

UNIT

16

Records Management

REVIEW QUESTIONS

PART A

Complete the following sentences by filling in the blanks.

1. When there are fewer than five pieces of correspondence for one company, its correspondence is kept in the _____ file folder.
2. When a file is removed from its location, it should be replaced by a/an _____.
3. When a file folder is borrowed from the system, a records control procedure known as _____ should be initiated.
4. When a document has been approved for filing purposes, it has been _____.
5. The type of document filing equipment that offers the greatest saving of space is _____.
6. The process of rearranging a name to bring the most important part to the front is called _____.
7. The filing system in which the material is filed by topic is known as _____ filing.
8. Organizations that keep records by territory would use the filing system known as _____.
9. Material that is stored by means of microminiature recording on film is known as _____.
10. In an alphabetic system, a guide that indicates a single letter of the alphabet is a/an _____ guide.

PART B

Indicate your answer by circling True or False in each of the following.

1. A records retention schedule encourages a periodic clean out of records to dispose of outdated or unnecessary material. True or false?
2. Disks and tapes are totally impervious to climatic conditions. True or false?

3. Optical disks offer an alternative to micrographic storage for archival records and inactive files. True or false?
4. In CAR, computer output is transferred directly onto microfilm instead of onto paper. True or false?
5. Microfiche offers a higher reduction capability than ultrafiche. True or false?
6. Periodic transfer is the transfer method favoured by lawyers, social workers, and others whose work is based on cases. True or false?
7. Records produced by information processing/NT include CDs, disks, cassettes, cartridges, and printouts. True or false?
8. A well-planned records management system does not need objectives. True or false?
9. The management of electronic records tends to be a specialized field. True or false?
10. With CIM, microfilm is scanned and converted into magnetic tape, which can then be used by the computer. True or false?

PART C

Answer the following questions in the spaces provided.

1. State the general rule for dealing with apostrophes in alphabetic sequencing.

2. Name the three guides used in filing systems to separate file folders into divisions and subdivisions.

3. How are initials that form all or part of a company name (e.g., CIL Ltd.) treated for alphabetic sequencing purposes?

4. What is meant by the term *releasing* as it relates to filing?

5. Cross-referencing is considered to be one of the weaknesses of the subject filing system. Why do you suppose this is?

6. When material is borrowed from a records management system, how might such a loan be efficiently recorded?

7. Under what circumstances would you choose lateral filing cabinets in preference to vertical cabinets?

8. What advantages does optical disk storage provide over micrographic storage?

9. What do the abbreviations *COM*, *CAR*, and *COLD* mean?

10. What is a shredder and what role might it have in records management?

11. If two or more names are identical, how do you differentiate among them for filing purposes?

12. How would Nova Scotia Ministry of Education be indexed?

13. How are numbers within a name indexed?

14. How are hyphenated names treated when indexing?

15. What would be the first indexing unit of the Los Angeles Gazette?

CALCULATIONS

Insert the answers to the following calculations in the spaces provided.

1. You require some additional filing space for your expanding business. One of your office products dealers has lateral filing cabinets which sell for \$449.00. Another has an

almost identical unit selling for \$429.00. What is the percentage difference between the two?

2. You are about to order some replacement supplies for your department. The list consists of: 12 boxes of legal file folders @ \$2.49/box, 24 pads of lined paper @ \$0.89 each, 2 boxes of legal white paper at \$49.99 a box, and 6 packages of blue ball point pens @ \$1.99 a package. What will the total of the invoice be including GST?
-

3. If you have 180 files on a shelf divided by alphabetic guides K through S, what is the average number of folders behind each guide?
-

4. A digital camera photographs documents at the rate of two per second. How many documents can be photographed in 15 min?
-

5. If it costs 93 cents to digitally photograph a document, what is the cost of photographing 416 documents?
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RESEARCH ACTIVITIES

1. Research the latest in storage technology and present your findings in an oral report.
2. Research current trends in office design, specifically in the area of filing and storage devices. Present your findings in a written report (with product brochures, pictures, etc.).
3. Contact a local company to inquire about their records retention schedule. If possible, invite a company representative to speak to the class. Be sure to invite students from other classes.
4. Investigate via your library, the Internet, etc. what company records must be kept by law and for how long. Present your findings in an e-mail to your instructor.
5. What career opportunities are available in the field of records management? Do your research and present your findings in an oral report.
6. How is the Internet changing the way we store data? Research this question and present your findings in a written report.
7. Many companies today depend on computers to maintain information that is essential to their daily operation. In the event of a catastrophe, a company's disaster plan is activated to recover the data and restore information processing services.

