

# Human Resource Management

## Level - II

Based on March, 2022 (V-II) Curriculum Version I



**Module Title: - Organize Office Records**

**Module code: LSA HRM2 M03 1122**

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## Acronym

<b>CE</b>	<b>Communication Endpoint</b>
<b>CSR</b>	<b>Customer Service Record</b>
<b>CUETA</b>	<b>Connecticut Uniform Electronic Transactions Act</b>
<b>ER</b>	<b>Equipment Record</b>
<b>HR</b>	<b>Human Resource</b>
<b>HRM</b>	<b>Human Resource Management</b>

## Introduction of the module

Organize Office Records is one of the activities that practice by individuals or groups. A number of information are takes place in a single organization that activity should be records and organize in appropriate way and system.

This module designed to meet outcomes, skills, knowledge and monitors the quality of work operations within an enterprise, supervise the Identification of types of information and commonly created office records, monitor records management life cycle, Ensure records keeping activities, Organize filing procedures

### This module covers the units

- Types of information and commonly created office records
- Records management life cycle
- Records keeping activities
- Filing procedures

### Learning Objective of the Module

At the end of this session, the trainees will able to;

- Supervise the Identification of types of information and commonly created office records
- Monitor records management life cycle
- Ensure records keeping activities
- Organize filing procedures

### 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. Perform Operation Sheets which were provided at the end of units
4. Read the identified reference book for Examples and exercise

## Unit One: Supervise the Identification of types of information and commonly created office records

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

- Sources of Information
- Collecting and recording information
- Collating and analyzing information
- Recording forms/reports in the correct format
- Identifying and using Communication link
- Receiving relevance information
- Disposing irrelevant 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:

- Identify source of information
- Understand Collecting and recording information
- Identify Collating and analyzing Information
- Recording forms in the correct format
- Identifying and using Communication link
- Receiving relevance information



## 1.1 Sources of Information

### 1.1.1 What is information?

Attempts to answer the question ‘What is information?’ have, not surprisingly, occupied the thoughts of information scientists for a long time: almost certainly since before the term ‘information science’ was coined in 1955. The lay person, asked to define information, is most likely to regard it as: An item of information or intelligence; a fact or circumstance of which one is told. This is just one of the many dictionary definitions of the word. A summary of the concepts they consider is given below.

- Information as a representation of knowledge Information is stored knowledge. Traditionally the storage medium has been books, but increasingly electronic media are becoming important.
- Information as data in the environment information can be obtained from a range of environmental stimuli and phenomena; not all of which are intended to ‘convey’ a message, but which can be informative when appropriately interpreted.
- Information as part of the communication process meanings are in people rather than in words or data. Timing and social factors play a significant role in the processing and interpretation of information.
- Information as a resource or commodity information is transmitted in a message from sender to receiver. The receiver interprets the message as intended by the sender. There may be added value as the information is disseminated or exchanged.

**Information** is collected and recorded in accordance with organizational policy and procedures.

### 1.1.2 Types of Information

Knowing what type of information you need will help you decide which sources to use.

There are four types of information:

**Factual**

Factual information is information that solely deals with facts. It is short and non-explanatory. The best place to find factual information is in reference books such as encyclopedias and almanacs. You can also find it in governmental statistics such as the U.S. Census.

**Example:** Mount Magazine is the highest point in Arkansas.

### Analytical

Analytical information is the interpretation of factual information. What does the factual information mean? What does it imply? This is the type of information that researchers generate in their studies. Analytical information is mostly found in books and journals.

**Example:** Based on crash statistics, Arkansas State Police designated the road as dangerous.

### Subjective

Subjective information is information from only one point of view. Opinions are subjective. You can find subjective information almost anywhere factual information isn't. It is in books, journals, websites and book reviews.

**Example:** I hate Arkansas' hot, humid summers!

### Objective

Objective information is information that is understood from multiple viewpoints and presents all sides of an argument. Reference books are a good place to find objective information. Newspapers that have balanced and fair reporting are also objective. Opposing Viewpoints and Facts on File are both great objective databases.

#### 1.1.3 Source of Information

It is important to know what kinds of resources exist; otherwise you may not know to look for certain kinds during your research. All information resources can be classified into three categories: primary, secondary, and tertiary.

### Primary Resources

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Is an original object or document - the raw material or first-hand information, source material that is closest to what is being studied

Examples: literature, poems, speeches, letters, memos, personal narratives, diaries, interviews, autobiographies, theses, dissertations, scholarly journal articles (research based), some government reports, and symposia and conference proceedings

### Secondary Resources

Work that analyzes, summarizes, interprets, reorganizes, or otherwise provides an added value to a primary source.

