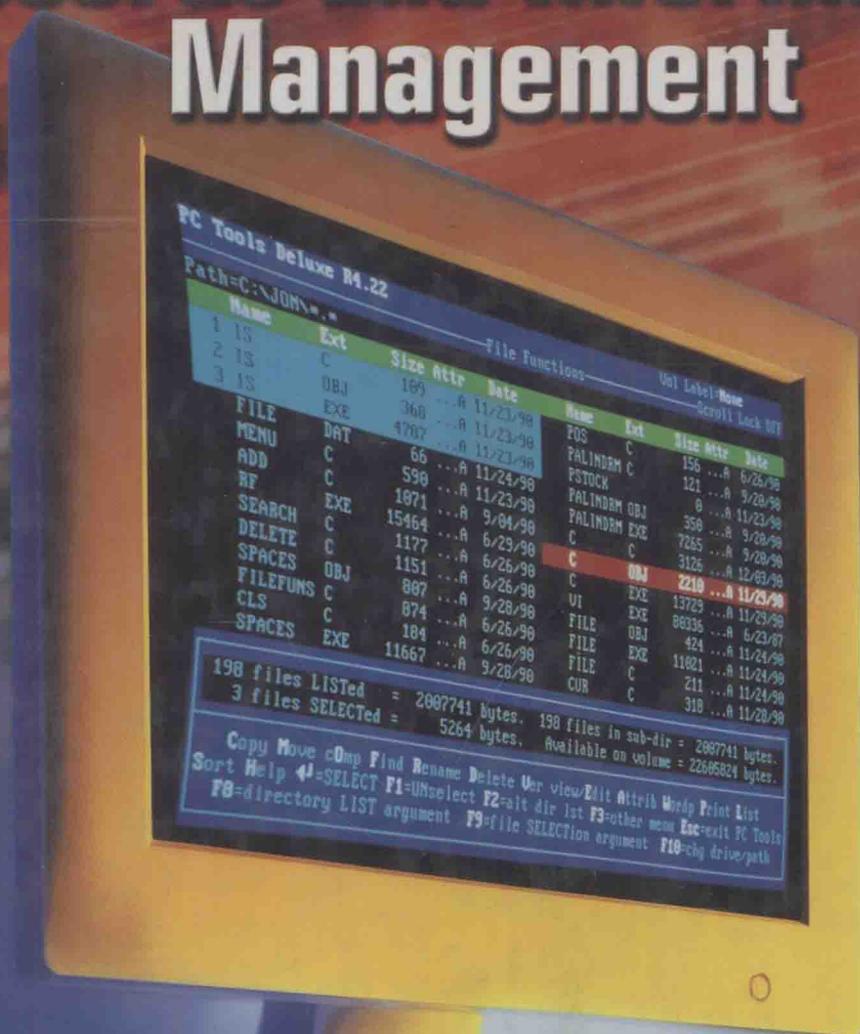
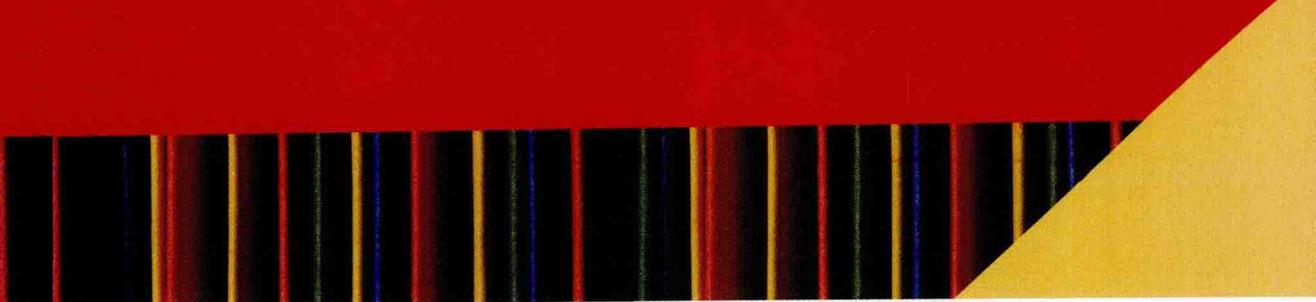


