

ADMINISTRATIVE [REDACTED] INTERNAL USE ONLY

HHB [REDACTED]

### INSTRUCTION SHEET

This handbook contains guidance for Agency personnel to effect uniform procedures in carrying out the files maintenance and use program.

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## FILES MANAGEMENT

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## FOREWORD

This handbook prescribes the procedures for implementing the Agency files maintenance and use program. Much of the information it contains was gathered from National Archives and Records Service (NARS) publications on case and subject files management and a previous Agency publication on subject filing. Where applicable, certain portions appear as a verbatim extract while others have been tailored to meet the Agency's current requirement for a files management system.

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## CHAPTER I: GENERAL

### 1. INTRODUCTION

- a. The objectives of a files management program are to organize agency files so that needed information can be found quickly, to ensure complete records, to facilitate the selection and retention of records having permanent value, and to dispose of temporary records promptly (see Appendix A for a glossary of files management terms).
- b. This handbook offers guidelines, procedures, and rules which, in conjunction with other records management programs, will contribute toward meeting these objectives. The handbook is not a primer on files, filing, or filing systems but it does contain information that should enable employees responsible for managing files to do so efficiently and economically.
- c. Appendix B is a model subject file classification system for administrative records developed by National Archives and Records Service (NARS), General Services Administration (GSA), for use by all Federal agencies. The model has been tailored for Agency use. It replaces the subject-numeric system previously recommended as the Agency standard. While the model is not presented as a standard, it should be used as much as possible by Agency components when changing existing file systems or when creating new subject file systems.
- d. A new feature emphasized in this handbook is the use of the records control schedule to assist in the maintenance of component file systems. The records control schedule is a ready reference for identifying permanent and temporary records and for applying disposition techniques in file system management. Component file managers should become thoroughly familiar with this document.

### 2. PURPOSE AND AUTHORITY

- a. Chapter 31 of 44 U.S.C. requires each Federal agency "to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities." The law also requires each Federal agency to "establish and maintain an active continuing program for the economical and efficient management of the records of the agency." This program will provide for "effective controls over the creation, maintenance, and use of records in the conduct of current business."
- b. This handbook on files management is part of the Agency's records management program created to satisfy the requirements of Chapter 31 of 44 U.S.C. and improve the management of Agency information.

### 3. RESPONSIBILITIES

- a. The Chief, Records Management Division (RMD), Office of Information Services (OIS), Directorate of Administration, serves as the Agency Records Management Officer and provides staff guidance and assistance on records management to each directorate and independent office, develops and publishes detailed regulations and procedures for implementing the records management program, and is responsible for Agency liaison with NARS.
- b. The Records Systems Branch (RSB), RMD/OIS, develops, coordinates, and monitors the Agency records management program.
- c. Component Records Management Officers (RMO's) are responsible for administering the Agency records management program within their areas of jurisdiction.

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ADMINISTRATIVE—INTERNAL USE ONLY  
INFORMATION AND RECORDS MANAGEMENT

- d. The Agency Archives and Records Center (AARC) is the temporary archival staging area for the storage of the Agency's permanent records until they can be declassified and transferred to NARS or other Federal agencies. It is not an extension of NARS. AARC provides for the storage, control, security, servicing, and processing of both permanent and temporary records which are not active enough to justify being retained in more expensive office equipment or space.



## CHAPTER II: FILING SYSTEMS

### 4. FILES—GENERAL

- a. A file is a collection of records arranged in some systematic order. Federal Property Management Regulation (FPMR) 101-11.101-3 defines the term "records" to include "all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein." Excluded from this definition are "Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents. . . ."
- b. The information in this handbook primarily covers the traditional types of files, mainly paper. Microforms are discussed in Chapter IV, and the basic tenets of filing are applicable to computer files.

### 5. TYPES OF FILES

A file is a collection of records arranged in some systematic order. A filing system is a plan for organizing files into related categories. Generally, there are only two types of files: subject and case.

#### a. SUBJECT FILES

Subject files document the organization, policies, programs, and functions of an agency. These files consist mainly of general correspondence but also may include forms, reports, and other material relating to programs and functions but not to specific cases, projects, or transactions. Records are selected for filing in a subject file based on their informational content. It is important to understand the difference between a subject file, which contains information of general planning and operations, and a case file, which contains information concerning a specific action, event, person, organization, place, or project (see Appendix B).