Examples: books and articles that interpret or review research works, histories, biographies, literary criticism and interpretation, reviews of law and legislation, political analyses and commentaries, textbooks (may also be tertiary), edited works, dictionaries/encyclopedias (more often tertiary), and bibliographies (more often tertiary).

### Tertiary Resources

Source that indexes, organizes, compiles, or digests other sources.

Examples: dictionaries/encyclopedias (may also be secondary), almanacs, fact books, bibliographies (may also be secondary), directories, guidebooks, manuals, handbooks, and textbooks (may be secondary), indexing and abstracting sources.

### The general sources of information

- Employees
- Administrators and leaders
- Accident/incident scenes
- Customers or clients

- General public
- Individuals
- Information databases
- Local government
- Local media
- Schools
- Specific target groups - in the case of opinion polls and surveys

## 1. 2 Collecting and recording information

**Information** is collected and recorded in accordance with organizational policy and procedures some of the organizational information is including;

- organizational procedures
- addressing public order/general community issues
- assisting in an investigation
- details of an incident or interventions
- locating a specific person
- location of customers and visitors
- opinion poll or customer survey
- progressing/supporting court hearings/matters

### Data Collection Methods Used in Business Analytics

- Surveys. Surveys are physical or digital questionnaires that gather both qualitative and quantitative data from subjects.
- Transactional Tracking.
- Interviews and Focus Groups.
- Observation.
- Online Tracking.
- Forms.
- Social Media Monitoring.

Recording information means the information added to a document at the time such document is recorded, including but not limited to, the date and time of receipt of such document for recording, the name and municipality of the recording officer, and the book and page of such document or other suitable indication of its location.

Contents of recording forms/reports are ensured to be complete, accurate, concise, legible, understandable and in the correct format.

Recording is to write (something) down so that it can be used or seen again in the future; to produce a record of (something).

Reporting: It is oral, written or computer based communication intended to convey information

- Communication links are identified and used within the organization to exchange information

### 1.3.1 Collating Information

#### Collate information

Collation includes gathering, arranging, and annotating related information; drawing tentative conclusions about the relationship of "facts" to each other and their significance; evaluating the accuracy and reliability of each item; grouping items into logical categories; critically examining the information source.

Collate record and analyze information accurately to produce justifiable results. Verify the analysis using accepted and valid techniques. Select type and range of data to be collected in line with research plan, including primary and secondary sources.

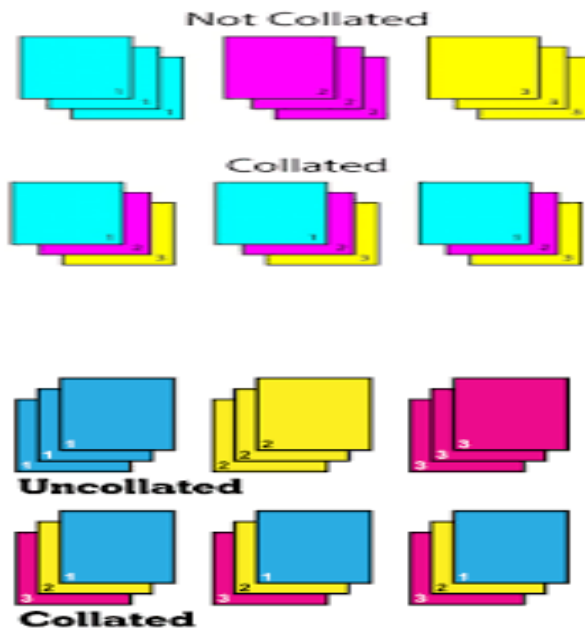


Figure 1. 3 Sample of collated and uncollected data

### 1.3.2. Analyzing Information

Information analysis is the process of inspecting, transforming, and modeling information, by converting raw data into actionable knowledge, in support of the decision-making process.

#### Importance of data analyzed

Data Analysis is essential as it helps businesses understand their customers better, improves sales, improves customer targeting, reduces costs, and allows for the creation of better problem-solving strategies.

#### A step-by-step guide to the data analysis process

- Defining the question.

- Collecting the data.
- Cleaning the data.
- Analyzing the data.
- Sharing your results.
- Embracing failure.
- Summary.

