Ethiopian TVET-System

customer contact works support
LEVEL-II
Based on August 2012GC Occupational standard

Module Title: **Processing and Maintaining Workplace Information**

TTLM Code: **EIS CCS2 TTLM 0919v1**

This module includes the following Learning Guides

LG12: **Collecting information**

LG Code: EIS CCS2M05LO1-LG-12

LG13: Processing workplace information

LG Code: EIS CCS2M05LO2-LG-13

LG14: Maintaining information systems

LG Code: EIS CCS2M05LO3-LG-14

Instruction Sheet	*LG12:* **Collecting information**

This learning guide is developed to provide you the necessary information regarding the following **content coverage** and topics –

1. Collecting relevant *information*
2. Using *business equipment/technology*
3. **Applying *organizational requirements*** relating to security and confidentiality

This guide will also assist you to attain the learning outcome stated in the cover page. Specifically, upon completion of this Learning Guide, **you will be able to –**

1. Collect relevant *information*
2. Use *business equipment/technology*
3. Apply *organizational requirements* relating to security and confidentiality

Learning Instructions:

1. Read the specific objectives of this Learning Guide.
2. Follow the instructions described in number 3 to 20.
3. Read the information written in the "Information Sheets 1". Try to understand what are being discussed. Ask you instructors for assistance if you have hard time understanding them.
4. Accomplish the "Self-check 1" **in page-.**
5. Ask from your instructor the key to correction (key answers) or you can request your teacher to correct your work. (You are to get the key answer only after you finished answering the Self-check 1).
6. If you earned a satisfactory evaluation proceed to "Information Sheet 2". However, if your rating is unsatisfactory, see your instructor for further instructions or go back to Learning Activity.
7. Submit your accomplished Self-check. This will form part of your training portfolio.

1.1 *Collecting relevant* information

Records management

Records management, also known as the **records and information management**, is the professional practice of managing the records of an organization throughout their life cycle, from the time they are created to their eventual disposal. This includes creation, storing, retrieving and destroying or permanently preserving records.

An organization's records preserve its corporate memory. In determining how long to retain records, their capacity for re-use is important. Many are simply kept as evidence of a transaction. Others document what happened and why.

Records are visually or mechanically or electronically readable materials regardless of their physical form that are received or created in connection with the activities of individuals or organizations. Records can be either tangible objects, such as paper documents like birth certificates, driver's licenses, and physical medical x-rays, or digital information, such as electronic office documents, data in application databases, web site content, and electronic mail (email). of business.

Not all documents are records. A *record* is a document consciously retained as evidence of an action. Records management systems generally distinguish between records and non-records (convenience copies, rough drafts, duplicates), which do not need formal management. Many systems, especially for electronic records, require documents to be formally *declared as a record* so they can be managed. Once declared, a record cannot be changed and can only be disposed of within the rules of the system.

Just as the records of the organization come in a variety of formats, the storage of records can vary throughout the organization. File maintenance may be carried out by the owner, designee, a records repository, or clerk. Records may be managed in a centralized location, such as a records center or repository, or the control of

records may be decentralized across various departments and locations within the entity. Records may be formally and discretely identified by coding and housed in folders specifically designed for optimum protection and storage capacity, or they may be casually identified and filed with no apparent indexing. Organizations that manage records casually find it difficult to access and retrieve information when needed. The inefficiency of filing maintenance and storage systems can prove to be costly in terms of wasted space and resources expended searching for records

Data that is (1) accurate and timely, (2) specific and organized for a purpose, (3) presented within a context that gives it meaning and relevance, and (4) can lead to an increase in understanding and decrease in uncertainty.

Information is valuable because it can affect behavior, a decision, or an outcome. For example, if a manager is told his/her company'snet profit decreased in the past month, he/she may use this information as a reason to cut financialspending for the next month. A piece of information is considered valueless if, after receiving it, things remain unchanged. For a technical definition of information see information theory. http://www.workawesome.com/

1.2.Collect *information* in a timely manner and ensure that it is relevant to organisational needs

Information may include:

- computer databases (library catalogue, customer records)
- computer files (letters, memos and other documents)
- correspondence (faxes, memos, letters, email)
- forms (insurance forms, membership forms)
- invoices (from suppliers, to debtors)
- minutes of meetings
- personnel records (personal details, salary rates

Computer Databases

A word processor lets you create a document much like the drawing program, except mainly with words. Again, you can print it out, paste the information into another document or save it.

