CHAPTER 8
Subject Records Management

Records Management
8e
Read_Ginn

RECORDS MANAGEMENT © Thomson/South-Western
Subject Records
Storage and Retrieval

- **Subject records management**—an alphabetic system of storing and retrieving records by their subject or topic
- Subject filing is recommended when the range of topics is broad
Subject Filing—Advantages

- Subjects are easier to remember than names
- Related records are easy to find
- Related records are not scattered throughout the files
- Files can easily be expanded by adding subdivisions to main subject titles

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Subject Filing—Advantages

- Subject filing is appropriate for storing large volumes of records
- Security is provided because names are not visible on files
Subject Filing—Disadvantages

- Main subject titles and subdivisions may overlap
- Concise, clearly defined, and uniformly stated subject titles may be difficult to select
- Inconsistent subject coding on records may make storage and retrieval difficult
Subject Filing—Disadvantages

- Users may not remember exact titles
- Planning and maintenance are required to assure consistent use of approved subject titles
- Subject filing is expensive because experienced filers are required
Subject Filing—Disadvantages

- An experienced records analyst may be required to create the subject titles to assure that logical subjects are selected.
- Indexing, coding, and cross-referencing take more time because each record must be read carefully and thoroughly.
Subject Filing Guidelines

- Select subject titles that best reflect stored records, are meaningful to file users, and are easy to remember
- Select subjects that have only one interpretation
- Use one-word subject titles if possible
- Use plural titles whenever possible

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Subject Filing Guidelines

- Provide for the occasional use of alternate, synonymous, or related subject titles
- Consider combining filing methods when subdividing and subsorting records in large subject filing systems
- Designate one person to manage the subject titles

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Dictionary Arrangement

- Subject folders are arranged behind A-to-Z guides in correct alphabetic order by subject title
Dictionary File Arrangement Characteristics

- Primary guide labels contain letters A to Z in alphabetic order
- Special guides identify folders referenced often
- General subject folders are used to store records related to the subject title
- Captions on general subject folders include the alphabet letter and the subject title
- Subject titles are not subdivided
Encyclopedic Arrangement

- A subject filing arrangement in which records are filed under broad, major subject titles and then under the specific subtitle to which they relate.
- Titles and subtitles are arranged alphabetically.
Encyclopedic File Arrangement Characteristics

- Primary guide captions are general subject titles
- Secondary guide captions are subdivisions of general subject titles
- Folder captions include main subject titles and subdivisions

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Encyclopedic File Arrangement Characteristics

- A general subject folder with the same label caption as the primary guide is inserted behind the last subdivision folder for that subject
Subject Filing Supplies

- Guides and labels
  - Primary guide captions contain main subject titles.
  - Secondary guide captions contain main subject and subdivision.
Subject Filing Supplies—Folders

- Folder label captions include main subject title and necessary subdivisions.
- One-third cut folders are preferred.
Subject Filing Supplies—Labels

- Begin main subject title near left edge and as near to top of the label as possible.
- Key the subdivision 0.5 inches to the right or under the first letter of the first line.
Subject Filing Supplies—Out Indicators

- Same charge-out and follow-up procedures as in alphabetic name filing.
### Subject Indexes

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master</td>
<td>Alphabetic list of all subject titles in the system</td>
</tr>
<tr>
<td>Relative</td>
<td>Alphabetic list of all subject titles, synonyms, or related subject titles</td>
</tr>
<tr>
<td>Numeric</td>
<td>List of all files by file numbers</td>
</tr>
<tr>
<td>Name</td>
<td>List of all correspondents’ names stored in a subject file</td>
</tr>
</tbody>
</table>
# Master Index

<table>
<thead>
<tr>
<th>Applications</th>
<th>Data Entry Guidelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architectural Designs</td>
<td>Formatting</td>
</tr>
<tr>
<td>Chicago Office</td>
<td>Keystrokes</td>
</tr>
<tr>
<td>Miami Office</td>
<td>Efficiency Study Reports</td>
</tr>
<tr>
<td>Banking Services</td>
<td>Founder’s Day Plans</td>
</tr>
<tr>
<td>Credit Cards</td>
<td>Dedication Ceremony</td>
</tr>
<tr>
<td>Charitable Donations</td>
<td></td>
</tr>
<tr>
<td>Customer Services</td>
<td></td>
</tr>
<tr>
<td>Discount Cards</td>
<td></td>
</tr>
</tbody>
</table>
## Relative Index

<table>
<thead>
<tr>
<th>Subject Title</th>
<th>Filed Under</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bookshelves</td>
<td>Office Equipment</td>
</tr>
<tr>
<td>Cameras</td>
<td>Microimage Equipment</td>
</tr>
<tr>
<td>Catalogs</td>
<td>SEE Office Supplies</td>
</tr>
<tr>
<td>HVAC Manuals</td>
<td>HVAC Manuals</td>
</tr>
</tbody>
</table>
Storage and Retrieval Procedures

<table>
<thead>
<tr>
<th>Inspecting</th>
<th>Check for release mark</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indexing</td>
<td>Select filing segment</td>
</tr>
<tr>
<td>Coding</td>
<td>Code main subject and subdivisions in the text; write the subject in the upper right corner; underline cross-reference subjects with a wavy line; place an X in the margin.</td>
</tr>
</tbody>
</table>

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## Storage and Retrieval Procedures

<table>
<thead>
<tr>
<th>Cross-referencing</th>
<th>Prepare cross-reference sheets for alternative subjects; file under alternative subject titles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sorting</td>
<td>Sort by main titles, then subdivisions</td>
</tr>
<tr>
<td>Storing</td>
<td>File in subject folders</td>
</tr>
<tr>
<td>Retrieving</td>
<td>Use master or relative index to locate records</td>
</tr>
</tbody>
</table>

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