SOLUTIONS MANUAL

Certified Professional Secretary™
and
Certified Administrative Professional®
Examination Review

OFFICE ADMINISTRATION

Fifth Edition

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Chapter 2: File Management

Overview

This chapter discusses the records storage procedure and methods for maintaining the highest possible level of security. Be sure to emphasize both parts of the chapter; they are critical to an effective records management plan.

Lecture Notes

A. Procedures for Records Storage

A standard process should be outlined for manual and electronic records. *Review the process to be sure everyone understands each step.*

1. **Accessing Files** is done through either a direct- or indirect-access procedure.

    a. A <u>direct-access</u> system permits a person to go to the storage system and get a file.

    b. An <u>indirect-access</u> system requires a person to use an index to find a file.

2. **Inspecting, Indexing, and Coding Records** must be completed. Once a file has been inspected, it is initialed. Indexing describes the decision as to what the document is filed under. Coding refers to noting where it will be filed right on the document.

3. **Color Coding** improves office efficiency and effectiveness in locating and refiling records.

4. **Cross-referencing Records** assists people in finding records that could be filed in more than one place; the cross-reference is in the alternate locations and says where to find the original.

5. **A Charge-Out System** is used to track information that has been borrowed from files; it includes the name/department who borrowed the item(s), the date it was borrowed, and the probable return date.

B. Files Integrity and Confidentiality

The integrity of files and records and confidentiality are at stake in a records management system.

1. **Files Integrity** refers to the idea that organizational records must be maintained to remain factual, accurate, and truthful.

    a. The author of the document must be identified to assure <u>authenticity</u>.

    b. Use of <u>online processes</u> must comply with integrity and appropriateness of use.

    c. Access to and use of records must be <u>controlled</u> and monitored.

2. **Confidentiality of Records** is important; information contained in records should be used for intended purposes only. "Trade secrets" must be protected.

    a. The <u>need for controlled access</u> includes strict controls to limit access to authorized personnel.

b. High standards are necessary to maintain information confidentiality.

C. Maintaining Records Centers and Archives

1. **Maintaining a Records Center** (depository for records) is usually done:
   a. <u>On-site</u>.

   b. <u>Off-site</u>.

2. Maintaining archives in a business archive (facility that houses records for research or historical value) may be public or private. An accession register identifies the records and controls access. Archives are maintained to:

   a. Preserve history for posterity

   b. Enhance public image by providing access

   c. Maintain information for later reference

D. Security of Records

Physical security restricts access through the use of hardware, facilities, and electronic storage. Logical security relates to procedures embedded in software programs to restrict access to records.

1. **User Identification Systems** restrict access to records.

   a. A <u>user ID and password</u> allows access to records, passwords should be kept private and stored in a safe place.

   b. <u>Digital signatures</u> prove the document has not been altered since it was signed.

   c. <u>Encryption/decryption</u> use a code to protect the information as it travels and then decipher the code when it arrives.

   d. <u>Biometric ID systems</u> use physical characteristics that match to allow access; examples include fingerprints and iris scans.

   e. <u>Magnetic cards systems</u> provide access by swiping the magnetic strip in a reader.

2. A **Trusted Custodian** may be used to maintain the records management system.

   a. The custodian ensures the <u>physical</u> security of records, active and inactive.

   b. The custodian preserves the <u>memories</u> of the organization, the history and the development of the company.

   c. The custodian protects documents from <u>damage</u>, natural and man-made.

   d. The custodian protects <u>different storage media</u>.

3. **User Procedures to Secure Records** allow users to be issued security clearances or codes to allow access to records.

4. **Document Security Features** can be built into a document.

   a. <u>Security papers</u> can be used to detect duplication. They may be chemically reactive to bleach and solvent alterations, contain fluorescent fibers, or have artificial watermarks.

b. A <u>security pantograph</u> can be used for copying and enlarging/reducing. The pantograph appears on copies of the document.

c. <u>Microprinting</u> can be used to stop duplication; microscopic words on an original appear as a solid line on copies.

d. Use of <u>thermochromic (heat sensitive) ink</u> will cause changes if the document is close to heat.

e. Bleed-through number makes it impossible to change the amount on a check; the information printed with the special ink will print red on the reverse side.

E. Forms Management

Constant information is the information that remains the same on each form, and variable information includes the information inserted on the form each time one is filled out. Both are included in paper or electronic formats.

1. Forms management programs are managed through a records manager and/or department. **Key Factors** include:

   a. <u>Top-management supports</u> and actively promotes it.

   b. <u>Forms control</u> must go into effect; time should be devoted to administration and design.

   c. <u>Training for employees</u> should be developed and implemented.

2. **Organizing a Forms Management System** is important because of the importance of records management.

   a. <u>Establish a forms management policy</u>, including procedures and personnel responsible for forms management.

   b. <u>Forms analysis</u>, based on the importance of the form; improvements should lead to effectiveness.

   c. <u>Forms specifications</u> for production, including how the form should be produced.

   d. <u>Forms design</u> and layout is an important function for ease of use; it may be done in-house or outside the organization.

3. **Controlling a Forms Management System** ensures the objectives of a forms management program are being achieved.

   a. <u>Forms production</u> for stock and nonstock forms may be in-house or out, and may be available on disk or from the network.

   b. <u>Forms recording</u> *and filing* procedures should be in place for master sets of forms including any necessary information for future reproduction.

   c. <u>Forms storage and distribution</u> includes balancing the cost of storage and reproduction.

   d. A <u>forms control</u> program is designed to involve representatives from all the departments in the process of creating, updating, and revising forms. *Review the primary purposes, procedures and policies, and justification for design.*

4. **Integration with Other Systems** allows an interface with a number of other systems.

a. <u>Inventory control</u> systems ensure adequate supplies are on hand.

b. <u>Warehousing</u> options are available for stocking forms.

c. <u>Purchasing</u> using appropriate policies and time frames ensures adequate supply.

d. <u>Reproduction services</u> using a centralized facility based on the determined reorder point.

e. <u>Office systems</u>, including word processing and desktop publishing software are available for forms design, brochures, and pamphlets.

Additional Resources for Students

Recommended readings (no texts should be more than two years old):

- Kallaus, Norman and Judith Read Smith. *Records Management*.

- Keeling, B. Lewis and Norman F. Kallaus. *Administrative Office Management*. South-Western Publishing Co.

- Oliverio and Pasework. *The Office: Procedures and Technology*. South-Western Publishing Co.

- Quible, Zane K. *Administrative Office Management – An Introduction*. Prentice-Hall, Inc.

- Ricks, B., A. Swafford, and K. Gow. *Information and Image Management*. South-Western Publishing Co.

- Robek, Brown, and Stephens. *Information and Records Management*.

- Scriven, Kozell, Myers, and Hapke. *Professional Office Procedures*. Glencoe/McGraw-Hill.

Current issues of periodicals or business publications are also an excellent resource. Some of the following periodicals have an accompanying Web site.

Current Periodical	Web Address
Gregg Reference Manual	
IAAP Complete Office Handbook	http://www.iaap-hq.org/products/handbook.htm
Modern Office Technology	
OfficePro	http://www.iaap-hq.org/officepro/toc.htm
The Office	