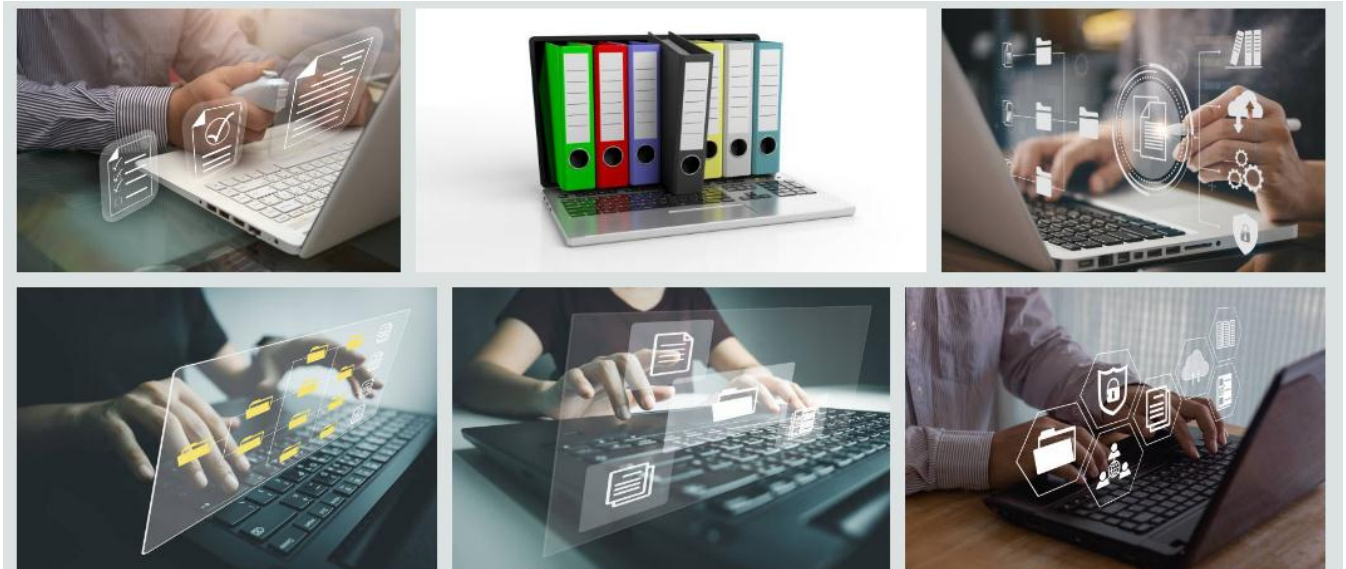


# Human Resource Management

## Level-II

Based on March 2022, Curriculum Version 1



**Module Title: Utilizing and Maintaining Organizational Information**

**Module code: LSA HRM2 M07 1122**

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**Addis Ababa, Ethiopia**

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## Acronym

ACL	Access Control lists
APIS	Application programming interfaces
CAS	Chemical Abstracts Service
DBMS	Database management system
DMS	Document management system
EDRMS	Electronic data record management system
EU	European Union
ETL	Extraction transformation loading data
HDD	Hard Disk drive
LEI	Legal Entity Identifier
IP	Internet Protocol address
ISSN	International Standard Serial Number
NSW	New South Wales (Australian state)
USPS	United States Postal Service
UPRN	Unique Property Reference Number
SWIFT	Society for Worldwide Interbank Financial Telecommunications

## Introduction to the Module

In **Human Resource Management** filed; Utilize and Maintain Organizational Information helps to describes the performance outcomes, skills and knowledge required to collect, process, and store and maintain workplace information and systems. It also includes the maintenance of filing and records systems, receive and distribute incoming mail send, receive and manage electronic mail (email), as well as to collaborate online using chat rooms, intranets and instant messaging This module is designed to meet the industry requirement under the Human Resource Management occupational standard, particularly for the unit of competency: Utilize and Maintain Organizational Information

### This module covers the units:

- Incoming mail management
- Urgent information management
- Process workplace information
- Information systems maintenance
- Online environment records

### Learning Objective of the Module

- Receive and distribute incoming mail
- Collect and Organize urgent same day information
- Process workplace information
- Maintain information systems
- Perform records in an online environment

### Module Instruction

For effective use this modules trainees are expected to follow the following module instruction:

1. Read the information written in each unit
2. Accomplish the Self-checks at the end of each unit
3. Read the identified reference book for Examples and exercise

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## Unit one: Incoming mail management

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

- Checking and registering incoming mail
- Identifying titles and locations
- DISTRIBUTING urgent and confidential mail
- Sorting and dispatching mail
- Recording and reporting damaged items

This guide will also assist you to attain the learning outcomes stated in the cover page.

Specifically, upon completion of this learning guide, you will be able to:

- check and register incoming mail
- identify titles and locations
- distribute urgent and confidential mail
- sort and dispatch mail
- record and report damaged items

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## 1.1 Checking and registering incoming mail

### Introduction

Most of the mail received by a business/organization will relate to matters that are currently happening so it is important that the mail is processed promptly and distributed to the correct people.

Incoming mail should always be processed by following your company's policies and procedures. Before you process incoming mail ensure that you are familiar with the procedures that apply in your business/organization.

In order to process and distribute incoming mail appropriately you need to be aware of the following points:

- Receiving mail
- Checking and register incoming mail
- Identifying and distribute urgent and confidential mail
- Sorting and delivering mail to the right person and location
- Record, report and deal with damaged, suspicious or missing item

### Receiving mail

Mail can arrive in a variety of ways including:

- Mail delivered by Ethiopian post
- Mail delivered by courier
- Mail that is faxed
- Mail that is sent by email
- Mail that is hand delivered

Some of the mail your firm receives will be delivered in the morning by Ethiopian Post. On occasions documents will be delivered using an Ethiopian Post special delivery service, such as Registered Post.

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Registered Post provides an added level of security through a unique identification number for each item and the need for the recipient to sign for the mail item. Be aware that some firms have a Post Office box. Post Office boxes are usually situated in a Post Office or in a shop that acts as an agent for Ethiopian Post. If your firm has a Post Office box then mail, addressed with your firm's Post Office box number, will be delivered to the box. You may be required to pick up the mail from the box.

You can look at the Ethiopian Post Internet Site to find out about other delivery services that you may need to be aware of.

### 1.1.1 Checking incoming mail

As it is very easy to accidentally damage a letter or a document when you are opening an envelope it is best to take your time and open each envelope with care.

