



RECORDS MANAGEMENT

Judith Read and Mary Lea Ginn

Chapter 6

Alphabetic Records Management Equipment and Procedures

Physical Documents Records Storage

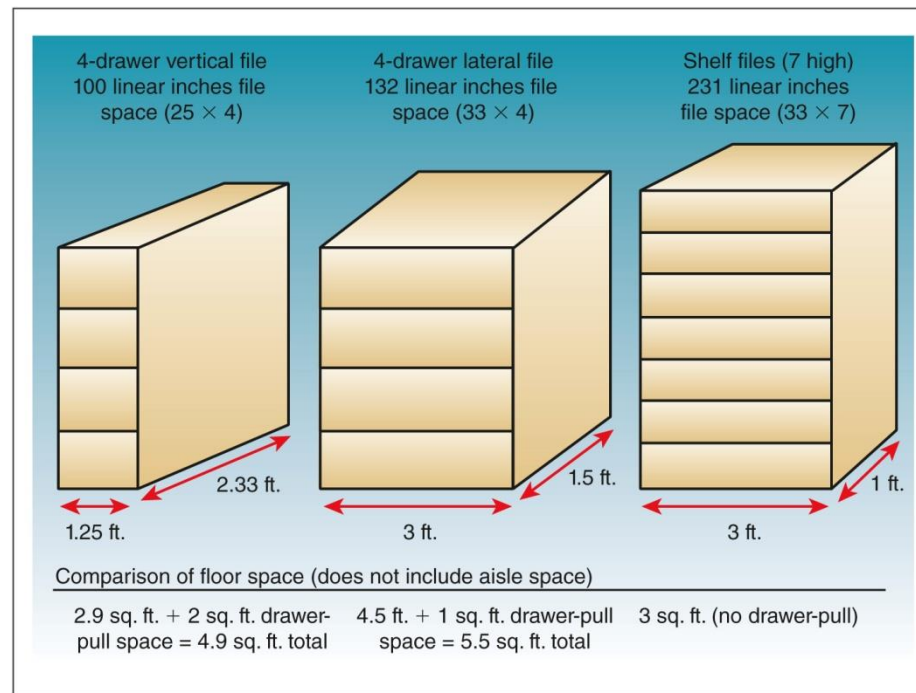
- Records management—the systematic control of all records
- Storage—placing records onto a shelf or into a file drawer according to a storage method
- Storage methods
 - Alphabetic, subject, geographic
 - Numeric or chronologic
- Alphabetic records management—storing records according to letters of the alphabet

Storage Equipment

- File cabinets
 - Vertical file cabinets
 - Lateral file cabinets
- Shelf files
- Mobile shelving

