

Information Management and Filing

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Inspiring Innovation and Leadership

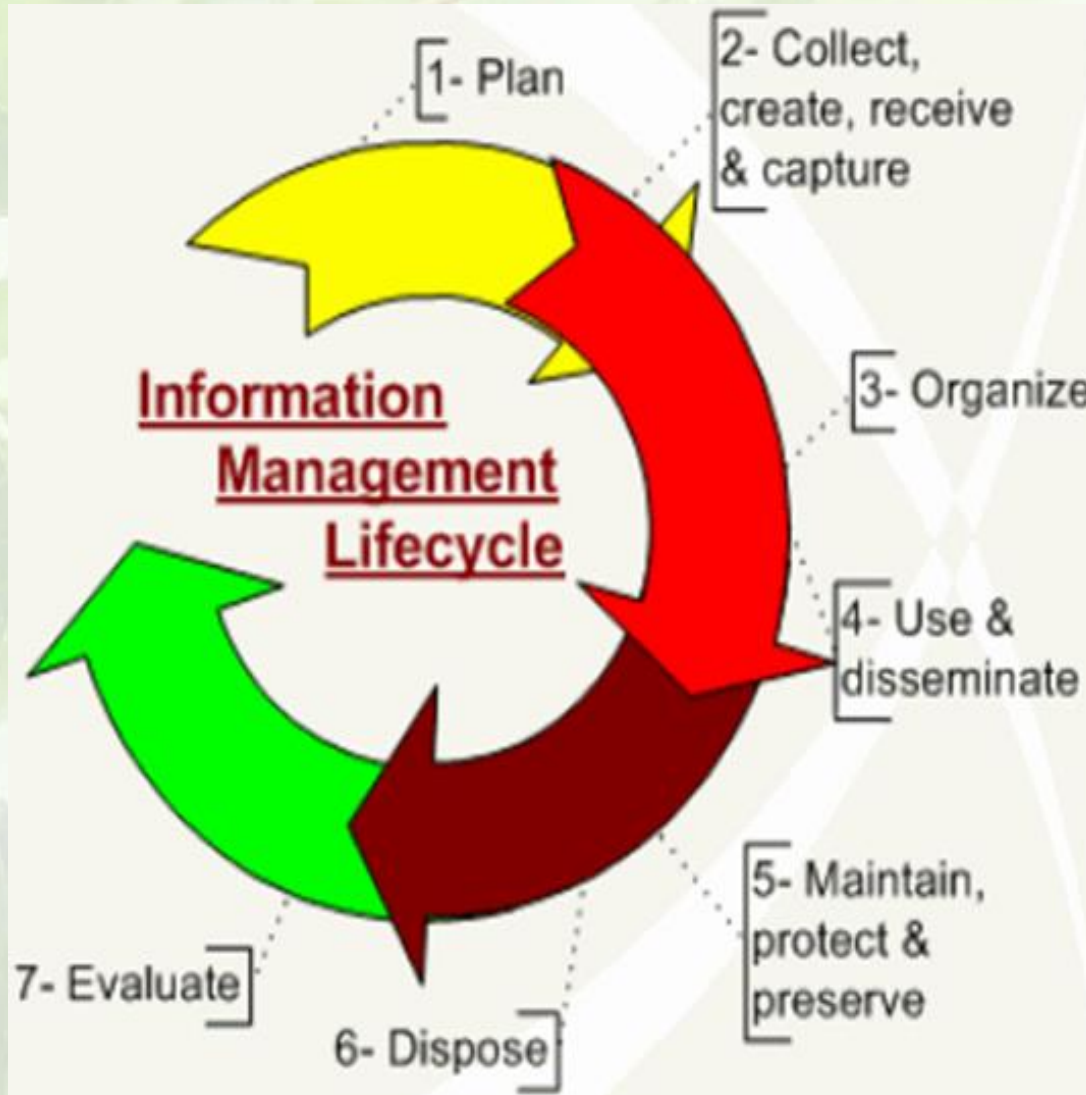
Outline

- Information Management
- Records in an organization
- What is filing?
- Characteristics of a good filing system
- Advantages of a good filing system
- Electronic file management.

Information Management

- Information management (IM) is an umbrella term that encompasses all the systems and processes within an organisation that enable the creation and use of corporate information.
- IM encompasses:
 - ❖ people,
 - ❖ process,
 - ❖ technology,
 - ❖ content.

... IM



- IM includes:
 - Document management
 - **Records management**
 - Web content management
 - Learning management systems (LMS) ...et cetera.