## 1.4 Recording forms/reports in the correct format

One of the key activities performed on information is data collection. Users can add Records to a form. The correct permission levels must have been set for each user according to the intention of the administrator of the database.

### Records format

A recording format is a format for encoding data for storage on storage medium. The format can be container information such as sectors on a disk, or user/audience information (content) such as analog stereo audio.

Record form means inscribed on a tangible medium or stored in an electronic or other medium and retrievable in perceivable form.

Industrial Problems & Solutions		HUMAN RESOURCES FORMAT				FORMAT NO. ....	
EMPLOYEE RECORD SHEET							
Name of Employee :		Department :					
Date of Joining :		Date of Birth :-					
Educational Qualification.		Professional Qualification.:					
Work Experience before Joining :							
Sr. No.	Date	Training Programme	Name of Faculty / Institute	Venue	Duration		Total Training Hrs.
					From	To	

Table1.1 Sample of employee record form

## 1.4.1 Types of Records

### I. Administrative Records

Records which pertain to the origin, development, activities, and accomplishments of the agency. These generally fall into two categories: Policy records and operational records.

#### A. Policy Records:

Records that relate to the organization such as plans, methods, techniques, or rules which the organization has adopted to carry out its responsibilities and functions. These include three basic categories.

1. **Organizational Documents:** budgets and budget planning records, fiscal records, organizational and functional charts.
2. **Governing Documents:** manuals, directives, orders, and interpretations issued from top authority levels, correspondence files of high-level officials, regulations, circulars,



instructions, memoranda or regular issuances that establish a course of action, and staff studies or special reports relating to methods of workloads and performances.

3. **Reporting Documents:** annual reports, periodic progress or summary reports, special reports or accomplishment, transcripts of hearings, minutes of meetings and conferences, and agency histories.

#### **B. Operational Records:**

Records necessary to implement administrative policies, procedures, and operations. The operational value is the usefulness of a record in the conduct of an organization's business. Examples include mandates, procedural records, or records that give direction.

### **II. Legal Records**

Records of legal value include those with evidence of legally enforceable rights or obligations of the State. These may include:

1. Records relating to property rights: land, probate, contracts, agreements, leases, licenses.
2. Records relating to citizenship rights: vital statistics, such as birth, death, marriage, some legal proceedings, and criminal cases.
3. Records relating to employment: veterans' records involving legal rights attached to employment, basic state personnel records, and, in some cases, payroll records.
4. Records containing information required to protect the State against claims or to enforce statutes: executive orders, rules, regulations, and records to establish or support judicial opinions and interpretations.

### **III. Fiscal Records**

Records that have fiscal value relate to an agency's financial transactions. These may be budgets, payrolls, vouchers, and accounting records. After records have served their primary administrative purpose, it may be necessary to preserve them to document the expenditure of public monies and to account for them for audit purposes and requirements.

### **IV. Historical Records**

Records worthy of permanent preservation for reference and research purposes are selected for deposit in the state Archives at the Connecticut State Library. These records are retained for many uses. Public officials use archival records to protect the government, to give consistency and continuity to their actions, to prevent duplication of efforts, and to find successful ways for

solving recurrent problems. Records are also kept to protect citizens' legal rights and for research in many fields to advance general knowledge and understanding.

## V. Research Records

Records used in scholarly studies and investigations. Researchers want to extend human knowledge using basic historical evidence. These records may include important information on individuals, corporate bodies including their problems and conditions, and significant historical events. Researchers may include case files and correspondence of a regulative and quasi-judicial nature, statistical and other data on economic development, population changes, and/or major movements in our society. Many of these records have informational, administrative, and archival value.

## VI. Electronic Records

The Connecticut Uniform Electronic Transactions act (CUETA) defines an electronic record as "a record created, generated, sent, communicated, received or stored by electronic means, including, but not limited to, facsimiles, electronic mail, telexes and internet messaging.

Electronic messages sent or received in the conduct of public business are public records.

### Record Formats in the organization includes;

- Hand written and electronically based reporting styles
- Use of organization's information system
- Employee log books
- Letters, plans and reports

## 1.5 Identifying and using Communication link

### 1.5.1 Communication links

Communication link means a connection between a hypertext and graphical element, and one or more items in the same or different electronic document wherein upon clicking on a hyperlinked item, the user is automatically transferred to the other end of the hyperlink which can be another electronic record or another website or application or graphical element.

In a telecommunications network, a link is a communication channel that connects two or more devices for the purpose of data transmission. The link may be a dedicated physical link or a virtual circuit that uses one or more physical links or shares a physical link with other telecommunications links.