Research the concept of disaster recovery and report on the action being taken by companies, large and small, to ensure that their data is not lost after a major disaster. Present your findings in an oral report.

ON-THE-JOB ACTIVITIES

1. You are asked to set up a geographic filing system of your suppliers. Organize the following list of suppliers so that you have the names arranged alphabetically in towns and provinces. (You must provide the provinces.)

Pedersons Supplies Co. Nanaimo	Fred Mandl Revelstoke	J. Halley Timmins
C. Beardmoore Qualicum Beach	M. R. McDonald Dartmouth	Joseph Bukka Estevan
Erika Zeidler Revelstoke	Jacqueline Gauthier Montreal	Amy Kanamori Moose Jaw
A. Maxwell Saskatoon	K. McKellar Hamilton	Al Muhradi Regina
Paul Vincento Wawa	W. Vincent Toronto	Marijke Riise Selkirk
Ken Hayashi Winnipeg	Grace Giovanni St. John's	Amos Pores Red Deer
T. J. O'Reilly Owen Sound	Arthur McMarsh Toronto	

2. For each of the following, indicate, by means of the letters, the order in which the names given should be arranged in an alphabetic file (e.g., b d a c e). This exercise can be done manually or by means of a sort program on your computer.

- (1) a) Dr. John Peal, b) Dr. J. Peal, c) Dr. John J. Peal, d) J.D. Peal, M.D., e) Dr. J.D. Peel
- (2) a) June Caseman, b) J.M. Caseman, c) James P. Caseman, d) J.P. Caseman, e) Caseman & Co.
- (3) a) Johnson & Johnson Ltd., b) William Johnston, c) Wilma P. Johnson, d) W.P. Johnson Co., e) W.A. Johnston
- (4) a) The Van Gogh Theatre, b) J. Vanderburgh Inc., c) Bobby Van Enterprises, d) Vincent Van Gogh Restaurant, e) Joel Van Hook
- (5) a) Wm. K. Davis, b) DDD Dairy, c) W.K. Davies, d) William M. Davis, e) Prof. W.K. Davis
- (6) a) Carl the Photographer, b) Charles Bronson Films, c) Charles C. Carlson, d) C. Carlson, e) C.P. Carlson
- (7) a) Pal's Bag Co., b) Pals Pet Store, c) E.J. Pal & Company, d) Pals' School Centre, e) Pal's Restaurant
- (8) a) Pat McIntosh, b) P.P. MacKintosh, c) Peter Macintosh, d) Pearl McKintosh, e) Mr. P. Mackintosh
- (9) a) Foundations Excavation Co., b) Fountain Hotels, c) New Found Foods, d) Foundation Research Council, e) Firm Foundations Inc.

- (10) a) Capelli's Boutique, b) Cape Cod Shells Ltd., c) Cape and Peters Wholesale, d) Tony Capello, e) Capes and Gloves
- (11) a) The Taverna, b) Taverner's of Broadway, c) Judy Taverner Jewellery, d) Town Tavern, e) James Taverner
- (12) a) Can-Can Club, b) Canada Awning Co., c) Canadian Copters, d) Canadian Suppliers Ltd., e) Candystripers Unanimous
- (13) a) Northern Telecom, b) Northern Paper Co., c) North York Computers, d) Northampton Paper Supplies, e) North-West Passage Discovery Co.
- (14) a) El Scala Theatre, b) La Scala Diner, c) The Scalabar Room, d) Lascar Restaurant, e) Excalibur
- (15) a) Seventh Avenue Deli, b) 600 Club, c) 74th Street Gym, d) 17 Beauty Magazine, e) Sally's Shop

Note: Options should be cross-referenced.