Once you have opened an envelope ensure that you remove all the contents. Often an envelope will include a covering letter and a number of attachments. You should check that all the attachments indicated in the covering letter have in fact been included. See the 'Handling specific types of incoming mail' section below to understand what to do if items are missing.

The followings are things that you should do if items are missing while handling mail:

- **Keeping items together**

Ensure items that arrive in the same envelope are kept together. You can usually attach items with a paper clip. For example, a cheque that arrives with a letter must be paper clipped to the letter otherwise someone could receive the letter and assume that the sender has forgotten to send the cheque.

- **Date stamping**

After the mail has been opened you should ensure that, where appropriate, each item is date stamped. Date stamping the incoming mail helps identify when your legal firm received the mail. Original documents such as, birth certificates, qualifications, contracts and agreements should not be date stamped. If a note of the date is required for original documents, then a colored sticky note can be date stamped and stuck to the front of the document. For example, if a contract has been sent to your

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business then a colored sticky note with a date stamp would be used. If you are unsure as to whether an item should be date stamped ask your supervisor. Each organization will have different procedures for date stamping incoming mail.

For example, some organizations expect all incoming mail, other than original documents, to be date stamped on the reverse top left hand corner. Ensure that you are clear on the date stamping procedure at your workplace.

### **Checking mail** may include:

- Enclosures
- Mail marked confidential, urgent or personal
- Mail sent express post or registered
- Mail that has been damaged
- Mail that looks suspicious

#### **1.1.2 Registering incoming mail**

Many businesses require all incoming mail to be entered in a register. Depending on the procedures at your workplace mail may be registered before it is date stamped. Check the Office Policy and Procedures Manual or ask your supervisor about the process in place at your workplace.

Mail can be registered either manually, in a mail book or diary, or electronically on a computer, again this will depend on the process in place at your company. Keeping a register of all mail items received helps ensure that mail can be tracked.

Information in the mail register should include:

- Who sent the correspondence
- The date the correspondence was received
- The addressee or who the correspondence was sent to
- Contents of the correspondence
- Subject of the correspondence

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- Date of reply
- Condition of the correspondence (for example, was it damaged or without a return address').

#### Incoming mail registration form

<i>Date</i>	<i>Description</i>	<i>Recepiant</i>	<i>Attachment</i>	<i>Condition</i>	<i>Action</i>
12/03/2015	Letter from Federal TVET	W/ro Chaltu Tolsa	Agreement	Good	Delivered
10/03/2015	Letter from customer(ch eque enclosed)	Ato Kedir Seid	Cheque	Envelope turn	Bank cheque and inure Report
15/03/2015	HR Magazine	W/rt Almaz Abebe	None	Good	Circulate

**Table 1.1 Incoming mail registration form1**

Example of an incoming mail register

<b>Date Mail received</b>	<b>Sender</b>	<b>Comments</b>	<b>Attachments</b>	<b>Sent to</b>	<b>Opened by</b>
28/7/04	Mr Yee	Letter	Product specifications	Mr H. Gleitman	Julie Carpenter
28/7/04	Mrs Osborne	Envelope torn	N/A	Ms M. Taylor	Julie Carpenter
28/7/04	Future Decor	Contract	Contract	Mr I. Kruber	Julie Carpenter

**Table 1.2 Incoming mail registration form2**

Once the mail has been registered it should be sorted and distributed to the appropriate personnel. Note that you may be required to sort the mail before it is registered, again this will depend on the procedures followed by your workplace.

### **1.3 distributing urgent and confidential mail**

#### **1.3.1 Identifying and distributing urgent and confidential mail**

As with all other types of mail you should ensure that you follow the procedures in place at your workplace for mail that is marked 'Urgent'. As a general rule, ensure that urgent mail is delivered to the appropriate person as soon as possible and is dealt with before other types of mail. Unless you are specifically authorized to do so, never open mail that is marked 'Private and Confidential', 'Personal', 'Confidential' or similar. Your company will probably have a procedure in place for dealing with this type of mail. Ensure that you are familiar with this procedure.

- **Confidential mail**

Mail marked confidential, personal or private should not be opened, unless you are authorized to open it. If you open this mail by mistake, you should quickly re-seal the envelope with tape and write on it 'Opened by mistake and your initials. It is not possible to do this for faxes and emails. If an email message is marked confidential and the addressees' name is written in the message subject line, you can leave it unopened and forward it to the receiver or send a message to let them know the mail has arrived.

- **Urgent mail**

Some mail is marked urgent. If it is also marked confidential or personal, you should treat it as confidential first and not open it. You can either deliver urgent mail immediately to the person it is addressed to or you can make sure it goes to the top of the pile when you are prioritizing mail for that person. Another form of urgent mail is Express Post. The sender pays extra postage for an item to be priority processed for prompt delivery, usually the next working day. An organization may have specific procedures in place for sorting and distributing urgent mail.

#### **1.3.2 Delivering Urgent and Confidential Mail**

Mail should always be forwarded to the recipient within the organizations designated time lines so business is conducted effectively. Speak to your supervisor if you ever have any problems with

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the time lines. Sometimes the problems may be out of your control; for example, if the mail is delivered late. You can distribute mail in various ways.

For example, you may place mail for people in a separate folder and deliver it to them in tray. Some organizations may have an area where employees collect mail and you may be responsible for depositing mail in the correct pigeonholes.

Large organizations may have mail collection points for each department. Organizations with numerous offices in various locations may have an internal mail system, with specified collection points and pick-up and drop-off times. There may be a number of different internal distribution systems operating at the same time.

## **1.4 Sorting and dispatching mail**

Once the incoming mail has been opened, date stamped and registered it needs to be sorted and then distributed to the appropriate personnel.

### **1.4.1 Sorting incoming mail**

The way in which incoming mail should be sorted will depend on the procedures in place at your workplace. Ensure that you are aware of the procedures that are in place.

Depending on the size of your company and the processes in place you would normally sort the mail by business section or by individual. Once the mail has been split in this manner you will be required to sort the mail based on its importance. Urgent mail is usually at the top of the bundle, followed by mail that has been sent by courier. Below this mail should be the private and confidential mail and finally any general correspondence.

Note that your company may have specific rules regarding the handling of cheques and invoices. Often this type of mail will be directed to the accounts department or to a nominated person. Often more than one person needs to be present when opening mail that contains cash orders or cheques.

Your supervisor will indicate how to process this type of mail. Once the incoming mail has been sorted it needs to be distributed to the appropriate personnel.