A communications link is the communications channel that connects two or more communicating devices. This link may be an actual physical link or it may be a logical link that uses one or more actual physical links.

### 1.5.2 Types of communication links

**Point-to-point:-** A point-to-point link is a dedicated link that connects exactly two communication facilities (e.g., two nodes of a network, an intercom station at an entryway with a single internal intercom station, a radio path between two points, etc.)

**Broadcast:-** Broadcast links connect two or more nodes and support broadcast transmission, where one node can transmit so that all other nodes can receive the same transmission. Classic Ethernet is an example

**Multipoint:-** multipoint link is a link that connects two or more nodes. Also known as general topology networks, these include ATM and Frame Relay links,

**Point-to-multipoint:-** A point-to-multipoint link (or simply a *multipoint*) is a specific type of multipoint link which consists of a central connection endpoint (CE) that is connected to multiple peripheral CEs. Any transmission of data that originates from the central CE is received by all of the peripheral CEs while any transmission of data that originates from any of the peripheral CEs is only received by the central CE.

#### Private and public:- other types of links

- Private and public:- A private link is a link that is either owned by a specific entity or a link that is only accessible by a specific entity.
- A public link is a link that uses the public switched telephone network or other public utility or entity to provide the link and which may also be accessible by anyone

#### Direction of links

**Uplink:-** An uplink is that part of the communication link where signals from an earth terminal are sent to a satellite or some other type of airborne platform, hence the "up" portion of the term

**Downlink:-** used in radio communications and satellite communications to denote the link from the network to the end user or from the satellite to the earth. It is a telecommunications link for signals coming to the earth from a satellite, spacecraft, or aircraft.

**Forward link:-** The transmission from a base station to a mobile phone. The reverse link is from the mobile phone to the base station.

**Reverse link:-** (sometimes called a return link) is the link from a mobile user to a fixed base station.

## 1.6 Receiving relevance information

### Relevant information

Relevant information is data that can be applied to solve a problem. This is a particular issue when determining the format and content of an entity's financial statements, since the proper layout and level of detail of information can adjust the opinions of users regarding the future direction of a business.

Evaluating information encourages you to think critically about the reliability, validity, accuracy, authority, timeliness, point of view or bias of information sources.

Sources to identify relevant information

- Census data.
- Institutional records.
- Private correspondence.
- Oral testimony.
- Research diary.
- Original datasets
- Reports.
- Dissertations.

### Assess relevance of information

**Accuracy:** The reliability, truthfulness, and correctness of the content.

- Where does the information come from?
- Are there other sources that verify the information? Is it supported by evidence?
- Has the information been reviewed or refereed?
- Does the language or tone seem unbiased and free of emotion?

**Comment [p1]:** see it again  
please revise it

**Comment [p2]:** what do u mean?

## 1.7 Dispose irrelevant information

### Data disposal policy

Data destruction policies can be implemented by destroying or overwriting all devices and media no longer used by an organization. A company should ensure that each employee is educated on the company's data destruction policy.

### Relevant data

If you say that something is irrelevant, you mean that it is not important to or not connected with the present situation or discussion.

Sometime, a problem may contain information which is either not needed at all to solve the problem, or needed but only if the problem is to be solved in the slowest of ways. Regardless of the case, irrelevant information can be misleading and confusing. If we are able to identify it when choosing a solution strategy, we are one step closer to getting the problem right.

## Self-check-1

### Test-I Multiple Choose

**Instruction: select the correct answer for the given choice.**

1. Which one of the following is source of information?
  - A. Employees
  - B. Administrators and leaders
  - C. Customers or clients
  - D. General public
  - E. All of them are answer
2. Which one of the following exclude in types of information?
  - A. Subjective
  - B. Analytical
  - C. Objective
  - D. Factual
  - E. None of them are answer
3. Which one of the following correct of information?
  - A. Information as a representation of knowledge Information is stored knowledge
  - B. Information as a resource or commodity information is transmitted in a message from sender to receiver.
  - C. Information as part of the communication process meanings are in people rather than in words or data
  - D. Collected and recorded in accordance with organizational policy and procedures
  - E. All of them are answer
4. Which one of the following possible to identify relevant information?
  - A. Census data
  - B. Corrupted documents
  - C. Institutional records.
  - D. Private correspondence
5. What is assessing the information in case of correctives?
  - A. Accuracy
  - B. Timeliness
  - C. Content
  - D. Truthfulness

### Test-II Matching

**Instruction: Match the correct answer from B column to A column.**

“A”

1. Primary data
2. Secondary data
3. Communication link
4. Types records
5. Data collection method

“B”

- A. Policy records
- B. Speeches, letters
- C. Observation and forms
- D. Summarize and letters
- E. Mixed type of data
- F. Broadcast

### Test-III

**Give short answer for the following questions.**

1. How to disposing irrelevant data.
2. Discuss about record formats in the organization.
3. Discuss about data analyzes mechanism.
4. Discuss about communication link.

