



RECORDS MANAGEMENT

Judith Read and Mary Lea Ginn

Chapter 3

Alphabetic Indexing Rules 1-4

Need for Alphabetic Order

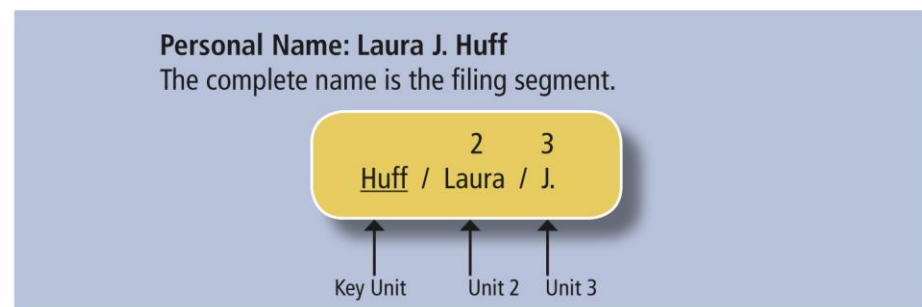
- Some filing or storing method must be used to store records in an efficient way
- Alphabetic filing method
 - Records are arranged by letters of the alphabet
 - Variations exist in some systems
- Filing guidelines
 - Ensure consistency in storage procedures
 - Are published by Association of Record Managers and Administrators (ARMA) International

Indexing

- Indexing involves
 - Determining the name by which a record will be stored
 - Placing or listing of items in an order that follows a particular system
- Filing segment
 - Name or subject selected in indexing
 - Should be the name by which the record will be stored and requested

Indexing Units

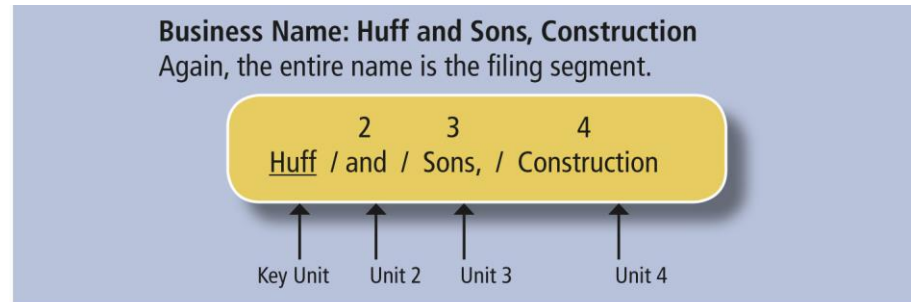
- Indexing units are words that make up the filing segment
- The key unit is the first unit in a filing segment
- Indexing order indicates the order in which units are considered



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Coding

- Coding is assigning a file designation to records as they are classified
- Indexing rules determine how segments are ordered



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Rule 1: Indexing Order of Units

- Personal names
 - The surname (last name) is first
 - The given name (first name) is second
 - The middle name or initial is third

Examples of Rule 1A

	FILING SEGMENT	INDEXING ORDER OF UNITS		
	Name	Key Unit	Unit 2	Unit 3
1.	Charlene Sample	Sample	Charlene	
2.	Darin Sample	Sample	Darin	
3.	Darlene A. Samples	Samples	Darlene	A

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Rule 1: Indexing Order of Units

- Business names
 - Indexed as written
 - Each word in the name is a separate unit
 - Letterheads or trademarks are used as guides

Examples of Rule 1B

	FILING SEGMENT	INDEXING ORDER OF UNITS		
	Name	Key Unit	Unit 2	Unit 3
1.	Samantha Seger Designs	Samantha	Seger	Designs
2.	Secure Design	Secure	Design	
3.	Secure Digital Networks	Secure	Digital	Networks

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Rule 2: Minor Words and Symbols

- Business names
 - Articles, prepositions, conjunctions, and symbols are separate indexing units
 - Symbols are spelled out in full
 - “The” that begins a name is the last unit

Examples of Rule 2

FILING SEGMENT		INDEXING ORDER OF UNITS			
	Name	Key Unit	Unit 2	Unit 3	Unit 4
1.	A & A Drilling	A	and	A	Drilling
2.	A Clean House	A	Clean	House	
3.	The An Dong Market	An	Dong	Market	The

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Rule 3: Punctuation and Possessives