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**Sorting** mail may include:

- Adding a circulation slip
- Separating by order of importance for each individual
- Separating internal (organizational) mail and external mail
- Separating junk mail
- Separating urgent mail to be distributed first
- Sorting by departments
- Sorting by location
- Sorting by seniority of personnel
- Sorting invoices, cheques and accounts

### 1.4.2 Distributing incoming mail

Each company will have its own set of requirements with regards to the distribution of incoming mail. Often the mail will need to be distributed by a specific time each morning. If you have been given the responsibility of distributing the mail, ensure that you are aware of the requirements in place.

In order to efficiently distribute the mail, you will need to identify and understand the structure of your workplace and the titles and roles that each person has. This is especially important when you receive a mail item that does not specifically indicate for whom it is intended. When this happens, you will need to work out who the letter is for. This can be done by asking your supervisor, calling the sender or reading the letter and then directing it to the appropriate person or business section.

Often a company will have a tree-structure or an employee list that will help you identify each of the individuals and sections in your company.

## 1.5 Recording and reporting damaged items

### 1.5.1 Dealing with damaged, suspicious and missing items correctly

On occasions you will need to deal with mail that has been damaged, mail that appears suspicious and lost mail items.

- **Damaged mail**

Damaged mail should be sorted, date stamped and registered following the same process used for other incoming mail. The damage should be recorded in the register.

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Once the damaged item has been processed it should be delivered to the person to whom it has been sent with an explanation regarding the fact that it arrived in a damaged condition. The recipient can then decide what action, if any, needs to be taken.

- **Suspicious mail**

Your company will have specific procedures in place for dealing with suspicious mail items. Ensure that you are aware of the procedures to follow. Do not attempt to open a suspicious item. If you are suspicious about a particular item, then discuss it with your supervisor immediately. If your supervisor is unavailable, then inform another senior member of staff.

- **Missing items**

Often an envelope will contain a covering letter and one or more enclosures. The covering letter should indicate what enclosures, if any are meant to be included. Check that all the enclosures detailed in the covering letter are, in fact, included.

If an item is missing you should register the letter and any enclosures that have been included and then inform the recipient of the letter that certain enclosures are missing. The recipient can then decide what action needs to be taken.

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## Self-check-1

### Part I Choose the correct answer from the give alternatives.

1. Information in the mail register should include:
  - A. Who sent the correspondence
  - B. The date the correspondence was received
  - C. The addressee or who the correspondence was sent to
  - D. All
2. Mail can arrive in a variety of ways including:
  - A. Mail delivered by Ethiopia Post
  - B. Mail delivered by courier
  - C. Mail that is faxed
  - D. All
  - E. None
3. In order to process and distribute incoming mail appropriately you need to be aware of the following points except:
  - A. Receiving mail
  - B. Checking and register incoming mail
  - C. Identifying and distribute urgent and confidential mail
  - D. All
  - E. None

### Part II: Fill in the Blank Space.

1. \_\_\_\_\_ is the written communication that passes through the messenger service or the post office.
2. \_\_\_\_\_ is all correspondence, facsimiles (faxes), magazines, circulars, advertising material and packages received.
3. Incoming mail include \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.

### Part III Give Short answer.

1. List the ways that mail can arrive in an organization/business.
2. list types of information recorded in mail registration
3. List the elements be considering when Checking mail



## Unit Two: - Urgent information management

This unit to provide you the necessary information regarding the following content coverage and topics:

- Evaluating and selecting best delivery options
- Preparing items for urgent delivery
- Collecting relevant and timely information
- Using basic clerical support technology
- Organizational requirements in handling information

This guide will also assist you to attain the learning outcomes stated in the cover page. Specifically, upon completion of this learning guide, you will be able to:

- evaluate and select best delivery options
- prepare items for urgent delivery
- collect relevant and timely information
- use basic clerical support technology
- apply Organizational requirements in handling information

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## 2.1 Evaluating and selecting best delivery options

If it is part of your role to arrange for the urgent delivery of a particular item or to ensure it is delivered on the same day, you may need to determine the most appropriate way to do this. As always, consult your organization's policies and procedures for guidance and remember if you are still unsure, ask your manager or supervisor.

In evaluating and selecting the best delivery options consider the following:

**Cost;** for example, a service may guarantee fast delivery but the cost may exceed your budget.

**Time constraints;** for example, how urgent is the item and would a courier be quicker than hand delivery or Express Post?

**Delivery location;** for example, Express Post mail is only guaranteed within a capital city so normal mail may still be as quick.

**Nature of contents;** for example, you need to check whether the item is bulky, fragile, confidential or a legal document as these may require different services.

**Quantity of delivery items;** for example, bulk mail sent through Ethiopian Post may be easier and quicker than delivering it yourself.

### 2.1.1 Select the quickest delivery method

There are a number of delivery services that can be used for urgent and same day deliveries as shown below;

- **Express Post**

Express Post is a service offered by Ethiopia Post that guarantee delivery to capital cities by the next business day. However, you should be aware that it generally takes two days if the recipient's address is beyond the metropolitan area. Prepaid envelopes in a range of sizes are available for flat documents as well as parcels. This service is an appropriate option for urgent deliveries.

- **DX mail**

Using the DX Mail service is an efficient way of sending and receiving mail. However, organizations have to be members of DX Mail and pay an annual membership fee to receive and send mail in this way. If your organization is a member, find out if any of your customers are fellow members because using this service may be appropriate for sending urgent mail.

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- **Courier services**

Items are usually sent by courier when they are urgent and when other mail services cannot deliver the item within the necessary time frame. Couriers may also be used when items are fragile or confidential and need to be delivered to a specific person.

**Some courier services include:**

- door-to-door service
- guaranteed one-hour service in your area for urgent documents
- same day service
- overnight express
- international service

## **2.2 Preparing items for urgent delivery**

To prepare items for urgent delivery perform the following: -

- Print addresses and names as clearly as possible. Print in capital letters and check that all adder's details are correct.
- Do not use post-office box numbers. Couriers and transport companies cannot deliver items to post-office boxes, as there is no-one to sign for the item when it is delivered.
- Make sure all consignment notes, invoices and/or address labels are stuck securely to the document or parcel.
- Make sure the address is the same on the item, the invoice and the consignment note.

### **2.2.1 Recording the dispatched items**

You must register or make a record of every document or parcel sent by a courier or transport company (similar to the ordinary outgoing mail). There may be a different mail register for urgent items sent with each separate carrier.

Always ask the appropriate person if you are unsure how to register these items. Careful registration allows you to track the movements of documents and parcels easily and quickly.

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Ethiopia Post’s packaging hints brochure contains helpful information about packaging items to ensure your documents and parcels arrive on time and intact.