## Unit Two: Records management life cycle

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

- **Record life cycle procedural management**
- **Understand organizational rules and regulations**
- **Make and mark office records**

Disposing irrelevant 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:

- **Elaborate records life cycle; from creation to disposal for procedural records management**
- **Understood organizational rules and regulations to transfer records from one cycle to the next**
- **Make identification and markings on office records**



## 2.1 Recording life cycle procedural management

### Record life cycle

A record life cycle refers to how long a record is kept, what actions should be taken (if any) as the record progresses through various stages of retention, and what is done with the record when reaches the end of its life cycle.

A basic concept in Records Management is the records life cycle. The life of a record goes through phases starting from when it is created or received by the Agency, through to its use, maintenance and temporary storage before finally being destroyed or archived permanently.

#### 2.1.1 Stages of record life cycle

**Creation:** The first phase of the records life cycle involves records being created, collected or received through the daily transactions of the Business Unit, School, Preschool or Regional Office and can include printed reports, emails or even phone messages, documents that detail the functions, policies, decisions or procedures of the agency.

**Maintenance and use:** The next phase of the life cycle is the maintenance and use of the record. This can include filing, retrieving, use, duplication, printing, dissemination, release or exchange of the information in the record.

**Disposition:** At the disposition phase records are assessed to determine their retention value using general disposal schedules or Records Disposal Schedules. This leads to either the preservation or destruction of the record.

**Preservation:** When a record has been determined to be of permanent value to the Agency and/or Community then it is transferred to State Records of South Australia for permanent archiving and preservation.

**Temporary Storage & Destruction:** If a record still has ongoing value to the Agency it will be temporarily stored either onsite at the agency or offsite with an approved service provider such as recall. When the retention date of these records is reached, permission will be sought from the agency and State Records for their destruction.

# Records Management Life Cycle Including Storage

This slide is 100% editable. Adapt it to your needs and capture your audience's attention.

