout if I want."

Dewey: "That's certainly efficient."

Sharmane: "Right! Before, locating document files took so long that I'd have to tell customers that I'd call them later after I'd pulled the folder."

Organizing Microforms

In a paper system, you file individual records in folders. You label each folder so that you can identify the contents and file the folder correctly. A microform is similar to a folder because it contains many records. Microforms should be labeled and organized so that they can be retrieved easily. How you label and organize the microforms will depend on the particular filing system used in your organization. Records may be filed by name, number, subject, or location.

A microfiche is a sheet of film containing several rows of images. At the top of each microfiche (or fiche) is space to label the contents of that particular sheet. The caption on a sheet is similar to the caption used on a folder in a paper filing system. Microfiche labels are frequently color coded for easy retrieval.

Microfiche is the microform commonly used for active (frequently used) storage. Fiche can be stored efficiently in panels. These panels are pages of paper or vinyl that have several slots into which you insert the microfiche. The slots are deep enough to protect the fiche, yet shallow enough to allow the caption to be read easily. Microfiche can also be stored in trays or file cabinets where guides and color-coded labels are used to organize them.

Roll microfilm is kept in protective cases or boxes. A label is attached to the case or box to identify the records. The roll is filed with other rolls in a drawer or cabinet according to the filing system used.

The most commonly used aperture card contains only one record or image. Captions can be printed along the top edge of the card. The cards can be filed much as you would file and retrieve paper records. Aperture cards are often housed in trays.



SOUTH-WESTERN CENGAGE LEARNING

The identifying information printed on an aperture card is used in storage and retrieval.

Retrieving Records on Microfilm

To find a record on microfilm, you must know on which roll, fiche, or aperture card the record is stored. If the record is on roll microfilm or microfiche, you also must know the specific location of the record on the film. An index lists an address for each microfilm record. The first step in retrieving a record is to consult the index to find the location of that record. Next, a reader is used to view the record. A full-sized hard copy of the record can be printed if needed.

Computer-assisted retrieval (CAR) is the process of locating records on film by using computer-stored indexes. A simple CAR system uses a computer and a reader/printer. You use the computer to print or display the index to find the record location. Then you manually locate and load the proper microform into the reader.

Advanced CAR systems use computer software to maintain an index that is similar to an electronic database. An advantage of a database index is that you can search for a record by name, subject, or date. The address of the needed record will be displayed on the screen. Then you place the microform into the reader/printer and view the record.

Some CAR systems automatically locate the correct image and display it on the reader screen by using a film autoloader. These systems allow microform records to be viewed from remote locations via a computer network.



A microform reader can be used to view and print records.

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REVIEWING THE TOPIC



1. What is the advantage of records management software?
2. What functions does records management software perform?
3. List three guidelines to follow when naming files for electronic storage.
4. When labeling individual disks or tapes, what descriptive information should appear on the labels?
5. Why should you make backup copies of disks and tapes?
6. List four steps you can take to safeguard electronic files when in use.
7. Why are databases useful to businesses?
8. What is one major advantage of using optical disk storage?
9. Describe how microforms may be stored.
10. How are records retrieved using a simple CAR system?

INTERACTING WITH OTHERS



You and two of your coworkers, Gloria and Paula, are working late one evening. All the other employees have gone for the day. During a brief break, Gloria says to you: “I hear the company is about to close some pretty big real estate deals. You know the access code for the financial database. Let’s look and see what’s going on.” Paula agrees, saying, “Sure! No one else is here. What difference will it make? We won’t tell anyone you let us see the information.”

1. How would you react in this situation? What would you say to your coworkers?
2. What might be the consequences of accessing and sharing this confidential information with coworkers?

REINFORCING MATH SKILLS



1. Your company estimates that it takes you 20 minutes less to file each day using folders with color-coded file labels than using folders without them. Calculate how many hours the use of color-coded file labels saves you each week (5 working days), each month (4 weeks), and each year (50 weeks). Show your calculations.
2. Eight file folders have captions with *Randolph* as the first indexing unit, six folders have *Reynolds* as the first unit, and two folders have *Rogers* as the first unit. One hundred and thirty folders are filed under the letter *R*. Of the total *R* folders, calculate what percentage are *Randolph* folders, what percentage are *Reynolds* folders, and what percentage are *Rogers* folders. Round your answers to the nearest whole percentages. Show your calculations.



