

# **Filing Systems Design and Implementation**

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## **Table of Contents**

|   | <i>Page</i> |
|---|-------------|
| 1. Introduction.....                              | ii          |
| 1. Chapter 1 – Getting Started.....               | 1-1         |
| 2. Chapter 2 – Collecting Data.....               | 2-1         |
| 3. Chapter 3 – Analyzing Records.....             | 3-1         |
| 4. Chapter 4 – File Access.....                   | 4-1         |
| 5. Chapter 5 – File Arrangements.....             | 5-1         |
| 6. Chapter 6 – File Indexing and Coding.....      | 6-1         |
| 7. Chapter 7 – Subject Files.....                 | 7-1         |
| 8. Chapter 8 – Electronic Filing.....             | 8-1         |
| 9. Chapter 9 – Filing Equipment & Supplies.....   | 9-1         |
| 10. Chapter 10 – Implementating the System.....   | 10-1        |
| 11. Appendix A – Equipment.....                   | 11-1        |
| 12. Appendix B – Filing Supplies.....             | 12-1        |
| 13. Appendix C – Simple Rules of Filing.....      | 13-1        |
| 14. Appendix D – Alphabetical Indexing Rules..... | 14-1        |
| 15. Appendix E – Conversion Tables.....           | 15-1        |

## **Filing Systems Design and Implementation**

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### **Introduction**

#### **Introduction - filing systems design and implementation.**

An effective filing system for paper or microfilm or other format is a critical element of a records management program. Through improved file management, the health science center may operate more efficiently and enhance the quality of services provided.

#### **Purpose...**

This manual is intended to provide a comprehensive overview of filing and filing systems to all employees at the health science center. It contains guidelines for the following:

- Designing filing systems – grouping records and logical records organization.
- Selecting filing features and file arrangements.
- Indexing records.
- Managing subject files
- Managing files created on a personal computer.
- Selecting equipment and supplies
- Implementing the system.

#### **Audience...**

Users of this manual are expected to have varied knowledge of filing, records management, and differing information needs. For this variety of readers, the Filing Systems and Implementation Manual includes basic information and records terminology, as well as more advanced and specialized material.

#### **How readers may use this manual...**

1. Read through the manual, proceeding from Chapter 1, in consecutive order, to Understand filing concepts, terms and applications or
2. Decide to reference only particular chapters, such as “Subject Filing” or “Filing Equipment and Supplies.”

Therefore, especially important information is repeated throughout the manual. For those who will use it for quick reference purposes, each chapter provides sufficient information to stand alone.

Comments and suggestions for improvement of this manual are always welcomed by the Records Management Team, (817)735-5011.

## **Chapter 1 – Getting Started**

### **Getting Started...the need, the health science center requirements, and the plan**

#### **Why does the health science center need and require effective filing systems?**

- The goal of every filing system is to organize information so that it may be found later. A filing system brings order and logic to the tasks of:
  - Storing and retrieving information.
  - Following Retention Schedule for systematic destruction of blocks of records that have met all retention requirements.
  - Using equipment and procedures associated with creating, using, and maintaining information to perform assigned work efficiently.

#### **How is filing defined?**

- Filing is the process of designing, documenting, and implementing standard procedures for classifying, sorting, and storing information to assure cost-effective and timely retrieval.
- Filing systems may evolve from the name of a person, place, thing, or a unique number associated with a record.
- The complexity of the system increases with diversity of information in it and users' needs. Efficient file structures are not always simple.

#### **Every filing system –even a small one – is a challenge to develop.**

- The filing system designer must predict the user's need for information and organize files to meet these needs.

## **Filing Systems Design and Implementation**

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### **Requirements for a filing system are suggested in The Texas State Library and Archives Commissions Records Management Manual**

The Texas State Government Code 441.180 defines the responsibilities of agencies for records management to include “the management of filing and information retrieval systems in any media.” There are no standard filing systems to which all Texas State agencies must adhere and only industry standards are offered.

#### **Identify all nonrecords!**

- The following items are nonrecords:
  - **Stocks of publications**, and printed brochures.
  - **Library materials**, acquired and preserved for reference including textbooks, periodicals, and other technical reference materials.
  - **Quasi-official notices**, unsolicited announcements, invitations, or other materials that are not filed as evidence of operations.
  - **Preliminary drafts**, worksheets, memoranda, and informal notes that do not represent significant steps in the preparation of recorded documents.
  - **Routing slips**, that contain no pertinent information or approvals, used to direct the distribution of papers and correspondence.
  - **Personal property**, such as employee’s own copies of personnel files, certificates, training documentation, etc.
  - **Extra copies**, of records in addition to “official” records contained elsewhere. Duplicate copies of records maintained as reading, convenience, tickler, and identical copies maintained with the “official” record are non-records if they are maintained only for reference and convenience and do not contain additional information.
  - **Blank forms**, file and office supplies, or other items that can be found in a store’s warehouse.



***Nonrecord materials should not be mixed with official records. Retain only while useful, then destroy.***

## **Filing Systems Design and Implementation**

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### **The first step – plan for an improved filing system...**

- To develop a new filing system or improve the existing one, take the following initial steps:
  - Define the need.
  - Communicate to the team the need for change.
  - Develop a plan with the help from the team.
  - Obtain department management support by presenting a plan, timetable, and benefits to be achieved.

### **For success with improving or establishing a filing system that is compliant with the Records Management Program, department management must...**

- Initiate and support major filing system improvement projects.
- Formally endorse filing improvement projects as a meaningful departmental goal.
- Assign a capable staff to the filing system improvement project and allocate time for systems planning and implementation.
- Follow-up with maintenance efforts.

### **Filing system cost factors often include the following...**

- Office space usage – square foot floor space to cubic feet of file storage.
- Off-site storage costs – semi-active and inactive records storage at the off-site storage facility.
- Filing equipment – file cabinets, shelving, computer hardware, and software to store and index records.
- Supplies – file folders, labels, guides, out cards, and record boxes.
- Labor – staff to process, handle, pack, and move records and files throughout their life cycle. **Labor is always the greatest cost factor!**



*Subsequent chapters provide additional information on methods for assessing space costs, equipment, and filing supply alternatives.*

## **Filing Systems Design and Implementation**

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### **Management should expect benefits from filing system improvements to include...**

- Cost avoidance or cost reduction.  
Improved service to users, including faster information turnaround time.

*Every filing system is a challenge to develop. Choose and assign this responsibility to a capable individual. A committee with representatives from various units may be too cumbersome for the final task.*

### **Training and assistance is available.**

- A consultant from the Records Management Team can provide technical assistance but will not do the work alone or do the work for a department or individual.
- An individual or individuals within the organization is always needed to offer continuity and insight into a department's informational needs. That person must be able to devote time to the project without feeling that other duties are suffering. That person or persons may be the administrator or administrative assistant.
  - Individual skills needed to lead department filing system improvements are:
    - (a) Experience with the department records.
    - (b) Analytical skills and the ability to develop process flow charts.
    - (c) Ability to work effectively with all personnel.



*The individual will be called Department Records Representative (DRR).*

The Department Records Representative will develop a step-by step plan:

1. Collect data by conducting a Records Inventory.
2. Analyze records.
3. Determine file access needs (process flow).
4. Recommend a filing arrangement (filing plan)and test the plan.
5. Recommend an index and code system (as needed).
6. Recommend equipment, supplies, and adjustments to the file plan.
7. Present recommendations, with costs and benefits.
8. Draft and revise file policies and procedures as necessary.

## **Filing Systems Design and Implementation**

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9. Plan the project implementation and training.
10. Implement the system. Train the users.
11. Monitor implementation, follow up, compliance with retention schedule.
12. Revise the system if necessary.



*In succeeding chapters, this manual provides detail guidance for carrying out the above plan.*

### **The records information that will be needed should continue through its life cycle...**

- A life cycle includes:
  1. Creation, receipt, or computer generation of information.
  2. Appraisal of the administrative, legal, fiscal, research, and historical values that Determine records retention requirements.
  3. Organization, handling and maintenance of information to fulfill its immediate purposes in active office space.
  3. Transfer to secure, less costly storage space (Records Management – Off-site Storage) if records are inactive or semi-active.
  4. Destruction of records.



*Determine the life cycle of document or data as early as possible. Also, it is best if this can be done before the record is used, forwarded , or filed.*

### **Organization of data...**

- Before setting up a filing system, collect organizational information about the division or department, including:
  - Organizational and key process flow charts.
  - Department policy and procedural manuals.
  - Other materials describing department function and purpose.
  - Relevant security policies and procedures.
  - Relevant state, federal, and other regulatory data regarding the maintenance of records.

## Chapter 2 – Collecting Data

### Collecting Data....the first step in establishing or improving a filing system.

#### Life cycle of a record...

- The records must be assessed to determine the filing and design needs.
- Why are the records created or received?
- Who uses them?
- What information is significant?
- What types of records are they?
- How are the records processed?
- What are the retention requirements?
- Are they duplicate in whole or in part elsewhere?
- Is the information government sensitive?
- Is the information confidential?
- Do the records have administrative, fiscal, legal, audit, or historical value?

#### Records information covers the record throughout its life cycle.

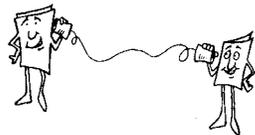
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*Determine the life cycle of document or data as early as possible. Also, it is best if this can be done before the record is used, forwarded, or filed.*



Creation



Appraise values to determine retention requirements



Active Stage



Inactive, Semi-active, Destruction, or transfer to archives permanent preservation.

## **Filing Systems Design and Implementation**

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### **Organization of data...**

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  - Department policy and procedural manuals.
  - Other materials describing department function and purpose.
  - Relevant security policies and procedures.
  - Relevant state, federal, and other regulatory data regarding the maintenance of records.

### **Records retention data requirements:**

- Information about specific records and their life cycle is obtained from:
  - Records Inventory.
  - Survey.
  - The current official health science center retention schedule.

### **Records and files survey...**

- The records survey is a broad type of records inventory.
  - It involves walking through the filing and records storage areas to gain an overview of the type and quantity of records.
  - Data is collected through direct observation and interviews.
  - Interview those who create and use the information and those who file and retrieve the records.
  - The file survey should offer quick answers to the following questions:
    - (a) Does the department or division have policies and procedures for their records?
    - (b) Does the department or division follow the health science centers approved retention schedule?
    - (c) Are records organized according to a logical system?
    - (d) Are non records mixed with official records?
    - (e) Are more significant records mixed with less significant ones?
    - (f) Are records with differing retention values filed together?
    - (g) Are classified or confidential records stored with other records?
    - (h) Are records arranged for ease of filing and retrieval?
    - (i) Is office space for records used efficiently?
    - (j) Should department/division staff investigate alternative filing equipment and /or supplies to improve efficiencies?
    - (k) Are records being stored in a place that violates safety codes, security protection.

## **Filing Systems Design and Implementation**

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### **Records Inventory**

- A department records inventory is a complete detailed listing of all records of a department by series, with supporting information. It documents:
  - Record types.
  - How they are used.
  - How they are organized.
  - What happens to them.
  - Who uses them.
  - How long they are used.
- Inventory data is used to:
  - Improve file management.
  - Analyze retention requirements.
  - Justify converting records to another media form.
  - Propose conversion of manual information systems to automated systems.
  - Develop flow charts for analyzing processes.
- Follow these inventory procedures to collect and analyze the records inventory data:
  - Use a standardized form to collect complete and consistent data.
  - Computerize data.
  - Review sample file folders and documents within folders. It is possible to visually scan and summarize documents without having to view every one.
  - Be accurate and thorough in collecting data. This information will assist in the selection of an effective filing system.



*The Records Management Team can offer guidelines and assistance for conducting a records inventory.*

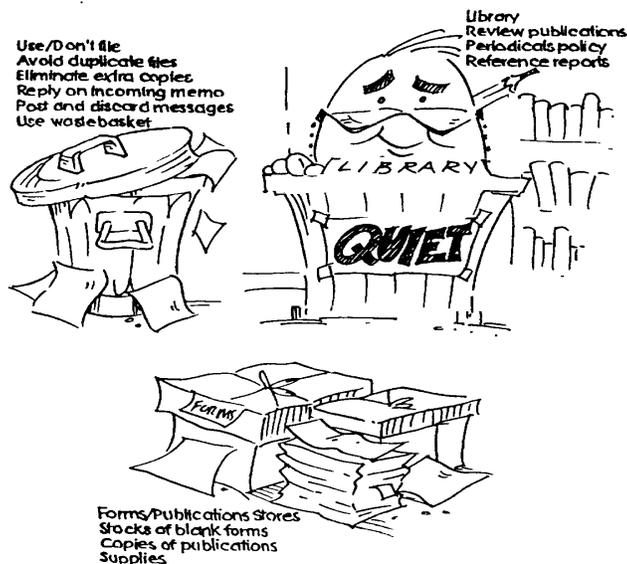
## Chapter 3 – Analyzing Records

### Analyzing Records...the method, the importance of grouping, separating, and classifying records into file types

#### “Rule of Thumb” worth remembering!

- Records are not of equal value!
- They are accumulated into file folders differently in regard to their relationships.
- Records serve different functions. Therefore, certain records should **NEVER** be filed together in the same records series.
- The fewer the files, the easier it is to find information.
- One good file that is well-maintained is worth more than several poorly maintained duplicate files.
- Records Management offers different systems to fit different needs.

#### Separate records and nonrecords.



## **Filing Systems Design and Implementation**

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  - **Blank forms**, files, and office supplies, or other items that can be found in a store's warehouse.



***Nonrecord materials should not be mixed with official records. Retain only while useful, then destroy.***

- Eliminating nonrecords makes files more efficient. Results include faster filing and retrieval, saves space, reduce filing equipment, and filing supplies needed.



***Be very careful with sensitive or confidential documents and media. Dispose of these documents according to Texas Government Code, Chapter 441. Consult Records Management for additional information or guidance.***

## **Filing Systems Design and Implementation**

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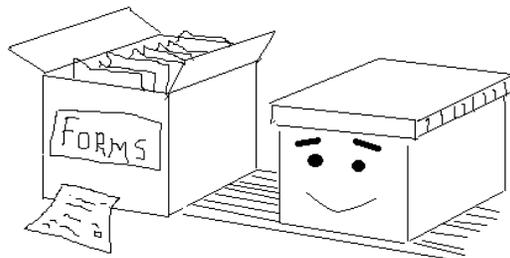
- **Identify required records.**

- Avoid duplicate (convenience or reference) files. This can cause problems. Documents that belong in the official files may be filed with the duplicates by mistake.
- **Break the extra copy habit!** Reduce the number of copies created and distributed.



*Reply on the incoming letter when appropriate. A handwritten response on the bottom of a memo or letter may work for routine correspondence. Mail the letter back to the requestor instead of filing it.*

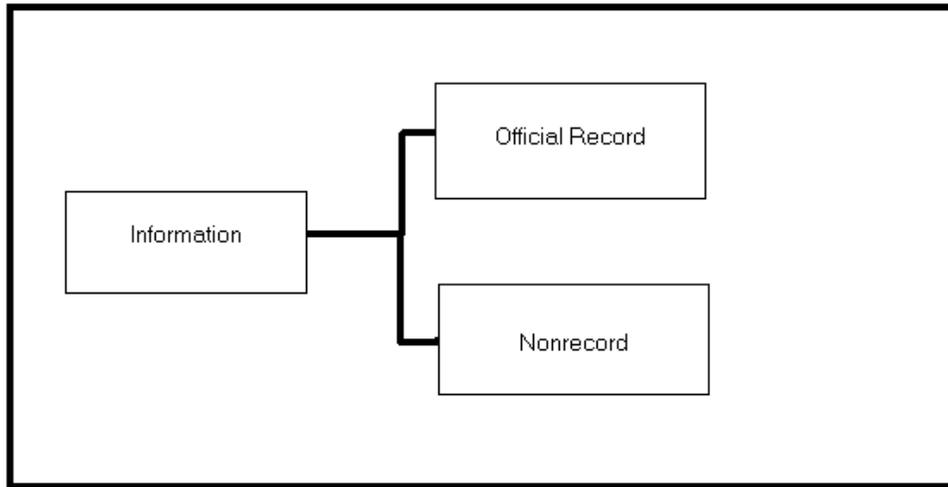
- Review periodicals and publications.
  - Inventory publications that are received periodically. Develop a written policy for filing needed items in a library or reference area. Remove your name from distribution lists for materials that are not pertinent to the department.
- Maintain stocks of forms and supplies in a designated area (stationary cabinet), not in filing equipment.



## **Filing Systems Design and Implementation**

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### **Record Files versus Nonrecord Files**

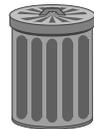


#### **Identify the official record...**

- A “public record” is defined as a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received according to law or ordinance or in connection with the transaction of official business.

#### **Locate and analyze duplicate files.**

- Some duplicate files are established to meet particular needs such as vital records, accounting, and audit reports.
- Other duplicate files are called “convenience,” “reading,” or “tickler.” These would not be considered the official record copy. Some duplicates may be nonrecords, as discussed in Chapter 1.