#### b. CASE FILES

Case files document a specific action, transaction, event, place, project, or other topic. A case file may include one or several subjects relating to the specific topic. It is estimated by NARS that 85 percent of all Federal records which are maintained in folders are handled by the case file method. Some examples are:

- (1) The Official Personnel Folder, which is the most commonly known type of case file used throughout the Federal Government.
- (2) Project files, which contain records relating to an assigned task or problem.
- (3) Transaction files (such as a contract file), which document the conducting of negotiations, business matters, and the like, to a particular conclusion or settlement.

#### c. OTHER TYPES OF FILES

Subject and case files account for 95 percent of all Federal records. Other types of files include:

- (1) Transitory files, which contain records that lose their value within a short period of time.
- (2) Working paper files, which contain records such as rough drafts, calculations, or notes assembled or created for use in the preparation or analysis of other documents. These files generally are disposed of when the task is complete and the finished document prepared.

- (3) Technical reference files, which contain copies of reports, studies, compilations of data, drawings, etc., that are needed only for ready reference and are not made part of the official case file. These nonrecord materials usually are disposed of when no longer needed for reference.

## 6. SUBJECT FILING

### a. OBJECTIVE

An objective of the files management program is to achieve uniformity and ease in maintaining and using Agency records. As a step towards meeting this objective, Appendix B is recommended for filing administrative records throughout the Agency. This system is not meant to be all-inclusive, and it can be modified to meet individual office filing needs. Many offices will be able to use the system for all of their administrative records while others will require the creation of different subject categories not found in the system. The remainder of this chapter provides background and instructions on creating subject files under a subject file classification system.

### b. SUBJECT FILE CLASSIFICATION

Subject file classification is the dividing of records into broad groups of interrelated subjects called primary categories. These primary categories are then subdivided by successive levels of subordinate topics; i.e., primary (Records Management), secondary (Files Management), and tertiary (Subject File Classification System). This process is referred to as a hierarchical order and may be organized by concrete, abstract, or functional words. In order to work well in subject files, this process must be:

- (1) Representative of Information Needs

The subject file classification should conform to the recordkeeping needs of the office. The terms selected should pattern the way information is requested from the files.

- (2) Complete

There should be suitable subject file categories for all existing and anticipated information needs.

- (3) Flexible

Provision should be made for contracting or expanding the classification outline to allow subjects to be dropped or added as information needs change.

- (4) Logical

File subjects should be grouped in such a way that the reason for such arrangement will be obvious.

- (5) Restrictive

Each subject title should be phrased to be exclusive of others. Select only one term to denote a subject.

- (6) Precise

Each subject title should be precise in describing the file category. This will encourage filing at the lowest possible rung on the hierarchical ladder at which there is a sufficient volume of related records.

The principal advantage to a hierarchical file arrangement is that it facilitates document retrieval by limiting the area of search.

### c. FUNCTIONAL GROUPINGS

Hierarchical order may be arranged by concrete, abstract, or functional words. The Agency subject file classification system is arranged using functional groupings because records are the result of the performance of functions and they are used in relation to the functions. The subject categories selected as filing guides therefore reflect an organization's purpose, missions, programs, projects, or activities. The scope of the functions for which a file is organized determines the breadth of the

subject categories. An advantage to the use of functional groupings is that it provides a common language for recordkeepers and record users. Another advantage is that it is relatively easy to add, delete, or modify functional groupings without changing the remainder of the files.

**d. PRECAUTIONS**

Care should be taken that excessive primary subjects and subdivisions are not created merely because these functions appear on an organization chart or are contained in a mission and functions statement. Excessive subject categories lead to overlapping files and make it difficult to classify documents which vary only slightly. When subject categories become too highly specialized, there are always documents for which there is no appropriate filing place. Conversely, when the subject categories are too broad, too many subdivisions are created and they become meaningless catchalls.