3. You are asked to index the names in the list below and then to arrange them in alphabetic order. (Use a filing worksheet, index cards, or a computer sort.) You have the following guides in your filing cabinet: A, AL, B, BR, C, and CL. Arrange your list of names as they should be filed behind the guides.

List for Alphabetic Filing:

Allen Electric Ltd.	Geo. H. Bailey	Addares Bros. Ltd.
Adam's Feed (Canada)	Allen's Drug Store	B F G Ontario, Reg'd.
A.B.C. Oil Burners	Baby Sitter Service	Carmen's Spanish Restaurant
George Babcock	A.R.C. Florist	Caretaker's Supplies Ltd.
Baby Sitter's Club	Baker Brothers Co.	W. A. Barker
Robt. Barker	B and F Theatres	James Addams
Barker's Biscuits Ltd.	C & H Transport	Babcock's 4 Corners Garage
Abel's Flower Shop	Brants' Auto Repairers	British Columbia Pictures
Carman Ghia Repairs	George Bailey	Adanin Beauty Shop
Carman Car Hire Service	Baker Bros. Ltd.	The Clown's Store
Cloutier's Courier Service	The Brantford Cordage Co.	Cloutier & La Soeur
A. and A. Window Cleaners		

4. The following is the layout of a subject filing system. The main guides are those shown in capitals. (These, of course, do not have file folders.) All of the file folders have numbers beside them. Using the list below, headed "Records to Be Filed," indicate by its number the file folder in which each piece of correspondence should be filed.

Subject Filing Drawer System

ADMINISTRATION

- | | |
|-----------------|----------------|
| (1) Personnel | (5) Training |
| (2) Placement | (6) Classes |
| (3) Recruitment | (7) On-the-Job |
| (4) Service | |

COMMUNITY SERVICE

- | | |
|--------------------|-------------------|
| (8) Civic Projects | (11) Red Cross |
| (9) Contributions | (12) Education |
| (10) United Way | (13) Scholarships |

FACILITIES

- | | |
|----------------|---------------|
| (14) Equipment | (16) Supplies |
| (15) Furniture | |

FINANCE

- | | |
|--------------------------|-------------------------|
| (17) Budgets | (19) General Accounting |
| (18) Funds for Expansion | |

INSPECTION

- | | |
|----------------|---------------------|
| (20) Approvals | (21) Investigations |
|----------------|---------------------|

PLANNING & RESEARCH

- (22) Product Design

PUBLICATIONS

- | | |
|---------------|----------------------|
| (23) Consumer | (24) Service Manuals |
|---------------|----------------------|

TRANSPORTATION

- | | |
|----------------|------------|
| (25) Receiving | (29) Rail |
| (26) Routing | (30) Truck |
| (27) Shipping | (31) Water |
| (28) Air | |

Records to Be Filed

- a. Recruitment interviews just beginning at colleges and universities in surrounding provinces
- b. A change in a listing in one of the firm's service manual publications
- c. A change in the amount of the scholarship given to an outstanding high school graduate in the community
- d. A campaign being conducted to recruit a prospective employee who will be assigned to confidential work
- e. An error in a receiving report submitted by the receiving department
- f. Workshops being held for administrative personnel
- g. An annual contribution to the United Way
- h. Shipping routes to be revised for distributing company products
- i. A fund to be established for future expansion needs
- j. Brochures to be distributed to consumers of company products in response to requests for information
- k. A civic project recently undertaken as a community service

- l. A list of persons selected by the inspection department for on-the-job training by administration
 - m. New equipment that has been ordered for the Reprographics Department
 - n. A delay in a freighter to be docked at Vancouver Harbour on the fifth of next month
 - o. A request by Mrs. Katz, an engineer, for relocation within the organization
 - p. A new design for a standard product that will give it a more modern appearance
 - q. A volume report on air freight
 - r. A proposed budget for the next fiscal year
 - s. A low-interest loan available as a service to employees
 - t. An application by an accountant for a job with the firm
5. "Will we ever achieve the paperless office?" Form teams and debate this question.
6. As an employee of the head office of an insurance company, your task today is to add 30 new clients to your files.

Using database, spreadsheet, or word processing software, do this:

Using the names, addresses, etc., provided below, headed "New Customer Information":

- (1) Design an appropriate form and enter the data.
- (2) Print a report by account numbers in ascending order.
- (3) Print a report alphabetically by client names.