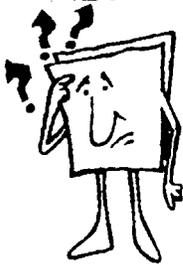
*Always question the need for duplicate copies!*

- Duplicates increase the chances for filing problems and increase cost!
- Determine if duplicate files are records or nonrecords.  
Use/Don't avoid duplicate files – Eliminate extra copies – Reply on incoming memo Post and discard messages – Use wastebasket (recycle). All confidential information must be destroyed in accordance with Texas Government Code, Chapter 441. All

## **Filing Systems Design and Implementation**

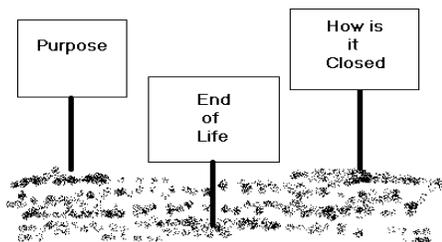
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confidential information must be kept secure until destruction. You can contact Records Management for additional information, or help.



- What is the source for collecting data? What process was used?
- How do records flow into the file or file folder?
- Does the individual record provide complete data?
- Does the user require a complete package, illustrating a history of accumulated evidence?
- Does the information lose value based on the passage of time?
- Is an event such as completion of a project, a contract payment in full, or a case closing a basis for information to lose value?

### **Categorize files based on:**



1. How each record serves its purpose.
2. How it reaches the end of its active life.
3. How it is closed.

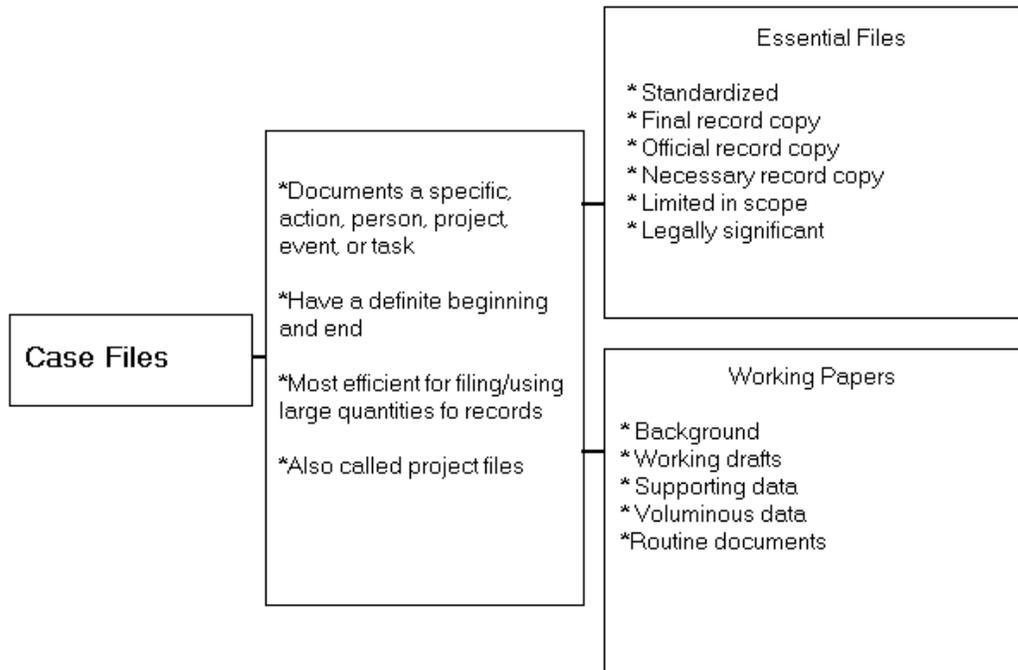
### **What are the advantages of grouping files by type?**

- **Disposal** – Records may have differing retention periods. Separation into groups should keep essential materials apart from short-lived records that may be disposed of earlier than the essential records.
- **Volume** – Quantity of records involved is important when considering storage. However, if the entire file consists of only 1 cubic foot per year, perhaps separating case working papers from case essential documents will not be worthwhile.
- **Completeness** – Records should contain complete information, documenting the entire transaction or specific subject. However, not every piece of data collected on a particular topic or individual needs to be retained.

## Group files into case files or noncase files

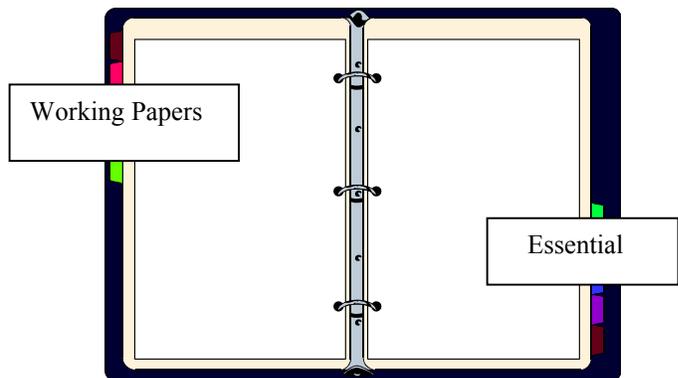
### Case Files

Case files may be either essential account, project files, or they may be working papers:



### Case file applications

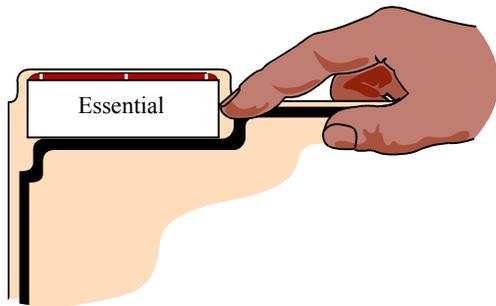
- **Case files may also be called project or account files.** They contain material relating to a specific:
  - (a) action
  - (b) transaction
  - (c) account
  - (d) event
  - (e) person
  - (f) place
  - (g) project
  - (h) assigned task



## **Filing Systems Design and Implementation**

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- Case files require use of a file folder to accumulate all necessary parts of the record series. These applications involve groups of related documents.
- Users require easy access to the entire group, folder, or data base.
- Case files (including short-term transaction files) can constitute the largest single type of records. They often include:
  - Purchase orders
  - Contracts
  - Investigations
  - Requisitions
  - Research projects
  - Engineering reports and drawings
  - Personnel transactions
  - Medical Files



### **Case files can differ from other types of files**

- They are usually carried forward each year until action is completed
- Folder or data base disposition is normally based on a specific event, e.g., termination settlement, or completion of an activity or function.
- These records have a definite beginning and a definite end although the end may be a very long time.

## **Filing Systems Design and Implementation**

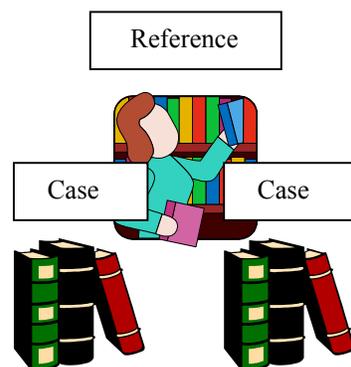
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### Case working papers.

- Case working papers are records accumulated in connection with a case, project or account file.
- For project-type cases they may include voluminous accumulated background and working materials.

Examples are:

- Reference materials and data collected for the project.
- Summarized and analyzed data.
- Short-lived correspondence related to the administration or status of the case, extra copies, reference materials, and routine requests for information.



*Recordkeepers should always try to segregate the less significant records from more important and longer lasting records.*

### **Case file screening , purging, or weeding**

***Avoid the practice of screening, purging, or weeding individual records from case folders at the close of a case. You could be accused of selective purging and violating file integrity with the intent to commit fraud or hamper and investigation.***

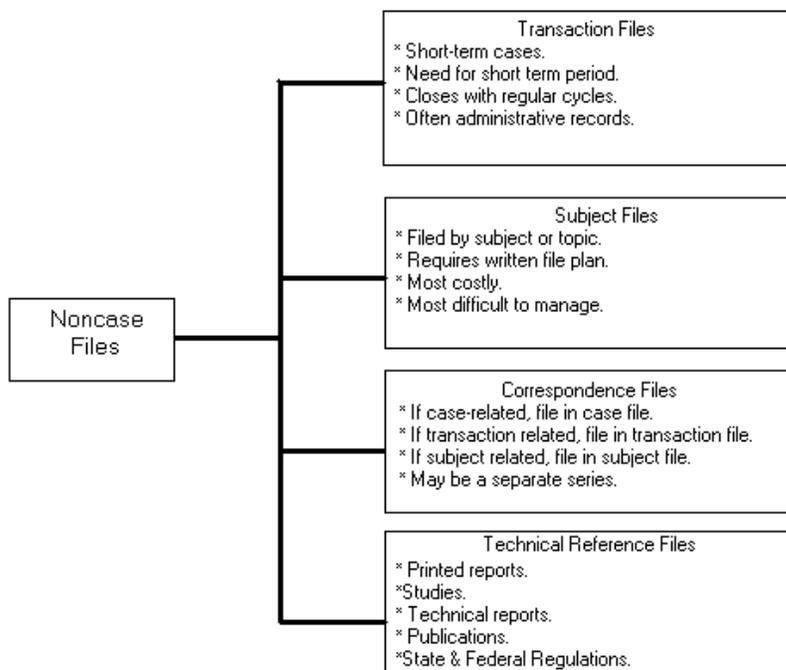
- One way to deal with this issue would be to set up two file folders for the case in the beginning, one for significant case items and one for more routine working papers. Those who combine both in one folder and plan to “weed” or “purge” the files later generally find it difficult to locate knowledgeable staff and resources to do so.

## **Filing Systems Design and Implementation**

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### **Noncase Files**

**Noncase files may be transaction files, subject files, correspondence files, or technical reference materials**



## **Filing Systems Design and Implementation**

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### **Transaction file applications**

- Transaction files do not require compiling a body of evidence over a long period of time. They are actually very short-term case records. Examples include:
  - Purchase requests
  - Renewals
  - Billing, revenue and expenditure reports
- Many routine administrative records are transaction file applications. The following time sequence occurs:
  - A single record or group of records are received at the same time or over a relatively short period of time.
  - Record retrievals generally require only a record or records from a specific point in time. There is usually no need to maintain the records of one year's transactions with those of other years.
  - No particular event must occur to close each file. Many of these records closed according to regular cycles, e.g., the new fiscal year, or they are routinely superseded by new or more current information.

### **Subject file applications**

- Subject files are filed by descriptive features such as topics, functions, or subjects. They are the most costly and difficult to manage. These files often include:
  - Reports.
  - Forms.
  - Correspondence.
- They are intended to document planning, programs, and operations.
- Subject filing requires some level of document classification, determining the file heading or subheading to which each document relates.
- Subject files accumulate and close differently than case files.



*Do not mix case files and subject files in the same series. Mixing the two types of files in the same series risks: (1) disposing of open cases by mistake when the subject files lose value, or (2) retaining all of the subject file records beyond their retention period because of concerns regarding a few open cases.*

### **Correspondence files**

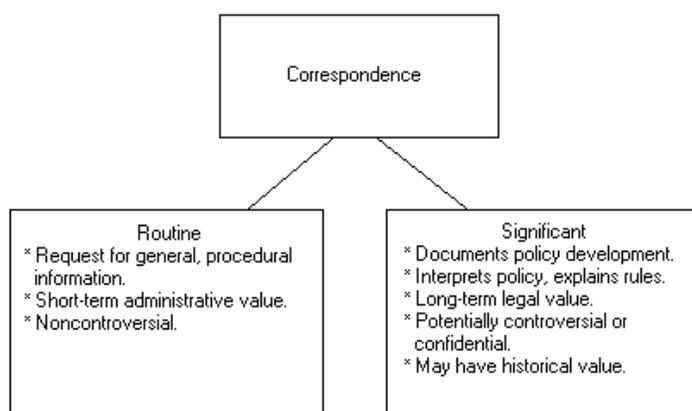
- Correspondence, incoming and outgoing letters, and memoranda may be related to other file types or may be filed in a separate records series category. All correspondence does not serve the same function or have the same value.

## **Filing Systems Design and Implementation**

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### **Routine and significant correspondence...**



- Routine Correspondence – may be answered with form letters or transmittal of brochures and other information materials. Such correspondence has a short-term value.
- Significant Correspondence – records provide interpretation of policy or illustrates the administrative positions on controversial issues. These should be retained separately from routine correspondence in a policy correspondence file.

### **Technical reference files...**

- Technical manuals are maintained to serve as reference and may contain many subjects in one publication.
- If the reference files are records, manage them as subject files. When it is clear that these are not “Record Copies,” maintain reference materials apart from records, as a library. Do not file library materials and records together.

### **Special records...**

Records in nonstandard format may require special handling, filing equipment, and attention to particular media requirements. These records are not really separate types of files and are subject to the same Records Retention requirements as paper based records.

## Chapter 4 – File Access

### File Access...its relationship to system criteria and how it affects file arrangements

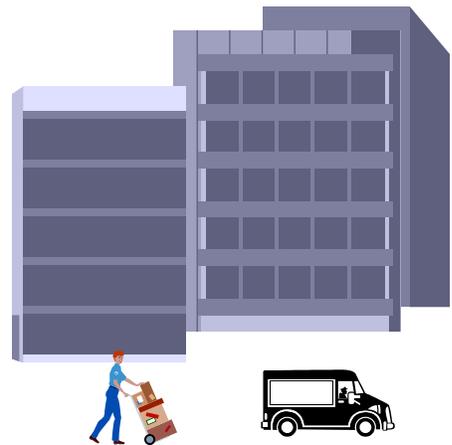
#### What type of filing access is needed?

- Decisions regarding access need to be made early in the planning process. Three considerations are whether to:
  - (1) **Centralized or decentralized filing system.**
  - (2) **Use a direct or indirect access system.**
  - (3) **Use a manual and /or automated system.**

#### Is centralized or decentralized filing appropriate for your department?

- Filing systems may be either centralized or decentralized. Selection of one or the other should be based on the division or department's needs. Both types require planning and controls to:
  - Identify the official copy of the record for proper retention.
  - Identify and locate duplicate copies and eliminate unnecessary duplicates.
  - Establish consistent treatment of records and copies.
  - Assure that files are closed and disposed of according to the health science center retention schedule.

- **Centralized filing** – is usually best for a relatively small organization and/or where a number of departments have different needs for the same files and records series.  
Characteristics of centralized filing:
  - Provide one location for the department's records.
  - Provides only one reference point for all retrieval requests.
  - Duplicate files and equipment are eliminated.
  - Support staff are trained to be familiar with all functions of the organization and all records.



## **Filing Systems Design and Implementation**

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- **Decentralized filing** – is usually better for large organizations with specialized functions and where a number of departments are not likely to need the same files and records.
  - Filing is performed in several locations.
  - Filing must be systematic. It is not a “random” practice for each staff member in the office. File the original (or official) record only in the file station, not in the working files of individual staff persons.

### **Is a direct or indirect retrieval access method the best for your filing system?**

- **Direct access system** – is a retrieval system that may work without an index. Small filing systems operated for the benefit of a small group of users are generally direct access systems. An individual’s working files and those with a few users tend to be direct access.
  - Requires no coding or index to use.
  - Normally a one-step process for retrieval.
  - Files can be referenced by anyone who knows the name of a record.
  - A filing system that identifies and organizes the files by name or common identifier direct.
  - Generally these records are arranged alphabetically.
  - Cross-referencing is appropriate when a subject or topic may be referred to by more than one name or term.
- **Indirect access system** – must have an index, thus involving an additional step in locating the record. Large applications such as hundreds of contractual documents, incoming and outgoing correspondence, thousands of reports, purchase orders, work orders, are all good candidates for indirect access systems.
  - Requires an index and/or filing code in order to locate the record.
  - Involves an additional step to locate the record.
  - Files may be arranged by file case number, department number, contract number, report number, etc.
  - Records are usually arranged in either numerical or alphanumeric order.
  - Certain data collection devices such as electronic data, optical disk, CD, mainframe computer storage can only be accessed through an indexing method.
  - Personal computers and other storage devices may be used to index records and automate the process of accessing information by allowing users multiple ways to sort and retrieve information. The three types of indexing are:
    - (a) File code
    - (b) Key word
    - (c) File sequence order

### **Manual and automated systems.**

## **Filing Systems Design and Implementation**

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- **Manual systems** – system selection criteria may be applied equally to either manual or automated systems; however, the following characteristics are common to manual systems.
  - Paper-based or manual arrangements of microfilm and audio visual material.
  - Users rely on visual identifiers to locate information.
  - Access to information is from the file folder label.
  - Actual physical arrangement of folders is important.
  - Either direct or indirect access is possible.
  - Arrange in the most logical way for users.
  - Changing the system is more costly than for an automated system.
- **Automated systems** – do not rely on visual identifiers for location. Access is indirect. Visual identifiers will not find the file; therefore, naming is critical in retrieval. The following characteristics are common to automated systems:

- Users need to understand software features and capabilities.
- Access is indirect.
- The record must be indexed properly to locate and retrieve it.
- Offers more flexibility and change than manual filing systems.
- Faster, more versatile searching capabilities are available on automated systems, including cross-referencing, and relative indexing.
- Automated records can be easily lost or erased. It is critical to maintain backup.



## **Filing Systems Design and Implementation**

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### **What are the criteria in selecting a retrieval system?**

- **Ease of retrieval** – is based on understanding the user's requirements for information. The system must provide for accurate and rapid retrieval of information, with no document or data loss. The key to setting up a filing system, again, is knowing how to classify information and how users will want to retrieve records.
- **Functionality** – is a factor if the records serve more than one purpose. The system must be designed accordingly.
- **Determine unique identifiers** – to ensure that there is no ambiguity where the records are filed.
- **Flexibility** – allows for changing needs. Design the system for the future. Develop simple, direct access systems for small, self-contained applications. Use complex filing systems when information needs warrant developing and maintaining more sophisticated applications.
- **Volume** – of each file and also the number of separate files is a consideration when selecting a retrieval system.
- **Economy** – requires budgeting for planning, conversion, and ongoing maintenance. The system must be cost-justified. Make a reasonable investment of resources to assure successful system implementation. Use space, equipment, and personnel efficiently.