Occasionally, a document or parcel may go missing. Most carriers have a free tracing service (unless the item was sent more than six months earlier). You need to contact the service and make a request for an item to be traced.

## 2.3 Collecting relevant and timely information

Relevant information may include the following:

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

## Records management

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

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

Records are visually or mechanically or electronically readable materials regardless of their physical form that are received or created in connection with the activities of individuals or organizations. Records can be either tangible objects, such as paper documents like birth certificates, driver's

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licenses, and physical medical x-rays, or digital information, such as electronic office documents, data in application databases, web site content, and electronic mail (email). of business.

Not all documents are records. A record is a document consciously retained as evidence of an action. Records management systems generally distinguish between records and non-records (convenience copies, rough drafts, duplicates), which do not need formal management.

Many systems, especially for electronic records, require documents to be formally declared as a record so they can be managed. Once declared, a record cannot be changed and can only be disposed of within the rules of the system.

Just as the records of the organization come in a variety of formats, the storage of records can vary throughout the organization. File maintenance may be carried out by the owner, designee, a records repository, or clerk. Records may be managed in a centralized location, such as a records center or repository, or the control of records may be decentralized across various departments and locations within the entity. Records may be formally and discretely identified by coding and housed in folders specifically designed for optimum protection and storage capacity, or they may be casually identified and filed with no apparent indexing. Organizations that manage records casually find it difficult to access and retrieve information when needed. The inefficiency of filing maintenance and storage systems can prove to be costly in terms of wasted space and resources expended searching for records

**Data** that is (1) accurate and timely, (2) specific and organized for a purpose, (3) presented within a context that gives it meaning and relevance, and (4) can lead to an increase in understanding and decrease in uncertainty. Information is valuable because it can affect behavior, a decision, or an outcome. For example, if a manager is told his/her company's net profit decreased in the past month, he/she may use this information as a reason to cut financial spending for the next month.

A piece of information is considered valueless if, after receiving it, things remain unchanged. For a technical definition of information

Collect information in a timely manner and ensure that it is relevant to organizational needs

## Computer Databases

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

A spreadsheet allows you to create a template that you can enter numbers in and other results can be computed. You may occasionally go back and enter new data and new results calculated.

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

### Computer Files

A **computer file** is a resource for storing information, which is available to a computer program and is usually based on some kind of durable storage.

A file is "durable" in the sense that it remains available for other programs to use after the program that created it has finished executing. Computer files can be considered as the modern counter part of paper documents which traditionally are kept in office and library files, and this is the source of the term

### Correspondences

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

## 2.4 Using basic clerical support/ technology

Technology encompasses a wide range of hardware, software and services that keep companies running and enhance operations. Technology plays into every aspect of a business, from accounting to customer communications to product design and development.

### 2.4.1 Filing Systems

computers and computer applications e.g. databases, spreadsheets, accounting packages, computer aided design (CAD) and computer aided manufacturing (CAM), multi-media packages, bar-coding

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products and scanning information directly to computer database personal schedules e.g. diary or software package Modems, Email, Internet/extranet/intranet photocopiers for record keeping

In computing, a file system (or file system) is used to control how data is stored and retrieved.

Without a file system, information placed in a storage area would be one large body of data with no way to tell where one piece of information stops and the next begins. By separating the data into individual pieces, and giving each piece a name, the information is easily separated and identified.

Taking its name from the way paper-based information systems are named, each group of data is called a "file". The structure and logic rules used to manage the groups of information and their names are called a "file system".

*Business equipment/technology* may include:

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

## 2.5 Organizational requirements in handling information

### Keeping information secure

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

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

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

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

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

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

Methods used to keep confidential or restricted files secure include:

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

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

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

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

When files are out of the filing system, they should be kept in a safe place and treated with care. Don't

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leave documents lying unprotected on your desk, especially overnight. Place them in a folder, a desk drawer or a file. Be careful not to damage or remove material from a file.

If something must be removed from a file temporarily (for example, to photocopy it) it should be recorded by using a marker, such as an out card, and returned to exactly the same place in the file

Organizational requirements in handling information may include:

- dispatching and collecting procedures
- legal and organizational policies, guidelines and requirements
- procedures for deciding which records should be captured and filed
- procedures for updating records
- security procedures

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## Self-check-2

### Part I choose the correct the answer from give alternatives.

1. Organizational requirements may not include:
  - A. security procedures
  - B. dispatching and collecting procedures
  - C. guidelines and requirements OHS policies
  - D. None
2. Methods used to keep confidential or restricted files secure include:
  - A. keeping hard-copy files locked
  - B. requiring signed authorization from a manager for access to file
  - C. using passwords to access restricted computer files
  - D. All

### Part II. Directions: Say True/False. For the following question.

1. Many organizations have no procedures to follow when sorting mail.
2. Mail marked confidential, personal or private should not be opened
3. Mail should always be forwarded to the recipient within the organizations designated time lines

### Part III. Give short answers for the following questions.

1. List the elements to be consider when sorting incoming mail
2. Write down Some courier services that deliver mail

### Unit Three:- Process workplace information

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

- Using necessary technologies equipment
- Collecting and processing information
- Updating, modifying and dispatching information

This guide will also assist you to attain the learning outcomes stated in the cover page. Specifically, upon completion of this learning guide, you will be able to:

- use necessary technologies equipment
- collect and processing information
- update, modify and dispatch information

### 3.1 Using necessary technologies equipment

Technology has forever changed the way people conduct business, especially where the flow of information is concerned. Some examples include: Internet access and web applications that allow companies to capture and share globally based information quickly and efficiently; wireless technologies that allow executives to increase communication and efficiency; and computer networking hardware that allows company based information to flow freely and efficiently

Some of the technology are the following:

#### Answering machine

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

#### Fax machine

A fax machine converts paper-based information into electronic information for transmission. It is useful for transmitting and receiving information that requires people to check data, read a report or confirm information. Staff are usually shown how to use the fax

machine during their induction session, as different organizations have different sorts of machines. Asking people to send information by fax rather than by post can save valuable time.

#### 1.3.1 Collecting and processing information

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

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

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

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- **Security/access** - files are protected with passwords for security and employees are given a level of security that enables them to access only the information which is relevant to their job.
- **Naming standards** - both paper and electronic files need to be well organized and labeled correctly and consistently so they are identifiable and easily accessed by employees.
  - Indexing is the process of deciding where the document is to be stored – the indexing unit may be the keyword, customer number, business name, individual's surname, geographic location etc.
  - Coding makes it clear where the document is to be stored – either by highlighting the keyword or the name under which it is to be filed, or writing the file number or a subject or code on the document.
- **Version control** - making sure any new or updated information is correctly identified as being the most recent by making an incremental change to its associated letter or numerical code.
- **Tracking processes** - most organizations have filing practices in place which allow the movement of files to be monitored at all times.