Professional Records and Information Management



JEFFREY R. STEWART
NANCY M. MELESCO

Filing Rules
Tutorial CD-Rom
Included



PROFESSIONAL
RECORDS AND
INFORMATION
MANAGEMENT

SECOND EDITION

Jeffrey R. Stewart

Nancy M. Melesco



New York, New York Columbus, Ohio Woodland Hills, California Peoria, Illinois

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Professional Records and Information Management is a careful revision of the successful edition titled *Professional Records Management*. The term *information* was added to the title to acknowledge the dramatic growth of information technology, especially as it relates to the use of computers, databases, and networks for managing information.

Records and information management (RIM) is increasingly being recognized as a profession in and of itself. The recent emergence of the corporate title chief information officer, or CIO, testifies to the growing status of the field. Overseeing the billions of records produced each day requires professional experience and commitment. The professional records manager or information manager may or may not have the title of records manager or information manager. Still, all who work with records must be adept in and knowledgeable about the profession of records and information management, the management of nonelectronic records and information, and electronic information management. This text is organized into three units; each addresses one of those crucial ingredients of records and information management.

Unit 1, *The Profession of Records and Information Management*, introduces basic terminology and discusses the scope of records and information management, employment opportunities, and legal and ethical matters associated with records and information management. Unit 2, *Managing Non-electronic Records*, considers the life cycle of hard copy records and the indexing protocols required to organize records. Unit 3, *Electronic Information Management*, has been completely reworked in this edition. This unit is a comprehensive introduction to current developments in electronic information management. Topics include electronic computer filing systems, database systems, image technology, and automated systems used to manage paper records. A completely new chapter in Unit 3 is Chapter 10, *Network-Based Records Management*. This new chapter deals with e-mail, the Internet, and related topics so vital to the management of information today. Each of the three units begins with a profile of a real-life RIM professional and concludes with realistic application activities that provide practice in managing records of all types.

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Filing and Computer Database Projects

The practice set for this text is titled *Filing and Computer Database Projects*. It includes both manual and computer database simulations. The manual part of the practice set includes alphabetic, numeric, geographic, and subject filing of names and data that are used later in the computer database part of the set. The manual portion also includes decision-making activities in the creation, receipt, storage, and retention of correspondence and other realistic documents.

In the computer database part of the practice set, the user works with a customer database, a client database, and an inventory database—each in the context of a simulated business. In addition, the user designs and creates a small employee database.

Other Supporting Materials

Filing Rules Tutorial

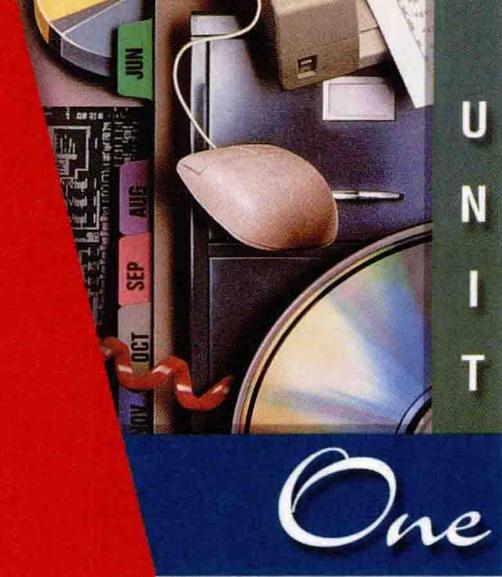
The CD inside the back cover of this textbook contains a stand-alone filing rules tutorial of eight to twelve hours of alphabetic filing practice using the twelve filing rules. Its use is intended to reinforce the work in Chapter 5. Instructions for using the CD appear on page 250.