### **Consider the retention and disposition of the records.**

**A filing system should not be established without considering record type codes (retention values) and destruction dates. Identify both active record period and inactive stage.**

## Chapter 5 – File Arrangements

### File Arrangements...the features, arrangements, and systems for efficient filing

#### Filing features or keys for retrieval...

- When records are created, they contain the following key data fields in which to arrange records: NUMBERS, DATES, TITLES, NAMES, and SUBJECTS.
- Whenever possible, use an existing piece of data from the record for the filing features. Determine whether the record contains a key piece of information that would provide a natural order file sequence.



*A rule of thumb is to not create a new file or data field if you can use an existing one.*

- For computer records, a unique record name or number is needed as an identifier to locate files in a computer or find the physical file location.

#### Document types have the following filing features in common:

1. **Correspondence (memos and letters):** surname, name, location, number, and subject title.
2. **Forms:** form title, subject, names (of individuals and organizations), numbers, and dates.



*Forms are often used in case files and filed by case name or number.*

3. **Reports:** report title, report number, subject, name of author (or organization), project number, and date of issuance.
4. **Labeled material:** maps, recordings, x-rays (header), computer tapes (reel label), microfilm reels (real label), microfiche (header).

#### File sequence...

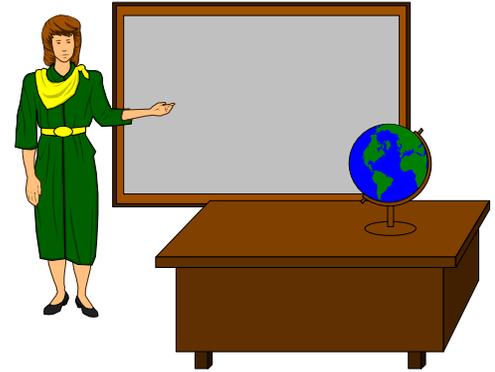
- File sequence is the order of succession. The two methods are sequential and outline.

## **Filing Systems Design and Implementation**

1. **Sequential files** – are in straight, consecutive order, requiring no records classification levels. In sequential filing it is not possible to group related material into file subgroups.

Examples are:

- a. Alphabetic: Anderson, Baker, Brooks, Cunningham, Doyle.
- b. Numeric: 1, 2, 3, 4; or 97-001, 97-002, 97-003. (97 designates the year.)
- c. Alphanumeric: 1-A, 1-B, 1-C; or A-1, A-2, A-3



*In subject filing, sequential is called “Dictionary Filing.” The dictionary arranges words in a straight sequential alphabetical arrangement. It does not group words according to similar subject matter, parts of speech, or other classifications. Another example is the Telephone Book White Pages ( by individual and business last name).*

2. **Outline files** – are classified to allow subordinate subclasses or divisions of a lower rank. The file is divided and subdivided into primary, secondary, and tertiary levels, or organize them by level of importance.
- (a) Primary classifications are the main categories. Remaining levels are more detailed descriptions of the records’ contents. For example:

|              | Primary             | Secondary           | Tertiary           |
|--------------|---------------------|---------------------|--------------------|
| Alphabetic:  | Human Resources     | Job Descriptions    | Departments-XYZ    |
|              |                     | Skill Ratings       | Departments-XYZ    |
|              | Procurement         | Capital Equipment   | Personal Computers |
| Numeric      | 100, 100-1, 100-1-1 | 100-1-2, 100-2 etc. |                    |
| Alphanumeric | ACC-1, ACC-2        | ADMIN-1 etc.        |                    |

## **Filing Systems Design and Implementation**

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- (a) Two other examples of outline filing arrangements are the Telephone Book Yellow Pages and Newspaper Classified Ads, arranged by subject and then alphabetized.
- (b) Encyclopedic filing is applied to outline filing by subject. In an encyclopedia, the information on the main topic will provide information organized into categories and subcategories. For example:

| <b>Filing Classifications</b> |                    |  |
|-------------------------------|--------------------|--|
| <b>Primary</b>                | <b>Secondary</b>   | <b>Tertiary</b>                            |
| Administrative Services       | Graphics           |  |
|                               | Film & Television  |  |
|                               | Records Management |  |
|                               | Word Processing    | Bldg 01<br>Bldg 65<br>Bldg 107<br>Bldg 270 |

### **What is record classification?**

- Classification is the systematic arrangement of items into groups or categories based on a scheme of natural relationship.

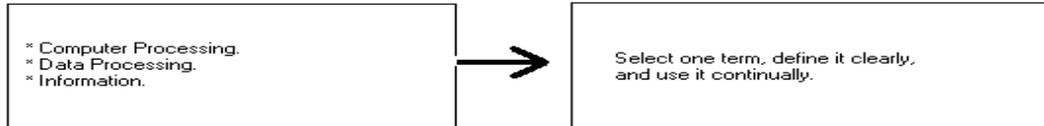
### **Why is classification important?**

- The purpose of record classification is to narrow the field of search. The size of the file is the primary reason for classifying documents. When the file volume exceeds two file drawers, it should usually be classified.
- An efficient system should:
  - **Address individual user's needs**, not merely those of one division or department. Perspectives of file topics will differ in various departments.
  - **Conform classifications** to user requirements, terminology, and descriptions used for the Department Records Retention Schedule.
  - **Logical classifications** must proceed from the major or primary subject to minor or tertiary.
  - **Restrictive classifications** allow for only one choice for primary classifications. It should be mutually exclusive so there is no ambiguity in deciding where to classify a document. For example, it is confusing to have both "Fiscal" and "Accounting" as separate primary classifications.

## **Filing Systems Design and Implementation**

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-Standardized terminology should be used. For example:



- **Practical terms** should be used rather than academic or engineering terms when possible. Keep it brief and simple.
- **Filing captions** need to be as short as possible.
- **Synonymous terms** should be avoided if possible. For example, use just one of the following: warehouse, storehouse, or mini-warehouse, not all three.
- **Similar retention periods** should be kept together.



*Similar retention periods are very important for records management program integrity and audit compliance.*

- **Flexible design plans** for future expansion and the possibility of additional classifications. Do not block file numbers. In other words, if particular categories are started at 100, 200, 300, each group will be limited to 100 numbers. The first group cannot go higher than 199.

### **File arrangements are alphabetic, numeric, or alphanumeric**

- Alphabetic filing is widely used. It is the arrangement of records according to the sequence of letters in the alphabet, either by name or subject.
- An index is not required.
- Many files that are arranged alphabetically by name serve as indexes to files that are otherwise arranged.

## **Filing Systems Design and Implementation**

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- Files need to be carefully planned. In every alphabetic system, it is necessary to establish: a) filing procedures, b) cross-referencing methods, and c) practices for dealing with duplicate names and name changes.



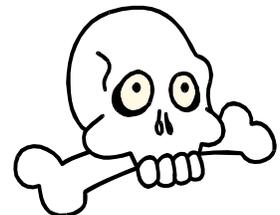
*The rules of alphabetic filing are available in Appendix D.*

- Types of alphabetic arrangements are: NAME FILES, CODED NAMES, ALPHABETIC SUBJECT, and GEOGRAPHIC FILES.
  - **Name files** – uses alphabetic sequential order. Names of individuals, organizations, and vendors can easily be filed into this system. It uses simple name files, provides direct access, and should not require an index or file coding. It works well for relatively small systems (with less than 2,000 files).
  - **Coded names** – divide the alphabet into a number of filing units. Use a coded for managing large groups of names.
    - (a) For example, the simple coded name system uses the 26 letters of the alphabet, A – Z.
    - (b) For a small correspondence file, records are filed by person or company into the 26 folders.
    - (c) A 60 division coded name file offers a more refined breakdown of the alphabet. As the file size increases, so may the number of divisions in the coded name system. A 100 division arrangement for example, increases the number of divisions as follows.  
A, Am, B, Be, Bi, Br, Bu, C, Ch, Co, Cr, etc.

- Alphabetic subject – files may be arranged by subject according to a dictionary (straight alphabetic sequence) method, with no attempt to group related subjects. An example is : Administrative Bulletins, Affirmative Action, Audits, Budgets, Capital Equipment, Cultural Diversity, etc.

- (a) This system is suitable for a small group of files such as individual staff working files.
- (b) Alphabetic subject files may also be filed according to an encyclopedic (outline) method that classifies records into primary, secondary, and more levels.

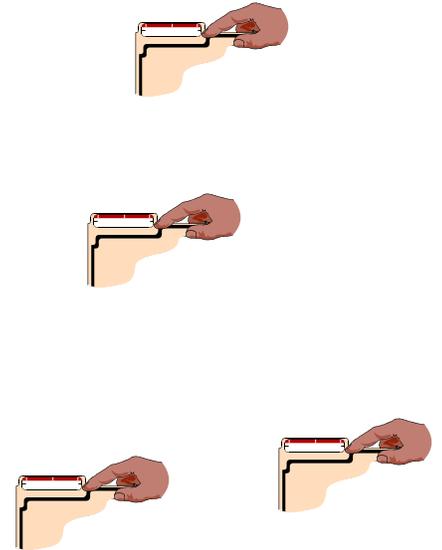
Food  
for the  
brain



## **Filing Systems Design and Implementation**

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- **Geographical files** – are arranged by geographical names. An advantage is that operations relating to a specific area are filed together. Each word in the name is considered a separate filing unit. A disadvantage is that the user must know the geographical location, or an index must be maintained. This arrangement is sometimes effective for organizations with field or regional locations.  
Examples of geographical files are: States, Cities, Counties, Countries, Regions, Cities, Towns.



### **Numeric arrangement:**

- A numeric arrangement can be adapted for filing almost any kind of material. Once developed, this is the simplest filing system to manage.
  - Numeric arrangements require an index or a cross-reference file. This adds an extra cost.
  - There are many variations and combinations of numeric filing systems
- **Straight-Numeric** filing is a system in which files are arranged consecutively in ascending order, from the lowest number to the highest. Just as in a personal or business name, where each word is considered an indexing unit for filing, in a straight numeric filing system, each digit in a number is a filing unit. The primary units, the first digits, of a group of numbers are compared to determine the proper numeric sequence for filing. Only when the primary units are identical are the second or subsequent units compared to determine the sequence in which records should be placed.

| <b>Name as Written</b> | <b>1</b> | <b>2</b> | <b>3</b> |
|------------------------|----------|----------|----------|
| File 165               | 1        | 6        | 5        |
| File 168               | 1        | 6        | 8        |
| File 170               | 1        | 7        | 0        |

## **Filing Systems Design and Implementation**

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- **Duplex-Numeric** system uses two or more sets of code numbers for records, with the sets separated by dashes, commas, periods, or spaces. Records are filed consecutively by the primary number and then sequentially by the secondary number, and so on. The duplex-numeric system lends itself to the subject and geographic systems that use the encyclopedia arrangement, with subdivisions of each major category of names. For example,

|                               |                |
|-------------------------------|----------------|
| <b>Taxation Division</b>      | <b>12</b>      |
| <b>Taxation Committee</b>     | <b>12-10</b>   |
| <b>Federal</b>                | <b>12-10-1</b> |
| <b>State</b>                  | <b>12-10-2</b> |
| <br>                          |                |
| <b>Personnel Publications</b> | <b>12-11</b>   |
| <b>Employee Guide</b>         | <b>12-11-1</b> |
| <b>Retirement Plan</b>        | <b>12-11-2</b> |

Coding files in a duplex-numeric order is similar to the requirements for alphabetic subject filing, in that a relative index must be developed if the system is to be used effectively. The index must list the primary numbers assigned to major categories of information, with appropriate listings of the various subdivisions within the major headings.

- **Chronological** filing is a type of numeric arrangement, which uses numeric dates as the indexing units.
  - (a) Should be used to document transactions in which the date of action is significant.
  - (b) Requires no index or coding.
  - (d) Examples are:

**Tickler files**- One set of 31 file folders are labeled 1, 2, 3, 4 etc., one file folder for each day of the month. Documents or reminders that require review or action on a particular day are placed in the appropriate file and maintained for a reminder or action. Each day the file is activated and the contents are acted upon or reassigned to another day in the month and placed in the appropriate file folder.

**Reminder-reading-or convenience files** – are normally maintained in chronological date order. They often serve the same purpose as tickler files. Items may be filed in this type of duplicate filing system to remind staff to send a follow-up letter, take a particular action, or make a phone call. Tickler, reminder, convenience, or reading files have a limited and specific purpose. Reading or convenience files should **NEVER** contain the official copy of record.

## **Filing Systems Design and Implementation**

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- **Terminal Digit** numeric filing is considered by many to be the most efficient of the numeric filing methods. In this arrangement the last digit is the primary unit used for filing; the units are filed in order by the last digits, middle digits, and then the first digits in the number. For example, file number 24-68-10 is broken down as:

| <b>Name as written</b> | <b>Primary Unit</b> | <b>Secondary Unit</b> | <b>Final Unit</b> |
|------------------------|---------------------|-----------------------|-------------------|
| 24-68-10               | 10                  | 68                    | 24                |

- **Middle Digit** is similar to terminal-digit, but the middle digit of each number becomes the primary indexing unit. The units are filed in order by first the middle digits; next, according to the digits on the extreme left side; and last, according to the digits on the extreme right side of the number. Depending on the number of digits in the file numbers assigned, the middle digit may consist of one digit (14-8-6), two digits (1-22-64), or more. For example, file number 24-68-10 is divided into indexing units this way:

| <b>Name as written</b> | <b>Primary Unit</b> | <b>Secondary Unit</b> | <b>Final Unit</b> |
|------------------------|---------------------|-----------------------|-------------------|
| 24-68-10               | 68                  | 24                    | 10                |

The advantages of terminal-digit and middle-digit arrangement in comparison to straight numeric filing include:

- \* Equal distribution of records throughout the records storage area.
- \* Assignment of one file worker responsible for one section of the files.
- \* Increased filing speed and accuracy.

- **Decimal Numeric** filing arrangement is perhaps the most commonly used and widely known numeric filing method. The major numeric groupings are each further divided into ten parts, which are then subdivided into ten subunits. For example:

500 Agency Studies

    510 Committee Assignments

        510.1 Environmental Impact

        510.2 Internal Automation

## **Filing Systems Design and Implementation**

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The most effective application of this arrangement is in situations that require that records be classified by subject or by geographic location. The advantages of the decimal system includes:

- \* **Virtually unlimited expansion of files because of the fine divisions within each of the major codes.**
- \* **Rapid retrieval because of the simplicity of the decimal system.**
- \* **Convenience of referencing and retrieval because all related records are grouped together.**

When coding with a decimal filing arrangement a relative index must be used, which lists the number codes assigned to each category of record or its subdivisions. The file worker refers to the index to determine which major decimal categories are to be assigned to a file.

- **Alphanumeric arrangement:**

- Alphanumeric filing arrangements use both letters and numbers as filing elements. Codes are assigned to the filing system.

- **Subject alphanumeric** - assigned codes to the filing systems. The main difference is that the primary file headings are coded by letters instead of numbers. The following characteristics are found with subject alphanumeric filing:

- (a) Flexible, outline, or encyclopedic method of filing.
- (b) Suitable for large, complex systems.
- (c) Requires an index, preferably automated, for retrieval of information.
- (d) The first letters of the file code are usually taken from the words of the primary headings. However, when two or more categories begin with the same letters, this can be confusing, and some arbitrary coding decisions must be made. The following is a sample list of primary file headings in an alphanumeric subject system.

|                  |     |
|------------------|-----|
| Payroll          | PAY |
| Personnel        | PER |
| Public Relations | PUB |
| Purchasing       | PER |

## **Filing Systems Design and Implementation**

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- **Phonetical** (Soundex System) – filing arrangements bring all names together that sound alike, regardless of how they are spelled. The key letters are consonant sounds. The vowel sound is eliminated. The “Soundex System,” developed by the Sperry Rand Company, is the best known phonetical system. It makes use of code name followed by a three-digit numeric code. For example:

| <b>Group Letters</b> | <b>Code</b> |
|----------------------|-------------|
| BFPV                 | 1           |
| CGJKQSXZ             | 2           |
| DT                   | 3           |
| L                    | 4           |
| MN                   | 5           |

- (a) An example of phonetical system are the many different spellings of the Name “Burke” that will all result in the same code: Ber, Berck, Berke, Birk, Borque, Burk and Burque. This system makes allowances for potential misspellings.
  - (b) While no index is needed for this system, it is time-consuming to learn, teach, and perform the coding correctly. It is easy to make errors in coding. The need for this type of system should be fully justified.
- **Coded name** – is an alphanumeric system similar to an alphabetic coded name system. It is probably easier to implement than a phonetic system; however, need, cost, and benefits of coding names should be weighed carefully.
    - (a) It is used for large groups of names, is sequential, and requires no index.
    - (b) The alphabet is divided into filing units, and each alphabetic unit is assigned a sequential number.
    - (c) For example, in a 100 alphabetic division, the fourth division is “Ander,” the 16<sup>th</sup> division is “Car,” and the 86<sup>th</sup> is “St.” The following names would thus be coded as follows:

|                   |          |
|-------------------|----------|
| Margaret Anderson | 4ANDER M |
| John Carter       | 16CAR J  |
| Helen Carson      | 16CAR H  |
| Eileen Stone      | 86ST E   |
| Michael Stevens   | 86ST M   |



*The coded name system can be varied in order to develop confidentiality of name files for records that are highly sensitive or confidential.*

## **Chapter 6 – File Indexing and Coding**

### **File Indexing and Coding...a guide to design an index and file coding**

#### **File folders may have more than one filing feature or name**

- Particular folders may have one or more “Alias” names, or they may relate to more than one subject or case.
- In some systems, the complete file name may be long and cumbersome. In these cases, it may be necessary to develop finding aids such as FILE INDEXES OR FILE CODES.