Organizing Electronic Files

Electronic files must be named and organized properly to make them easy to retrieve. You have recently begun a new job working with three executives in the accounting firm Carson Associates. Several files that were created by the person who previously had this job are stored on your computer. However, no clear organization or consistent file names have been used. You must organize the existing files. You will also create a plan for naming and organizing the files you will store in the future. The plan should be simple and clear so that someone unfamiliar with your files, such as one of the executives or a temporary worker, could easily find a particular file.



1. You have quickly scanned the contents of the files on your computer and made notes about what each file contains. Open and print the PDF file *CH10 Files* from the data files. This file contains the information you noted about the files.
2. Review the guidelines for naming electronic files found in this topic. Then create a plan that includes folders and subfolders that will let you quickly find files about a particular topic for any of the three executives. Outline your plan showing the structure and names of main folders and subfolders so that it would be easy for someone else to understand.
3. Create a plan for naming files that will be consistent and simple. Write a brief description of your plan. For each file currently on your computer (as listed on the printout), key the current file name. Then key the file path (main folder and any subfolders in which the file will be stored) and the new name you will give the file. Assume that the computer is set to show file extensions.
Example: Star bid 1.doc C:\Stone\Bids\Stardust Bid 6-23.doc
4. Show the structure of your new file system. Arrange the folder names and new file names in groups to show each main folder, each subfolder within each main folder, and each new file name within a main folder or subfolder.
5. Keep all your notes and a copy of your file structure and file names for use in a later activity.

Topic 10-2 : ACTIVITY 2

DATABASE

RECORDS MANAGEMENT

Electronic Files Index

In this activity, you will continue your work at Carson Associates. You created a file organization and naming plan in Topic 10-2 Activity 1. Now you will create a computer index to track the electronic records and their retention dates.



1. Create a new database named *CH10 Index*. Create a table named **Files Index**. Include the following text fields in the table: Filename, File Path, Date, Originator, Key Content, Category, Active Storage, and Inactive Storage. Make the Filename field the primary key.
2. Use the list of new filenames and paths you created in Topic 10-2 Activity 2. Create a record in your database for each file.
 - Enter the filename in the Filename field, for example, Stardust Bid 6-23.doc.
 - Enter the path for the file in the File Path field, for example, C:\Stone\Bids.
 - Enter the date of the file in the Date field.
 - Enter the name of the executive for whom the file was created in the Originator field.
 - Enter a few words that indicate what the record relates to in the Key Content field, for example, cover letter for bid.
 - Enter the type of record, such as letter, report, spreadsheet, presentation, or database, in the Category field.
 - Enter the retention period for which the document will be kept in active online storage on your computer in the Active Storage field. See the list below to determine retention periods.
 - Enter the retention period for which the document will be kept in inactive storage (on a disk) in the Inactive Storage field.

Retention Periods

Category	Active Storage	Inactive Storage
Bank reconciliations	3 years	Permanent
Bids and related correspondence	1 year	4 years
Client database	Permanent	
Correspondence	1 year	4 years
Financial statements (balance sheets and income statements)	3 years	Permanent
Invoices	2 years	7 years
Presentations	1 year	2 years

3. Create a query named **Files by Originator**. Base the query on the Files Index table. Show the Originator, Filename, File Path, Date, and Key Content fields in the query results table. Sort the records in ascending order, first by the Originator field, then by the File Name field. Print the query results table.
4. Assume six months have gone by since you created your electronic records index. You would have created many more files during this time. Mr. Stone asks you to find any records related to taxes for Beal Tires. Create a query named **Beal Tires** to find this information. Base the query on the Files Index table. Display the Filename, File Path, Date, Originator, and Key Content fields in the query results. Sort the records by the Filename field. Print the query results.