Records

- “**Records**” can be defined as any recorded information or data in any physical format or media created or received by an organization during its course of official business and kept as evidence of policies, decisions, procedures, functions, activities, and transactions.
- To serve as evidence, a record should have three elements:
 - **Content** – the information or ideas the record contains;
 - **Context** – the circumstance in which it was created e.g. who created it, why, to whom;
 - **Structure** – the physical and logical format of the record and how they relate e.g. an email has a header, body, attachments, and response.

What is records management?

Definition:

- Records management refers to the whole range of activities that an organization should perform to properly manage its records. The key activities include setting records management policy, assigning responsibilities, establishing and promulgating procedures and guidelines, as well as designing, implementing, and administering recordkeeping systems.

Importance:

- It supports an organization to:
 - make decisions based on evidence;
 - meet operational, legal, and regulatory requirements;
 - be open and accountable;
 - enhance operational efficiency and effectiveness; and
 - maintain organization or collective memory.

Categories of Records

i. Administrative records:

- Created for documenting policy, procedures, and guidelines.
- Examples:
 - ✓ Audit reports
 - ✓ Reports (research)
 - ✓ Correspondence, general
 - ✓ Correspondence, personnel
 - ✓ Correspondence, purchase
 - ✓ Requisitions
 - ✓ Minutes
 - ✓ Memos
 - ✓ Notices

ii. Accounting records:

- Created for documenting accounting and fiscal use.
- Examples:
 - ✓ Accounts
 - ✓ Balance sheets
 - ✓ Bank deposit records
 - ✓ Bank statements
 - ✓ Cash books
 - ✓ Payroll
 - ✓ Fixed capital records
 - ✓ Budget reports
 - ✓ Petty cash
 - ✓ Profit & Loss Statements

...categories of Records

iii. Legal

- Created/received to document evidence of business transactions or legal decisions.
- Examples:
 - ✓ Charters
 - ✓ Affidavits
 - ✓ Claims
 - ✓ Copyright
 - ✓ Trademarks
 - ✓ Licenses
 - ✓ Leases
 - ✓ Contracts
 - ✓ Agreements

iv. Personnel

- Examples
 - ✓ Medical claims
 - ✓ Applications
 - ✓ Terminations
 - ✓ Attendance records
 - ✓ correspondence

...categories of Records

v. Advertising

- Media schedules, and activity reports.
- Examples:
 - ✓ Contracts
 - ✓ Drawings and Artwork
 - ✓ Estimates
 - ✓ Market data and Surveys
 - ✓ Samples
 - ✓ Displays
 - ✓ Correspondence

vi. Corporate

- Examples:
 - ✓ Annual reports
 - ✓ Capital stock certificates
 - ✓ Capital stock ledger
 - ✓ Contracts, employee
 - ✓ Dividend register
 - ✓ Licenses
 - ✓ Permits to do business
 - ✓ Incorporation records
 - ✓ Charters, constitution, by-laws

Filing

- **Filing** simply refers to the means of keeping documents in a safe place and being able to find them easily and quickly.
- **Filing records** is the process of classifying records and putting them into the correct location in the files.
- **File management** refers to the **process of organizing and storing information in an easily retrievable manner.**
- Filing is the **core** of records management.

Characteristics of a good filing system

- Easy to access.
- Should be compact-not occupy too much space.
- Should be safe.
- Should be economical-not expensive to start and maintain.
- Should be expandable.
- Should be simple to understand and operate.
- Should be elastic- flexible i.e. can cater to future changes or expansion.

Advantages of a good filing system

- **Efficiency:** Records can be located easily leading to saving time, money, and effort, enhancing efficiency in office operations.
- **Ready reference:** Enables quick reference to relevant papers and documents.
- **Protection:** Documents are protected from possible loss or damage.
- **Planning:** Past records provide a basis for future planning.