#### **File index**

- A file index is a cross-reference tool, containing other filing features under which a document may be filed. Automated searching systems are based on an index.
  - In a manual filing system, a file index is a list of file categories, subsidiary levels, and titles for filing and cross-referencing information in the file.
  - In an electronic filing system, the index is a table, identifying keys for retrieving records in the file.
- Personal computer indexing has the following advantages:
  - Serving as information databases.
  - Tracking records charge-out and returns.
  - Maintaining a records inventory – active and inactive files.
  - Checking records retention and disposition data.
  - Developing cross-reference indexes rapidly.
  - Tracking records usage, space needs, and productivity.
  - Reporting to management.

#### **Indirect access**

- All indirect access filing systems require an index.
- Indexes identify file folders, specific records, or data elements by their primary and other filing features to provide the searcher with elements needed to locate an item in the system.
- Indexes arrange items in an order to facilitate searching. Four arrangements are:
  - Alphabetical
  - Numerical
  - Chronological
  - Systematic

## **Filing Systems Design and Implementation**

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### **Designing the index**

- In the process of categorizing records into types and selecting file arrangements (Chapter 3 and Chapter 4), the Department Records Representative or analyst should take the following steps, in this order:
  - (1) Identify terms used for files and for key pieces of data (filing features).
  - (2) Select the best known filing features as the basis for the filing arrangement.
  - (3) Identify secondary or other filing features used to request documents. Secondary features may be additional finding aids, and they may be used to create file indexes.
  - (4) Determine levels of indexing needed.
    - General lists records series and names of file folders.
    - Detailed identifies records, documents, and forms in the file folder.
    - More detailed finds page numbers and data elements contained in the records.
  - (5) Select terminology carefully.
    - User's terminology should be the primary reason for selecting index headings. Headings must be used consistently by all users.
    - Establish a standard file for folder names, record types, document names, and form titles for headings.
    - Train users to develop a frame of reference for locating information.
  - (6) Identify an index organization method. Indexing methods vary from simple cross-references to complex indexing systems that require computerization.

### **Cross-reference**

- **Interfiled cross-references**

A cross-reference form should be interfiled among the regular files and used:

  - (a) When a record contains more than one name, number, or subject under which it could be filed or requested.
  - (b) When records that normally would be filed in separate files need to be filed together, e.g. for confidentiality concerns.

A good manual cross-reference form identifies the following:

  - (a) Cross-reference(s): the name, number, title of the cross-reference(s).
  - (b) Identification of record information: date, to, from, and brief summary of contents.
  - (c) Field: name, number or subject under which the document is filed.

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- **Permanent cross-references**

- A permanent cross-reference is most commonly used for name changes in alphabetic name case files. It may be needed for:
  - (a) Renaming an organization.
  - (b) Merging of two or more organizations.
  - (c) Name changes by marriage or divorce.



*Use either a standard form or an empty file folder as a permanent cross-reference finding aid. The cross-reference should be brief and easy to read. It should contain a label with: Old Name (under which cross-reference is filed) and be filed under and New Name.*

- **Index**

The need for an index should be weighed carefully before it is established for a particular records series. Justify developing a complete index and keeping it up-to-date by comparing it to time wasted in extensive searches for records. Indirect access filing systems and most subject file systems require an index when:

- (a) Users often request files by more than one filing feature.
- (b) The file relates to more than one case or subject.

Several types of separate indexes may be developed. Manual indexes are usually on cards. Computer index may provide for several levels of indexing, by various data elements.

- **Numeric Index**

- A numeric index is a list of file numbers. It may be maintained on index cards or a computer.

- **Alphabetic (relative) Index**

- The alphabetic index is also called a relative index and is used for subject filing. It lists each of the topics included in the subject file in alphabetical order. The larger the file the greater the labor-savings value of such an index. A computer should be used to develop this index.

- (a) It should include additional cross-reference terms under which a folder may be accessed.
- (b) Each entry shows the file designation for documents on the subject or reference named.

## **Filing Systems Design and Implementation**

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(c) For large subject filing systems, the relative index limits the search area for reference, filing and retrieval.

(d) A relative index requires thorough analysis to determine all terms under which each file may be referenced.

- **Keyword Index**

- A keyword index shows all possible words and word combinations by which records may be requested. It is generally used for subject filing. All keyword-based systems require a computer index. Many commercial software programs provide for key word indexing. For a successful keyword system:

- (a) The user must have a list of all keywords.

- (b) The user must be familiar with the keywords.

- (c) The index must be current and able to be updated.

- **File Codes**

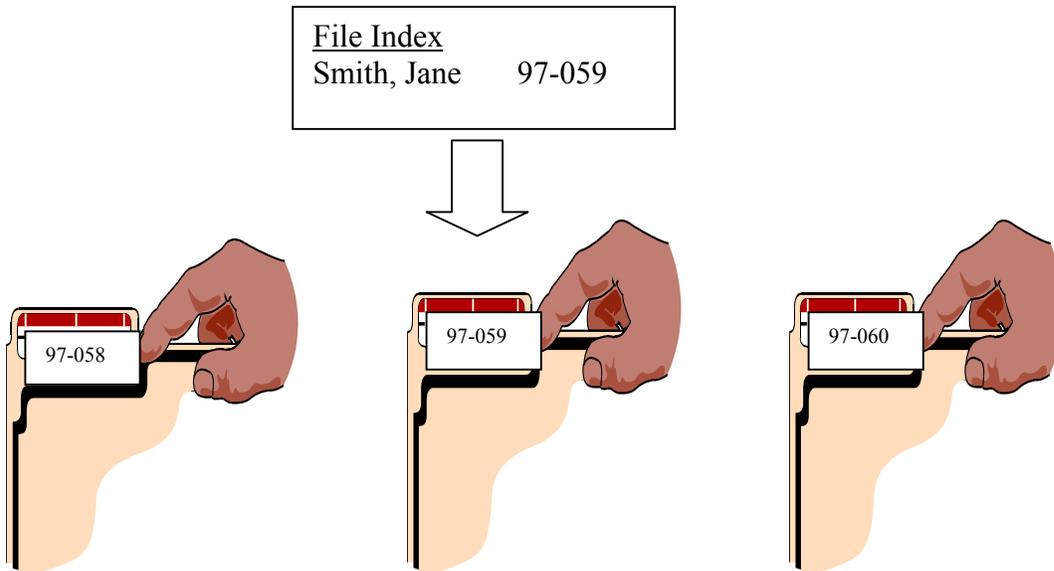
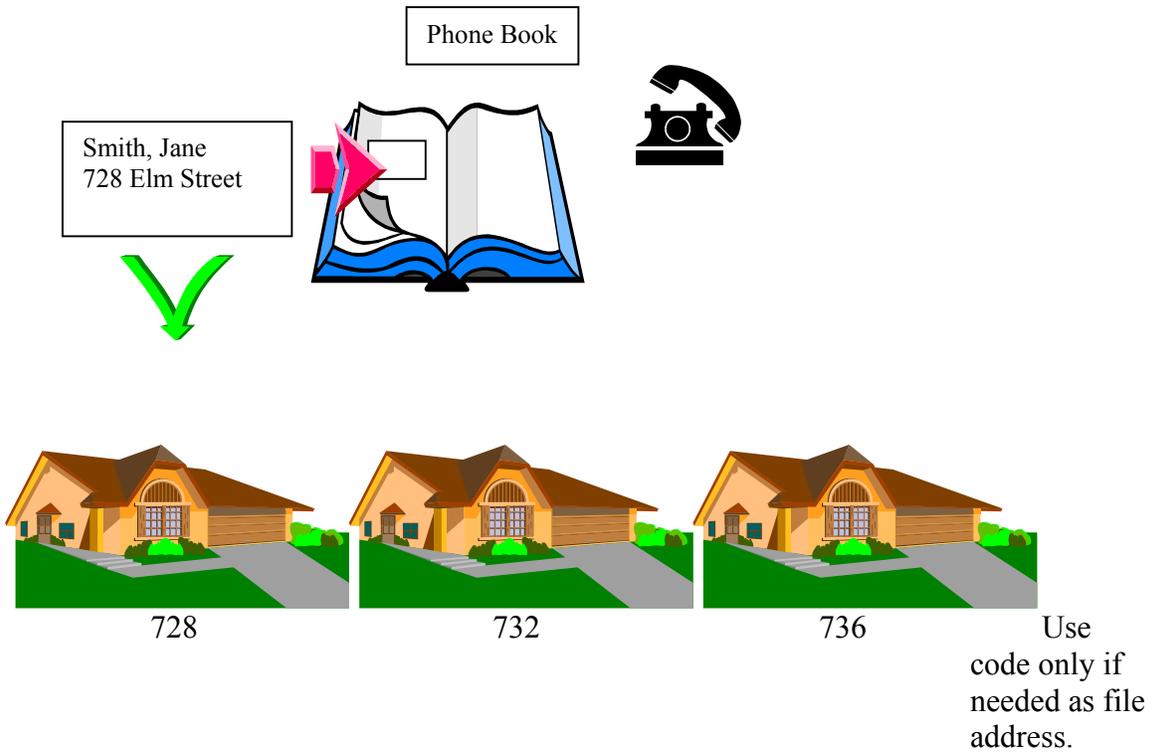
- The purpose of coding is to assign a unique identifier and physical location for a file. It may be compared to a street address for a person or a business. It is not always necessary to code files.

Advantages of file coding are as follows:

1. For subject files with long names, file coding reduces the time spent writing lengthy subject captions on papers to be filed and on file folders.
2. Codes speed the classification of records and can be useful for cross-referencing, sorting, filing, and indicating classification level.
3. Coding must be accurate, or misfiles will occur.

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## **Filing Systems Design and Implementation**

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**Disadvantages** of file codes are as follows:

- (a) It does not use an existing natural order file sequence to assign unique file identifiers and arrange records. Using an existing and meaningful identifier instead of an artificial code should make filing and retrieval much easier for users as well as file clerks.



*When files are coded, an index is always needed. The index leads the user from meaningful, key data in the file – person’s name, case number, topic or sub-topic -to the file code and subsequent file location.*

- (a) Coding files is one additional step in the filing process.
- (b) It adds complexity and time to filing and retrieval operations.
- (c) If files are coded inaccurately, files will be misfiled.

**Code Design** used should lead directly to the shelf location of the particular record requested. The physical order of the file location should follow the code arrangement.

**Codes need to be:**

**Short:** Each symbol in the code should be a few characters, letters, or numbers.

**Simple:** The code pattern should be obvious by glancing at the Subject Classification outline. Avoid complex code construction.

**Meaningful:** Symbols should be meaningful instead of abstract for primary headings.

**Segmented:** Components of symbols need to be segmented, instead of all grouped together in a string.

| <b>Right</b> | <b>Wrong</b> |
|--------------|--------------|
| PE 1-2       | PE12         |
| 10-76-55     | 107655       |
| RM 101.2.3   | RM101123     |

## **Filing Systems Design and Implementation**

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**Flexible:** The coding scheme needs to be flexible to allow for adding new subjects without changing existing symbols and without breaking the pattern's continuity. Do not block numbers.



*These finding aids will only work if they are designed carefully and if records are filed and maintained consistently.*

### **Standard Codes for Filing Primary Subject Classifications**

| <b>Primary Subject</b>       | <b>Code</b> |
|------------------------------|-------------|
| Automated Data Processing    | ADP         |
| Administrative Services      | ADS         |
| Auditing                     | AUD         |
| Budget                       | BUD         |
| Equal Employment Opportunity | EEO         |
| Human Resources              | HR          |
| Legal                        | LEG         |
| Procurement and Contracting  | PRC         |
| Records Management           | RM          |
| Quality Assurance            | QA          |

## Chapter 7 – Subject Files

### **Subject Files...planning the file arrangement, determining single-level versus multi-level files**

#### **Planning the subject file...**

- Most of us think in terms of subject and want things arranged according to work functions. Planning, program, and operational functions are documented by subjects (often called correspondence files).
  
- Is a subject file system appropriate? The following points should be considered:
  - The subject filing system should not include case files.
  - Subject files should be relatively low volume files of office policies and procedures. Don't intermingle case files and subject files.
  - **Records with differing retention and/or disposition requirements should not be filed together.**
  
- What role does a department play in making subject files work?
  - Describe a uniform method of filing in a department procedure or guide. It should list items in the subject file, written filing guidance, and basic rules for operation, access, and retrieval.
  - Develop a subject file plan with defined subject file categories and subcategories for all to use.
  - Maintain a complete and accurate file listing of folders in a subject file. In addition, develop and maintain a thorough manual or computer index to the files for facilitating retrieval.
  - Determine methods for closing files.
  - Allocate sufficient staff time, training, and resources to maintain the subject files effectively.
  - Require all staff to follow file procedures consistently.

## **Filing Systems Design and Implementation**

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### **Two main subject classifications – Single-level (alpha or numeric classified) or multi-level (code or generic)...**

- Subject files are used when the record is requested by subject rather than by a person's name, project, case number, or other numerical identifier. Subject filing systems may be classified by either single-level (topical, dictionary, alphabetic classification, numeric, or geographic) or multi-level (alphabetic, classified, generic, outline, encyclopedic, numeric, or hierarchical) methods. They both must be logically arranged.
1. **Single-level classification:** This method is also called topical, alphabetic, or dictionary filing. Geographic filing is a type of single-level classification. The following rules apply to this type of filing:
    - (a) Simple alphabetical arrangement of all the topics in the file, straight, sequential order.
    - (b) Does not allow for subclasses. All categories are equal.
    - (c) Suitable for a small one two-drawer system.
    - (d) An index is not necessary since the subjects are filed alphabetically.
    - (e) However, many users prefer to keep an index in order to verify captions and eliminate duplication.



*As volume expands and complexity increases, single-level classification may not be effective. Problems may be the straight sequential order, no subcategories to relate files, and all categories are equal.*

2. **Multi-level (generic, outline, encyclopedic, or hierarchical classifications:)**
  - (a) A multi-level classification is the systematic arranging of items into groups or categories, based on some definite scheme of natural relationship. This system is also called generic, outline, encyclopedic, or hierarchical. (For more information, see “Principles of Classification” in Chapter 4.)
  - (b) Relates material under a major subject heading.
  - (c) File is divided and subdivided into primary classes, with subordinates secondary, tertiary, and lower rank classes.
  - (d) Purpose is to divide and reduce the search area for records. If the file volume is more than two file drawers, consider this method.
  - (e) Records are generally classified according to the function that they support.
  - (f) They may also be classified according to value and record medium (paper, microfilm or fiche, electronic, etc.)
  - (g) A generic filing system usually consists of three to six hierarchical divisions and subdivisions, from general to more specific levels.

**Filing Systems Design and Implementation**

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| <b>Generic</b>                               | <b>Classification</b>           | <b>Example 1</b>              |  |
|--|---------------------------------|-------------------------------|--|
| <b>Primary</b><br>Procurement and Purchasing |                                 |                               |  |
|  | <b>Secondary</b><br>Bid Process |                               |  |
|  |                                 | <b>Tertiary</b><br>Bid Waiver |  |
|  |                                 |                               | <b>Quaternary</b><br>Waiver Justification Letter |

Example 1 – Levels may be referred to as First Level, Second Level, Third Level, Fourth Level, etc. Each level of subdivision is a file break.

| <b>Generic</b>                             | <b>Classification</b>         | <b>Example 2</b>               |  |
|--|-------------------------------|--------------------------------|--|
| <b>Major</b><br>Procurement and Purchasing |                               |                                |  |
|  | <b>Primary</b><br>Bid Process |                                |  |
|  |                               | <b>Secondary</b><br>Bid Waiver |  |
|  |                               |                                | <b>Tertiary</b><br>Waiver Justification Letter |

Example 2 – The major category divides the entire scope of the file first into 7-10 major subdivisions, usually representing major functional areas of the organization. In most divisions these major functions would be the following:

- Administrative Services
- Audit and Investigations
- Budget
- Contracts
- Human Resources
- Legal Requirements
- Procurement

## **Filing Systems Design and Implementation**

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Within each of the above major categories, each subject is further subdivided according to a number of levels. For example, under Procurement division may include:

| <b>Primary</b> | <b>Secondary</b>   | <b>Tertiary</b>                               |
|----------------|--|---|
| Bid Process    |  |   |
|                | Bid Specifications<br>Simplified Bid<br>Emergency<br>Procurement<br>Bid Waiver |   |
|                |  | General Waiver<br>Waiver Justification Letter |
|                | Notice to Bidders<br>Bid Appeal Process  |   |

### **Subject classification outline....**

- A subject classification outline is a written list or plan that defines subject file topics and clearly describes the subject matter content of paper that may be filed under each. It describes the classification method and lists all divisions and subdivisions of the subject file. Benefits are as follows:
  - The records of an office remain useable, regardless of personnel changes. If an employee responsible for managing records should resign, that person's successor should be able to understand the system arrangement of the file.
  - It should be used so that records will be available, and the file arrangement will be understandable to all personnel who need to use it. It is the framework of the subject file. From the *Subject Classification Outline*, users select file names (folder captions or headings) for a file and for retrieving documents and records.
- Steps to prepare the subject outline are as follows:
  1. Gathering data:
    - (a) Study the department's mission and function to the institution.
    - (b) Itemize office records, related records, and files relating to directives and procedures for other paperwork functions.
  2. Compile and analyze data:
    - (a) One method for grouping and categorizing subjects is a card file listing each subject in the file. Cards may be arranged and rearranged in functional or organizational order.
    - (b) Prepare preliminary list of subjects with main divisions and subdivisions. Use only needed topics. Don't break topics into subordinate divisions for only a few papers. Develop a list of primary, secondary, and tertiary divisions and test the outline against existing files and samples.