You now have two systems – a numeric one and an alphabetic one. Consult the appropriate one to find answers to the questions on the next page, headed "Questions About the New Customer Information." As well as filling in your answer, indicate N or A each time to show whether you consulted the numeric or the alphabetic system.

New Customer Information (account number, name, address, telephone number)

21678 - T J A Brass Works, 104 Stone Street, Elmvale, ON L2L 4H6, telephone 421-4353; 2170 Paul Allan, Ph.D., 45 Hudson Street, Churchill, MB R2J 1Y8, telephone 742-2670; 20060 - Falcone et Fils, 138 Kipling Avenue, Winnipeg, MB R3T 1X5, telephone 291-3911; 12068 - The Di Millo Paint Co., 20 Prairie Avenue, Regina, SK S4K 1K2, telephone 549-3375; 1208 - Meister Klein Wallpapers, 47 Mountain Drive, Prince George, BC V7S 1R4, telephone 223-0101; 21768 Wilshaw Decorator Products, 252 Fergus Avenue, Kitchener, ON N4N 3J5, telephone 468-8060; 2017 - Graveson & Rawlings Travel Agency, 896 Tecumseh Road, Windsor, ON N2P 1B5, telephone 534-7709; 21070 - Beaupre's Boutique, 1046 St. Jean Blvd., Trois-Rivieres, QC G5T 9E2, telephone 679-9689; 12780 - Ye Olde Soupe Kitchen, 42 Front Street, Charlottetown, PE C1B 2P4, telephone 388-4013; 2008 - Elite Business Cards, 301 Poirier Avenue, Cornwall, ON K6K 1C6, telephone 449-3268; 21068 - Sister Cecelia's Orphanage, 802 High Ridge Drive, St. John's, NF A3N 1D2, telephone 654-7720; 20768 - A.C. Van Buren and Sons, 227 - 8th Street, Jasper, AB T1L 3S9, telephone 232-0905; 2118 - A to Z Movers, 123 Carling Avenue, Ottawa, ON K1S 2E2, telephone 773-3424; 2768 - The Old Manorians Association, 68 King Street, Prince Alberta, SK S6H 2Y9, telephone 748-4810; 21867 - Studio de Danse, 30

Queen Street, Moncton, NB E2H 1G6, telephone 555-7582; 12086 - S.T.A.R. Holidays, 107 Portage Road, Flin Flon, MB R1P 2K7, telephone 669-3343; 1218 - A. Drew and Partners, 139 St. Lawrence Avenue, Montreal, QC H2S 2E3, telephone 486-7043; 20168 - Smithy's Shoes and Saddlery, 71 Salmon Street, E., Yellowknife, NT X5L 9E6, telephone 923-4206; 21176 - Magicians' Supplies Stores, 700 Carling Avenue, Ottawa, ON K2R 5F1, telephone 563-8233; 12678 - Canadian Office Products, 279 Main Street, Vancouver, BC V6A 2S4, telephone 889-9639; 2108 - Mr. Geo. M. Smithers, 42 Lakeside Drive, Thunder Bay, ON M1A 3T8, telephone 447-1027; 12768 - Snowden & Townsend Ltd., 52 Charlotte Street, Victoria, BC V5K 1P6, telephone 851-2843; 1276 - Buttonville Golf Club, 3001 Woodbine Avenue, Buttonville, ON L4L 2L4, telephone 291-1711; 20184 - J. Galloway Music Co., 125 Nashville Avenue, Moose Jaw, SK S1B 8M3, telephone 651-5238; 21086 - The P and P Ranch, 2106 Plains Road, Calgary, AB T6O 5L6, telephone 884-4453; 12867 - Le Jeune Printers, 790 Elm Street, Brandon, MB R2S 4D9, telephone 922-8000; 1278 - The Lobster Pound, 39 River Road, Sydney, NS B3Y 4A4, telephone 282-3301; 12786 - J. Chan Cosmetics, 8 Fifth Avenue, Fredericton, NB E3B 9R4, telephone 358-3170; 2081 - F. and D. Parnell Art Creations, 1362 Mansion Street, Quebec, QC G1P 4F1, telephone 579-0416; 20810 - BMK Tractors, 428 Granary Road, Saskatoon, SK S5K 2B2, telephone 222-4636.