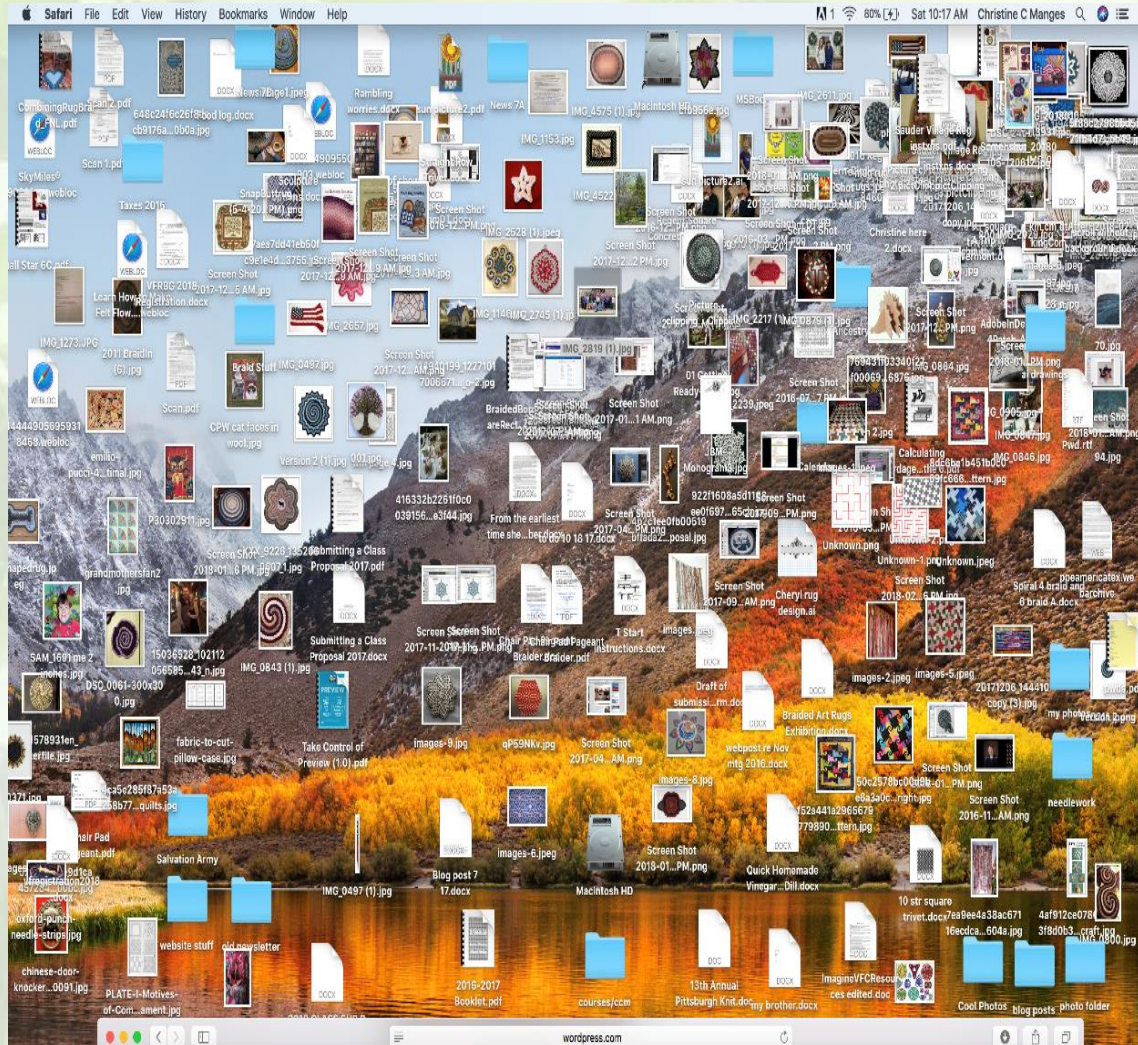
...advantages of a good filing system

- ***Better control:*** incoming and outgoing documents are better managed and disposed of as necessary.
- ***Quality decision:*** Better records enhance quality decision-making.
- ***Evidence:*** They provide documentary evidence for various issues such as legal disputes.
- ***Legal compliance:*** Fulfills legal obligations such as keeping documents according to income tax.
- Reduce clutter and enhance productivity.

Electronic File Management

- Electronic file management refers to a way to name, save, backup, organize files/folders and keep track of files on a computer.
- It is important because it can make a difference in how easy it is to find and access files you need.

Messy Desktop...??



Tips in e-File management

- i. Organizing** – putting files into folders; Create folders/subfolders to organize files.
- ii. Storing** – keeping your files saved on your computer; Save your work frequently in folders/subfolders (organize by category).
- iii. Save** (again!!) your files on a backup disk regularly (back up your files).

...tips in e-File management

iv. Naming – giving your files an appropriate name for easy identification;

Give files and folders short, but meaningful names.

- ✓ Keep file names short but meaningful
- ✓ Include any unique identifiers, e.g. case number, project title
- ✓ Be consistent
- ✓ Indicate version number where appropriate
- ✓ Ensure the purpose of the document is quickly and easily identifiable

v. Deleting – deleting old or unnecessary files to free up space on your hard drive.

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thank you!