CHAPTER REVIEW 10

Summary

In this chapter, you learned about managing records. Records may be stored on paper and other media. Reprographics was discussed as part of the use and maintenance phases of the record life cycle. Review the following key points:

- Five steps are involved in preparing paper records for storage. These steps are collecting, inspecting, indexing/coding, cross-referencing, and sorting.
- Vertical and lateral file cabinets are often used to house folders. Shelf files are overall the optimal choice for housing folders.
- Supplies such as requisition forms, OUT guides, and OUT folders are used to manage records efficiently.
- A retention schedule identifies which records should be removed from active storage and on which dates.
- Methods of storage that can be used to protect vital records include multisite storage, planned dispersing, duplication, and vaulting.
- Copiers are found in a typical business office and are used by almost all employees.
- Businesses may have a copying center to handle large copying jobs and other copiers for use with small copying jobs.
- Electronic copier/printers can receive, transmit, store, print, and copy data.
- Measures used to control copier use include monitoring devices, copy logs, user guidelines, and copying centers.
- Many businesses store records on magnetic disks, drives, and tapes. These media must be carefully labeled and organized.
- A company that has many records to maintain may use a database. A database management system simplifies and speeds up the retrieval process by organizing large numbers of records.
- Image processing systems allow users to view images of documents. The images may be stored on optical disks.
- Electronic files should be organized for easy retrieval. Many companies use secondary storage to back up files and free hard drive space.
- Companies use measures such as backing up data, password access, firewalls, and antivirus software to protect online records.

Key Terms

bar code
copyright laws
cross-reference
electronic database
file path

hacker
password
records management
software
release mark

reprographics
requisition form
secondary storage
sorting

RECORDS MANAGEMENT

Chapter 10 : ACTIVITY 1

Alphabetic Filing



Applying standard alphabetic indexing rules correctly is essential for effective records management. In this activity, you will apply rules for alphabetic indexing as you index and code names of individuals and organizations. You will also arrange the records in filing order for an alphabetic file.



1. Open and print the PDF file *CH10 Names* from the data files. You have reviewed 60 pieces of correspondence that are to be filed in an alphabetic name file. You have identified the filing segment (name) to use for filing each document. These filing segments are shown on the printout.
2. Review the alphabetic indexing rules in Figure 9-2.5 on page 375 or in *Reference Section F* in your *Student Activities and Simulations* workbook.
3. For each filing segment on the printout, code the name by placing slash marks between the units. Number the indexing units above the name. Refer to Figure 10-1.1 on page 393 for an example of a coded name.
4. If you were filing the actual documents, you would sort them in alphabetic order before going to the filing cabinets to file the documents. Sort the coded names on the printout in alphabetic order as you would sort documents. Prepare a list of the document numbers as they are arranged in alphabetic order to submit to your instructor.

DATABASE

RECORDS MANAGEMENT

WORD PROCESSING

Chapter 10 : ACTIVITY 2

Electronic Files Backup



In this activity, you will continue your work at Carson Associates. In Topic 10-2 Activity 2, you created a computer index to track the electronic records and their retention dates. You will use the index to identify files to be moved to secondary storage. You will also determine the filing order for the backup disks.

1. Assume you created your records index on August 10 of the current year. Now assume that 13 months have gone by since that date when the index was created. You need to find all records that have been in active storage longer than the time shown on the retention schedule. In this situation, records with *1 year* in the Active Storage field would

be ready for transfer to inactive storage. Create a query based on the Files Index table. Name the query **Files to Transfer**. Show the Originator, Filename, File Path, Category, Active Storage, and Inactive Storage fields in the query results. Sort the query results by the Filename field. Key *1 year* in the Criteria row for the Active Storage field. Run the query and print the query results table.

2. Decide how to group these records shown in the query results for transfer to inactive storage on disks. How many disks will be used? Which files will be placed on each disk? Key and print a list of the files that will be saved on each disk.
3. Key a label to place on each backup disk. Each label should list the originator, the contents of the disk, the date the backup disk is created, and how long the files should be retained. See the example label below. Also indicate the operating system and software used to create the records. See your original notes about the files for this information.

Stone
Presentations

Backup Created: 9/10/--
Retention: 2 years:

Windows XP
Microsoft PowerPoint 2003

4. You will store the disks containing backup files in a plastic storage container. You have decided to arrange the disks alphabetically first by originator and then by subject. Arrange the disk labels in the order in which the disks would be arranged according to your plan.
5. Print the labels. (Print on plain paper if labels are not available.)

After completing all the chapters in Part 3, complete the Part 3 simulation, At Work at Maple Valley Chamber of Commerce. The simulation is found in the Student Activities and Simulations workbook.