A spreadsheet allows you to create a template that you can enter numbers in and other results can be computed. You may occasionally go back and enter new data and new results calculated. But, like the drawing program and word processor it too is fairly inert.

A computer database is, as the name implies, a collection of data stored within a computer. It is like an electronic file cabinet full of documents. What makes computer databases useful is the ease with which the data can be entered, stored and manipulated.

Computer Files

A **computer file** is a resource for storing information, which is available to a computer program and is usually based on some kind of durable storage. A file is "durable" in the sense that it remains available for other programs to use after the program that created it has finished executing. Computer files can be considered as the modern counterpart of paper documents which traditionally are kept in office and library files, and this is the source of the term.www.optimonk.com

Correspondences

Correspondence consists of memos, letters, and electronic mail. In engineering and science, correspondence is an effective way to make requests, submit changes to a job, and deliver specific information. Unlike telephone conversations, correspondence presents the audience with a legal contract that is dated and can support a claim in court. This section presents formats for memos and letters. Because electronic mail usually has a built-in format, no format is assigned here for it. In addition, this section provides helpful links for job letters and résumés.

Directions: Answer all the questions listed below.

1. Write the records management life cycle?
2. What is business equipment/technology

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____
Rating: _____

Name: _____   Date: _____

Information Sheet-2	Using **business equipment/technology**

1.1 Using **business equipment/technology**

Filing Systems

computers and computer applications eg databases, spreadsheets, accounting packages, computer aided design (CAD) and computer aided manufacturing (CAM), multi-media packages, bar-coding products and scanning information directly to computer database personal schedules eg diary or software package

Modems, Email, Internet/extranet/intranet photocopiers for record keeping

In computing, a **file system** (or **file system**) is used to control how data is stored and retrieved. Without a file system, information placed in a storage area would be one large body of data with no way to tell where one piece of information stops and the next begins. By separating the data into individual pieces, and giving each piece a name, the information is easily separated and identified. Taking its name from the way paper-based information systems are named, each group of data is called a "file". The structure and logic rules used to manage the groups of information and their names are called a "file system".http://www.workawesome.com/

Business equipment/technology may include:

- Binder
- answering machine
- computer
- fax machine
- filing systems (manual/computerised/electronic)
- photocopier
- printer
- telephone

Self-Check -2	Written Test

Directions: Answer all the questions listed below.

     1.   What is business equipment/technology

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____
Rating: _____

Name: _____   Date: _____

3.1 Applying *organizational requirements* relating to security and confidentiality

Keeping information secure

Most organizations have at least some files that are not appropriate for general circulation. These may include personnel files, performance appraisal documents and sensitive material such as the business's strategic plans. For example, files containing personal information about employees should not be available to everyone. The only people who need to view these files are managers, human resources staff and the employee the file is kept for.

All files, confidential or not, are the property of the organization. Employees must be careful not to release information to the public, competitors or anyone else outside the workplace.

In some organizations, file security is extremely important. These include:

- organizations that keep sensitive information about their customers such as insurance companies, legal firms and government departments
- organizations developing new products where information revealed to competitors may disadvantage the organization
- Organizations that do politically sensitive work.

Files that are confidential, or have restricted access, are generally kept separate from the main filing system. Sometimes they are tagged to indicate their security rating (for example, general, personal, restricted, confidential, secret and top secret).

Electronic files are more difficult to store separately, especially with a networked computer system, so other measures are used such as password protection.

Methods used to keep confidential or restricted files secure include:

- keeping hard-copy files locked
- requiring signed authorization from a manager for access to files

- using passwords to access restricted computer files
- storing confidential computer files on a CD or other storage device rather than on the hard drive (the CD can then be stored in a locked cupboard)
- Using encryption, a method in which the computer file is coded and requires a decoding key to open and translate the file.

If you require access to confidential or restricted files, you will need help to make sure you completely understand the policies and procedures for accessing such files.

It is particularly important that the movement of these files is accurately recorded to ensure they are not accidentally released into the wrong hands or lost.

It is equally important to look after the organization's files while you are using them.

When files are out of the filing system, they should be kept in a safe place and treated with care. Don't leave documents lying unprotected on your desk, especially overnight.