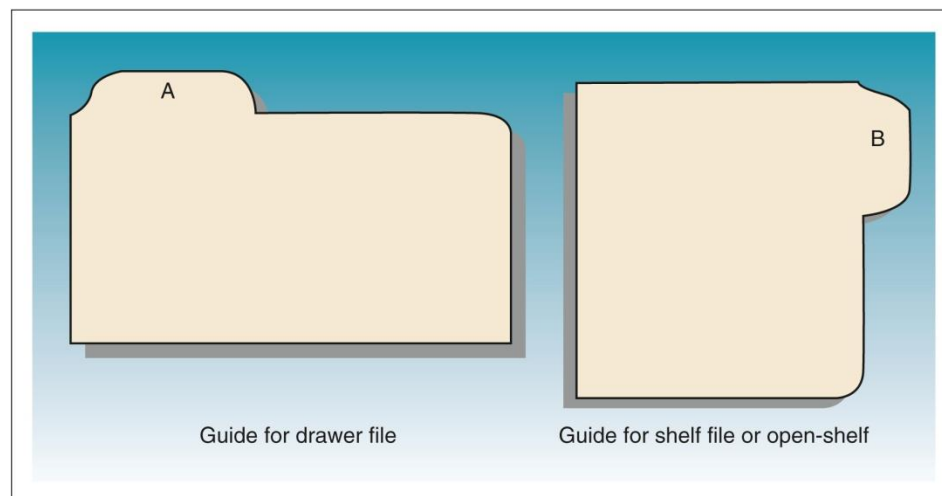
File Capacity and Space Requirements

- Consider file capacity and floor space requirements when selecting equipment



Storage Supplies

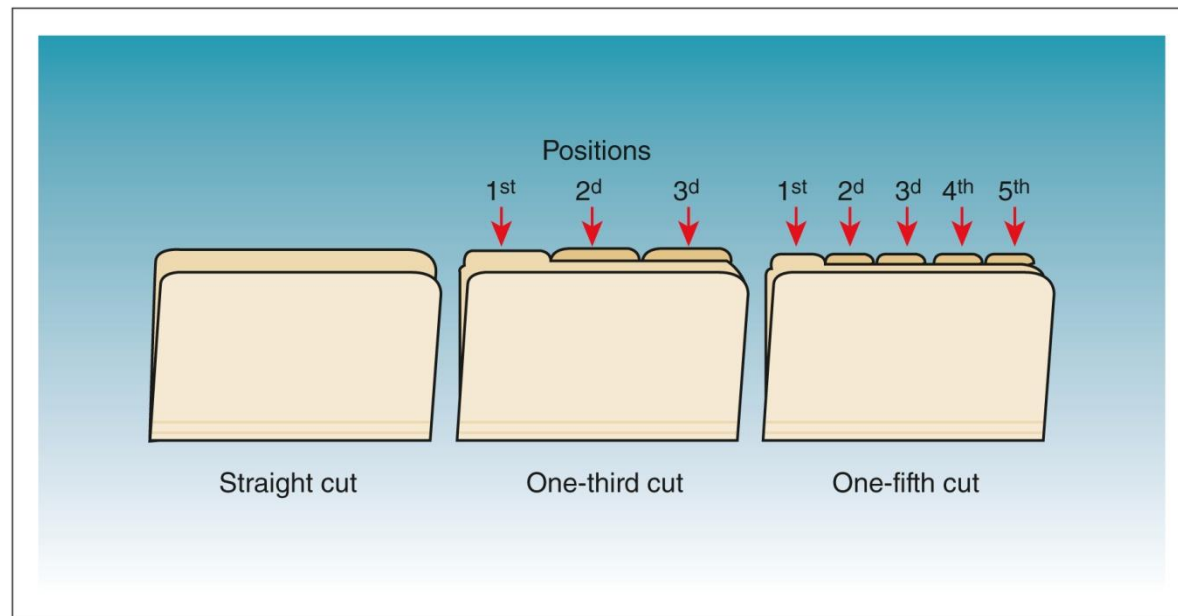
- Use of proper supplies aids in efficient storage and retrieval
- Guides are rigid dividers used to identify a section in a file
 - Primary guides
 - Special guides



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Folders

- Hold and protect records in a file
- Are available in various cuts and positions



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Folders

- General folder—for records to and from correspondents with a small volume of records
- Individual folder—for records of an individual correspondent with several records
- Special folder—for records stored behind a special guide

Care of Folders

- Proper care of folders will help make stored records readily accessible
 - Limit the number of records in a folder
 - Use score marks to expand folders
 - Prepare a second folder for a correspondent when a folder becomes too full
 - Replace folders that are worn from heavy use

Other Folders and Compressors

- Suspension folder—has hooks on each side that hang from metal rails on a file drawer
- Bellows folder—has a top flap and sides to enclose records in a case
- Pocket folder—has partially enclosed sides and more expansion at the bottom
- Follower block (compressor)—can be moved to allow contraction or expansion of the drawer contents

OUT Indicators

- Control devices that show the location of borrowed records
 - OUT guides are used to replace any record that has been removed from storage
 - OUT folders are used to replace a complete folder that has been removed from storage
 - OUT sheets are forms inserted in place of records removed from folders

Labels

- Labels contain the names, subjects, or numbers assigned to file items
 - Container labels
 - Guide labels
 - Folder labels
- Bar codes may be placed onto labels along with names

Sorters

- Sorters are used to arrange records into alphabetic or numeric categories
 - Hold records temporarily prior to storage
 - Make locating unfiled records easier
- Records to be filed are organized in the order in which they will be filed
- Sorters improve the speed and accuracy of filing in the records system

Folder Selection Considerations

- Type and volume of records
- Degree of protection required for records
- Efficiency and ease of use of equipment and systems
- Space available
- Cost

Advantages of Alphabetic Storage

- Alphabetic storage does not require an index
- Alphabetic order is easy to understand
- Storage is easy when following standard methods
- Misfiles are easily checked
- The direct access feature can save time
- Related records for one name are grouped together

Disadvantages of Alphabetic Storage

- Rules must be followed to prevent misfiling
- Similar names may cause confusion
- Misfiles can result in lost records
- File names are not confidential
- Related records for different names are not grouped together

Considerations for System Selection

- The total volume of records
- The number of records in each section
- The expected activity in the files
- The length of time records are to be kept
- The efficiency of the filing personnel
- The time and resources available for training

Examples of Records Storage Systems

- A variety of manufacturers provide records and information storage systems.
- Both storage equipment and supplies are included in a storage system.
- Color may be used for coding or accenting.
 - Blocks of colored folders act as a visual guide.
 - Color bars can correspond to the first letters of the name to create blocks of colors.

Procedures for Storing Physical Records

- Inspecting
- Indexing
- Coding
- Cross-referencing
- Sorting
- Storing



This letter has release marks and is coded for filing.

Tickler File

- A date-sequenced file by which matters pending are flagged for attention.
 - Also called a *pending file*
 - May be a physical or electronic file
- The tickler file should be checked each day.
- The notes in the file serve as reminders to act on specific items.

Misfiled or Lost Records

- To find missing physical records
 - Look in the folders near the correct folder
 - Check for transposition of numbers or names
 - Look in preceding years or related subjects
 - Look in the related general folder
 - Look in the sorter for unfiled records
- To locate electronic records, use the search feature of the computer's operating system