- All punctuation is disregarded
 - In business names
 - In personal names

Examples of Rule 3

FILING SEGMENT		INDEXING ORDER OF UNITS			
	Name	Key Unit	Unit 2	Unit 3	Unit 4
1.	Grant & Reardon Sales	Grant	and	Reardon	Sales
2.	Grant's Barber Shop, Inc.	Grants	Barber	Shop	Inc
3.	Grant's Homestyle Eatery	Grants	Homestyle	Eatery	
4.	I Do Windows!	I	Do	Windows	
5.	I_can_do_it.com	Icandoitcom			

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Rule 4: Single Letters and Abbreviations

- Personal names
 - Initials are separate indexing units
 - Abbreviations and nicknames are indexed as written

Examples of Rule 4

	FILING SEGMENT	INDEX ORDER OF UNITS			
	Name	Key Unit	Unit 2	Unit 3	Unit 4
1.	A CT Realty	A	C	T	Realty
2.	Ace Smile Dental Lab	Ace	Smile	Dental	Lab
3.	Ackerson & Day Mfgs.	Ackerson	and	Day	Mfgs
4.	KKRS Radio Station	KKRS	Radio	Station	

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Rule 4: Single Letters and Abbreviations

- Business names
 - Single letters are indexed as written
 - An acronym or abbreviation is one unit
 - Radio and TV call letters are one unit

Examples of Rule 4

	FILING SEGMENT	INDEX ORDER OF UNITS			
	Name	Key Unit	Unit 2	Unit 3	Unit 4
1.	A CT Realty	A	C	T	Realty
2.	Ace Smile Dental Lab	Ace	Smile	Dental	Lab
3.	Ackerson & Day Mfgs.	Ackerson	and	Day	Mfgs
4.	KKRS Radio Station	KKRS	Radio	Station	

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Cross-Referencing

- Copy of a record or a cross-reference sheet
 - Shows the name in a form other than that used on the original record
 - Indicates the storage location of the original record
- Should be done with discretion
 - Too many cross-references crowd the files
 - Each one takes valuable time to prepare

Cross-Reference Examples

- Personal names
 - Unusual or easily confused names
 - Hyphenated surnames

CODED FILING SEGMENT	CROSS-REFERENCE
2 Charles / <u>David</u>	2 <u>Charles</u> / David SEE David Charles
2 Wendy / <u>Reardon-Bruss</u>	2 3 <u>Bruss</u> / Wendy / Reardon SEE ReardonBruss Wendy

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Cross-Reference Examples (continued)

- Personal names
 - Alternate names
 - Similar surnames

CODED FILING SEGMENT	CROSS-REFERENCE
2 Michelle / <u>Star</u>	2 <u>Starkinsky</u> / Michelle SEE Star Michelle

<p><u>Brown</u> SEE ALSO Browne, Braun, Brawn</p>	<p><u>Browne</u> SEE ALSO Brown, Braun, Brawn -----</p> <p><u>Braun</u> SEE ALSO Brown, Brawn, Browne -----</p> <p><u>Brawn</u> SEE ALSO Brown, Browne, Braun</p>
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Cross-Reference Examples (continued)

- Business names
 - Compound names

CODED FILING SEGMENT	CROSS-REFERENCE
<p style="text-align: center;">2 3</p> <p><u>Jarvis</u> / Rasmussen, / and /</p> <p style="text-align: center;">4 5</p> <p>Sheraden / Antiques</p>	<p style="text-align: center;">2 3</p> <p><u>Rasmussen</u> / Sheraden / and /</p> <p style="text-align: center;">4 5</p> <p>Jarvis / Antiques SEE Jarvis Rasmussen and Sheraden Antiques</p> <hr style="border-top: 1px dashed black;"/> <p style="text-align: center;">2 3 4</p> <p><u>Sheraden</u> / Jarvis / and / Rasmussen /</p> <p style="text-align: center;">5</p> <p>Antiques SEE Jarvis Rasmussen and Sheraden Antiques</p>

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Cross-Reference Examples (continued)

- Business names
 - Names with abbreviations and acronyms

CODED FILING SEGMENT	CROSS-REFERENCE
<u>MADD</u>	2 3 4 <u>Mothers</u> / Against / Drunk / Driving SEE MADD
2 <u>EZ</u> / Electronics (Ewen and Zucker Electronics)	2 3 4 <u>Ewen</u> / and / Zucker / Electronics SEE EZ Electronics ----- 2 3 4 <u>Zucker</u> / and / Ewen / Electronics SEE EZ Electronics

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