Place them in a folder, a desk drawer or a file. Be careful not to damage or remove material from a file. If something must be removed from a file temporarily (for example, to photocopy it) it should be recorded by using a marker, such as an out card, and returned to exactly the same place in the filewww.optimonk.com

Organizational requirements may include:

despatching and collecting procedures

legal and organizational policies, guidelines and requirements

OHS policies, procedures and programs

procedures for deciding which records should be captured and filed

procedures for updating records

security procedures

Activity

Learners in a classroom can form a discussion group or have a debate. Those in the workplace might like to brainstorm these ideas with their colleagues. If you are learning independently, you might like to set up a chat room with other learners or ask a friend for their opinion

1   How important is technology when gathering information in the workplace? What are its benefits?

2   'All information at work should be kept confidential.' Do you agree with this statement? Why or why not?

3   'Every day I get requests to find information for colleagues. On top of that I have my normal tasks to complete. I have to provide sales data to my manager, catalogue, and incoming journals and file them in the library, distribute the mail and send out brochures to clients.' What advice would you give this person to help them manage their workload?

Directions: Answer all the questions listed below.

1. How employers Make decisions about customer complaints

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____

Rating: _____

Name: _____   Date: _____

Instruction Sheet	*LG13:Processing workplace information*

This learning guide is developed to provide you the necessary information regarding the following **content coverage** and topics –

- Using equipment/technology process information
- Processing information according to defined timeframes, guidelines and procedures
- Updating, modifying and filing information
- Collating and dispatching information

This guide will also assist you to attain the learning outcome stated in the cover page. Specifically, upon completion of this Learning Guide, **you will be able to –**

- Use equipment/technology process information
- Process information according to defined timeframes, guidelines and procedures
- Update, modify and filing information
- Collate and dispatch information

Learning Instructions:

8. Read the specific objectives of this Learning Guide.
9. Follow the instructions described in number 3 to 20.
10. Read the information written in the "Information Sheets 1". Try to understand what are being discussed. Ask you instructors for assistance if you have hard time understanding them.
11. Accomplish the "Self-check" **in page-.**
12. Ask from your instructor the key to correction (key answers) or you can request your teacher to correct your work. (You are to get the key answer only after you finished answering the Self-check).
13. If you earned a satisfactory evaluation proceed to "Information Sheet 2". However, if your rating is unsatisfactory, see your instructor for further instructions or go back to Learning Activity.
14. Submit your accomplished Self-check. This will form part of your training portfolio.

1.1 Using equipment/technology process information

<u>answering machine</u>

Answering machines are useful if the person you want to speak to is unavailable or if you are busy when someone calls you. An answering service takes messages on behalf of the person you are trying to contact and passes your message on to them. A message bank is a type of answering machine. Make sure you record times when you have tried to contact someone and left a message for them. You will need to follow it up if they don't return your message

<u>fax machine</u>

A fax machine converts paper-based information into electronic information for transmission. It is useful for transmitting and receiving information that requires people to check data, read a report or confirm information. Staff are usually shown how to use the fax machine during their induction session, as different organizations have different sorts of machines. Asking people to send information by fax rather than by post can save valuable time.

Activity

Learners in a classroom can form a discussion group or have a debate. Those in the workplace might like to brainstorm these ideas with their colleagues. If you are learning independently, you might like to set up a chat room with other learners or ask a friend for their opinion

4   How important is technology when gathering information in the workplace? What are its benefits?
5   'All information at work should be kept confidential.' Do you agree with this statement? Why or why not?
6   'Every day I get requests to find information for colleagues. On top of that I have my normal tasks to complete. I have to provide sales data to my manager, catalogue, and incoming journals and file them in the library, distribute the mail and send out brochures to clients.' What advice would you give this person to help them manage their workload?

Directions: Answer all the questions listed below.

1. Write the use of fax machine

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____

Rating: _____

Name: _____   Date: _____

2.1 Processing information according to defined timeframes, guidelines and procedures

In a business environment it is usual to have a specific amount of time in which to locate files or records, either for others in the organization or in order to complete a task yourself. You need to be able to process information efficiently and effectively; having an understanding of the organization's policy and procedures, the filing systems, technology and equipment used, will assist you in meeting these timeframes while maintaining security and confidentiality procedures.

Organizations usually have some of the following protocols in place for the processing of information:

- **Authority** - limiting the number of people who have authority to access sensitive, confidential or personal information.