This could include:

**a. File movement register;** a book, binder or electronic file, recording the file name, number, date borrowed, borrower, and date returned etc. Entering details into the register allows others to know the whereabouts of the file and saves valuable time in tracking the file.

**b. File movement marker;** an „out card“ which is placed in the hard copy filing system where the file came from, or a note in an electronic system showing the borrower's details and date borrowed.

**c. Barcode borrowing system for files** (similar to borrowing a library book) or passing slips“ (similar to circulation slips or envelopes) recording the movement of files.

**d. Cross referencing** – if a file could be located in more than one location it may be necessary to cross reference, the file. A marker is inserted in the filing system in the alternate location, directing you to the actual location of the file.

Requests for information should be dealt with in accordance with the instructions received. Circulation of some materials may involve photocopying, collating (or bringing together) a variety of materials or pages of information, binding these pages together or inserting into a folder, marking the information

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as ‘confidential’ or ‘urgent’ and dispatching the information or records (e.g. internal mail, post, email) within a certain timeframe.

### 3.1.2 Updating, modifying and dispatching information

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

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

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

### Self-Check 3

#### Part I. Write true for the correct statement and false for the wrong one

1. The integrity or accuracy of information in the system needs to be maintained at all times.
2. It is not important to limiting the number of people who have authority to access sensitive, confidential or personal information.

#### Part II. Choose the correct answer from the alternatives.

1. Which one of the following is not technologies equipment?  
A. Fax machine B. Answering Machine C. Magazine D. All
2. Updating means :  
A. adding a new customer to the database,  
B. changing the answering machine message over a holiday period,  
C. altering the prices on a price list. D. ALL
3. Example of Modifying; -  
A. Changing a customer's phone number on the database,  
B. Altering the prices on a price list.  
C. Adding a new customer to the database  
D. All

#### Part III: - Answer all the questions listed below.

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

## Unit :- Four Information systems maintenance

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

- Maintaining information and filing systems
- Removing or relocating Inactive or dead files
- Establishing and assembling new files
- Updating reference and index systems

This guide will also assist you to attain the learning outcomes stated in the cover page. Specifically, upon completion of this learning guide, you will be able to:

- maintain information and filing systems
- remove or relocate Inactive or dead files
- establish and assemble new files
- update reference and index systems



#### 4.1 Maintaining information and filing systems

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

Inactive or dead files should either be destroyed or relocated to a storage area.

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

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

Good filing practices for paper-based files include

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

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

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How workplace information is stored depends on the following:

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

A large workplace area has the potential for an adequate area being available for filing cabinets or compacts units to store paper-based information, whereas a small workplace area would tend to store more information electronically or digitally.

If the organization has a large number of employees, the method of storing information would depend on how many people need access to the information and where these people were located in the workplace.

- ✓ **How work is conducted** - some business organizations are more electronically up-to-date than others and have embraced the digital age, ensuring that more information would be stored electronically rather than paper-based. If more employees operate outside of the office, electronic storage of information and digital communication would be preferred.
- ✓ **The amount of storage space available** - if storage space is limited, less paper files can be stored. Inactive or dead files would need to be identified and disposed of in a shorter period of time so storage space is used most effectively.
- ✓ **How often records need to be accessed** - those records used frequently would need to be easily accessed, so would tend to be either centrally filed if paper-based if the workplace area is relatively small or non-centrally to give access to the relevant department; or digitally filed to enable all employees access whenever necessary.
- ✓ **Security required** - confidential or sensitive paper-based information would need to be filed in a secure area, either in locked filing cabinets or a locked room that few people can access. Keys for both would be given only to those who have authority to access the information. Electronic files would require passwords to restrict access and regular backing-up of the information would be required in case of power failure or computer viruses.
- ✓ **Cost of storage equipment** - computer equipment is expensive and has to be updated and

maintained regularly whereas filing cabinets last a long time and tend to be a one-off expense.

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

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## Classification of information

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

### Alphabetical

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

- Disregard „joining“ words and titles such as “and”, “the”, “&”, “Mr”, “Sir”, “Dr”, “Miss” etc
- Hyphenated or compound names are treated as one word.  
E.g. Jones-Smith and van der Lynden are both indexed as one word.
- Initials come before names (in filing „nothing comes before something“). E.g. B Thompson would be filed ahead of Brian Thompson.
- Company names are treated in the order they are written, except if they contain a family name. E.g. Both Grace Bros and Robert E Grace & Sons are filed under „Grace“, but Robert would be filed under „Robert“.
- Abbreviations are treated as if the word was written in full. St is indexed as Saint, Ltd as Limited. This means that St and Saint entries are treated as if spelt the same way, and inter sorted. Mac and Mc are also inter sorted. E.g. J McDonald would be filed ahead of John MacDonald

### Numerical

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

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

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

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

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

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

### **Geographical**

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

### **Subject**

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

### **Key word**

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

### **Chronological**

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

## Storage of information

### Forms of paper based storage

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

### *Forms of electronic storage*

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

## New files

Steps in establishing a new file:

- identify the need to create a new file
- assign a file name or number
- prepare a hanging file or folder for paper based files or a sub directory or folder on the computer for electronic files
- enter the new file in the file register or database

- enter the file into the file index if necessary
- gather items into the filing system in correct order
- store as appropriate

## 4.2 Removing or relocating Inactive or dead files

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

### Active vs. inactive records

#### Inactive or dead files

It is necessary to identify record and store dead or inactive files in order to make way for new files. Organizations have procedures for routinely checking for dead or inactive records and transferring them from the active filing system to secondary storage at regular intervals.

Once records have been identified as no longer active:

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

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

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

### Identifying inactive records: Cut-off

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



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

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

**Removing inactive or dead files** may include:

- compressing computer files prior to archiving
- periodically archiving or deleting files
- transferring files at regular intervals or routinely checking for dead or inactive files
- transferring records from the active filing system to secondary storage

Relocation of dead or inactive files may include:

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

### 4.3 Establishing and assembling new files

#### **Vital records**

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

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

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

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

## Arrangement

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

This feature is most easily identified by determining how various types of records are requested. Features may include subject, a name associated with the record, a number which identifies the record, a title.

