

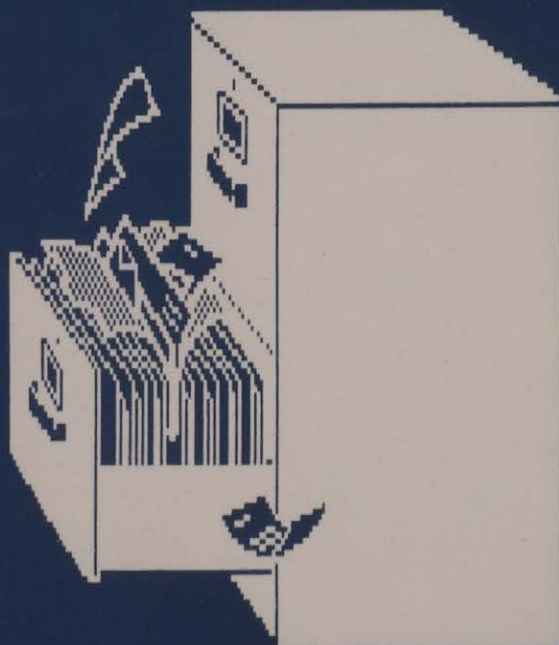
QUEEN
JF
1521
.C367
1991
c.2

Communications
Canada

RECORDS

MANAGEMENT

GUIDE



Canada

Table of contents

RECORDS MANAGEMENT GUIDE

APRIL 1991

Industry Canada
LIBRARY
JUL 07 1998
BIBLIOTHEQUE
Industrie Canada

Industry Canada
Library - Jrl Tower S
OCT 25 1995
Industrie Canada
Bibliothèque - Édifice Jrl S

PRODUCED BY:
RECORDS MANAGEMENT SECTION
ADMINISTRATIVE AND TECHNICAL SERVICES BRANCH

Table of contents

	page
1. INTRODUCTION	1
1.1 Definitions	1
1.2 Aim of Records Management	2
1.3 Importance of Records Management	2
2. FILE CLASSIFICATION MANUAL	2
2.1 Block Numeric System	2
2.2 Amendments to File Classification Manual	5
3. PROCESSING INCOMING CORRESPONDENCE	5
3.1 Classifying	5
3.2 Indexing	6
3.3 Coding	6
3.4 Cross-referencing	6
3.5 Routing of Correspondence	6
4. ISSUE CONTROL OF FILES	7
4.1 Charge-out	7
4.2 Passing Files	8
4.3 Bring Forward System (B.F.)	9
4.4 File Recall	9
5. MAINTENANCE OF FILES	9
5.1 Chronological Sequence	9
5.2 Removal of Papers	10
5.3 Policy Files	10
5.4 Expansion of Files	10
5.5 Put Away (P.A.)	11
5.6 Loose Papers	11
5.7 Accessibility	11
5.8 Physical Security	11
5.9 Closed Files and Closed Volumes	11

Records Management Guide for Departmental Users

1. INTRODUCTION

1.1 Definitions

Record includes correspondence, memoranda or other papers, books, maps, plans, photographs, films, microfilms, sound recordings, tapes, punch cards or other documentary material regardless of physical form or characteristics.

Subject File is a collection of papers on a specific subject or sub-subject placed within a single file jacket.

Subject File Classification is the logical arrangement of individual subject files within a filing system constitutes a subject file classification system.

Administrative (Housekeeping) Records are records pertaining to activities such as everyday personnel, finance, purchasing and property control actions (i.e. internal economy matters).

Operational Records are records created by an institution while carrying out its basic functions.

1.2 Aim of Records Management

There are several component parts to a good records management program. Some are:

- the control of unnecessary record material, i.e. non-record papers;
- the classification of proper record material;
- the operational servicing of proper record material;
- the operational maintenance of proper record material;
- the regular transfer of dormant record material to low-cost storage; and
- the wise selection of record material either for disposal or preservation.

1.3 Importance of Records Management

Documentary papers are written records kept to obtain and retrieve information when required. The number and variety of functions of a modern government have created a continuing requirement for all kinds of administrative, legal, fiscal and informational data which is maintained on "files" or "magnetic media".

The information is required to account to Parliament and to the public for the government activities. It will cover such matters as revenues and expenditures, the rights of the private citizen, the rights of employees, the results of scientific research, and the past experience which is often used as the starting point for future planning and decisions.

2. FILE CLASSIFICATION MANUAL

The File Classification Manual is controlled and maintained by the Records Management Section.