- **Security/access** - files are protected with passwords for security and employees are given a level of security that enables them to access only the information which is relevant to their job.

- **Naming standards** - both paper and electronic files need to be well organized and labeled correctly and consistently so they are identifiable and easily accessed by employees.
  - Indexing is the process of deciding where the document is to be stored – the indexing unit may be the keyword, customer number, business name, individual's surname, geographic location etc.
  - Coding makes it clear where the document is to be stored – either by highlighting the keyword or the name under which it is to be filed, or writing the file number or a subject or code on the document.

- **Version control** - making sure any new or updated information is correctly identified as being the most recent by making an incremental change to its associated letter or numerical code.

- **Tracking processes** - most organizations have filing practices in place which allow the movement of files to be monitored at all times. This could include:
  - o File movement register – a book, binder or electronic file, recording the file name, number, date borrowed, borrower, and date returned etc. Entering details into the register allows others to know the whereabouts of the file and saves valuable time in tracking the file.
  - o File movement marker – an 'out card' which is placed in the hard copy filing system where the file came from, or a note in an electronic system showing the borrower's details and date borrowed.
  - o Barcode borrowing system for files (similar to borrowing a library book) or 'passing slips' (similar to circulation slips or envelopes) recording the movement of files.
  - o Cross referencing – if a file could be located in more than one location it may be necessary to cross reference the file. A marker is inserted in the filing system in the alternate location, directing you to the actual location of the file.

Requests for information should be dealt with in accordance with the instructions received. Circulation of some materials may involve photocopying, collating (or bringing together) a variety of materials or pages of information, binding these pages together or inserting into a folder, marking the information as 'confidential' or 'urgent' and dispatching the information or records (e.g. internal mail, post, email) within a certain timeframe.http://www.workawesome.com/

Self-Check -2	**Written Test**

Directions: Answer all the questions listed below.

1. How do you generate referrals from existing clients?

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Answer Sheet

Score = _____
Rating: _____

Name: _____   Date: _____

3.1 Updating, modifying and filing information

Businesses rely on having accurate information available. The integrity or accuracy of information in the system needs to be maintained at all times. Records will need to be:

- Updated e.g. adding a new customer to the database, changing the answering machine message over a holiday period, altering the prices on a price list.
- Modified e.g. changing a customer's phone number on the database, using the newsletter template but changing the contents.

These changes should be done in a timely manner and in accordance with organisational requirements – updating an address after the monthly statements are sent would be ineffective; regularly updating the message on the answering machine makes a positive impact on callers.http://www.workawesome.com/

Self-Check -3	Written Test

Directions: Answer all the questions listed below.

1. How information is updating and modifying?

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____
Rating: _____

Name: _____   Date: _____

4.1 Collating and dispatching information

Once information is collected, it is important to collate it according to the type of information required, who requires it and when the information is needed. Collated information needs to be presented in an appropriate manner, so it is important that a cover page sets out the purpose and/or contents of the file, the documents/pages are in the correct order, enough copies are provided, it is bound according to the amount of information/pages in the file and if the information is confidential, that it is identified accordingly. Once collated this information can be dispatched by any of the following methods:

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- internal mail – sending letters or packages between departments or agencies of the same organization which are located in different suburbs using an internal mail service
- placing information in an in-tray/inbox
- hand delivery – to the person requesting the information
- postal service – generally Australia Post (registered if confidential)
- fax transmission
- courier service – for door-to-door delivery or for delivery to a specific person
- email

Self-Check -4	**Written Test**

Directions: Answer all the questions listed below.

1. What the methods used to dispatchedand collated information.

   Answer Key

1.

- internal mail

- placing information in an in-tray/inbox

- hand delivery

- postal service

- fax transmission

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____
Rating: _____

Name: _____   Date: _____

This learning guide is developed to provide you the necessary information regarding the following **content coverage** and topics –

- Maintaining information and **filing systems**
- Identifying, removing and/or relocating inactive or dead files
- Establishing and assembling new files
- Updating reference and index systems

This guide will also assist you to attain the learning outcome stated in the cover page. Specifically, upon completion of this Learning Guide, **you will be able to –**

- Maintain information and **filing systems**
- Identify, removing and/or relocating inactive or dead files
- Establish and assembling new files
- Update reference and index systems

Learning Instructions:

15. Read the specific objectives of this Learning Guide.
16. Follow the instructions described in number 3 to 20.
17. Read the information written in the "Information Sheets 1". Try to understand what are being discussed. Ask you instructors for assistance if you have hard time understanding them.
18. Accomplish the "Self-check" **in page-.**
19. Ask from your instructor the key to correction (key answers) or you can request your teacher to correct your work. (You are to get the key answer only after you finished answering the Self-check).
20. If you earned a satisfactory evaluation proceed to "Information Sheet 2". However, if your rating is unsatisfactory, see your instructor for further instructions or go back to Learning Activity.
21. Submit your accomplished Self-check. This will form part of your training portfolio

1.1 Maintaining information and **filing systems**

Organizations establish filing systems to accommodate the type of records they need to keep. These files need to be regularly updated and accurate to maintain the integrity of the files. A business might establish a **centralized** filing system (all the records are kept in the one place) or a **non-centralized** system (departments within organizations have control of their own records). These files may be paper-based (in filing cabinets) or electronically filed (on computer systems), may be in fixed filing areas (filing cabinets or compacts units) or in a portable filing system (so they can be moved from one area to another easily). Inactive or dead files should either be destroyed or relocated to a storage area.

Staff needs to know about the types of technology and equipment used in the organization and how it is used to organize information. Most organizations will train staff in their own procedures for record keeping, filing systems and security procedures.www.optimonk.com

Files, records and information are in daily use throughout the office. New files are being created and old files removed from both the system and file index, and information is modified and updated within files.

Good filing practices for paper-based files include

- setting a regular time aside for filing
- removing paper clips or pins which might damage files
- mending any damage before filing
- attaching small documents to an A4 sheet before filing
- establishing new files rather than overfilling existing files
- avoiding the use of plastic covers
- returning files to the system as soon as possible
- Paying attention to Occupational Health and Safety issues, e.g. closing filing cabinet drawers when not in use, using a trolley when heavy or bulky items need to be moved, using

a ladder when retrieving files from a high location, not storing files where they could overbalance or be tripped over.

It is essential that computer operators understand the electronic file management procedures of the organization, such as how files are named and how folders (directories) are used.

How workplace information is stored depends on the following:

- **The amount of information to be stored** - it is easier to store large amounts of information on a computer database rather than a paper-based storage system. This also enables many people to easily access the information, particularly if the organization is spread over a number of workplaces.

- **The size of the workplace/organization** - relates to both the physical size and the number of employees. A large workplace area has the potential for an adequate area being available for filing cabinets or compacts units to store paper-based information, whereas a small workplace area would tend to store more information electronically or digitally. If the organisation has a large number of employees, the method of storing information would depend on how many people need access to the information and where these people were located in the workplace.

- **How work is conducted** - some business organisations are more electronically up-to-date than others and have embraced the digital age, ensuring that more information would be stored electronically rather than paper-based. If more employees operate outside of the office, electronic storage of information and digital communication would be preferred.

- **The amount of storage space available** - if storage space is limited, less paper files can be stored. Inactive or dead files would need to be identified and disposed of in a shorter period of time so storage space is used most effectively.

- **How often records need to be accessed** - those records used frequently would need to be easily accessed, so would tend to be either centrally filed if paper-based if the workplace area is relatively small or non-centrally to give access to the relevant department; or digitally filed to enable all employees access whenever necessary.

- **Security required** - confidential or sensitive paper-based information would need to be filed in a secure area, either in locked filing cabinets or a locked room that few people can access. Keys for both would be given only to those who have authority to access the information. Electronic files would require passwords to restrict access and regular backing-up of the information would be required in case of power failure or computer viruses.

- **Cost of storage equipment** - computer equipment is expensive and has to be updated and maintained regularly whereas filing cabinets last a long time and tend to be a one-off expense.

- **Protection from environmental effects** - all files must be protected from damage due to fire, flood etc.

Classification of information

The most common types of classification for records and information are alphabetic, numeric, alpha-numeric, geographic, subject, keyword and chronological.

Alphabetical

the most commonly used method of filing, the alphabetical system places files in alphabetical order according to the customer or business name, e.g. the telephone book. There are a number of rules to remember when using the alphabetic system.

- Disregard 'joining' words and titles such as "and", "the", "&", "Mr", "Sir", "Dr", "Miss" etc

- Hyphenated or compound names are treated as one word. E.g. Jones-Smith and van der Lynden are both indexed as one word.