### Steps in establishing a new file:

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

## 4.4 Updating reference and index systems

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

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

## Self-check

### Part I. Say True or False for the following questions.

1. Organizations establish filing systems to accommodate the type of records they need to keep
2. Staff needs to know about the types of technology and equipment used in the organization and how it is used to organize information

### Part II. Choose the correct answer from the given alternatives.

1. Good filing practices for paper-based files include
  - A. setting a regular time aside for filing
  - B. removing paper clips or pins which might damage files
  - C. mending any damage before filing
  - D. All
2. Which one of the following is of electronic storage forms?
  - A. Filing cabinets
  - B. Rotary storage
  - C. Flat
  - D. Database
3. Relocation of dead or inactive files may include:
  - A. periodically archiving or deleting files
  - B. electronic storage of files (diskette, tape, CD-ROM, Zip files)
  - C. storing information, including printed and photographic
  - D. All
4. The most common types of classification for records and information are;-
  - A. Alphabetic
  - B. numeric
  - C. geographic
  - D. All

### Part III. Fill in the blank space

1. \_\_\_\_\_ used to quickly locate data without having to search every row in a database table every time.
2. \_\_\_\_\_ are recorded information, regardless of medium or format that must be protected in case of disaster.

## Unit :- Five Online environment records

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

- Classifying sentence and link records
- Assigning unique identifiers and registering records
- Determining access and security status and disposal requirements of records
- Storing records on required media
- Carrying out migration of records
- Recording archiving or disposal of records
- Maintaining records in a usable and accessible form

This guide will also assist you to attain the learning outcomes stated in the cover page.

Specifically, upon completion of this learning guide, you will be able to:

- classify sentence and link records
- assign unique identifiers and register records
- determine access and security status and disposal requirements of records
- store records on required media
- carry out migration of records
- record archiving or disposal of records
- maintain records in a usable and accessible form

## 5.1 Classifying sentence and link records

Good management of records and information is fundamental to a well-functioning organization since it supports business activity and provides a basis for efficient service delivery. It also provides the mechanism whereby both the private and public sectors can account for their decisions and actions.

Records provide evidence for the public to confirm or claim their public rights and entitlements, as well as providing individuals with evidence to justify government decisions and a mechanism whereby they can have trust in private enterprise.

### **Records management systems facilitate:**

- efficiency, by making information readily available when needed for decision-making and operational activities;
- sound use of financial resources, by allowing timely disposal of non-current records;
- accountability, by enabling the creation of a complete and authoritative record of official activities;
- compliance, by demonstrating that legal requirements have been met; and
- risk mitigation, by managing the risks associated with illegal loss or destruction of records, and from inappropriate or unauthorized access to records.

### **5.1.1 Characteristics of electronic records and electronic records management systems**

Once records have been created, they must be managed and maintained for as long as required to ensure they have the following characteristics:

- **Authenticity** – the record can be proven to be what it purports to be, to have been created or sent by the person that created or sent it, and to have been created or sent at the time it is purported to have occurred.
- **Reliability** – the record can be trusted as a full and accurate representation of the transaction(s) to which they attest, and can be depended on in the course of subsequent transactions.

- **Integrity** – the record is complete and unaltered, and protected against unauthorized alteration. This characteristic is also referred to as ‘inviolability’.
- **Usability** – the record can be located, retrieved, preserved and interpreted

Typically, electronic records management systems have the following attributes that seek to ensure these characteristics are maintained:

- **Creating records in context** – electronic records management systems enable organizations to capture evidence of their business activity
- **Managing and maintaining records** – electronic records have to be actively managed as evidence of business activity, and to maintain their authenticity, reliability, integrity and usability.
- **Maintaining records for as long as they are required** – records must be retained for a period of time that is in accordance with authorized legislative and jurisdictional requirements.
- **Records management metadata can be configured** – to be meaningful as evidence of a business process, records must be linked to the context of their creation and use.

### 5.1.2 Sentencing

Sentencing is the process of implementing appraisal decisions with respect to your organization’s identified records retention requirements. Sentencing will generally be done in accordance with a retention and disposal authority approved by NSW State Archives and Records. Sentencing entails identifying and classifying records according to a retention and disposal authority and applying the retention period and disposal action specified in the authority.

**Disposal actions are:**

- destroying records that are no longer needed
- transferring records either to NSW State Archives and Records or to another NSW public office.



Appraisal is the process of analysis and decision-making undertaken to determine what records should be created and captured about the organization's business and how long these records need to be retained. The appraisal process informs the development of requirements for systems to create, capture and manage records and the development of retention and disposal authorities.

Appraisal activities are often carried out as part of the design and implementation of recordkeeping systems, business systems and processes to ensure that recordkeeping is built into the systems.

This is increasingly important where records are either 'born digital' or digitized and need to be managed appropriately within business systems. The process of actually implementing appraisal decisions is known as sentencing and disposal.

### 5.1.3 Benefits of sentencing and routine records disposal

Sentencing your public office's records has a number of benefits.

These include:

- The disposal of digital data that would otherwise require migration and further management, saving time and expense. The notion that storage of data is cheap is now being challenged.
- Saving money by not storing paper records in offsite and onsite locations for longer than necessary
- Easier retrieval of information as records of continuing value have been identified and the rest are legally disposed of.
- By sentencing your organization's records with the approved retention and disposal authorities, and documenting the process, your public office can demonstrate that it has disposed of records legally under the State Records Act

## 5.2 Assigning unique identifiers and registering records

Identifiers are part of data infrastructure. They play an important role, helping to publish, structure and link together data. Identifiers are boundary objects, that cross communities. That means they need to be well-documented in order to be most useful. Understanding how

identifiers are created, assigned and governed can help us think through how to strengthen our data infrastructure. With that in mind, let's take a quick tour of how different communities and systems have created identifier systems to help to uniquely refer to different digital and physical objects.

The simplest way to generate identifiers is by a serial number. A steadily increasing number that is assigned to whatever you need to identify next. This is the approach used in most internal databases as well as some commonly encountered public identifiers.

Serial numbers work well when you have a single organization and/or system generating the identifiers. They're simple to implement, but can have their downsides, especially when they're shared with others.

Some serial numbering systems include built in error-checking to deal with copying errors, using a check digit. Examples include the CAS registry number for identifying chemicals, and the basic form of the ISSN for identifying academic journals.