**e. NUMBER OF SUBJECT FILE CATEGORIES**

(1) Using too many subdivisions complicates the file structure and slows down the filing and retrieving of information, but using too few subdivisions turns the files into irretrievable storage bins. Three basic factors to consider when determining the appropriate number of categories and subdivisions to be used in a file arrangement are:

(a) Volume of Records Covered

Establishing subject categories presupposes a certain volume of records for each primary subject. If the quantity of records is comparatively small, the subject categories should be broad and few. As the quantity of records increases, so does the need for more numerous and precise categories. (There are two important exceptions to the general rule that the volume of records determines the number and breadth of categories. First, regardless of the volume, a separate primary category must be established for unique records that cannot be subordinated to any other subject. Second, providing for familiar terms (or subjects) used in an organization may require the adoption of more primary categories than volume would support.)

(b) Organizational Level Served

In standardizing a subject file classification system for use throughout an organization, it is unnecessary to provide precise subordinate categories. Indeed, to ensure the usefulness that comes from flexibility, it may be better to let each file station subdivide primary subject categories to meet its own volume requirements. The number of subject categories in any file arrangement depends in part on the organizational levels served and their information needs. It can be expected that the full range of functions expressed in the fewest and broadest subjects will represent the files at the top of the organization, and the more precise functions will be represented by the numerous subjects at the lowest levels of the organization.

(c) Precision of Terms Selected as Subject Captions

Adjectives and adverbs can be used freely in conversation, public speaking, and even in nontechnical writing. However, extreme care must be used when selecting modifiers for subject category file captions. The misapplication of a modifier can narrow the scope of a caption so drastically as to restrict its application to only a fraction of the records it should cover. On the other hand, the absence of a modifier may result in an omnibus caption which overlaps and engulfs subjects that should be covered by other captions. The selection of captions for use as subject titles—either primary, secondary, or tertiary—should be guided by the ways in which records are requested (titles used), the breadth of the file content, or the need for detail as governed by the volume of records. The question to be answered in meeting these requirements is whether to choose captions which denote processes, classes, or items:

- (1) Processes are actions taken; e.g., procurement, transportation, and use.
- (2) Classes are groups of items; e.g., building materials and office equipment.

- (3) Items are specific things making up the broader class; e.g., bricks and lumber or chairs and desks.
- (2) Deciding the degree technical terms will be used as captions will depend on how the information is requested. While there are advantages to converting technical/scientific terms to lay terms for ease of filing, these advantages will have to be weighed against the possible disadvantages of cross-indexing the technical/lay terms.
- (3) Captions must be understandable to everyone using the files. Two words may give the caption broader coverage, and long captions (more than four words) make it difficult to recognize quickly the types of records fitting a caption.

**f. FILE CODES**

While most Agency components will not need special file codes for their subject files, some components may find it necessary to devise such codes. The following paragraphs are offered to assist in the creation of filing codes if necessary.

(1) Noncoded File Arrangements

The simplest subject file is arranged in straight alphabetical sequence by words or subject titles without file codes. Arrangements like this are often called "subject-alphabetic" or "subject-title" files. For example:

ACCOUNTING  
ANNUAL LEAVE  
BUDGETING  
COMMUNICATIONS  
MAIL  
PERSONNEL  
RECRUITMENT AND PLACEMENT  
SICK LEAVE  
SUPPLIES  
TRAINING  
WORKSHOPS

(2) Secondary Subject Topics

The primary subject topics are classified in straight alphabetical order with secondary topics retained at each classification level as follows:

PERSONNEL  
LEAVE  
ANNUAL  
SICK  
RECRUITMENT AND PLACEMENT  
SUPPLIES  
TRAINING  
WORKSHOPS

This arrangement may be satisfactory as long as the file remains small, but as the file grows it will become more difficult to keep related subjects together and maintain an alphabetical order. Also, the subject titles tend to lengthen as the files grow and become more complicated.