Questions About the New Customer Information	Answer	N or A*
a) Does A.C. Van Buren have a family?		
b) Where does Paul Allan live?		
c) Who is the holder of Account 12786?		
d) What kind of business is J. Galloway involved in?		
e) In which city does the holder of Account 21086 reside?		
f) In which province does the holder of Account 1208 live?		
g) How many new clients are there whose names begin with the letter B?		
h) Which account number belongs to Magicians' Supplies?		
i) What is the name of the client with Account 21070?		
j) What kind of business is the holder of Account 12780 involved in?		
k) Which account number precedes Account 12086 in your listing?		

Questions About the New Customer Information	Answer	N or A*
1) Who comes after Meister Klein Wallpapers in your alphabetic list?		
m) Where do Graveson & Rawlings conduct their business? What is their telephone number?		
n) A firm is called Smithy's (Account 20168). What business does it do?		
o) If you had to write to Account 12678, where would you write?		
p) In what province is Trois-Rivieres, the home of Beaupre's Boutique?		

* Fill in this column to show which system you consulted – numeric (N) or alphabetic (A).

7. Create a list of the clients in Activity 6 in geographic sequence.
8. Based on your reading, write what you consider would be an accurate job description for the head of a records management department in a medium-sized (200 employees) insurance company.
9. You are about to go on vacation for two weeks and a person from another department will be filling in for you as head of the document filing section of your firm. This forces you to get around to doing something you've put off for a while – documenting what you do!

Produce for your replacement a guideline that sets out what you must do with a document from the moment it is received in your department until it arrives in its proper place in the numeric files. Be sure to include in your guideline the procedure to be followed if a document is taken from a file for any reason. Explain how you would add a new client file to the system.
10. Prepare a guideline on disk management for a new employee. In your organization, people have their own workstations and maintain their own disk storage systems. Your new employee has not worked in an office before – so be very thorough.

WHAT WOULD YOU DO?

In the space provided, indicate what you would do in the following situations.

1. You are responsible for the files. The company president frequently helps herself to files and does not return them.

2. You need to bring forward a letter for review exactly three months from today. You have a computer.

3. You need to bring forward a letter for review exactly three months from today. You have a computer but do not want to rely on it entirely.

4. A number of important documents have gone astray in the last few months. You discover that managers take files out of the office when they are visiting business associates.

5. You discover that you cannot find some files of customers known by more than one name on your new electronic records system.

6. Your company has expanded rapidly in the last five years. Each year, more valuable office space is taken up with filing cabinets to house the increasing number of files. It is now difficult to find files, especially in the commonly used alphabetic letters.

7. It is very difficult to find files in your subject filing system because staff members file according to their interpretations of the subjects involved.

8. You discover that a temporary employee, who has now completed his assignment with you, has not kept copies of any outgoing letters or memos he has prepared in the last two weeks.

9. One of your co-workers tells you that she does not bother with disks now that she has a new high-capacity hard drive. She stores everything on the hard drive.

10. You are the owner of a small business. One of your employees has told you that you should store duplicate copies of the most valuable company records offsite.

11. One of your co-workers found a confidential file, belonging to your company, in one of the boardrooms. He read the file and is now telling everyone in the coffee room about its contents.

12. Your company is having to lay off many employees. You are preparing to bid on a very large contract that, if you are successful, will mean that you can keep your employees and maybe even hire back some of those you had to lay off. On your way back from the Wharfside Project developer's office, you meet one of your competitors. You are good friends. You decide to go for a quick cup of coffee. When your competitor leaves the restaurant, you notice that he has dropped a CD labelled "Wharfside Project."

13. One of the junior employees in your bank has just stapled a memorandum to a client's Last Will and Testament, thus invalidating the document. You ask the employee why she stapled the memorandum to the document and she tells you that she was instructed to staple all attachments to memos.

14. You are purging your records management system of outdated files and accidentally delete a document that should have been retained.

15. Nobody in your office wants to use the new image processing system because they cannot find documents quickly.