## **Filing Systems Design and Implementation**

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- (c) Add definitions, restrictions, and instructions. Define subjects in order to clarify the topic and assure that files intended for this classification will be filed in it. Always define the first level (major and primary) and subordinate levels as needed.
- (d) Select and assign file codes, if necessary.
- (e) Prepare an alphabetical index.
- (f) Prepare subject file procedures, consult with users, test, and modify the filing system.
- (g) Issue final procedure.
- (h) Audit procedures and files annually for accuracy and changes.

### **Single-Level or subject-alphabetic filing systems...**

- **Single-level, subject-alphabetic, or subject-title-**is arranged in a straight alphabetic sequence of titles using no file codes or generic (outline) classification. It works for topical files and limited volume. **It is the simplest subject file.**
  - Alphabetic keyword files: work best with a computer for searching each file.
    - (a) The computer software program must provide this function as an automatic relative index. Limit the number of characters in a keyword list to eight for computers with physical limitations for naming conventions.
    - (b) The title should not be too long for the physical file label and other visual file retrieval aids, such as color codes or special labels. Standard file labels accommodate about 68 inches in two 34 – character lines.
    - (c) For small limited systems it is possible to abbreviate the major category headings with three-character alphabetic codes as follows:

|     |                   |
|-----|-------------------|
| ACC | Accounting        |
| AUD | Auditing          |
| BUD | Budget            |
| PER | Personnel         |
| QA  | Quality Assurance |
    - (d) Unless the file is very small (two drawers), the alphabetic keyword index should also list the file location. A code is recommended (numerical or alphanumeric) for a shelf address to locate the file and allow for an abbreviated cross-reference.

### **Coding...**

- In a subject filing system, the particular file name, including all levels of file headings may be very long. Writing out lengthy titles should be avoided. Therefore, a method of simplifying and abbreviating the file names (or coding files) may be needed.
- The subject filing system is based on words. Assign file titles carefully.

## **Filing Systems Design and Implementation**

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- After selecting titles consider alternative methods for labeling the files and assigning codes.
  - **Alphanumeric files...**
    - Alphanumeric files are a combination of alphabetical characters and numbers.
    - An effective method is to begin the major or primary code with the first letter of the first word in the major category, followed by a two-digit sequence. This system provides the following advantages:
      - (a) Flexibility to assign up to 99 divisions under each letter of the alphabet.
      - (b) Alphabetic association between the initial word of the major file categories and the file code.



*If a color stripe is used to represent the major division, the file code can be used for the second level of division.*

- **Subject numeric files...**
  1. Numerically coded files are the easiest for a computer to sort. The files may be either digitized or decimal. If numerical file codes are assigned, follow these practices:
    - Give each field used a standard number of digits.
    - Using a fixed number of characters in each field facilitates using a computer index to sort and retrieve information. It also facilitates using color-coded label supplies.
  2. Do not assign file codes that maintain a strict alphabetical order for the file.
  3. Blocking numbers is not recommended. Regardless of effective planning, the blocked groups will reach maximum and upset the intended order.
  4. Use the file code to identify the physical location of the folder, not to serve other purposes.
  5. The file listing and a cross-reference should provide users with enough information to select the appropriate file code for filing and retrieval of information.
- **Decimal systems...**
  1. Decimal systems are complex file code systems that are used by libraries to classify information. Decimal systems are not generally recommended for department files.
- **Indexing for subject files...**
  1. Tools are necessary to assure that the subject filing system meets departmental informational needs. Specifically for subject file systems finding aids should include the following:
    - (a) Detailed subject outline.

## **Filing Systems Design and Implementation**

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- (b) Alphabetic or relative index – an alphabetical listing of each topic contained in subject outline. It may also include synonyms and other terms under which information may be cross-referenced. The purpose is to make it easier to use the subject outline. Relative index types also include **listings** and **phonetic**.
- (c) **Listing** – The simplest kind of index to compile is a list of words or phrases. It is useful for one or two drawers or up to 3 cubic feet of records. The list may be sequential, chronological, or an alphabetic listing containing subjects and names.
- (d) **Phonetic**- A phonetic index is an alphanumeric list categorized by the sound of the name regardless of the spelling. Such an index is essential for large volume name files and for preparing records for filing into phonetically-arranged filing systems, such as Soundex.
- (e) Keyword index- is created using a computer to sort records by any keyword in the title selection. The keyword facilitates retrieval of information and may be essential in complex, large subject files.

### **Operational issues: making the system work...**

- The subject file system requires careful planning and implementation to be successful. Key elements of the subject file system are the following:
  1. Subject file procedures – contains clear direction to users, including the scope of a department's subject filing and a subject classification outline (procedure framework).
  2. Training staff – needs to be provided for every recordkeeper who processes and files records and for file users. Those who file and find records need to understand a logical basis for the subject files system and operational procedures by using detailed direction and techniques for solving filing problems. Users require training to understand subject file classification schemes.
  3. Records disposition and file maintenance – the Departments Records Representative needs to plan for disposition of records in the system. Refer to the Records Management Policy and Procedures Manual for retention requirements.

## Chapter 8 – Electronic Filing

### Electronic Filing....provides basic information for electronic recordkeeping

#### System Planning...

- Electronic recordkeeping is the operation of a records system in which a computer is required for the user to create, work with, or delete records. They are called “machine readable” records because machinery is required to use them. They store information electronically either on external devices, floppy disks, or in the computer’s hard disk memory.
- **Advantages of electronic recordkeeping are:**
  - (a) Automated searching and indexing of records.
  - (b) Speedy records processing speed.
  - (c) High ratio of records for quantity of storage space.
  - (d) Ease of distribution through electronic data transfer.
  - (e) Less intensive labor costs.
- **Electronic records are considered records according to the following sources:**
  - (a) Federal and state laws that govern records retention.
- **Electronic Records are subject to the same requirements as paper records regarding:**
  - Discovery
  - Authenticity
  - Retention
  - Disposition



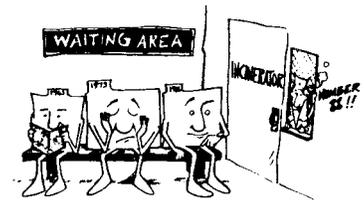
## **Filing Systems Design and Implementation**

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- **Considerations and opportunities:** Electronic data files present special problems and opportunities. An electronic file and a file in a filing cabinet are comparable in that records require a specific pattern of storage. The users must organize files in a computer just as they would in a filing cabinet. In planning for filing and finding records electronically, consider the following:
  1. Special media concerns: Data is usually stored on erasable and reusable media. The fragile nature of the media requires control of records soon after creation.
  2. Records access: Users need access to a compatible computer system to view, print, or edit electronic records.
  3. Indexing for retrieval: Records access is dependent on the use of a logical system of records identification. Personal computer software forces the user to create a simple type of index just by naming and saving the file.
  4. Records backup policies and procedures: Electronic records require special protective measures.
  5. Security: Without proper security measures, electronic records can be erased, or altered easily by error, computer crime, or sabotage.
  6. Documentation: Electronic records are best managed as part of an information system. Retaining documentation of the entire system is required for electronic records.
  7. Records retention and disposition: Refer to the Retention Schedule.



| <b>Creation</b>   | <b>Active</b>   | <b>Inactive</b>     |
|-------------------|-----------------|---------------------|
| Data Collection   | Data Sorting    | Backup              |
| Data Coding       | Filing          | Offsite             |
| Data Entry        | Finding         | Retrieving Previous |
| Data Verification | Searching       | Data Generations    |
|                   | Querying        |                     |
|                   | Sorting/Mapping |                     |



| <b>Disposition</b>      |
|-------------------------|
| Destroy                 |
| -Erase/delete data      |
| -Transfer to Archives   |
| a. Upload   b. Download |

### **Potential problems...**

- Hard disk full.
- User cannot find a file.
- File erased by mistake.

## **Filing Systems Design and Implementation**

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### **Policy for electronic records...**

- Texas Government Code  
Section 441.189. Electronic Records
- Records Retention Schedule

### **Centralized documentation...**

- Create a single filing location or central file to store the official copy of documentation.
- Maintain a back-up copy in another location for disaster recovery purposes.
- Use a standardized naming standard or index for computer directories and documents, particularly for users of shared systems.

### **File browsing...**

- In paper files it is possible to physically browse through the files and eventually locate a particular document. Electronic file browsing is possible through the electronic index. All component parts that identify the electronic record could be considered portions of a complete electronic index to the record.

### **Index labeling...**

- It is necessary to label or name all indicators of the electronic file location.



*Think of labels on the electronic file in similar terms to labels on paper documents and file folders. Labels are markers that lead to file retrieval. The completion identifier for records must be unique and logical in any system.*

### **Software...**

- In terms of identifying and storing the file, the software used is a necessary piece of the identifier. Documents or files created using one type of software may not be readable in another type, although it is possible to import some types of software files into others. **Therefore, software identifiers should include both the software name and the version used.**

## **Chapter 9 – Filing Equipment & Supplies**

### **Filing Equipment & Supplies...the use of equipment, layout, color coding, and file configuration to save space and reduce costs**

#### **Selecting filing equipment...**

- Selection of appropriate equipment and supplies for housing files is important to the filing system's success.
  - Equipment should be integrated into a system; the system should not be designed to conform to equipment.
  - When selecting equipment, consider the long-range effect of the choice and potential growth of the file.

#### **Estimate the required filing space...**

- It is important to determine the volume or amount of records. To measure the volume of records, use the following basic units:
  - Linear (straight line) filing inches which can be used to estimate the amount of records in existence or the file capacity of filing equipment.
  - Cubic feet of records.

#### **Measure current records space usage...**

- Measure actual space used for particular records. Indicate letter-size (8 ½" x 11") or legal size (8 ½" x 14").
  - Records are measured using a tape measure to record the actual number of inches of a particular type of record.
  - Be sure to note the number of inches and whether the records are letter-size, legal size or other. For example, measure the actual space being used for a particular records series. Do not include empty drawer or shelf space. (The measurement may consist of 127 letter-size linear filing inches or the same number of legal-size filing inches.)

#### **Measure equipment capacity...**

- Filing equipment capacity is obtained by measuring the inside dimension of the shelf or drawer and multiplying this figure by the number of levels (shelves or drawers) in the unit. This total may be further multiplied by the number of filing cabinets. Thus, these three totals equal total equipment capacity.

## **Filing Systems Design and Implementation**

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$$\begin{array}{rcl} & \text{Inside shelf drawer dimension} & \\ X & \text{Number of shelves (drawers per file unit or cabinet)} & \\ X & \text{Number of cabinets (file units)} & \\ = & \text{Total equipment capacity} & \end{array}$$

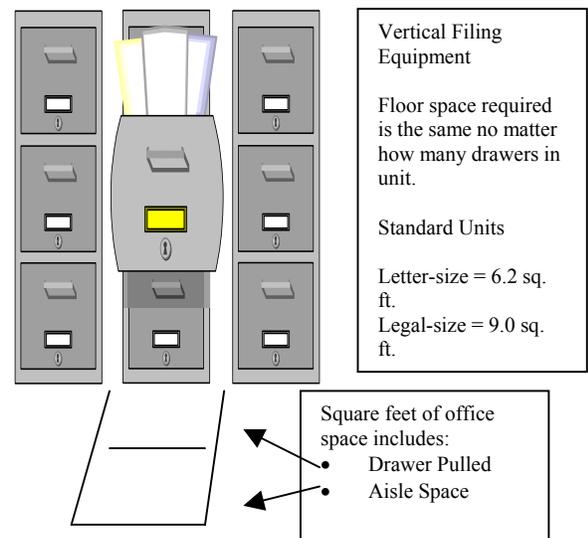
- **Cubic Feet**

- For records purposes a cubic foot is the volume of a standard-size box. (12"x10"x15"). The box holds different amounts of records, depending on the records size. For example:
  - 1 cubic foot = 15 linear letter-size inches
  - 1 cubic foot = 12 linear legal-size inches

- Legal size folders need to be turned sideways in a records center box. Therefore, only 12" linear inches fit into a box. This means that a cubic foot of legal-size records holds 20% fewer files than a cubic foot of letter size records.



As the capacity of different types of filing equipment is discussed in this chapter, it will be explained in terms of both linear filing inches and cubic feet.



### Vertical filing equipment...

- Traditional, upright-drawer filing cabinets are characterized by the following features:
  - File folders face the front
  - Drop filing, retrieving, and interfiling may be done without withdrawing the folder.
  - Use drawer compressors or hanging folders to keep records upright in drawers. However, hanging folders take up a high percentage of available drawer space.
  - Top tab folders are required.
  - Access is limited to one person per cabinet at a time.

## **Filing Systems Design and Implementation**

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*Vertical equipment is available with letter and legal-size drawers. 4-drawer, 5 drawer, and 2-drawer units are common. **The more drawers a vertical cabinet has, the less expensive storage space costs are.***

- A number of smaller size vertical drawer files are suitable for cards of various sizes and microforms (fiche, roll microfilm, aperture cards, etc.).

### **Floor space capacity...**

- Regardless of the number of drawers, standard vertical file cabinets require the following space for the cabinet, working space for the drawers, and aisle space.  
**Floor space requires is the same, no matter how many drawers in the unit.**
  - Letter size – 7.5 square feet of office space
  - Legal size – 9 square feet of office space
- **Drawer capacity:**
  - Each drawer of a vertical file could hold a total of 25” linear filing inches for either letter or legal files.

Filing drawers are rarely packed to capacity. It is difficult to retrieve records from the back of drawers, and some space should be allowed for file growth. Therefore, the following standard capacity figures for vertical cabinets assume reasonable space for retrieving records and anticipated growth.

- **Letter size:**

|            |                       |                |
|------------|-----------------------|----------------|
| 2 drawer = | 45.0 linear inches =  | 3.0 cubic feet |
| 3 drawer = | 67.5 linear inches =  | 4.5 cubic feet |
| 4 drawer = | 90.0 linear inches =  | 6.0 cubic feet |
| 5 drawer = | 102.5 linear inches = | 7.5 cubic feet |



Legal size files would require more space for filing cabinets. The linear inch filing capacity of cabinets would be the same as letter size cabinets. However, if records were packed into Records Management storage boxes, 25% more boxes would be needed for legal size records.

- **Vertical equipment advantages...**
  - Works well for small volume records series.
  - Already present in most offices.

## **Filing Systems Design and Implementation**

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- Efficient for storing records that are smaller than letter-size, such as card files and invoices.
- **Vertical equipment disadvantages...**
  - Less flexible than lateral equipment.
  - Requires more floor space than lateral.
  - Limited access to files.
  - Time-consuming retrieval.
  - Danger of cabinet tipping.
  - Cost of new vertical cabinets. This type of filing equipment is expensive when purchased new, compared to other filing equipment options.

### Lateral filing equipment...

- Lateral filing equipment is the most versatile of all filing equipment. File folders face the side of the equipment. Variations include cabinets with drawers, cabinets with shelves, open shelf files, mobile shelving, and mechanized units.

#### Floor space and records capacity...

- Lateral filing units come in three standard widths: 30" – 36" – 42"
- The unit depth is usually 15" (letter – size) or 18" (legal - size)



*Lateral cabinets take up less space than vertical cabinets. Regardless of the number of drawers or levels, lateral file require the following office space for files and comfortable aisle space. Square feet of office space includes aisle space.*

30" width unit = 6.5 square feet

36" width unit = 7.0 square feet

42" width unit = 7.5 square feet

**Each letter-size shelf unit holds a maximum of the following volume of files**

## **Filing Systems Design and Implementation**

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### **30" unit occupies 6.5 square feet of office space**

|          |   |                   |   |                 |
|----------|---|-------------------|---|-----------------|
| 4 levels | = | 108 linear inches | = | 7.2 cubic feet  |
| 5 levels | = | 135 linear inches | = | 9.0 cubic feet  |
| 6 levels | = | 162 linear inches | = | 10.8 cubic feet |
| 7 levels | = | 189 linear inches | = | 12.6 cubic feet |
| 8 levels | = | 216 linear inches | = | 14.4 cubic feet |

### **36" unit occupies 7.0 square feet of office space**

|          |   |                   |   |                 |
|----------|---|-------------------|---|-----------------|
| 4 levels | = | 132 linear inches | = | 8.0 cubic feet  |
| 5 levels | = | 165 linear inches | = | 11.0 cubic feet |
| 6 levels | = | 198 linear inches | = | 13.2 cubic feet |
| 7 levels | = | 231 linear inches | = | 15.6 cubic feet |
| 8 levels | = | 264 linear inches | = | 17.6 cubic feet |

### **48" unit occupies 7.5 square feet of office space**

|          |   |                   |   |                 |
|----------|---|-------------------|---|-----------------|
| 4 levels | = | 156 linear inches | = | 10.4 cubic feet |
| 5 levels | = | 195 linear inches | = | 13.0 cubic feet |
| 6 levels | = | 234 linear inches | = | 15.6 cubic feet |
| 7 levels | = | 273 linear inches | = | 18.2 cubic feet |
| 8 levels | = | 312 linear inches | = | 20.8 cubic feet |



*Legal-size files will fit into the same square feet of office space with a more narrow aisle, because cabinets are 3" deeper. Cabinets will hold the same number of linear inches of files. Also, if legal-size records were packed into Records Management boxes, 25% more boxes would be needed for them. For example, 4 level units would contain:*

30" legal = 9 cubic feet  
36" legal = 11 cubic feet  
42" legal = 13 cubic feet

- **Advantages of lateral filing equipment (all types):**

- Effective use of space.
- Creating barriers between work areas, thus eliminating the need for partitions.
- Versatile file arrangements possible.
- Fast retrieval time, thus adding efficiency to the process.
- Color coding can be used to facilitate retrieval.