2.1 Block Numeric System

The departmental records classification system is the "Block Numeric System". Blocks of primary numbers are allotted for each main subject group heading as required:

***Administrative* Main Subject Group Headings**

1000 - 1499	Administration
1500 - 1999	Finance
2000 - 2499	Personnel
2500 - 2999	Buildings, Lands and Properties
3000 - 3499	Equipment and Supplies
3500 - 3999	General Services
4000 - 4009	Associations, Clubs and Societies
4010 - 4019	Committees
4020 - 4029	Conferences
4030 - 4039	Meetings
4040 - 4099	Task Forces and Working Groups
4500 - 4999	Co-operation and Liaison

***Operational* Main Subject Group Headings**

Each branch, division and/or section has been allotted a different numbering range for their respective operational main subject group headings. All operational primary numbers are between 5000 and 9999.

Primary subjects and primary numbers are allotted within each of these main subject group headings. These subjects, regardless of their number, are arranged in a logical sequence, usually alphabetical. The primary subjects, in turn, are broken down into secondary subjects and numbers which represent specific files. Finally, these secondary subjects and numbers may be sub-divided again into tertiary subjects and numbers representing specific files.

Example

Main subject group heading	⇨ PERSONNEL
Primary subject	⇨ TRAINING
Secondary subject	⇨ CALENDAR OF COURSES
Tertiary subject	⇨ TECHNICAL COURSES

Policy and General File Numbers

In the Block Numeric System, "-0" in the secondary position should always be reserved for "POLICY" and "-1" should always be reserved for "GENERAL". If the file has been created, the subject appears. If the file has not been created, the subject is left blank. Provision should always be made in the file listing for both entries.

Example

1000	ADMINISTRATION
-0	
-1	General
-2	Federal Identity Program

Other Secondary Sub-subject Numbers

For secondary specific files of a primary number and primary subject, "-2,-3,-4,-5, etc." is added progressively as required.

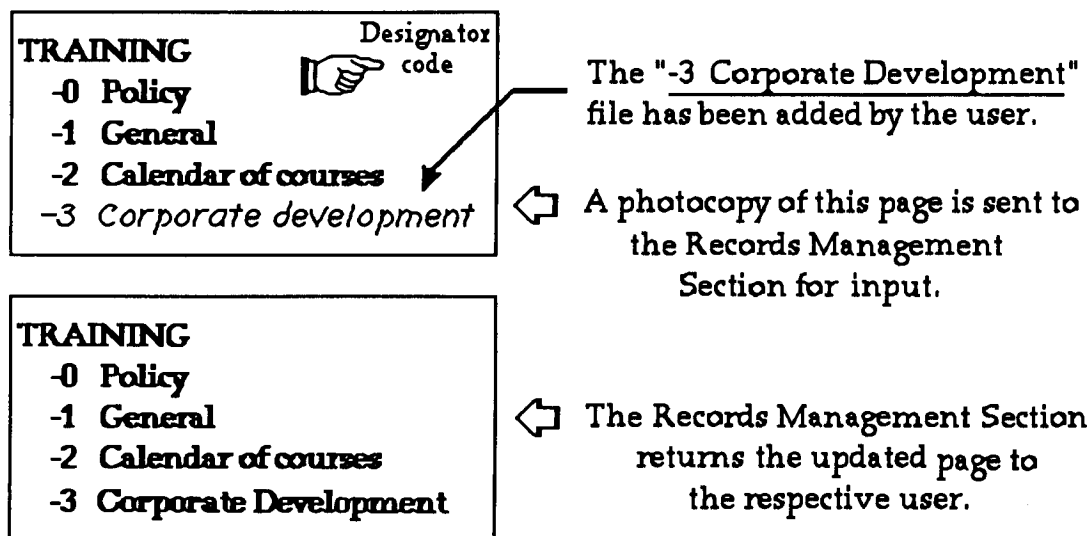
Example

1000	ADMINISTRATION
-0	Policy
-1	General
-2	Federal Identity Program
-3	Annual Report

2.2 Amendments to the File Classification Manual

The Records Management Section must be notified of all amendments to the File Classification Manual. Users may create or amend secondary and/or tertiary subject or case files without prior approval. When changes are made, users are requested to forward a photocopy of the modification(s) to the manual to the Records Management Section. Each page must be identified with the responsible area's designator. The amended pages will be returned to the users respectively. (see Figure 1)

Figure 1: Amendments to the File Classification Manual



3. PROCESSING INCOMING CORRESPONDENCE

3.1 Classifying

Classifying consists of reading the correspondence to determine the subject of *primary importance* in the text; identifying and selecting the main subject group heading (block) into which the subject of primary importance falls; and consulting and selecting the primary subject and number within the broad classification group which fits the subject of primary importance. (see Figure 2)

3.2 Indexing

Indexing consists of determining whether the intent of the text is *policy*, *general routine*, or what *secondary* (specific) *subject* of the *primary subject* has the most appropriate relation. (see Figure 2)

3.3 Coding

If the content of the paper relates to an *objective code* consideration such as a departmental unit, another organization, a particular location, a geographical division, a specific commodity or other object and it is decided that such a particular file is justified, classify under the originally selected *primary subject* and number to the specific *objective code symbol* for individual identification.