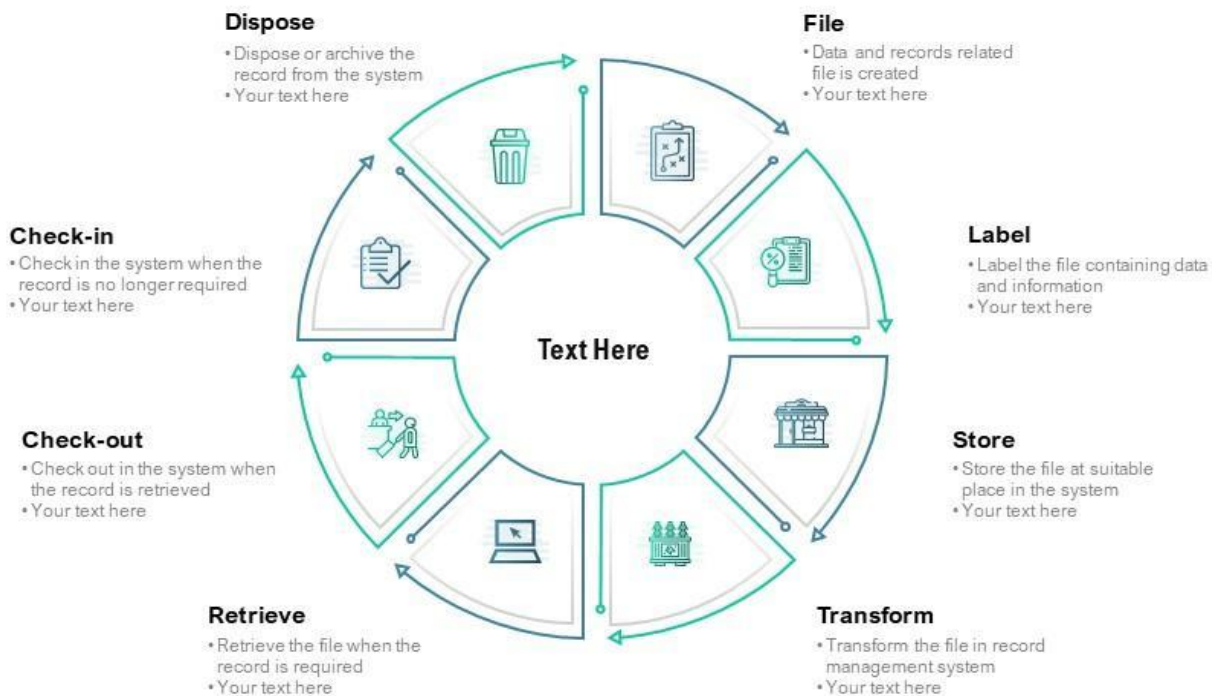


Figure:- 2.1 Disposal life cycle of record

### 2.1.2 Types of Records

The following sections will provide general guidance on the disposition of 4 types of records:

- Temporary records.
- Permanent records.
- Unscheduled records.
- Records on legal hold.

Records include books, letters, documents, printouts, photographs, film, tape, microfiche, microfilm, Photostats, sound recordings, maps, drawings, and a voice, data, or video representation held in computer memory.” Records are retained for administrative, financial, historical, or legal reason.

## 2.2 Understand organizational rules and regulations

Organizational Regulations means the organizational regulations of the Company as in effect upon the Closing Date and attached hereto as exhibit and as amended from time to time in accordance with the Articles and this Agreement.

Regulations and rules are pretty close to the same thing. A regulation is a bit more formal than a rule – it prescribes the required conduct or action exactly; Rules are also binding, but, by contrast, describe what is generally considered to be the proper course of conducted.

### 2.2.1 Benefits of Rules and Regulations

Following rules and regulations help employees understand what is expected of them and what will happen if they violate the rules. It makes for a stable office environment where people feel safe to come to work, to be themselves and to go about their business

In the most basic sense, the benefits of rules and regulations in business are that they protect the company. By protecting employees, you protect the company from lawsuits. Following rules and regulations help employees understand what is expected of them and what will happen if they violate the rules. It makes for a stable office environment where people feel safe to come to work, to be themselves and to go about their business. The result is less turnover, more teamwork and higher company morale.

For the company, bottom line is profit. It costs money to recruit and onboard new people. Lack of innovation or inefficiency results in slower production times, thus lower revenues. Company morale has a direct effect on employee performance, as well. Happier employees don't call in sick as frequently or come in late. People who feel safe at work will speak with co-workers to resolve problems faster and more effectively. So, by having everyone follow properly communicated rules and regulations, the team does better; thus, the company makes more money.

### 2.3 Making and marking office records

The mark on a record is temporary, and disappears when the current session ends. The Mark method is valid for the specific record instance/variable, and not shared between all variables of the same record type in a session.

You can use the marked only (Record) Method to activate a special filter where your view of the table includes only records marked by the Mark (Record) method.

### Self-check-1

#### Test I. True false items

Write true for the correct answer and false for incorrect answer.

1. A regulation is a bit more formal than a rule – it prescribes the required conduct or action exactly.
2. A record life cycle refers to how long a record is kept.
3. Creation the last phase of the records life cycle involves records being created, collected or received through the daily transactions of the Business.
4. Records are no more important for office.

#### Test-II Matching

Instruction: Match the correct answer from “B” column to “A” column.

##### “A”

1. Maintenance and use
2. Creation
3. Preservation
4. Temporary storage and destruction
5. Disposition

##### “B”

- A. Action to preserve the data
- B. The act of dispose
- C. filing, retrieving, use
- D. Types of recording
- E. The first phase of record life cycle
- F. recording of data onsite and out site

#### Test-III

Give short answer for the following questions.

1. List and discuss types of record.
2. Discuss about record life cycle.
3. Discuss about benefits of record rules and regulations
4. Show the procedure of record life cycle.

### Unit Three: - Records keeping activities

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

- Prepare records keeping equipment
- Proper filing procedures
- Saving and securing work spaces recording.

Disposing irrelevant 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:

- Identify and prepare records keeping equipment and supplies according to existing standards
- Determine proper filing procedures
- Ensure safe and secure recording work spaces

#### 3.1 Preparing records keeping equipment

### 3.1.1 Record Equipment

Recording equipment means any device used for the purpose of recording whether it be analogue, digital or other means of recording, including but not being limited to computers, cell phones, voice recorders and cameras.