Gregg Quick Filing Practice

A popular alternative to *Filing and Computer Database Projects* is *Gregg Quick Filing Practice*. This boxed set provides approximately twenty hours of manual filing practice.

Your Challenge and Your Opportunity

By carefully studying the material in this book and completing the activities in the practice set, you will be well on your way to great opportunities and challenges in records and information management. This growing profession requires more and more dedicated and knowledgeable professionals. Your challenge is to grasp the opportunity to join their ranks.



The Profession of Records and Information Management

Unit 1 is an overview of the profession of records and information management (RIM). You will learn what RIM is, its functions, and its employment opportunities and be introduced to some of the major professional organizations in RIM. Finally, you will consider legal and ethical concerns that confront the records and information management professional.

P ROFESSIONAL PROFILE



PATRICIA CONNELLY
Glen Allen, Virginia

Meet Patricia Connelly. Patricia is an Information Technology Operations Associate at Capital One Financial Corporation. Her job is to maintain the documentation library. Patricia's responsibilities include maintaining an up-to-date filing system, making sure all documentation is completed in hard copy packets with required signatures, filing and

tracking the documentation, ensuring that proper retention procedures are in place, and developing new methods for tracking documentation. Her job requires strong organizational skills, good communication and interpersonal skills, and skill in word processing and spreadsheet applications. In addition, Patricia has to be creative, resourceful, and detail-oriented to properly maintain all the records.

Patricia's Career Path. Patricia refined her organizational skills from previous work experiences. She has held her current position for 1-1/2 years and hopes one day to move up to manager of the documentation staff. Her experience plus the two-year degree she is working toward at J. Sargent Reynolds Community College will prepare her for that move.



Introduction to Records and Information Management

The purpose of Chapter 1 is to enable you to:

- **Define** records and information management (RIM).
- **Recognize** the functions of records and information management and the steps in the life cycle of records.
- **Identify** employment opportunities in both the private and public sectors that require records and information management expertise.

KEY TERMS

- contract
- hard copy
- information system
- nonrecord
- record
- records and information management

Most private and public sector organizations depend on information to operate. For example, to do business, a company must have information about its:

- Customers
- Suppliers
- Employees

How businesses and other organizations plan, develop, and organize their information is called their **information system**. Some information, such as job applications and minutes of board meetings, is recorded on paper (**hard copy**). Other information is recorded on computer disks or hard drives, microfilm, or other media. Inventory records, for example, are often kept in a computer *database*, which is a collection of related files that support a business or organization. Regardless of the medium, **records and information management (RIM)** deals with the creation, distribution, maintenance, protection, control, storage, and eventual destruction of business and organization records.

Identifying a Record

A **record** is a piece of information created by or received by an organization or business that gives evidence of a business decision or transaction and should be preserved. Some records are kept because of government regulations. Other records are retained as proof of what was decided or agreed upon in business transactions. Businesses are flooded with information; it is not desirable or cost-effective to keep all of it. RIM professionals have the responsibility of deciding what is a **record** and what is a **nonrecord**.

Most **contracts** are records of vital importance to an organization. A contract is an agreement, usually in writing, between two parties that sets forth the expectations for each side. If there is a dispute between the parties, a copy of the contract will be needed to prove the original intent so that the contract can be upheld. Patents, stock purchases, and sales data are other examples of records that organizations should retain.

A **nonrecord** is a document that is more expensive to keep than to discard. For example, keeping copies of order acknowledgments sent to customers usually costs more than they are worth. In the 1990s, some tobacco companies maintained records that could have been destroyed legally but were kept and later used against them.

Identifying Documents

Record

A piece of information created or received by an organization that should be preserved.

Nonrecord

A document that is more expensive to keep than to discard.

Records and Information Management Functions

In your study of records and information management, you will become familiar with the functions of RIM. A brief description of each function follows.