If this code file does not exist and the paper concerns an *objective code*, consult the Records Management Section. (see Figure 2)

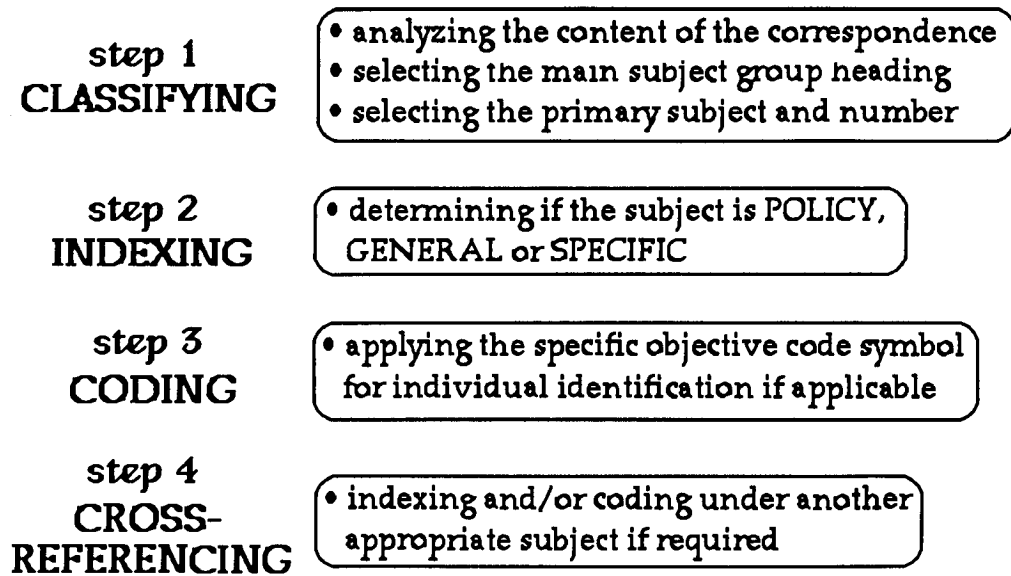
3.4 Cross-Referencing

A cross-reference is an entry made or filed under an appropriate vehicle to indicate where the original entry or record to which it refers may be found as well as a guide to other connected topics and files. (see Figure 2)

Variations of the cross-reference activity are:

- a copy of the correspondence may be made and cross-filed to one or more related files, as required or deemed necessary;
- a pre-printed and multi-part cross-reference form may be used on which suitable entries are made;
- other relevant file reference numbers may be quoted beneath the primary file number on the correspondence; and
- an entry on the inside or outside of the cover of the file jacket may be made relative to associated files.

Figure 2: Processing incoming correspondence



3.5 Routing of Incoming Correspondence

Correspondence may be routed *loose* or on *file* depending on users' operational requirements.

4. ISSUE CONTROL OF FILES

The issue and control of files involve a number of separate and distinct operations.

4.1 Charge-out

The *charge-out* is a control procedure maintained to establish the current location of a file or document when not in the record office.

This *charge-out* of a file to the user office is actually a liability which has

been assumed by the borrowing office that it will return the file to the records area for available use by other offices.

In a system where a *charge-out card* is used, the file number or name is typed at the top of the card as a new file or a new volume is created. When the file is in its file container, the card is kept inside the file jacket.

As a file is issued, the card is filled out by entering the user office on the first available line with the date of issue, and the card is replaced in the file container in lieu of the file.

If the file is *passed* between offices, this information must be transmitted to the records area by the office passing the file and the information is transcribed onto the appropriate card. When the file is returned to the file container, the card is replaced inside the file jacket.

In a system where the *charge-out* is in the form of a file control slip, a slip is completed and inserted into holder when the file is *charged out* by the records area as an initial action. Where the issuing action has been instigated by the user office on requisition, on a B.F. requirement, or as a *pass* to another office, the slip will be completed by the user office. On receipt at the records area, the slip will be inserted into a holder and any appropriate action taken. The slip with its holder takes the place of and performs the same functions as the *card-form charge-out*.