An Equipment Record (ER) similar to a Customer Service Record (CSR) that's available in domestic porting. It's a document that holds all the information needed to get a port submitted and confirmed cleanly.

**The following equipment's are used to record keeping:**

- File cabinets
- Shelves
- Scissors
- Computers and its supplements such as printers, scanners, digitizers, etc.
- Audio-tape recorders
- Authorization, storage and filing of tapes/film, original and duplicates
- Basic fingerprinting equipment
- Video cameras and recording equipment be modified for use by people with a disability

### Equipment's need to supplies to preparing record

'Supply' is the flow of resources used to satisfy a demand, such as materials, labor, information and skills – from a supplier to a user or consumer. Equipment supply – for instance business sense – is the flow of equipment from a supplier aim of facilitating the work process; Examples , folders, Markers, ink, all types of paper, log books, stamps etc.

## 3.2 Determining proper filing procedures

Filing means keeping documents in a safe place and being able to find them easily and quickly.

### 3.2.1 Importance of filing

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Put simply, an effective filing system protects documents from possible loss or damage. In physical terms this means folders for separation and adequate filing cabinet infrastructure. Digitally this means backed up storage that is adequate in size for the files in question.

The purpose of filing is to locate filed documents easily. They are readily available for use as and when needed. Documents are needed for reference purposes. They are also needed to provide legal evidence in case of disputes.

### 3.2.2 Filing Procedures

There are 5 methods of filing:

- Filing by Subject/Category.
- Filing in Alphabetical order.
- Filing by Numbers/Numerical order.
- Filing by Places/Geographical order.
- Filing by Dates/Chronological order.

### 3.2.3 Effective File Management

The following are effective file management

- Avoid saving unnecessary documents.
- Follow a consistent method for naming your files and folders.
- Store related documents together, whatever their type.
- Separate ongoing work from completed work.
- Avoid overfilling folders.
- Organize documents by date.
- Make digital copies of paper documents.

## 3.3 Saving and securing work spaces recording.

**Store confidential information safely**



Perhaps the most important aspect of a protection management programmed is to securely store trade secrets in places where access is allowed under authorization, such as archives, safes or other appropriate locked room's only personnel needing to know it should have access to the information.

Electronically stored information should be technologically protected. At least two security measures should be executed: Use of passwords to access the system, and regular change of passwords

### **Importance of saving records**

The following are importance of saving records:

- Avoid saving unnecessary documents.
- Follow a consistent method for naming your files and folders.
- Store related documents together, whatever their type.
- Separate ongoing work from completed work.
- Avoid overfilling folders.
- Organize documents by date.
- Make digital copies of paper documents.

### **Steps You Can Take to Secure Records at Your Company**

- 1) Lock everything down.
- 2) Install fire and security alarms.
- 3) Limit access to your critical records.
- 4) Label all records, files and cabinets appropriately.
- 5) Conduct regular audits.
- 6) Destroy your records securely and document when you do.

### **Importance to store written records in a safe and secure location**

This generally ensures records can be recovered if something unexpected happens, for example, theft, flood or fire. Reconstructing business and tax records can be time consuming and costly. To minimize the risk of damage or loss: store your business records securely and safe from theft, fire or flood damage.

### **Importance of records security**



Protecting business records ensures the information they contain is available any time it is needed, and also speeds recovery from an unplanned disruption.

### Self-check-1

**Test I.** true false items

**Write true for the correct answer and false for incorrect answer**

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1. Protecting business records ensures the information they contain is available any time it is needed, and also speeds recovery from an unplanned disruption.
2. The purpose of filing is to unallocated filed documents easily.
3. File cabinet and shelves are used to record keeping.

#### Test-II Multiple Choose

##### 1. Which one of the following including in effective file management?

- A. Follow a consistent method for naming your files and folders.
- B. Store related documents together, whatever their type.
- C. Separate ongoing work from completed work.
- D. Avoid overfilling folders.
- E. All are answers

##### 2. Which one of the following equipment's is used to record keeping?

- A. Computers and its supplements such as printers, scanners, digitizers,
- B. Authorization, storage and filing of tapes/film, original and duplicates
- C. Basic fingerprinting equipment
- D. Video cameras and recording equipment be modified for use by people with a disability.
- E. All are answers

##### 3. Which one of the following correct about saving records?

- A. Avoid saving unnecessary documents.
- B. Follow a consistent method for naming your files and folders.
- C. Store related documents together, whatever their type.
- D. Separate ongoing work from completed work.
- E. All

#### Test-III

##### Give short answer for the following questions

1. List and discuss about filing procedures.

2. How ensure records are secure?
3. How to Store confidential information safely?
4. What are equipment records?

## Unit Four: - Filing procedures

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

- **Filing techniques**
- **Types of filing techniques.**

Disposing irrelevant 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:

- **Elaborate alphabetic, numeric, alpha-numeric, geographic, subject, mixed, etc. filing techniques.**
- **Apply different types of filing techniques**

### 4.1 Filing techniques

Filing is the act of arranging some important documents in a readable and organized manner so that they can be referred to quickly and located in a short span of time without a lot of searching.