Creation

A records and information manager must consider factors such as cost, format, medium, and accessibility before records are created. For example, if the cost of creating a record is greater than its value to a business, the record probably should not be created at all.

Functions of RIM

Creating, distributing, maintaining, protecting, controlling, storing, and eventually destroying the records created in an information system.

Distribution

Distribution is the act of delivering a record to an individual who has a need to see the information contained in the record. Should a paper record be created in four copies? Who will use each copy, and for what purpose? How are the copies to be sent to the users? Choices of delivery include fax machine, mail, interoffice delivery, or electronic mail. Questions such as those listed above must be considered before records are distributed.

Maintaining Integrity of Records

Keeping records current, accurate, and relevant to the operation.

Maintenance

The records and information manager is responsible for maintaining the integrity of the organization's records (Figure 1.1). As used here, integrity refers to records being current, accurate, and relevant to the operation. For example, for a payroll to be accurate, the employees who prepare the payroll must have accurate and up-to-date information about the pay rate of each worker.

Protection

Protection includes keeping records safe and secure—safe from physical hazards, such as fire and floods, and secure to maintain the privacy of the records (Figure 1.2).



Figure 1.1

A record must be maintained for safe-keeping and easy retrieval. *Which phase is this in the life cycle of a record?*



Figure 1.2

Records must be protected from natural and human disasters as well as theft and sabotage. Protection is the fourth phase in the life cycle of a record.
How would you protect the records in your private files?

Control

The records and information manager must *control*, or regulate, the use of records within the organization. Only authorized persons should have access to records. Records that are borrowed must also be controlled. Controlling borrowed records includes documenting the records that are borrowed, who is borrowing them, when they are borrowed, and when they are due back. It also includes tracking, or following up, to make sure they are returned on time.

Storage

Records must be preserved, or *stored*, so they can be found when needed (Figure 1.3).

Inactive or historical records must be stored in a safe place and organized for rapid retrieval if needed.

 **Your Understanding**

Explain the life cycle of a record.