- Initials come before names (in filing 'nothing comes before something'). E.g. B Thompson would be filed ahead of Brian Thompson.

- Company names are treated in the order they are written, except if they contain a family name. E.g. Both Grace Bros and Robert E Grace & Sons are filed under 'Grace', but Robert would be filed under 'Robert'.

- Abbreviations are treated as if the word was written in full. St is indexed as Saint, Ltd as Limited. This means that St and Saint entries are treated as if spelt the same way, and inter sorted. Mac and Mc are also inter sorted. E.g. J McDonald would be filed ahead of John MacDonald.

- Numbers which are part of a business or company name are regarded as though spelled. E.g. 24-7 is indexed as twenty four seven. **Note:** Computer filing systems will usually sort numbers before letters and would file 24-7 before the 'A' entries in a database listing.

Filing rules can vary between organizations so staff should always check the procedures and rules at a workplace.

Numerical

each file or piece of information is filed in number order from lowest to highest and according to:

- the number on the document e.g. Tax Invoice number
- the customer number, account number or membership number
- another numbering system e.g. Dewy decimal system used in libraries

Numerical systems are usually an indirect method of filing and need to be cross-referenced to an alphabetical index. E.g. an alphabetical list of customer names showing their account number.

Alpha-numeric systems combine both letters and numbers in a file reference number.

Geographical

Information is indexed alphabetically according to geographical location. Australian States and Territories are indexed first, followed by the city, town or suburb, then other appropriate information, e.g. customer name.

Subject

Records are sorted according to the subject matter and filed alphabetically. This allows information on the one topic or subject to be easily located.

Key word

A particular word is used as the subject classification and specific descriptors are also allocated to further classify the information. Keyword systems are usually used in large organizations where the keywords are specifically designated.

Chronological

 filing is used in conjunction with other filing methods and involves sorting records according to their date. In a client file for example, correspondence would be filed with the most recent on top. Copies of purchase orders would be filed with the most recently sent order on top.

Storage of information

Forms of paper based storage

Filing cabinets	3-drawer, 4-drawer, 2-drawer
Flat	flat box file, horizontal plan file
Lever arch	binder
Suspension folders	hanging files
Shelving	lateral cabinets, compacts
Rotary storage	Double sided sections of shelving on a rotating base inside a cabinet, to enable access to both sides of that section of shelving by rotating it 180 degrees.

Forms of electronic storage

Database	For example, using Microsoft Access or Works
Computer files	For example, using Microsoft Word or Excel files on hard or floppy

	disk
Email	For example Hotmail or Yahoo

Inactive or dead files

It is necessary to identify record and store dead or inactive files in order to make way for new files.

Organizations have procedures for routinely checking for dead or inactive records and transferring them from the active filing system to secondary storage at regular intervals.

Once records have been identified as no longer active:

- Some will be retained for a specific period of time, e.g. financial records are retained for seven years as a legal requirement.
- Some records, usually of historic value, will be retained indefinitely as archive files (computer files may be compressed prior to archiving to minimize space required on hard drive).
- Some dead or inactive files can be immediately destroyed by shredding (if confidential) or recycling.
- The file index will be updated to show current status of records on file, removing dead files from the index. A records disposal register may also be maintained showing when and which records have been removed from active storage.

Relocation of dead or inactive files may include:

- periodically archiving or deleting files – relocating them to secondary storage elsewhere in the organization or offsite (secondary storage)
- electronic storage of files (diskette, tape, CD-ROM, Zip files)
- storing information, including printed and photographic materials on microfilm or microfiche
- scanning information and storing electronically
- Recycling or shredding.

New files

Steps in establishing a new file:

- identify the need to create a new file
- assign a file name or number
- prepare a hanging file or folder for paper based files or a sub directory or folder on the computer for electronic files
- enter the new file in the file register or database
- enter the file into the file index if necessary
- gather items into the filing system in correct order
- store as appropriate

Self-Check -1	Written Test

Directions: Answer all the questions listed below.

1. _____is used in conjunction with other filing methods and involves sorting records according to their date.

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____

Rating: _____

Name: _____   Date: _____

2.1. Identifying, removing and/or relocating inactive or dead files

Identifying and managing inactive records is an important step in the maintenance of a successful filing system. Many filing systems break down and fail because drawers are clogged too full of paper to make records they hold easily accessible. Electronic systems fail when too many versions of a document make it difficult to determine which one is the final draft.