### **Open shelf lateral equipment...**

## **Filing Systems Design and Implementation**

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- **Advantages include:**
  - Space efficiency.
  - Multiple user access.
  - Faster retrieval time with the absence of doors to open and shut.
  - Lower equipment costs.
- **Disadvantages of open shelf filing are:**
  - Files lack mobility. If an office moves or reorganizes frequently, files cannot be moved inside the equipment. They must be unloaded, packed, and reloaded onto shelves.
  - Lack of file security unless files are maintained in a secure room.
  - No protection from dust.
  - Disorder and clutter are readily visible in an office with open shelves.

### **High density files...**

- Lateral files can be installed to be moveable, so that two or three rows of file units may be set up on rails. The middle and front units will have fewer sections than the back units. Front rows of files roll from side to side with minimal pressure so that users may access files in the back unit. This type of equipment is effective for high-volume and high activity filing. When configured properly, it uses space effectively.



### **Mechanical files...**



- Mechanical files work on the concept of a Ferris wheel. The wheel or belt carries each tray or shelf of record around. Mechanical units may also provide controlled access to files, but there is no mobility of the unit once it is installed. The investment cost for these units are high, and their purchase should be completely justified.



## **Filing Systems Design and Implementation**

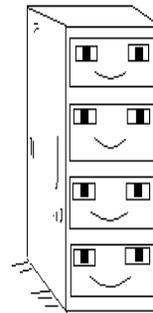
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*Mechanical units are much heavier than standard filing equipment, and the building structure must be sufficient to bear the weight.*

- Before purchasing this equipment, consider the following:
  - Projected growth of records.
  - Daily activity.
  - Need for access by more than one person at a time.
  - Amount of space.
  - Floor load.
  - Need for emergency generator if power fails.
  - Department plans to move or remodel.

### **Specialized equipment may be needed for special media files...**

1. Materials that are smaller or larger than standard legal-size.
2. Non paper media.
3. Special records may require equipment to protect them and to facilitate filing and retrieval. These may include: maps, drawings, photographs, blueprints, microfilm, data processing tapes, and x-rays.



- **File equipment** includes card files, visible card systems, trays, tubs, Rolodex, or Wheeldex units.
  - Vertical card files range from one-drawer desktop size to multiple-drawer floor models.
  - Nonconventional cabinets or shelves hold trays or tub files for cards. Rolodex or Wheeldex are small units to hold notched cards.
  - Visible card systems house cards in a variety of filing cabinets such as horizontal, vertical pocket visible drawers. The system facilitates the arrangement of cards or forms in such a way to serve as an index at a glance.
- **Other equipment** used may be ladders, stools, filing carts, tables, manual file sorters, and other types of furniture and tools.

## **Filing Systems Design and Implementation**

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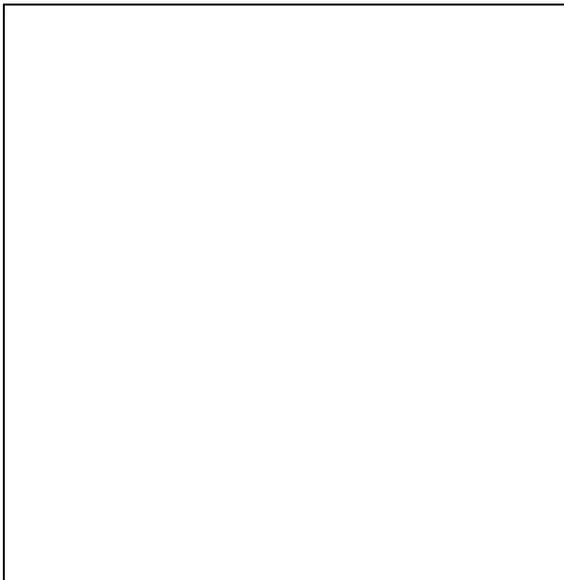
- **Filing supplies** should be compatible with the filing equipment.



- **Five different folders** may be selected on the basis of anticipated volume and usage. Special divided folders segregate documents and facilitate reference and disposition. Folder labels should also be considered for filing and retrieval. Folder tabs should be arranged for straight-line sighting.

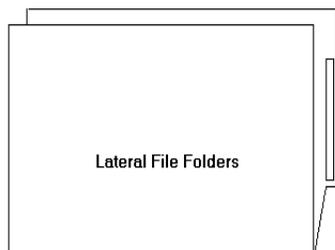
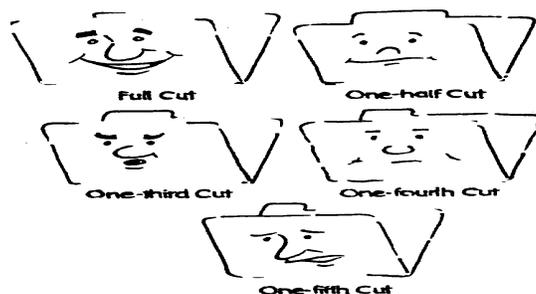


**Loose filing** instead of **fastened filing** is the fastest method of filing. Prong fasteners are commonly used for fastened filing to keep records and or documents in the folder in a particular order. **File guides** and/or **color coding** may reduce the search area for filing and retrieving records.



## **Filing Systems Design and Implementation**

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End tab or side tab style of folders are designed for use on shelf filing equipment and other types of lateral filing equipment. The full cut with reinforced tab is recommended, for the same reasons as above. It is also needed for effective color code labeling of the file folder.

- Universal file folders (Kraft and manila) are used in either vertical or lateral file cabinets and in storage boxes. The universal file folder has both top and side tabs with full cut.
  - (a) Sizes include: letter, legal, and oversize materials such as X-rays and blueprints. If legal size papers are filed in letter-size folders they must be folded to fit the smaller folder.

## **Filing Systems Design and Implementation**

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- (b) Capacity of standard Kraft and manila folders are made for a 3/4" capacity at the score line. The bottom of file folders are scored, usually at 1/4" intervals, to accommodate varied quantities of documents. Folders should be created at the score line in order to expand their capacity and to prevent folder labels from being obscured by protruding documents. Other folders with cloth or paper gussets provide greater capacity.
  - (c) Folder weight and the material of Kraft and manila folders determines the wear and tear that a file folder can take in filing, handling, and referencing. Kraft folders are made from wood pulp in varied shades and colors. Manila folders are bleached to a whiter shade. Both types are available in light, medium, and heavy weights.
- Pressboard and red rope folders are extra-heavy weights, made from paper materials, including jute and recycled cloth. Select folders based on their intended use.

### **Folder Weight for Potential Usage**

|             |            |  |
|-------------|------------|--|
| Light       | 9-11 point | For short-term filing needs and relatively few papers. Folders thin enough to insert in a typewriter for captions. |
| Medium      | 14 point   | Excellent for most files, rugged and long-lasting.   |
| Heavy       | 18 point   | Protects contents and allows greater expansion than medium weight. For paper in frequent use over periods of time. |
| Extra Heavy | 25 point   | Gives greater protection too voluminous papers. For those in constant use for an extended period of time.          |

- Special folders or binders are used to meet special requirements and include expansion, envelope, pocket, hanging, cover, imprinted.
  1. **Expansion folders** are extra heavy Kraft folders, press-board, and red-rope folders available with one or more dividers. If these are equipped with fasteners for grouping specific documents on each side of the folder and each side of the divider, they are especially suited for case file applications.
  2. **Envelope folders** are used to house voluminous papers and provide security from loss. They often come with strings or elastic for tying. This is useful for files that are carried to various locations for use.

## **Filing Systems Design and Implementation**

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3. **Pocket folders** are used instead of fasteners. They have pockets on each side for segregating specific types of documents.
4. **Hanging folders** rest on a bar or metal frame and maintain records contents in an upright position. These take up a high percentage of space in a file and are comparatively expensive. They are generally not recommended.
5. **Cover folders** are folders that are flexible enough to accommodate expanding volume. They hold together with fasteners and compressors.
6. **Imprinted folders** may be purchased that are imprinted with captions, instructions, bar codes, data, and/or labels. For a straight sequential numeric file, it may be cost-effective to purchase pre-labeled or pre-printed file folders.

### **Other Supplies...**

- Other file supplies include a variety of items that are essential to filing and finding operations. They include labels, fasteners, guides, out cards, color folders, color coding, bar codes, color coded alphabetic, and numeric labels.
  - **Labels** are needed to facilitate filing and finding. They narrow the search for records and are essential for filing and retrieval. They are available in books or rolls, in pin feed form, or laser printer sheets to be generated with the aid of a computer.
    - (a) Shelf or unit labels narrow the search to one unit.
    - (b) Drawer labels narrow the search to one drawer.
    - (c) Folder labels narrow the search to one file folder.
    - (d) A general purpose, self-adhering, or pressure sensitive label that does not require moistening is recommended for file folders.
    - (e) Color labels and color strips are useful for indicating separate records series or other file characteristics to the user.
  - **Fasteners** are recommended when specific types of records and/or documents are segregated within a file to facilitate their use and disposition.
    - (a) Prongs and binder clips are two types of fasteners.
    - (b) Consider using a fastener when the volume in a file folder exceeds ¼”.
    - (c) Folders should be fastened if they are routinely taken from the file room.



*Stapling folders inside the front or back is an undesirable method of fastening papers in a folder.*

## **Filing Systems Design and Implementation**

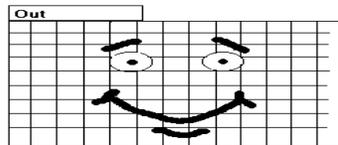
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- **Guide cards** (dividers) are used as a signpost in the file area, whether in drawers or on shelves. They facilitate reference by reducing the area of search and keep folders upright.
  - (a) Metal tabs and a caption guide indicator with a window are two types of guides.
  - (b) Guides should be used from year to year, after files are cut off.



*If labels are color-coded, guides may be unnecessary. When no file folder color coding is used, guides are especially important.*

- **Out cards** are required supplies for any file area where more than one individual uses the files or where an efficient method of locating and tracking active files is needed. Users need to be held accountable for files removed from the immediate area.
  - (a) Various types are available, made of press-board or color plastic.
  - (b) Some require users to sign files out and back in and provide a log of file folder use. Others have a small pocket to contain the file identifier, user name, and charge-out dates.
  - (c) The out card may also contain a large pocket that will hold materials to be inter-filed into the folder upon its return to the file area.



### **Color coding and color coded labels...**

- Color file supplies help guide the user to particular files, signal the file status, identify case names or numbers, and distinguish between different records series. If used appropriately, color coded supplies may be efficient.



*Color folders cost more than manila folders, and color dye lots also vary over time. The use of color folders is generally not recommended. Overstocks and out of stock colors may be a problem.*

## **Filing Systems Design and Implementation**

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- **Color coded alphabetic and numeric labels** are available for file folders individually or from vendors as part of a packaged system. Different sets use different colors for each alpha character or digit, from 0 through 9.
  - (a) Users may purchase packaged sequential numerical systems from 001 through 999, from 1000 through 1999, and other sets of 1,000.
  - (b) Sets of numbered digits may be purchased and wrapped over file folder tabs.
- **Color tabs on file folders** increase employee productivity with large volume, active records on paper or microfilm.
  - (a) Reduces retrieval time by as much as 40%.
  - (b) Reduces filing errors.
  - (c) Quickly locates misfiles. Color-coded folders that are arranged logically create blocks of color that instantly reveal misfiles within a group.
- **Color bars, year and month codes** may be appropriate for case files. A number of additional color codes will facilitate filing, retrieval, and disposition of records.
- **Color strips or bars** may be added to the file folder to indicate significant information, such as records series, case closed, or appealed case.
  - Year code labels are especially useful for case files. For example: this small two-digit label, 96-97-98, establishes key time frames for the file folder. Some users indicate both the date that the case opens and the date the case closes with year labels.
  - Month code labels are also useful for this purpose and for tickler files that have month as a key filing feature.

- **Advantages of color coding are...**



- \*Increase in employee productivity with large volume, active records on paper or microfilm.
- \*Reduction of retrieval time by as much as 40%.
- \*Reduction of filing errors by the ability to locate misfiles readily. Color-coded folders that are arranged logically create blocks of color that are noticeable within a group.

### **Bar codes...**

- Bar codes are for very active, large filing applications. They could be used to index or identify any of the following:
  - (a) File folders and documents

## **Filing Systems Design and Implementation**

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- (b) Boxes and containers
- (c) Disks, tapes, and cartridges
- (d) Equipment
- (e) Locations
- (f) User identification code
- (g) Transactions

- **Benefits of bar coding include...**

- Accuracy of identification.
- Accountability in tracking files.
- Speed of identification.
- Adaptability for many records management applications. They include:
  - Checking files out and in
  - Developing box lists of records in each storage box
  - Inventorying records
  - Documenting system conversions to microfilm or other media

### **File configuration and layout...**

- A file area should be properly arranged for appropriate housing of records and for worker well-being and efficiency. There is greater potential for increasing efficiency by utilizing proper file layout, file operations, and the staff involved. **Workflow efficiency** results in a shorter walking distance to files for file clerks and users. It affects labor cost and retrieval turnaround time.



*Consider the daily repetitive steps involved in filing and finding records.*

- (a) Design layout to eliminate unnecessary steps and avoid backtracking.
  - (b) Reduce distance between workers and filing equipment to a minimum amount of space.
  - (c) Position desks logically to facilitate workflow.
  - (d) Arrange the filing workspace so that supplies can be positioned within arm's length.
  - (e) Allow sufficient space for separating and sorting files.
- Space standards for file cabinets placed back to back are considered to be a minimum of 42 inches aisle. (ADA requirements) 18 inches required for each side of door.

## **Filing Systems Design and Implementation**

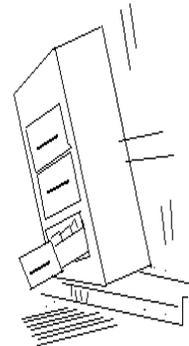
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- Safety standards include:
  - **Floor load:** Facilities and architectural structure should be adequate for floor-load capacity when positioning large groups of cabinets or installing shelves. If a structural weight problem exists, files need to be positioned along walls over sustaining supports.



- **Shelf load capacity:** Unstable file equipment could easily tip.

- **File equipment arrangements** include:
  - Placing small collections of filing cabinets or file shelving against walls.
  - Placing larger collections back-to-back.
  - Arrange equipment so that records are in consecutive order left to right.



- **Ventilation and airflow** must not be blocked. Building ventilation units must be clear.
- **Lighting levels** of 50 foot candles are recommended for general office work. Install shelf files to position shelf units in a manner that does not block sunlight or light fixtures. If the shelf units threaten to block available lighting, reduce the shelf height.
- **Access** to the records should be controlled. Files should be available for reference only to department staff members and others who have authorized access. To secure an area:
  - Locate records in a room with a door that locks or use locking file cabinets.

## **Filing Systems Design and Implementation**

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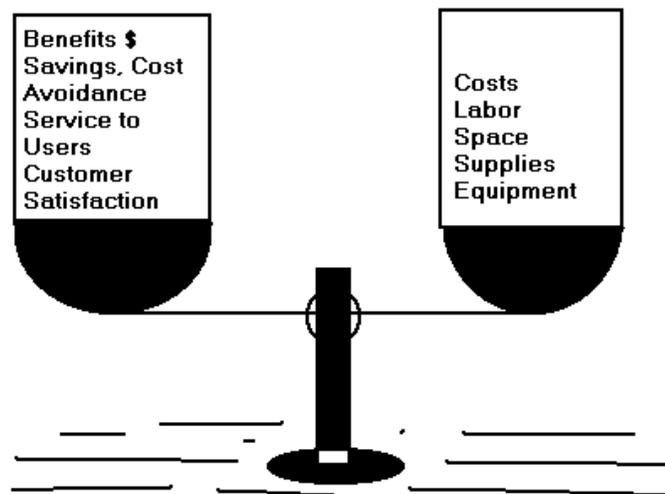
- Whenever files are removed from the file area require users to complete a charge out card. The out card locates the file and holds the user accountable for the security of the file.
- **Central work areas** provide users with a place to work where files may not need to be removed. Locate a photocopy machine near central file areas.

## Chapter 10 – Implementating the System

### Implementing the System...management support, written policies and procedures, file operations, system controls, and training

#### Department management support...

- Department management must support the development of a new filing system or improving an existing one. To do so:
  - Propose the project and report to management in writing with process flow charts dictating current and proposed processes.
  - Focus project goals on the objectives and benefits of filing.
  - Explain the cost factors such as floor space, equipment, supplies, and labor.
  - Benefits should include cost avoidance and/or cost reduction, improved service provided to users, and customer satisfaction with reduced cycle time.