The following are different types of filing techniques.

- Filing by Subject/Category.
- Filing in Alphabetical order.
- Filing by Numbers/Numerical order.
- Filing by Places/Geographical order.
- Filing by Dates/Chronological order.

**Subject/category filing:-** is a variation of alphabetic filing, which is the arrangement of records by topics or categories rather than by person or business names. Numeric filing systems arrange records by number. It is an indirect access system because an index to the files must be used to retrieve information.

In a subject classification, all letters and documents relating to a subject are arranged in the same file. A separate file is maintained for each subject. The files can also be arranged alphabetically. For example, Accounts, Audit, Bonus, Customers, and the like.

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

**Alphabetical filing:-** is a method in which files and folders are arranged in order of alphabets of the names of person or institution concerned with such file. It may be done using either the first names or surnames, but whichever is chosen must be consistent throughout the particular filing system.

**Alphabetic** systems are the most natural and common method of arranging files. However, even the simplest alphabetic system requires establishing, filing standards, including written filing procedures, cross-reference methods, and practices for filing duplicate name changes, etc.

Alphabetic filing is a fundamental way to organize documents that allows you to quickly store, access, and manage your personal and business files. By implementing alphabetical filing in your life, you will ensure all documents are protected and readily available. There are many rules on how to file alphabetically in English to preserve a sensible filing system. Luckily, it's simple to get started with new documents and still is not a difficult change to make if you need to reorganize.

**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-Smythe 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.
- 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.
- Example of alphabetical filing order of the modern ISO basic Latin alphabet is: A-B-C-D-E-F-G-H-I-J-K-L-M-N-O-P-Q-R-S-T-U-V-W-X-Y-Z. An example of straightforward alphabetical ordering follows: **As; Aster; Astrolabe; Astronomy; Astrophysics; At; Ataman; Attack; Baa**

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

### 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.

### 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.

### 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

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

### A. Forms of paper based storage

Filing cabinets	3-drawer, 4-drawer, 2-drawer
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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.

#### B. 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

### Self-check-1

#### Test I. True false question.

Write true for the correct answer and false for incorrect answer

2. Chronological filing is used in conjunction with other filing methods and involves sorting records according to their date.
3. A-B-C-D-E-F-G-H is the example of numeric filing order.
4. Category filing is a variation of alphabetic filing, which is the arrangement of records by topics or categories rather than by person or business names

#### Test II. Matching

Instruction: Match the correct answer from “B” column to “A” column.

##### “A”

1. Paper based storage
2. Electronic storage
3. Numerical filing order
4. Geographical filing order
5. Subject/category filing

##### “B”

- A. Index accordingly location
- B. Arrange record by number
- C. Filing cabinet
- D. Arrangement of records by topics
- E. Computer file
- F. Arrangement of alphabet

#### Test-III Give short answer for the following questions

1. What is filing system?
2. Define subject/category filing order.
3. Define alphabetical filing order.
4. Define numbers/numerical filing order.
5. Define places/geographical filing order.
6. Define dates/chronological order.

### Operational sheet 1

- **Operation title:** Record and filing
- **Purpose:** To practice and demonstrate the knowledge and skill required in record and filing employees of the organization
- **Instruction:** Use the given table below for this operation you have given 1day and you are expected to provide the answer on the given table sample.
- **Tools and requirement:**
  1. Paper
  2. Ruler,
  3. Pen
- **Precautions:** Prepare first draft before you fill on the last format
- **Procedures in doing the task**  
Write name of the employee, sex, age, educational level, marital status, work experience, department and position.

### Recording sheet

No	Name	sex	age	Educational level	Marital status	Work experience	Department	Position	Remark

**Comment [p3]:** use the appropriate operation sheet format. And try to make the operation more complex or add additional operation sheet.

## Reference

1. <https://library.adhl.africa/bitstream/handle/123456789/2145/module1.pdf?sequence=5&isAllowed=y>
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