The second way of providing unique identifiers is using a name or code. These are typically still assigned by a central authority, sometimes known as a registration agency, but they are constructed in different ways. Identifiers for geographic locations typically rely on administrative regions or other areas to help structure identifiers. For example the statistics Community in the EU created the NUTS codes to help identify country sub-divisions in statistical datasets. These are assigned based on hierarchy beginning with the country and then smaller geographic regions

Postal codes are another geographically based set of codes. Both the UK and US postal codes use a geographical hierarchy. Only here the regions are those meaningful to how the Royal Mail and USPS manages its delivery operations, rather than being administratively defined by the government

Hierarchies that are based on geography and/or organizational structures are common patterns in identifiers. Existing hierarchies provide a handy way to partition up sets of things for identification purposes.

The SWIFT code used in banking has a mixture of organizational and geographic hierarchies.

Encoding information about geography and hierarchy within codes can be useful. It can make them easier to validate.

It also means you can also manipulate them, e.g. by truncation, to find the identifiers for broader regions. But encoding lots of information in identifiers also has its downsides. The main one being dealing with changes to administrative areas that mean the hierarchy has changed. Do you reassign all the identifiers?

Assigning identifiers from a single, central authority isn't always ideal. It can add coordination overhead which can be particularly problematic if you need to assign lots of identifiers quickly. So some identifier systems look at reducing the burden on that central authority.

A solution to this is to delegate identifier assignment to other organizations. There are two ways this is done in practice.

The first is what we might call federated assignment. This is where the registration agency shares the work of assigning identifiers with other organizations'. A typical approach is to delegate the work of registration and assignment to national organizations. Although other approaches are possible.

The delegation of work might be handled entirely “behind the scenes” as an operational approach. But sometimes it ends up being a feature of the identifier system.

For example the (LEI) uses federated assignment where “Local Operating Units” do the work of assigning identifiers with. As you can see below, the identifiers for the LOUs become part of the identifiers they assign.

The International Standard Recording Code uses a similar approach with national agencies assigning identifiers.

Another approach to reducing dependence on, and coordination with a single registration agency, is to use what I'll call “local assignment “. In this approach individual organizations are empowered to assign identifiers as they need them.

A simplistic approach to local assignment is “block allocation “: handing out blocks of regenerated identifiers to organizations which can locally assign them. Blocks of IP addresses are handed out to Internet Service Providers. Similarly, blocks of UPRNs are handed out to local authorities.

Here the registration agency still generates the identifiers, but the assignment of identifier to “thing” is done locally. And, in the second case at least, a record of this assignment will still be shared with the agency.

A more common approach is to use “prefix allocation “. In this approach the registration agency assigns individual organization’s a prefix within the identifier system. The organization then generates new unique identifiers by combining their prefix with a locally generated suffix.

A suffix might be generated by adding a local serial number to the prefix. Or by some other approach. Again, after generating and assigning an identifier they are commonly still centrally registered

### **5.3 Determining access and security status and disposal requirements of records**

Security threats in records management come from all directions ranging from malware and data breaches to theft, fire, or flood, making it essential to incorporate multiple types of security in records management.

#### **Records Management Security**

Records management requires appropriate protections for both paper and electronic information.

There are three main parts to records management security—ensuring protection from physical damage, external data breaches, and internal theft or fraud.

#### **Important different security types**

Organizations face a range of security threats that come from all different angles, including:

- Employee theft and misuse of information
- Fire, flood, and other natural disasters
- Data breaches caused by viruses, Trojans, and other forms of malware

Since new digital hacking threats are also constantly emerging to target different security weak spots, it’s critical to use multiple types of security strategies with records management.

#### **Types of Security for Electronic Records**

Document management system (DMS) software and cloud storage use a range of tools and methods like access controls and encryption to protect files.

## **Document Redaction**

While in the past papers needed to be redacted before they were scanned, today documents can be redacted during the scanning process itself to obscure sensitive parts of new digital documents.

## **Access Control Lists (ACL)**

ACLs are used for limiting access to sensitive files for only those who need it. Predefined lists with authorized users can be configured while any other prying eyes are locked out.

## **File Encryption**

Many electronic document management systems incorporate encryption tools. With file encryption if for example a document is intercepted over an open network, the file will be inaccessible without the decryption key.

## **5.4 Storing records on required media**

### **Managing the records after sentencing**

In order to manage the sentenced records efficiently, plans and mechanisms should be in place for the disposal of records before sentencing begins.

### **Guidelines, policy and procedures should be in place for:**

- the transfer of records to secondary storage
- the destruction of records
- the transfer of records to NSW State Archives and Records as State archives

### **Transfer to secondary storage**

If records are required to be retained for a period of time by the public office, they may be stored on site or transferred offsite to a storage provider. If your organization has made the decision to send the records to a storage provider, please consult NSW State Archives and Records' Standard on the physical storage of State records and Guidelines on the physical storage of State records .

Digital records need to be stored in such a way that they will remain accessible and authentic for the entirety of their retention period.

### **Destruction of records**

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After sentencing, some records may need to be destroyed. Stringent procedures need to surround the destruction of records.

## **Transfer to NSW State Archives and Records**

Where records have been designated as 'required as State archives' in an approved, current retention and disposal authority and they are no longer required for business use by the public office, they may be transferred as a State archive to NSW State Archives and Records.

It should be noted that records that are more than 25 years old are regarded as no longer in use for official purposes in a public office unless the public office has made a 'still in use determination' covering them. A public office should therefore transfer records required as State archives to NSW State Archives and Records' control once they are 25 years old. The records should be transferred earlier if they cease to be in use for official purposes earlier

### **Normal Administrative Practice (NAP)**

Some records may be disposed of in accordance with Normal Administrative Practice (NAP). NAP allows you to destroy records that do not document your organization's business decisions or are not significant to your organization's activities.

NSW State Archives and Records has guidance on the types of records that can be destroyed under the NAP provisions of the Act (Normal Administrative Practice) however it should be noted that care should be taken. Public offices should develop internal policies and procedures to define and authorize what is meant by normal administrative practice for their organization and document the type of documents and records that can be appropriately disposed of by individual staff under this provision of the Act.

## **5.5. Carrying out migration of records**

Migration is a commonly used approach for preserving digital records and refreshing storage media. You may need to migrate records if you are replacing or decommissioning a recordkeeping or business system. The main types of migration are system migration, version migration, and format migration

## Data Migration

The process of transferring data from one data storage system to another and also between data formats and applications

The following are some common scenarios that require data migration:

- Replacement, upgrade, and expansion of storage systems and equipment
- Legacy software upgrade and replacement
- Firms moving from local storage system to a cloud-based system to optimize operations
- Website consolidation
- Installation of new systems to coexist and augment existing applications sharing the same dataset
- Infrastructure maintenance
- Switching to centralized databases to attain interoperability
- Consolidation of information systems
- Data center relocation

## Types of Data Migration

There are six types of data migration. A single data migration process can involve different types, including:

### 1. Storage Migration

Storage migration is where a business migrates data from one storage location to another. It means moving data from one physical medium to another. A common reason for storage migration is the upgrading of storage equipment to more sophisticated modern storage equipment. Hence, it encompasses movement from paper to digital, tapes to hard disk drives (HDD), HDD to solid-state drives, and hardware-based storage to virtual (cloud) based storage. The movement is not driven by a lack of space but rather a desire to upgrade storage technology. It normally does not alter the content or format of data.