*Of all the cost factors, labor (both clerical and professional) is the greatest. It is also difficult to estimate. The Records Management Team can be of assistance with calculating cost for several records management processes.*

## **Filing Systems Design and Implementation**

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### **Policies and procedures...**

- A general filing policy needs the endorsement of department management. It may be a simple statement in the department filing manual or a written notice to all staff. The filing system also requires written policies and procedures accessible to all users. The following items constitute complete written filing procedures and procedures:
  1. **Department filing user's manual:**
    - (a) Contains a brief department filing policy.
    - (b) Describes file contents.
    - (c) Defines information users need to access the files.
    - (d) Offers detailed procedures for sending and receiving records from files.
  2. **File listing:** is a complete list of the records in the file area, to the file folder level. It is a type of index to the files. A comprehensive explanation of the file indexing and coding methods must be provided to all who need the information, including users who send records for filing and retrieving, and a staff who provides service to users and customers.

### **Detailed file operations procedures...**

- File administrators and others who work with the files need detailed written procedures documenting file operations. This information is procedural and applicable only to file administrators. These include complete instructions for the following:
  - Handling name changes
  - Duplicate names
  - Cross-references
  - Other "how-to" functions



*The file operations procedures should be in the file operations manual, separate from the user's filing manual.*

### **File operations...**

- Screening and sorting items is the first step in preparing to file.
  - Establishing what not to file as a record. The following are not records: newspapers, publications, vendor catalogs, and manuals.
- Screen materials:
  - Check to see that the record is complete.
  - Date all materials.

## **Filing Systems Design and Implementation**

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- Remove rubber bands and clips.
  - Staple to prevent separation or loss of document pages.
  - Mend/reinforce torn, frayed pages.
  - Discard envelopes, routing slips, duplicates, scraps of paper, and other procedures and justify the expense.
- Classify and sort records:
    - Classify records by series.
    - Index.
    - Prepare cross-references.
    - Code records (if necessary).
    - Arrange records in the sequence in which they are filed.
    - Use sorting aids.

### **Filing practices...**

- Institute consistent filing practices by records series. Develop uniform methods of filing so that users may learn where to find particular documents within file folders.
  - **Data sequence** – Within the file folder, file records with the most recent documents on top. This will usually be in reverse chronological date sequence, directing the user's attention to the most timely documents first.
  - **Loose filing** – Loose filing within the folder takes the least staff time and should be used for the majority of records.
  - **Fastened filing** – Fastened filing is used for files that need to be kept in a particular order. Clips or prongs secure documents in the file and retain the order. Legal case files and vital records may require fastened filing.
  - **Growth** – Allow for growth within file folders and on shelves. Crease the folders. Score marks as they become full. Use an additional folder when needed. Leave sufficient space in drawers or on shelves for file expansion over time.
- Records disposition is an important part of system planning and implementation. Files are disposed of based on:
  - (a) A particular event, occurrence, or action, such as a case closing or employee retiring.
  - (b) Loss of a record's value over time.
  - (c) Retention Schedule.
- File cutoff or breaking of files should be a standard file's operation. This process facilitates the reference use of files and the eventual transfer of records.
- Case files...
  - (a) Mark when closed.
  - (b) Consider the use of color-coded year and month labels.
  - (c) Establish separate folders for case files and case working papers if working papers are voluminous.

## **Filing Systems Design and Implementation**

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- Subject file and other noncase records...
  - (a) Routinely break off adding additional records to existing files.
  - (b) Set up new folders on a regular basis, each calendar year or fiscal year.
  - (c) Closed and cutoff records may remain in the active file area for a short period of time, as long as files clearly distinguish the most recent materials from older records.
  - (d) Avoid “purging” or “weeding” records from within file folders. This involves too much labor and chance for error.
  - (e) Maintain records of equal value together throughout the life-cycle of the records series.
  - (f) Separate records with short-term values, longer-term values, and permanent value.



*This step taken in the filing system design stage helps staff dispose of records that are no longer necessary without risking destruction of records that are still important.*

- Retention schedule...
  - The institution’s retention schedule must be followed during the disposition process. The disposition step is important in ensuring that only those records eligible for destruction are destroyed. **All departments must follow the Retention Schedule and may not dispose of records earlier than the Retention Schedule specifies.**

### **System controls...**

- If the filing system is to work, it must have sufficient record controls. They are used to:
  - Standardize filing practices.
  - Prevent misfiles and lost records.
  - Insure that no extraneous material is in the file.
  - Hold users accountable for files.
  - Limit access to records.
- **Accountability...**
  - Only designated, trained staff should be assigned to perform the following tasks:
    - (a) Classify files.
    - (b) Code documents.
    - (c) Prepare and label file folders
    - (d) File and interfile.
    - (e) Retrieve records.
    - (f) Refile.

### • **Access...**

## **Filing Systems Design and Implementation**

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- Access to files should be restricted to trained personnel.
- Limiting access to a few people limits the risks to records.
- Records should be physically restricted if possible, by locking filing equipment or rooms to limit access and protect records.
- Develop and maintain file charge-out rules that apply to all users. Be strict and firm.
  - (a) Allow users to check out file folders, not individual records within the folders.
  - (b) The user is responsible for the file.
  - (c) When the file is removed, place an out card in its place with file folder title, user name, and date charged out.
  - (d) Use a form to track charged out records.

### • **Training...**

- Training of staff is essential for any system's success. The most well-designed system will fail if users lack necessary training to use it. Training elements include written filing policies and procedures. Live training sessions are recommended to:
  - (a) Give the users opportunities to ask questions.
  - (b) Present the system's ultimate goal of providing better service and information.
  - (c) Stress the commitment to consistent improvement.
  - (d) For the system to work, it must gain user credibility. It will need continuing work and problem solving.



- Filing system classes should be developed thoroughly before training.
  - Work out flaws as much as possible and discuss methods for identifying and solving problems.
  - Allow users to become familiar with the system and adapt to change.
  - After a test period, meet with users to address concerns and resolve any problems.
  - Emphasize the need for controls to deliver service.
  - Provide individual attention and personal help to reinforce training.

## **Filing Systems Design and Implementation**

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### **Appendix A – Equipment**

This appendix contains statistics taken from the National Archives and Records Service:

- Lateral shelf-filing, in general, has several advantages over conventional filing cabinets and safes. It requires about 50% less space, is about 50% cheaper, and the reference rates (filing and finding) are about 30% faster.
- Most records over four years old will be referred to less than four times per month.
- At least one-half of a company's records can be moved from high cost office space to less costly Records Center space.
- Scientific studies indicate that walking time constitutes approximately 25% of total filing time.

#### **Conventional (Vertical) File Cabinets**

This equipment allows the file folders to be placed directly in drawers in a vertical position and held upright by guides or compressors. They are economical for many applications and effective for maintaining current records. Often they use less space than other styles of filing equipment.

Cabinets are generally available in two or five drawers. Two-drawers are often used at desk side. Five-drawers are traditionally the most frequently used filing cabinets and are recommended for personal use in smaller work spaces. The reference rate is 25 to 35 actions per hour. Lockbars are available for both cabinets.

#### **Lateral Files**

With this type of equipment, files are accessed from the side (horizontally). The drawers are wider, but not as deep as conventional cabinets. They are available in two and four drawers. Also, available is a two-drawer two-shelf lateral filing cabinet. The reference rate is 25 to 35 files actions per hour.

#### **Bookcases/Binder Bins**

Open-shelf filing is particularly valuable for storing material that does not require frequent reference and can be placed at heights greater than normally feasible. It is similar to open bookshelves where records are accessed from the side. Guide and folder identifiers are on the side. These shelves are usually 36-inches wide (width may vary from 32 to 42 inches) and may be from two to eight tiers high. They may be open, have sliding doors, or a lift-up slide in door. They are recommended for large work spaces with large record materials where space is a premium, multi-access is required, and reference is below 320 file actions per day.

#### **Card Files**

Equipment is available to accommodate card stock in varying sizes. It is used in many organizations to provide a quick reference to frequently used information, and index of

## **Filing Systems Design and Implementation**

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specific items or other files, and a record of activities. Special card filing equipment is available such as cabinets with drawers of special heights (sometimes partitioned to store two rows of cards per drawer). Also available are boxes, trays, and card visible cabinets, which allows one edge of each card to identify the information.

### **Microrecord Files**

Microfiche storage cabinets are available in various sizes to house microfiche, aperture cards, or microfilm.

### **Planhold Files**

Illustrated below are different types of equipment available to house large and cumbersome blueprints, plan drawing, tracing, maps, and charts.

### **Security Containers**

To determine whether you have special security requirements and need this type of equipment, please contact Records Management.

### **Mobile Storage Units**

A mobile storage system is used for lateral files and involves standard steel shelving mounted on tracks. Each unit can be moved laterally on the tracks, either by manual or mechanical means, to open or close the aisles as needed. Little aisle space is required and the saving of floor space is greatly increased. In evaluating this type of equipment, the factors to consider are the availability of floor space, its cost, and the activity of the records stored. If the records are too active, the process of blocking access to closed aisles or the time and effort required to move the shelving units may be too costly in terms of labor.

## **Appendix B – Filing Supplies**

This Appendix illustrates a variety of different supplies that are recommended for preparing one's files. The Central Supply Catalog is a good resource. Contact the Records Management Team if you have any questions.

### **Guides**

Vertical Filing Cabinet Guides

Lateral Filing Cabinet Guides

Card Guides

### **Dividers**

### **Folders**

### **File Pocket Folders**

### **Hanging Folders**

### **Labels**

### **Computer Disk Labels**

### **File Cards**

### **Card File Boxes**

### **Microrecord Storage Cases**

### **Sorter**

### **Charge-out Card**

## **Filing Systems Design and Implementation**

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### **Appendix C – Simple Rules of Filing**

#### **Rule 1: File Behind The Guide**

- Records and folders should always be filed behind the guide. When searching for a record, the first unit to look for in a file is the guide. It indicates the proper location of the record. Motion and time studies show that forward movement facilitates fast filing and locating since it requires only one continuous motion.

#### **Rule 2: Select The Number Of Guides**

- When determining the number of guides, consider the following:
- The guides are an essential unit in the location of records. It is important to have enough guides so that people using the files do not have to handle 15 to 20 inches of folders for a specific file.
  1. Number of folders to be filed.
  2. Types of records to be filed.
  3. Activity – number of daily requests. If the files are highly active, more guides should be used.
  4. Input – number filed daily.
  5. Volume of records per folder.
  6. Retention of folders in active files.

#### **Rule 3: Use Of Individual Folder**

- Each folder should be assigned a title or number. In some alphabetical files; however, general (miscellaneous) folder will be used to house less active titles. In this case, when five records from a given firm or individual accumulate in the general folder, it should be regarded as active. It should then be placed in an individual folder and labeled correctly. (For the proper use of general folders, see Rule #8.)

#### **Rule 4: Within The Folder**

- Records should be filed in a specific order from bottom to top within the individual folder. Filing in a predetermined order reduces the time needed to search the folder for information.
  - Alphabetic files are generally arranged **chronologically**, with the most recent on top. (This is the information that will be referred to most frequently.)
  - If more than one number is housed in a folder, numerical records can be arranged **chronologically**, with the most recent on top, or in numerical order. Engineering or research information is most often filed in order of the projects development.

## **Filing Systems Design and Implementation**

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### **Rule 5: No More Than ¾” Of Paper In Each File Folder**

- The standard manila folder is designed for ¾” maximum capacity. Do not file more than ¾” of paper within each file folder. Motion studies show that it takes eight times longer to file in a folder containing 100 papers than in one with 50 papers or less. The efficiency of the filing system is destroyed when the folders are over crowded. When a folder contains more than ¾” of paper, divide the contents by date, project sequence, folder number, or use a large folder (Rule #6). A numerical label may be used on the folder to indicate folder number or date.
- On the lower front of most folders are two to three lines of scoring (creases) that allows the folder to expand as documents are added. This allows the folder to be in an upright position. When folders are scored properly, the folder tabs will be in line as they are viewed on the shelf.

### **Rule 6: Heavyweight Folders And Pockets**

- Heavy pressboard folders or red rope file pockets should be used to file large groups of records types that need to be kept together such as research projects or engineering reports. The durable body and strong gusset, with 1 to 4 inch expansion, gives extra support and protection for large volumes of records.

### **Rule 7: Fastener Folders**

- Fastener folders have 1 or 2 inch prong-type fasteners. They should be used when records are:
  - Of a permanent nature.
  - Have legal value.
  - Travel from office to outside locations.

### **Rule 8: General (Miscellaneous) Folders**

- General (miscellaneous) folders are used in alphabetic filing to house records of less active names or titles. When a file contains only one to three documents pertaining to one individual or company, the use of general folders expedites the filing and finding of this material. It prevents over accumulation of individual folders and organizes less active names in a specific location. The general folder should bear the same tab notations as the corresponding primary or secondary guide and should be placed behind that guide.
- The records housed within the general folder will be arranged in strict alphabetical order with the most current information to the front. This arrangement will save search time.
- Scoring (creases) on the bottom of the folder should be adjusted as the content increases. If a general folder expands to one-inch or more, then not enough guides are being used, and a pressboard expansion folder should be used.

## **Filing Systems Design and Implementation**

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### **Rule 9: Allow Adequate Work Space In Equipment**

- Adequate space must be given to each file so that filing and retrieval is fast. Also, expansion of the files should not necessarily require shifting of records. The failure to provide adequate space for the files results in lost time and productivity. Overcrowded files encourage the accumulation of unfiled records on desktops and in personal files.

### **Rule 10: Label Compartments**

- The drawers, compartments, or sections of equipment should be labeled to describe the record content.

### **Rule 11: Efficient Arrangement**

- Systematic arrangement of records will increase the speed and accuracy of filing and retrieval of records. Unnecessary stooping, bending, and higher level stretching will be eliminated. Check the number of inches and activity of each class of records that are to be filed. Arrange and file the most active ones at the most convenient levels. Usually, the least active records can be filed at either the upper and/or lower level.
- Each application should be planned to meet the specific service requirements. When planning a large alphabetic or numeric file, the most active records should be placed in a concentrated area, and personnel should be assigned a specific record group. This will keep walking time to a minimum; and it will allow individual productivity to be measured.

### **Rule 12: Transfer Inactive Records**

- Transfer records to Records Management at regular intervals for two important reasons:
  - (1) To reduce the cost of personnel time in handling inactive, semiactive, and unessential records.
  - (2) To reduce the cost of office space and equipment required for housing inactive/semi-active records.
- Frequent checks of the number of requests for certain records will assist in determining what material does not justify retention in the active files.

### **Rule 13: Typing Labels**

- Use one type style of ribbon color for all labels if using a typewriter. Consider computer-generated labels as an alternative.
- When typing names, use all caps for the surname, and use caps and lower case on the given names. Set a tab in the middle of the label and begin all given names at this place. When typing the company name, use all caps except for the words company, incorporated, etc. When the company name is made up of a person's name, use all caps on the surname only. These practices increase speed and ease of reading.

## **Filing Systems Design and Implementation**

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- Omit all periods, commas, and other forms of punctuation.
- Spell out in full, the company, association, individual name, subject, or title. Do not use abbreviations.
- Type the surname first, then the given name and initial. The same rule applies when a firm is composed of a surname and given name.

Example:

**As written**

**As labeled**

Mark A Ludwig

LUDWIG Mark A

M. Jordan & Company

JORDAN M & Company

- **SIDE TAB FOLDERS**

- Type two identical labels for each folder to allow each tab to be read from both Sides. Start typing labels two spaces from the left edge, above and as close to the color band as possible. If more than one line of typing is required, begin the second line directly above the first line block form.
- Place the label on the tab folder with the color band or typing to the outer edge. Apply the duplicate label to the opposite side of the tab in the same manner. When properly completed, index names on the folder will read upward when approaching from the left of the file and downward when approaching from the right. Two or more people can then use the same file section at one time.

- **TOP TAB FOLDERS**

- Type just one label. Start typing two spaces from the left edge and as close as possible to the color band on top of the label. If more than one line of typing is required, begin the second line directly below the first line in block form.
- Place the label on the tab of the folder with the color band on the top edge.

## Appendix D – Alphabetical Indexing Rules

### Rule 1: Name of Individuals

- Names of individuals should be filed as follows:

1<sup>st</sup> – Surname

2<sup>nd</sup> – Given name

3<sup>rd</sup> – Middle name or initial

- Examples:

**As written**

**As filed**

Mark A Ludwig

LUDWIG Mark A

Richard A Blath

BLATH Richard A

William T Frazier

FRAZIER William T

### Rule 2: Arrangement

- All folders should be arranged in strict alphabetic sequence of letters down to the last letter of the word.

- Examples:

**As written**

**As filed**

James B Becker

BECKER James B

Paul Hermsen Jewelers

HERMSEN Paul Jewelers

J B Wagner Company

WAGNER J B Company

### Rule 3: “Nothing Before Something”

- A surname alone will be filed ahead of the same surname which also has a given name or initial. This rule follows the principle “file nothing before something”.

- Examples:

**As written**

**As filed**

Harris

HARRIS

B Harris

HARRIS B

James Harris

HARRIS James

## **Filing Systems Design and Implementation**

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### **Rule 4: Initials in Names**

- When surnames are alike, those with initials should precede those with given names beginning with the same initial.

- Examples:

| <b>As written</b> | <b>As filed</b> |
|-------------------|-----------------|
| D G House         | HOUSE D G       |
| Daniel G House    | HOUSE Daniel G  |
| J H House         | HOUSE J H       |

### **Rule 5: Titles, Appendages, Degrees**

- Titles when followed by only one name are filed as written.

Examples:

| <b>As written</b> | <b>As filed</b>  |
|-------------------|------------------|
| Sister Rose Mary  | SISTER ROSE MARY |
| Brother William   | BROTHER WILLIAM  |
| Prince George     | PRINCE GEORGE    |

- Name appendages such as Sr., Jr., and 2<sup>nd</sup>, are considered separate filing units. When used, these titles are the last filing unit with numerical designations in numeric sequence.