(3) Basic Coded File System

To avoid writing out lengthy file titles on the file copies of correspondence, some components assign a consecutive number to each subject category. When a new subject category is created the next consecutive number would be assigned. A basic code file system might look like:

- 1 PERSONNEL
- 2 FINANCE
- 3 SUPPLIES
- 4 REPORTS
- 5 LOANS
- 6 SECURITY
- 7

(4) Duplex-Numeric Code System

A more elaborate coding scheme is the "duplex-numeric" system and would look something like this:

- 3 SUPPLIES
  - 3-1 Factory
    - 3-1-1 Oil
    - 3-1-2 Wire
  - 3-2 Office
    - 3-2-1 Furniture
    - 3-2-2 Pencils

(5) Alpha-Numeric Code System

Letters can be substituted for the primary subject which would make the filing scheme an "alpha-numeric" code:

- A SUPPLIES
  - A-1 Factory
    - A-1-1 Oil
    - A-1-2 Wire

(6) Subject-Numeric Code System

The "subject-numeric" coding scheme is one of the more popular file systems. This scheme permits the arrangement of primary subjects in alphabetic sequence while retaining a simple numeric order for subdividing the primary subject category. The abbreviations selected to designate a primary subject offer a mnemonic feature to the users of the files. One example of the "subject-numeric" file scheme is illustrated in Appendix B. Some components have developed a file system utilizing the Agency regulatory numbering system as the file outline. A typical file system using this approach might look like:

- 1 ORGANIZATION
  - 1-1 Agency
  - 1-2 Directorate
- 10 SECURITY
  - 10-1 Physical
  - 10-2 Personnel
- 20 PERSONNEL
  - 20-1 Recruitment
    - 20-1-1 Professional
    - 20-1-2 Clerical
- 22 TRAVEL
  - 22-1 Foreign
  - 22-2 Domestic
- 45 LOGISTICS

(7) Advantages and Disadvantages of File Codes

The advantages of file codes are that they are easy to memorize, they use short coding symbols, cross-referencing is simplified, sorting is made easier, filing can be accomplished faster, and filing errors generally are reduced. However, file codes are not without disadvantages. Often file codes become complex and highly specialized, the product of one individual. File codes also have a tendency not to be updated at periodic intervals and may become outdated quickly.

(8) Hints for Designing File Codes

File codes should be:

- (a) Short—Each symbol should be limited to a few characters.
- (b) Simple—The file pattern should be obvious by glancing at the file classification outline.
- (c) Meaningful—The symbols for the primary subjects should be meaningful and not abstract.
- (d) Segmented—Components of symbols should be in segments, as opposed to one group of letters or numbers; e.g., RM 1-2 rather than RM12.
- (e) Flexible—The coding scheme must be flexible to allow additional subjects without changing the existing symbols.

## 7. CASE FILING

Case files document a specific action, transaction, event, place, project, or other topic. Like subject files, case files may consist of books, papers, audiovisual, machine readable, cartographic, and other types of records. The distinction between the two types of files is that case files consist of records relating to one specific action. For example, a subject file titled "Contracts" would contain general information relating to contracts, such as procedures, sample formats, and regulations; but a case file would contain only records pertaining to a specific contract, such as a copy of the contract, amendments, and correspondence relating to the contract. The case file title would contain information identifying the contract either by name or by contract number. Like subject files, case files contain records that have administrative, legal, or fiscal values. In addition to these primary values, case file records also might have evidential or informational value not normally found in subject file records.

### a. CASE FILE ARRANGEMENT

- (1) Case files are best arranged by the filing feature most frequently requested in retrieving the file. This may be by name, number, project title, subject title, or geographic location. A case file may include one or several subjects that relate to a specific topic and may consist of one or several file folders, depending on the scope of the project or program. Regardless of the number of file folders, all records pertaining to the specific topic are referred to as the case file. For example, the case file on the construction of building XYZ might include a separate file on blueprints, plumbing specifications, electrical diagrams, heating and air conditioning, contracts, etc. All the files associated with the construction of the XYZ building would be considered the case file for Building XYZ.
- (2) Case files may be arranged either alphabetically or numerically. The most suitable arrangement is the one that best serves the needs of the user. The single most important general rule to remember when setting up a case file system is to be consistent. Once an arrangement is selected, be consistent in that arrangement for the entire case file. The following are a few of the basic rules that apply to case files:
  - (a) Names of Individuals  
Arrange alphabetically by surname, given name, and middle name initial. Small collections may be able to use initials for given and middle names. Large collections might have to use the complete middle name rather than just the initial. Files on individuals also might be arranged numerically by using the employee number, Social Security number, or some other

numerical designation; however, this kind of file arrangement will require a cross-referencing index.