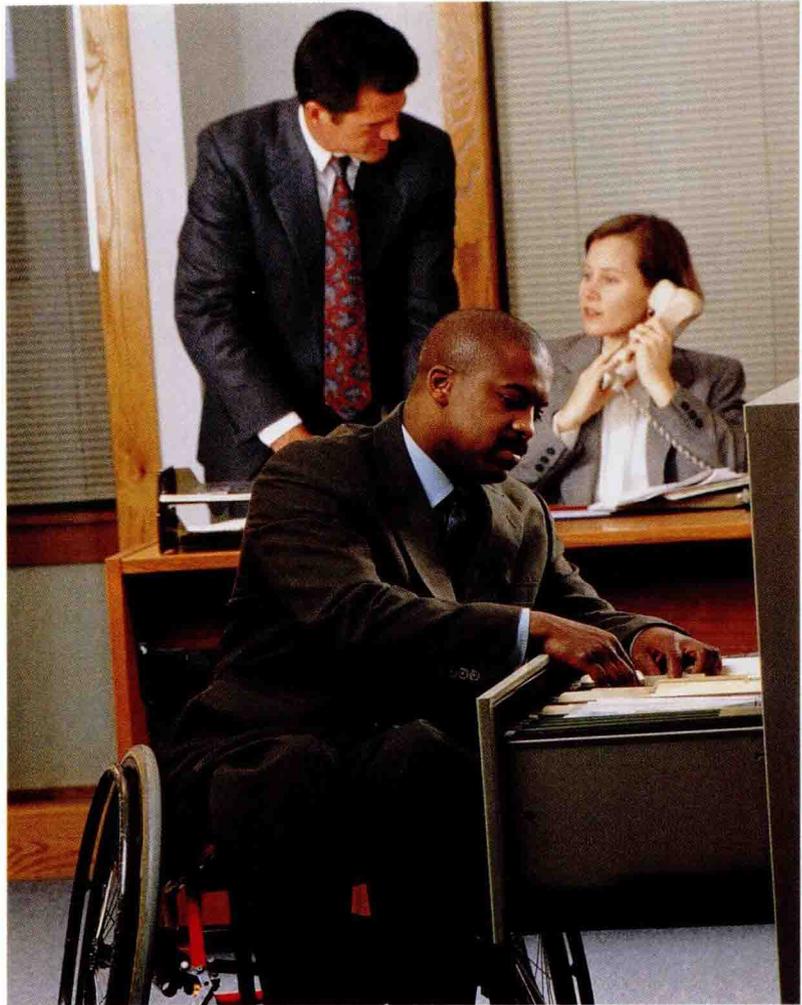


Figure 1.3

Storage is the sixth phase in the life cycle of a record. *When might a record be stored in another location?*

Destruction

The records and information manager is responsible for determining when records should be destroyed and overseeing their destruction. Records can be destroyed when they are no longer needed in the operations of the organization or when they are no longer required for legal reasons (Figure 1.4). The manager must make decisions concerning how to recycle records as part of the environmental protection policies of the organization.

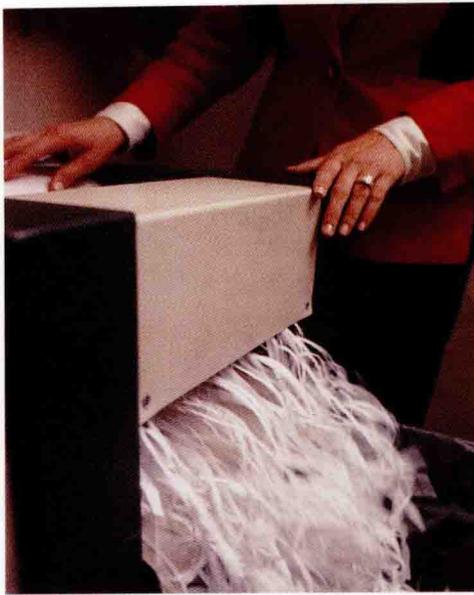


Figure 1.4

The seventh phase in the life cycle of a record is its destruction. A record is destroyed or recycled when it no longer has value to the organization. **How would you describe a valuable record?**

Life Cycle of Records

- Creation
- Distribution
- Maintenance
- Protection
- Control
- Storage
- Destruction

Life Cycle of Records

The functions described above, when they are tied together, can be looked upon as steps in the life cycle of records, as shown in **Figure 1.5**. As shown in the diagram, records are first created, then distributed to users. Next, records are maintained on a day-to-day basis. They are protected and controlled while being used. Records are stored and sometimes transferred to inactive storage near the end of the life cycle. Finally, when they are no longer of value to the organization, the records are destroyed and in many cases recycled to protect the environment.