- Examples:

| <b>As written</b>              | <b>As filed</b>               |
|--------------------------------|-------------------------------|
| Charles Brink                  | BRINK CHARLES                 |
| Charles Brink, Sr.             | BRINK Charles Senior          |
| Charles Brink, Jr.             | BRINK Charles Junior          |
| Charles Brink, 3 <sup>rd</sup> | BRINK Charles 3 <sup>rd</sup> |

- College and University degrees, when required for identification, are treated as the last filing unit.

## **Filing Systems Design and Implementation**

---

- Examples:

**As written**

**As filed**

RF Beckman

BECKMAN RF

RF Beckman D.D.S.

BECKMAN RF D.D.S.

RF Beckman M.D.

BECKMAN RF M.D.

Robert Beckman

BECKMAN Robert

Robert Beckman D.D.S.

BECKMAN Robert D.D.S.

- The titles Mr., Mrs., Miss, Ms., or military ranks are not used unless it is necessary to distinguish sex or marital status in identical names. When used, these titles are the last filing unit.

- Examples:

**As written**

**As filed**

Miss Kelly Powers

POWERS Kelly Miss

Mr. Kelly Powers

POWERS Kelly Mr.

Mrs. Kelly Powers

POWERS Kelly Mrs.

Kelly Andrew Powers

POWERS Kelly Andrew

Lt. Kelly Andrew Powers POWERS Kelly Andrew Lieutenant

### **Rule 6: Prefixes in Names**

- Prefixes such as De, Von, La, O, Mc, MAC, and others are considered as part of the surname when indexed.

- Examples:

**As written**

**As filed**

Jane D' Abalda

DABALDA Jane

Gerencia de Compensaciones

DECOMPENSACIONES Gerencia

Hawker De Havilland, Ltd.

DEHAVILLAND Hawker Ltd

## **Filing Systems Design and Implementation**

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|                        |                       |
|------------------------|-----------------------|
| De Paul Medical Center | DEPAUL Medical Center |
| Donald McLean          | MCLEAN Donald         |
| Robert O'Neal          | ONEIL Robert          |

### **Rule 7: Hyphenated Names**

- Hyphenated surnames are treated as one filing unit.

- Examples:

**As written**

**As filed**

Mary Meyer-Manning

MEYERMANNING Mary

Anne Neubauer-Rossi

NEUBAUERROSSI Anne

Pratt-Whitney Company, Inc.

PRATTWHITNEY Company Incorporated

### **Rule 8: Abbreviations**

- Abbreviations are not used in filing. Type the abbreviated word(s) in full on the label and index in order of complete spelling.

- Examples:

**As written**

**As filed**

W F Kiefer & Bros

KIEFER W F & Brothers

Mt. Lebanon Church

MOUNT LEBANON CHURCH

### **Rule 9: Apostrophe**

- Disregard the apostrophe "s"('s) in filing. It denotes possession, but does not alter the name.

- Examples:

**As written**

**As filed**

Bauer's Meat

BAUER MEAT

Boatman's Bank

BOATMEN BANK

- "S" apostrophe (s') is considered in filing because it is part of the name.

## **Filing Systems Design and Implementation**

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- Examples:

**As written**

**As filed**

A B Boys'

BOYS A B

Boys' Deli

BOYS DELI

### **Rule 10: Firm Names**

- Firm names should be indexed as written, except where the complete name of an individual is part of the firm name. (See Rule #11.)

- Examples:

**As written**

**As filed**

The Able Metal Company

ABLE METAL Company, The

Control Data Corporation

CONTROL DATA Corporation

Educational Computer Corp.

EDUCATIONAL COMPUTER Corporation

### **Rule 11: Individual as Firm Names**

- If the full name of an individual is part of the firm name, then the name of the individual is transposed as in Rule #1.

- Examples:

**As written**

**As filed**

M. Jordan & Company

JORDAN M & Company

John Slater & Son

SLATER John & Son

- Exception: When a firm named for an individual is so well known that to transpose the name would cause confusion, file it as written.

**As written**

**As filed**

Marshall Field & Company

MARSHALL FIELD & COMPANY

Neiman Marcus

NEIMAN MARCUS

Sears Roebuck & Company

SEARS ROEBUCK & COMPANY

## **Filing Systems Design and Implementation**

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### **Rule 12: Firm Correspondence**

- File by company name rather than by the individual who has written the letter. For example, a letter from Albert Ward, Procurement Manager of XYZ Corporation, ABC Division is cross-referenced under XYZ Corporation.

### **Rule 13: Subsidiaries and Divisions**

- File large companies' subsidiaries or divisions under the name of the division or subsidiary. For example, University of North Texas Health Science Center at Ft. Worth, Records Management Division is cross-referenced under University of North Texas Health Science Center at Ft. Worth.

### **Rule 14: Firms in Several Locations**

- For the same company in more than one location, file by the city or state and city.

- Examples:

**As written**

**As filed**

Wal-Mart Discount Cities

WAL-MART DISCOUNT CITIES  
Belleville, Illinois

Wal-Mart Discount Cities

WAL-MART DISCOUNT CITIES  
Mattoon, Illinois

### **Rule 15: Initials/Single Letters in Firm Names**

- File firm names, including radio and television call letters comprised of initials, under the first initial. Treat each initial as a unit, observing the rule of "nothing before something."

- Examples:

**As written**

**As filed**

AAA Auto Club

AAA Auto Club

A&F Plumbing

A&F PLUMBING

A-1 Exterminators

A ONE EXTERMINATORS

CASA

CASA

NAACP

NAACP

NASA

NASA

## **Filing Systems Design and Implementation**

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### **Rule 16: Compound Geographic Words**

- Each word in compound geographic terms is a separate filing unit, including prefixes, and is filed as written.

- Examples:

**As written**

**As filed**

Chicago Transit

CHICAGO TRANSIT

Mt. Vernon Towing

MOUNT VERNON TOWING

St. Louis Hospital

SAINT LOUIS HOSPITAL

### **Rule 17: Names with Compass Terms**

- Each word in a name containing compass terms is considered a separate filing unit. If the term involves more than one compass point, treat each compass point as a separate word, even if written together. For example, Northwest, see North west.

- Examples:

**As written**

**As filed**

Northwestern Mutual Life Co.

NORTH WESTERN MUTUAL  
LIFE Company

Southeast Transit

SOUTH EAST TRANSIT

Southwest Antique Mall

SOUTH WEST ANTIQUE Mall

Southwestern Auto Assn.

SOUTH WESTERN  
AUTOMOBILE Association

### **Rule 18: Conjunctions and Prepositions**

- Conjunctions and prepositions (the words and, &, of, and for) are disregarded in filing, but are not omitted when writing the titles.

- Examples:

**As written**

**As filed**

Aerospace Technology of Australia

AEROSPACE TECHNOLOGY of  
AUSTRALIA

Home and Garden Florist

HOME & GARDEN FLORIST

## **Filing Systems Design and Implementation**

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|                              |  |
|------------------------------|--|
| Jewish Center for the Aged   | JEWISH CENTER of the AGED              |
| Mitsui & Company (USA), Inc. | MITSUI & Company (USA)<br>Incorporated |
| Requests for Proposals       | REQUESTS for PROPOSALS                 |

### **Rule 19: “The” in Titles**

- When “the” is part of the title, it is disregarded in indexing, but not omitted when writing the title.

- Examples:

**As written**

**As filed**

The Boeing Company

BOEING COMPANY The

Marcus the Juggler

MARCUS the JUGGLER

The New York Times

NEW YORK TIMES The

### **Rule 20: Banks**

- Names of banks and trust companies are filed by the name of the city or state in which they are located when these locations are part of the name. If this is not the case, they are indexed as written. When a bank has more than one location, as in branch banking, the location is typed on the second line.

- Examples:

**As written**

**As filed**

First National Bank  
of Texas

TEXAS FIRST NATIONAL  
BANK of

Bank of Chesterfield

CHESTERFIELD BANK of

Mark Twain Bank Ladue

MARK TWAIN BANK  
Ladue, Missouri

Commercial Bank of St. Louis

ST. LOUIS COMMERCIAL  
BANK of

## **Filing Systems Design and Implementation**

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### **Rule 21: Institutions**

- Colleges, schools, libraries, hospitals, and hotels are filed under the location when it is part of the name. Otherwise, they are filed under the identifying title.

- Examples:

**As written**

**As filed**

University of Texas

TEXAS University of

Church of Jesus Christ

JESUS CHRIST Church

Lutheran High School

LUTHERAN HIGH  
SCHOOL

Hotel Majestic

MAJESTIC HOTEL

Saint James Church

SAINT JAMES CHURCH

### **Rule 22: Boards of Trade and Commissions**

- Boards of trade, education, and chambers of commerce are filed under the location name then the identifying title.

- Examples:

**As written**

**As filed**

Chamber of Commerce of Fort Worth

Ft. Worth Chamber of  
Commerce

St. Louis Collector of Revenue

St. Louis Collector of  
Revenue

Nuclear Regulatory Commission  
of U.S.

United States Nuclear  
Regulatory Commission

## **Filing Systems Design and Implementation**

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### **Rule 23 Organizations and Associations**

- Company associations and organizations that have as the first words of their names, such as Association of, district of, are filed as written, word for word, disregarding connecting words when filing.

- Examples:

**As written**

**As filed**

Voluntary Interdistrict Coordinating  
Council

VOLUNTARY INTERDISTRICT  
COORDINATING COUNCIL

Atomic Energy Commission

ATOMIC ENERGY COMMISSION

### **Rule 24 Nicknames**

- Nicknames with no recognizable surname, are indexed and filed as written.

- Examples:

**As written**

**As filed**

Dougs Dugout

DOUGS DUGOUT

Jack the Ripper

JACK the RIPPER

The Mad Hungarian

The MAD HUNGARIAN

### **Rule 25 Trusts and Guardians**

- Guardians, receivers, and trustees, considered as agents for an individual or an organization, are filed under the name of the individual or organization for whom they act. A cross-reference should be made under the name of the guardian, receiver, or trustee.

- Examples:

**As written**

**As filed**

John J. Smith, Guardian  
for Mary White (minor)

WHITE Mary (Guardian Smith John J)

Chastain's Consultants  
Incorporation Receivers  
for Randy Car Company

RANDY CAR Company (Chastain  
Consultants Incorporation  
Receivers)

Brown Smith & Jones Trustees  
for Daniel Peter White  
Estate

WHITE Daniel Peter Estates (Trustees—  
Brown Smith & Jones)

## **Filing Systems Design and Implementation**

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### **Rule 26 Government – Federal**

- Federal records are indexed and filed under UNITED STATES followed by the department or bureau, all arranged alphabetically as to title. In the case of indexing, a bureau or division of a government department is always cross-referenced under the larger department.

- Examples:

UNITED STATES:

Agriculture Department of  
ASCS Office  
Soil Conservation Service  
MLRA Office

Air Force  
Scott Air Force Base  
Information  
Medical Center  
Emergency Room

Navy  
Belleville  
East St. Louis  
Granite City

Reserves  
Army  
Centers  
Belleville  
East St. Louis

### **Rule 27 Government – Federal**

- Command services of the Federal Government, such as depots, bases, camps and commands, are indexed and filed under the identifying word or words. The department under which they operate may not be known and is not considered.

- Examples:

**As written**

**As filed**

Defense Plant Representative Office  
(DPRO)

DEFENSE PLANT REPRESENTATIVE  
OFFICE

Scott Airforce Base

SCOTT AIRFORCE BASE

## **Filing Systems Design and Implementation**

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### **Rule 28 Government – State**

- All state government records are indexed and filed under the name of the state. Departments and divisions are filed under the state and then department or division.

- Examples:

**As written**

**As filed**

State of Texas

TEXAS State of

State of Missouri Revenue

MISSOURI REVENUE State of

Hospital Division of Missouri

MISSOURI HOSPITAL DIVISION of

### **Rule 29 Government – County**

- All county government filing should be under the name of the county and then the identifying title or word.

- Examples:

**As written**

**As filed**

Tarrant County, Texas

TARRANT COUNTY Texas

County Clerk of Ft. Worth

FORT WORTH COUNTY CLERK

### **Rule 30 Government – Foreign**

- Names of foreign governments are indexed and filed under the name of the country and then by bureaus, departments, and divisions.

- Examples:

**As written**

**As filed**

Government of Israel

ISRAEL Government of

Government of Italy

ITALY Government of

Republic of Korea

KOREA Republic of

Kingdom of Saudi Arabia

SAUDI ARABIA Kingdom of

## **Filing Systems Design and Implementation**

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### **Rule 31 Numbers in Alphabetical Files**

- When names begin with numbers, they should be spelled out in full and filed accordingly.

- Examples:

**As written**

1<sup>st</sup> Baptist Church

3<sup>RD</sup> Base Pizza

**As filed**

FIRST BAPTIST CHURCH

THIRD BASE PIZZA

**Filing Systems Design and Implementation**

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**Appendix E – Conversion Tables**

**Guides And Standards**

- Lateral shelf-filing, in general, has several advantages over conventional filing cabinets and safes. It requires about 50% less space, is about 50% cheaper, and the reference rates (filing and finding) are about 30% faster.
- Most records over four years old will be referred to less than four times per month and less costly Records Center space.
- Scientific studies indicate that walking time constitutes approximately 25% of total filing time.

**Boxes**

- Standard Records Center carton (15” x 12” x 10”) = 1 cu. ft.
- One letter-size transfer file = 1 ½ cu. ft.
- One legal-size transfer file = 2 cu. ft.
- One Medical X-Ray Box holds approximately 80 x-rays

**Floor Space Requirements**

|                             |   |
|-----------------------------|---|
| <b>Letter-size cabinet:</b> | <b>6 sq. ft. (room to pull out drawer/person)</b> |
| <b>Legal-size cabinet:</b>  | <b>7 sq. ft.</b>                                  |

**Documents Per Linear Foot**

|                             |  |
|-----------------------------|--|
| <b>Letter or legal-size</b> | <b>3,000 including guides and folder</b> |
|-----------------------------|--|

**Sheets Of Paper Per Inch**

|                           |        |
|---------------------------|--------|
| 100 medium weight cards   | 1 inch |
| 250 sheets bond           | 1 inch |
| 334 sheets file copy      | 1 inch |
| 175 sheets ordinary paper | 1 inch |
| 500 sheets tissue         | 1 inch |

## **Filing Systems Design and Implementation**

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### **Weights Of Various Types Of Material**

|                   |                         |
|-------------------|-------------------------|
| Letter size-files | 30 lbs. per cubic foot  |
| Legal-size files  | 25 lbs. per cubic foot  |
| Books             | 20 lbs. per cubic foot  |
| X-rays            | 96 lbs. per cubic foot  |
| Office supplies   | 40 lbs. per cubic foot  |
| 3" x 5" cards     | 50 lbs. per cubic foot  |
| 4" x 6" cards     | 50 lbs. per cubic foot  |
| 5" x 8" cards     | 50 lbs. per cubic foot  |
| Tab Cards         | 50 lbs. per cubic foot  |
| Computer reel     | 3-5 lbs. per cubic foot |
| Disk Pack         | 7-8 lbs. per cubic foot |

### **Conversion Factors From Linear Feet To Cubic Feet**

|                      |                   |    |                  |   |              |
|----------------------|-------------------|----|------------------|---|--------------|
| Legal-size           | Linear feet x .8  | or | 1.25 linear feet | = | 1 cubic foot |
| Legal-size           | Linear feet x 1.0 | or | 1.0 linear feet  | = | 1 cubic foot |
| Ledger-size          | Linear feet x 1.5 | or | .6 linear feet   | = | 1 cubic foot |
| Document-size        | Linear feet x .27 | or | 3.7 linear feet  | = | 1 cubic foot |
| Tab cards and checks | Linear feet x .17 | or | 6.0 linear feet  | = | 1 cubic foot |
| 5" x 8" cards        | Linear feet x .28 | or | 3.6 linear feet  | = | 1 cubic foot |
| 4" x 6" cards        | Linear feet x .17 | or | 6.0 linear feet  | = | 1 cubic foot |
| 3" x 5" cards        | Linear feet x .1  | or | 10.0 linear feet | = | 1 cubic foot |

## **Filing Systems Design and Implementation**

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### **File Capacity**

|                                |             |
|--------------------------------|-------------|
| Letter-size drawer             | 1.5 cu. ft. |
| Legal-size drawer              | 2 cu. ft.   |
| Letter-size cabinets, 4 drawer | 6 cu. ft.   |
| Letter-size cabinets, 5 drawer | 8 cu. ft.   |
| Legal-size cabinets, 4 drawer  | 8 cu. ft.   |
| Legal-size cabinets, 5 drawer  | 10 cu. ft.  |
| Letter-size drawer or box      | 1.5 cu. ft. |
| Legal-size drawer or box       | 2.0 cu. ft. |
| Letter-size, 36" –shelf        | 2.0 cu. ft. |
| Legal-size, 36" –shelf         | 2.5 cu. ft. |
| 3" x 5" card, ten 12" –rows    | 1.0 cu. ft. |
| 3" x 5" card, five 24" –rows   | 1.0 cu. ft. |
| 4" x 6" card, six 12" –rows    | 1.0 cu. ft. |
| 5" x 8" card, three 24" –rows  | 1.0 cu. ft. |
| 5" x 8" card, four 12" –rows   | 1.0 cu. ft. |
| 5" x 8" card, two 24" –rows    | 1.0 cu. ft. |
| Tab card, five 14" –rows       | 1.0 cu. ft. |
| Tab card, three 24" –rows      | 1.0 cu. ft. |