4.2 Passing Files

A *pass* means the transfer of a file from one office or person to another.

A *pass* can be controlled by either passing the file physically through the records area or by means of a pass notification which is sent to the records area for action while the file is delivered direct to the receiving office from the releasing office by the messenger service. It is the releasing office's obligation to complete the pass notice and to forward this to the records area.

When a file is physically *passing* through the records area, any loose papers should be removed from the file containers and attached to the file before being forwarded to the receiving office.

4.3 Bring Forward System (B.F.)

Bring Forward is a system used to ensure that files or records not currently required by an office(r) are returned to the records area and then charged back to the same office(r) on a prescribed future date.

The *B.F.* system calls for an arrangement by years, months and days. In this way, pending action will be brought forward on the due date automatically. This information is noted by the records area on a card or a daily journal book or by the use of a file control form.

On the day before the due date of the several files, the specific cards or slips are withdrawn for that due date and the files are *charged out* to the users. When a file is not available in the records area for *B.F.*, the user office(r) must be informed by means of a notification.

4.4 File Recall

Files should be *recalled* to the records area after a pre-determined period of time. This will allow the records person to add loose papers that may have accumulated during the charge-out period and thus ensure file integrity. File recalls also prevent the loss of files.

5. MAINTENANCE OF FILES

5.1 Chronological Sequence

The *chronological sequence* of the papers on a file should be strictly maintained and observed. This is an elementary principle for correspondence since the purpose of the file jacket is to house the papers in an orderly, neat and logical way. In chronological order sequence, the latest paper by its date is always added to the top of the filed papers on the file.

5.2 Removal of Papers

The *removal of papers* once placed on file should not be done. If there is a pertinent reason for this action, this should be authorized by a classifier and in any event should not be done outside the records area.

If papers are removed by users, this practice leads to confusion and time is always lost in the location of the records at some later date. The removal of papers by the records area can be controlled and accounted for by the use of a form. A form will also be useful in advising the user office of primary interest of the change.

5.3 Policy Files

Policy Files are meant for POLICY PAPERS ONLY. Where administrative or operational action follows as an outcome, these papers will be kept segregated to appropriate action files created for this purpose. Conversely, where a file contains or inadvertently originates precedents of POLICY and it is a routine action file, the papers should be removed to the policy file or a new POLICY FILE should be created. If necessary, the original routine file may be retained complete for continuity by substituting copies of the papers which are removed.

5.4 Expansion of Files

The *expansion* of the subordinate secondary files of a subject classification must be controlled by constant scrutiny of the files. Where they tend to accumulate papers at a rate which requires new volumes frequently, then action should be taken by the classifiers to examine such files to create:

- Sub-subject secondary files of the primary subject;
- Sub-subject tertiary files of the secondary files; and
- Subordinate code files by departmental organizations, by other organizations, by locations, by geographical divisions, by items for commodities, etc.

5.5 Put Away (P.A.)

The *Put Away* of loose papers onto the files should not be completed before the file reference numbers on the papers have been compared with the numbers on the file jackets. In addition, the file subjects should have been checked by the classifiers to ensure that the papers have been indexed to the proper subject files.

5.6 Loose Papers

Loose Papers for Filing must not be allowed to accumulate. They must be processed to the files daily or to the file containers daily to await the return of those files which are on charge-out issue.

5.7 Accessibility

Accessibility to the file containers should be restricted to the operating staff of the records area. It is their duty to maintain and service the records. Unauthorized personnel should not be permitted to interfere with the records operation or to indulge in "self-service".

5.8 Physical Security

The *Physical Security* of the records and the records area must be maintained in compliance with the departmental Security Policy.

5.9 Closed Files and Closed Volumes

Closed Files and Closed Volumes of files must not be retained in the users' area. They should be transferred regularly to Records Management Section for proper scheduling and disposal.

When new volumes are created, the front cover of the file jacket of the previous volume must be stamped "CLOSED" and a "Closed Volume" form (see Figure 3) must be completed and placed on top of the file contents.

Figure 3 : Closed Volume form

CLOSED VOLUME	VOLUME COMPLET
DATED FROM A COMPTEUR DU	TO JUSQU'AU
AFFIX TO TOP OF FILE - A METTRE SUR LE DOSSIER	
DO NOT ADD ANY MORE PAPERS - NE PAS AJOUTER DE DOCUMENTS	
FOR SUBSEQUENT CORRESPONDENCE SEE	- POUR CORRESPONDANCE ULTERIEURE VOIR
FILE NO. - DOSSIER N ^o	VOLUME