(b) Names of Companies, Organizations, or Associations

Arrange alphabetically by the predominant word in the name or title.

(c) Geographic Arrangement

Arrange alphabetically by country, province, state, county, city, or other appropriate subdivision. Large collections of geographic files may require subdividing, such as by regions.

(d) Project Files

Arrange project case files alphabetically by key words assigned as the file titles. The file title or the assigned project title should be the feature most often used to retrieve the file. Project case files assigned a number should be arranged in numerical sequence.

(e) Numeric Arrangement

A numeric file arrangement is not self-indexing and it is often referred to as an indirect file system, as opposed to a subject file arrangement which is self-indexing and is referred to as a direct file system. Numeric arrangement is a quick and easy way to file large quantities of records. To minimize errors, numbers should be hyphenated or spaced on the file folders (e.g., 12345678 should appear as 123-45-678 or 12 34 56 78 on a file folder label). Number or number-letter prefixes or suffixes can be used for geographic locations, types of files, or kinds of contracts. For example, in the number 51-12345, 51 might represent a geographic location or a particular kind of contract and 12345 might represent the consecutive number of that case file series. A prefix or suffix such as 81 might represent the calendar or fiscal year as part of the case file number.

**b. SPECIAL FILE ARRANGEMENT**

Special file arrangement schemes are common throughout the Agency. These systems should be reviewed to ensure that the needs of the user continue to be met. Commercial vendors offer a wide variety of case filing systems; however, these systems generally require the use of the vendor's filing supplies. The component RMO should be consulted prior to contacting any vendor regarding file arrangement systems.

**8. FILES MAINTENANCE**

**a. DEFINITION**

Once a filing system has been selected, files maintenance becomes critical to the continued usefulness of the information contained in that filing system. A well-designed file system quickly can become an office liability if not properly maintained. The term files maintenance includes the following operations:

- (1) Profile sorting of the records.
- (2) Filing operations.
- (3) Labeling of file folders and containers.
- (4) Indexing.
- (5) Reference and chargeout procedures.
- (6) Disposition techniques.

The extra time taken to perform all these operations will prove to be well spent when needed information is quickly retrieved and unnecessary filing is avoided.

**b. PROFILE SORTING OF THE RECORDS**

This first step in the files maintenance process is very important because it is the point where temporary and permanent records are identified. The component records control schedule is a

valuable tool which should be used to accomplish this task. The records control schedule describes the records of the component and provides disposition instructions. As a general rule, permanent records as identified in the records control schedule should not be interfiled with temporary records. If there are records to be filed which cannot be identified to an item in the records control schedule, the component RMO should be notified immediately. The separation of temporary and permanent records at this stage will facilitate disposition of the records and reduce the need for extensive and costly reviews. The records to be filed then should be arranged to conform with the file system arrangement. Duplicate copies, valueless attachments, unneeded envelopes, routing slips, and cover sheets that do not contain record information should be removed. Rubber bands, pins, and paper clips also should be removed from the records before filing. The prefile sorting of records should help reduce indiscriminate filing and prevent the creation of files which are not covered by approved records control schedules. Records control schedules are discussed in more detail in HHB 70-8, Records Disposition Handbook, and later in this handbook. The following hints also should help reduce the amount of material to be filed:

- (1) File fewer publications, periodicals, circulars, and other printed items received for general information.
- (2) File fewer "Information Only" copies of correspondence. Only those items which are likely to be referred to should be filed.
- (3) File fewer directives. Unless the file station is responsible for maintaining the complete set of regulations, information copies should not be filed.
- (4) Restrict the number of extra copies of correspondence or documents being reproduced and limit the distribution to only what is necessary.
- (5) Share files of common interest with other components, if possible.
- (6) If unsure whether something should be filed, ASK FIRST before filing.