During storage migration, certain steps such as data validation, cloning, and data cleaning and redundancy can be carried out.

## 2. Database Migration

Databases are data storage media where data is structured in an organized way. Databases are managed through database management systems (DBMS).

Hence, database migration involves moving from one DBMS to another or upgrading from the current version of a DBMS to the latest version of the same DBMS. The former is more challenging especially if the source system and the target system use different data structures.

## 3. Application Migration

Application migration occurs when an organization goes through a change in application software or changes an application vendor. This migration requires moving data from one computing environment to another. A new application platform may require radical transformation due to new application interactions after the migration.

The major challenge comes from the old and target infrastructures having distinctive data models and using different data formats.

Application programming interfaces (APIs) can be provided by vendors to protect data integrity. Vendor web interfaces may be scripted to facilitate data migration.

## 4. Cloud Migration

Cloud migration concerns the movement of data or applications from an on-premises location to the cloud or from one cloud environment to another. It is, in essence, a specific storage migration. IT experts continue to witness an increase in cloud migration and forecast that the majority of major corporations will be operating on the cloud before the end of the decade ending 2030.

## Business Process Migration

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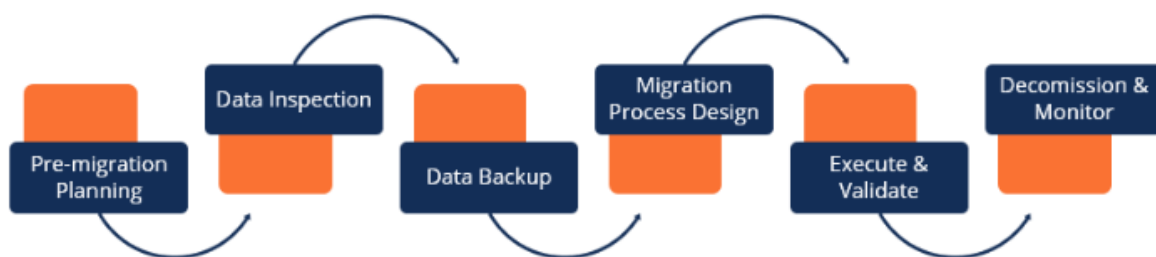
Business process migration requires the movement of business applications and data on business processes and metrics to a new environment. The metrics can include customer, product, and operational information. The migration is commonly instigated by business optimization and reorganization and mergers and acquisitions (M&A). Such business combinations are necessitated by the need to enter new markets and remain competitive.

## 5. Data Center Migration

Data center migration relates to the migration of data center infrastructure to a new physical location or the movement of data from the old data center infrastructure to new infrastructure equipment at the same physical location. A data center houses the data storage infrastructure, which maintains the organization's critical applications. It consists of servers, network routers, switches, computers, storage devices, and related data equipment.

### Data Migration Process

The data migration process should be well planned, seamless, and efficient to ensure it does not go over budget or result in a protracted process. It involves the following steps in the planning, migration, and post-migration phases:



**Figure 5.1 Data migration process**

The data migration process can also follow the ETL process:

- Extraction of data
- Transformation of data

- Loading data

ETL tools can manage the complexities of the data migration process from processing huge datasets, profiling, and integration of multiple application platforms.

## 5.6 Recording archiving or disposal of records

A **retention and disposal authority** is a formal instrument that identifies the records which an organization creates and maintains, and for how long they should be kept to meet regulatory, business and community requirements. A retention and disposal authority also identifies whether records should eventually be destroyed or retained as State archives. You cannot sentence without the right retention and disposal authorities. A disposal authority will have a statement defining the scope of the authority on the disposal authorization page.

**When sentencing records always:**

- Read the introduction to the authority and any associated guidelines for specific advice and guidance on the application and implementation of the authority
- Be aware that some authorities only cover records for specific periods
- Be aware that some authorities are only approved for use by specific public sector agencies or jurisdictions, for example the general authorities for universities, the public health sector and local government.

The disposal authority to be used must be currently authorized by NSW State Archives and Records. If your public office does not have a functional retention and disposal authority or is using an authority approved over 10 years ago, please contact NSW State Archives and Records.

NSW State Archives and Records may not accept the transfer of State archives under an authority approved more than 10 years ago

## 5.7 Maintaining records in a usable and accessible form

To maintain easy accessibility and facilitate the retrieval of digital records, it is important that digital records are sentenced routinely and disposal is implemented. This will prevent an accumulation of digital records that are no longer required for business cluttering the system. A cluttered system can also make the maintenance of hybrid files difficult.

It is also vitally important to keep accurate metadata on any digital files that the public office may control as well as the contents of the file in an EDRMS / recordkeeping system. Recordkeeping metadata helps to keep the records more accessible, easier to retrieve and better understood within the broader context of the business they document. By having correct metadata controls, records can be more accurately sentenced and disposed of.

## Self-check 5

### Part I True or False

1. It important accumulation of digital records that are no longer required for business cluttering the system
2. Database migration involves moving from one DBMS to another or upgrading from the current version of a DBMS to the latest version of the same DBMS.

### Part II Multiple Choice Questions

Choose the correct answer among the give alternatives.

1. \_\_\_\_\_ is a formal instrument that identifies the records which an organization creates and maintains, and for how long they should be kept to meet regulatory, business and community requirements.
  - A. A retention and disposal authority
  - B. ETL
  - C. Normal Administrative Practice(NAP)
  - D. A & C
2. \_\_\_\_\_tools can manage the complexities of the data migration process from processing huge datasets, profiling, and integration of multiple application platforms
  - A. ETL
  - B. A retention and disposal authority
  - C. Normal Administrative Practice (NAP)
  - D. All
3. Which one of the following part of data infrastructure?
  - A. Identifiers
  - B. ETE
  - C. Security
  - D. All
4. occurs when an organization goes through a change in application software or changes an application vendor.
  - A. Cloud migration
  - B. Application migration
  - C. Data center migration
  - D. Database migration

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