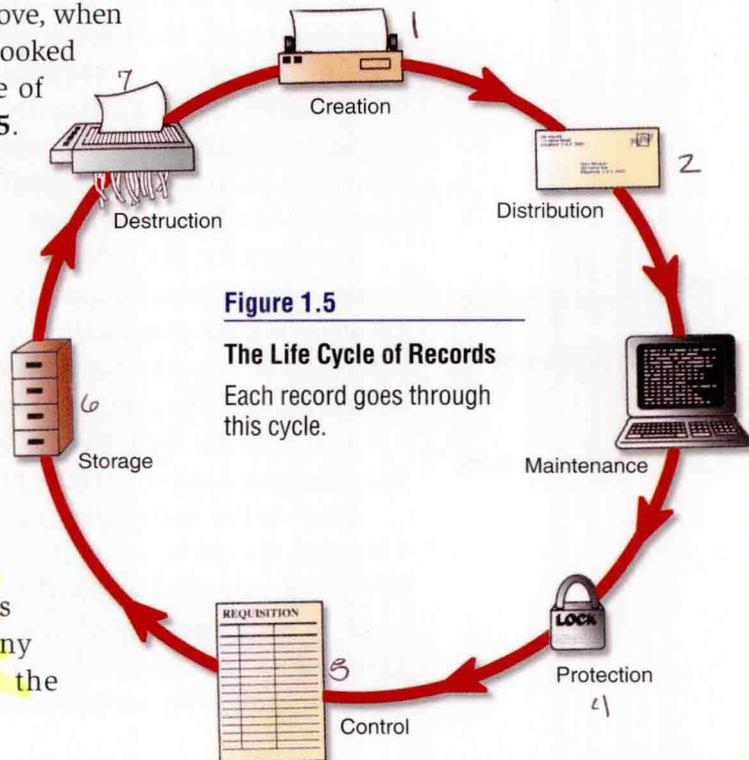


Figure 1.5

The Life Cycle of Records

Each record goes through this cycle.

The Professional Records and Information Manager

Two Groups of RIM Professionals

Specialists and employees whose occupation includes the management of information but who have another specialty or job title.

Many businesses and organizations employ or contract with records and information management professionals. Job titles include chief information officer (CIO), records manager, records and information manager, and records and information management consultant. These individuals often have a two- or four-year college major in one of the business disciplines or in information and library science. In addition, they usually have experience in managing information and records. Many belong to professional organizations such as the Association of Records Managers and Administrators, Inc. The professional records and information manager is responsible for planning and implementing an organization-wide program that encompasses all records and information functions.

Records Management Field

RIM AS A PROFESSION. The RIM professional is important to the success of many organizations. Numerous administrative, fiscal, and managerial jobs also require a basic knowledge of RIM. Other professions whose members should have a foundation in RIM are accountant, office manager, branch manager, department head, administrative assistant, executive assistant, legal assistant, medical assistant, marketing manager, and marketing assistant.

In summary, the field of records and information management includes two groups: (1) specialists in RIM and (2) employees whose occupation includes the management of information but who have another specialty or job title. Professionals in both groups make decisions that affect the life cycle of records. They all deal with the important functions of the emerging field of records and information management.

Look at the daily schedule of a RIM professional, Douglas Toussant, the records and information manager for a large law firm, Sager, Haart, and Donovan, PC. The schedule shown on page 11 is an example of one day's activities and projects. It gives you some idea of the variety of Toussant's daily activities—working with people, ideas, technology, and resources.

Your Understanding

What are the functions of RIM?

A Day in the Life of a Records Professional

Sager, Haart, and Donovan, PC
Douglas Toussant, Records and Information Manager
Schedule for Thursday, March 18, 20—

Time	Planned Projects and Activities
8 A.M.	Assemble cost figures for 9 A.M. meeting with controller. Expenditures will be used to convert paper case files in folders and cabinets to optical disk case files for the new information management system.
9 A.M.	Meet with controller to discuss possible increase in equipment and staffing budget in next fiscal year.
10 A.M.	Interview Paula Salera, candidate for systems analyst position, who will be responsible for setting up and providing database maintenance for the new optical disk case files.
11 A.M.	Write standards for entering data (case files) into the computer system.
12 noon	ARMA local chapter meeting/luncheon at Holiday House Inn and Conference Center. Speaker topic: Internet Challenges.
1:30 P.M.	Meet with Jun Chen, Indus-Star bar code scanner salesperson, to see if this product meets standards for entering data into the computer system.
2 P.M.	Conduct training session for partners on how they might use the new computer case file system and how to deal with transition procedures. See PowerPoint file CASE.PPT and COMPCASE.RIM for notes and visuals.
3 P.M.	Training session in progress until 4 P.M.
4 P.M.	Send e-mail to partners thanking them for attending and providing suggestions in today's training session. Include list of suggestions given and assure them that each will be considered for incorporation in the new computer system.
5 P.M.	Meet with records and information management staff regarding progress in preparing to phase in the new information management system.
6 P.M.	Phone Sam Carruthers, RIM consultant in California (415-555-3280). Ask him if he will be able to meet on April 6 to provide technical advice on bar code input.