**c. FILING OPERATIONS**

Filing of records should be done at least daily or more often depending on the volume of the records. Unless the file system arrangement indicates otherwise, records should be filed chronologically with the latest date on top. Loose filing requires less filing time, costs less initially, and allows easy removal of individual records for reference. Loose filing generally is appropriate for case files that are small, have a low reference rate, are scheduled for short-term retention, or rarely leave the office or file room. However, loose filing has two inherent disadvantages: (1) papers may be lost or misplaced easily, and (2) the lack of uniform arrangement of the folder contents makes it more difficult to find a particular document. Fastened filing usually is preferred for large case files and subject files that receive extensive use, have long retention periods, and are likely to be charged out for extended periods of time. The decision on whether to use loose or fastened filing is an individual component option. Another approach available is to delay fastening papers until more than 10 or 20 documents accumulate or until the file folder is about to be charged out. The standard file folder has scores or creases on the bottom to allow expansion to accommodate various quantities of paper. When a folder reaches full capacity, use one or more additional folders to avoid overcrowding. Be sure to revise or update file tabs or labels on each folder to show volume figures, dates, contents, and disposition instructions.

**d. LABELING OF FILE FOLDERS AND CONTAINERS**

- (1) File folder labels should reflect accurately the contents of the file, inclusive dates, disposition instructions, and applicable item in the component's records control schedule. For example:

REM 12 RECORDS MAINTENANCE	FILES MANAGEMENT HANDBOOK WORKING PAPERS, DRAFTS, ETC.	1980 Item xx (2) a. TEMP.
----------------------------	---	---------------------------------

- (2) The file label on the left of the folder indicates the primary subject file classification category. The center label indicates the secondary level and describes the contents of the file. The label on the right provides information on when the material was collected, the records control schedule item that applies, and the fact that the file is considered temporary. The disposition instructions for item xx (2) a. also might be placed on the label if space allows; i.e., TEMP. Dest. Jan82.
- (3) File folder labels may be positioned to accommodate the file system arrangement or the type of file storage container used. The use of classified file titles should be avoided if possible. If the file title must be classified, it must be marked to show the classification level, and file indexes and label also must be marked as appropriate. Whenever possible, file storage containers should be labeled to indicate their contents.

**e. INDEXING**

Indexing usually is required only when a numeric file arrangement is employed. Subject files and case files utilizing a subject topic file arrangement are self-indexing. For those components requiring an index, consult with the component RMO or RSB/RMD/OIS.

**f. REFERENCE AND CHARGEOUT PROCEDURES**

Component files should be made available only to authorized employees. Whenever a file is removed from the file station, a chargeout card should be completed so that the file may be located and retrieved. Specific time limits should be imposed on how long the file may be charged out. Files containing Top Secret and Sensitive Compartmented Information material are subject to separate control procedures.

**g. DISPOSITION TECHNIQUES**

Planning ahead is essential to facilitate the ultimate disposition or preservation of Agency records. It also ensures records are not kept in office space longer than necessary. The component records control schedule provides information concerning particular types of records. A typical disposition technique is by file break or cutoff.

- (1) A common method of segregating files for disposition is the file break or cutoff. Using this method, a file series is terminated at regular periodic intervals to facilitate continuous disposal or transfer of unneeded records to the AARC. The selected period should if practical be annual, biennial, or some other convenient cycle. File series which are assigned numbers that have a calendar or fiscal year prefix or suffix are easily organized by annual groups. Current (open) files arranged by number continue to be filed by that number over a period of years or until they become inactive (closed). As files are closed throughout the year, the folders are physically removed from the active files and placed in an inactive or closed file area. When the authorized disposition period is reached, there will not be a need to screen the active files. Thus, two file categories are always in being, an active (open) and an inactive (closed). This technique can be successful where all or most of the files are closed within a three- to five-year period and when few references and rare interfiling of new records are needed. If the volume of records is small or quick reference is required, the inactive storage can take place in the office. However, most inactive storage will take place at the AARC where it is more economical to store and service inactive records.
- (2) Many case file series cannot be cutoff or broken periodically and generally should be broken only when the file is closed by final action. The controlling factor to be considered when establishing file breaks is the usage of the file after the file is closed. If reference service or filing activity remains high in a closed file, the file should remain in office space until such activity diminishes. Files stored at the AARC can be retrieved quickly, and the need for valuable office storage space should be considered in establishing file breaks.
- (3) Records control schedules provide instructions on file breaks and cutoffs for specific file series. If these instructions are inappropriate, contact the component RMO and explain the particular circumstances. These instructions can and should be modified to accommodate changing conditions.