Active vs. inactive records

Active records are consulted routinely in the daily performance of work.

Inactive records are rarely used, but must be retained for occasional reference or to meet audit or legal obligations.

Identifying inactive records: Cut-off

The cut-off signals the point at which a record series becomes inactive. It is used to determine the beginning of the retention period. The cut-off can refer to a specific event: termination of employment, end of funding period, termination of contract, accreditation received. More usually, the cut-off is tied to a period of time: end of the quarter, end of the calendar year, end of the fiscal year, end of the biennium, end of the academic year.

In determining the appropriate cut-off for a specific record series, a records analyst from Records Management Services, in consultation with the Records Authority/Coordinator, will consider the following factors:www.optimonk.com

- the frequency of reference to the files
- the retention of the record series
- the volume of the record series
- the function of the record series (e.g., fiscal, personnel)
- the function of the creating office (e.g., administrative, academic

Removing inactive or dead files may include:

➢ compressing computer files prior to archiving

➢ periodically archiving or deleting files

➢ transferring files at regular intervals or routinely checking for dead or inactive files

➢ transferring records from the active filing system to secondary storage

Relocating inactive or dead files may include

➢ electronic (email, internet access, diskette, tape, CD-ROM)

➢ microfilm

➢ photographic material

➢ printed material

Directions: Answer all the questions listed below.

1. _____are consulted routinely in the daily performance of work.

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____

Rating: _____

Name: _____   Date: _____

3.1 Establishing and assembling new files

Vital records

Vital records are recorded information, regardless of medium or format that must be protected in case of disaster. Major considerations in establishing a filing system are the identification and protection of vital records. Completing the analysis

Once the analysis is complete, a filing system can be developed. A filing system should be developed on paper before it is physically implemented. Folders should be sorted, on paper, into the appropriate primary classification. Within each primary classification folders are sorted, on paper, into record series.

There are always some records that don't fit neatly into a record series. In many cases they are really either "Material That May Be Disposed of without a Specific Retention Period" or unsolicited material. Neither should be included in the filing system. Materials without a specific retention period can be destroyed or should be managed separately. Unsolicited material can be destroyed.

In the case of electronic records - word processing or email - the records can be saved to a directory which would be the electronic equivalent of sorting the files into primary classifications. Within each directory files can be sorted into folders which would be the same as sorting paper files into record series.www.optimonk.com

 Arrangement

Within each individual record series, files are arranged in an order best suited for rapid retrieval and disposition. A feature or characteristic of the record series is chosen as the basis for the arrangement. This feature is most easily identified by determining how

various types of records are requested. Features may include subject, a name associated with the record, a number which identifies the record, a title.

Steps in establishing a new file:

- identify the need to create a new file
- assign a file name or number
- prepare a hanging file or folder for paper based files or a sub directory or folder on the computer for electronic files
- enter the new file in the file register or database
- enter the file into the file index if necessary
- gather items into the filing system in correct order
- store as appropriate

Directions: Answer all the questions listed below.

1. _____are recorded information, regardless of medium or format that must be protected in case of disaster.

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Score = _____

Rating: _____

Name: _____   Date: _____

1.1. Updating reference and index systems

A **database index** is a data structure that improves the speed of data retrieval operations on a database table at the cost of additional writes and storage space to maintain the index data structure. Indexes are used to quickly locate data without having to search every row in a database table every time a database table is accessed. Indexes can be created using one or more columns of a database table, providing the basis for both rapid random lookups and efficient access of ordered records.

An index is a copy of select columns of data from a table that can be searched very efficiently that also includes a low-level disk block address or direct link to the complete row of data it was copied from. Some databases extend the power of indexing by letting developers create indices on functions or expressions. For example, an index could be created on `upper(last name)`, which would only store the upper case versions of the `last name` field in the index. Another option sometimes supported is the use of partial indices, where index entries are created only for those records that satisfy some conditional expression. www.optimonk.com

Self-Check -4	Written Test

Directions: Answer all the questions listed below.

1. _____is a <u>data structure</u> that improves the speed of data retrieval operations on a <u>database table</u> at the cost of additional writes and storage space to maintain the index data structure.

Note: **Satisfactory rating - 3 points**   **Unsatisfactory - below 3 points**

Answer Sheet

Score = _____

Rating: _____

Name: _____   Date: _____