## CHAPTER III: FILING EQUIPMENT AND SUPPLIES

### 9. FILING EQUIPMENT AND SUPPLIES MANAGEMENT

#### a. DEFINITION

This chapter sets forth procedures to be followed when ordering filing equipment and supplies. It also provides information about the different types of filing equipment and supplies used within the Agency. The chapter outlines the preliminary steps that are to be taken before ordering this type of equipment and supplies.

#### b. GENERAL

- (1) The Chief, RMD, as the Agency RMO, is responsible for the management of filing equipment and filing supplies used within the Agency. All requests for filing equipment and nonstandard filing supplies must be approved by the Chief, RMD in advance of any procurement action taken by a requesting component. The Office of Logistics (OL) will not process procurement actions for nonstandard file equipment and supplies without the approval of the Chief, RMD.
- (2) The Chief, RMD will not approve requests for file equipment or nonstandard filing supplies without the concurrence of the component RMO and the directorate RMO.

#### c. PRELIMINARY STEPS

Before any filing equipment is ordered, the component RMO should confirm the need and ensure the following actions are performed prior to determining the amount and type of additional file equipment:

- (1) Remove office supplies, unclassified forms, nonclassified publications, and other material from file storage equipment.
- (2) Destroy those records no longer needed as authorized by the records control schedule. Paragraphs 11 and 12 of HHB provide specific guidance and instruction on the Agency's records destruction policy.
- (3) Transfer inactive records identified in the records control schedule to the AARC. Further guidance on the transfer of records is contained in paragraph 13 of HHB.
- (4) If the increase in file storage is a result of new records creation, ensure that these records can be associated with current disposition instructions contained in the records control schedule; if not, initiate action to have the records scheduled and the records control schedule updated.
- (5) Determine if it is feasible to consider converting the file medium; i.e., from paper to microfilm or to digital data.

#### d. STANDARD FILE EQUIPMENT

The Agency standard item of file equipment is the two- or four-drawer safe. This equipment is funded by OL. Requests for this type equipment must include a certification statement by the component RMO that the preliminary steps as outlined above have been completed, and a statement of justification (see Figure 1, sample memorandum format). A completed Form Requisition for Materiel and/or Services (Figure 2), must accompany the request. The requesting memorandum must be approved by the directorate RMO and reviewed by a senior official at the directorate level. OL will not process requests for file equipment unless approved by the Chief, RMD.

#### e. NONSTANDARD FILE EQUIPMENT

Nonstandard file equipment is anything other than the two- or four-drawer safe. Components requesting nonstandard file equipment must follow the procedures outlined in paragraph d and also

include the component's funding citation on the Form 88. The requesting component will be required to pay for all items received except those items available from surplus stock.

**f. SURPLUS FILE EQUIPMENT**

Components having surplus file equipment should prepare Form [redacted] requisition or Turn-In for Administrative Supplies and Equipment (Figure 3), and forward it through the directorate RMO to OL. Directorate RMO's should attempt to satisfy their file equipment needs by utilizing surplus file equipment. RSB should be informed of surplus file equipment.

**g. STANDARD FILING SUPPLIES**

- (1) The 11-point kraft paper file folder is the Agency standard file folder. It is available in legal and letter size with or without fasteners. The Agency standard file guide is of pressboard construction with metal tab. These folders, guides, and paper inserts for guide tabs are available in building supply rooms.
- (2) Components requesting large quantities of these items should submit a Form [redacted] the building supply room.

**h. NONSTANDARD FILING SUPPLIES AND HEAVY-DUTY FILE FOLDERS**

- (1) Requests for nonstandard filing supplies and heavy-duty file folders must be justified by memorandum and be accompanied by a completed Form [redacted]. Requests for heavy-duty file folders may be approved by the directorate RMO as the technical officer on the Form 88. Special requests; e.g., a request for an unusually large quantity of heavy-duty folders, may be submitted to the Chief, RMD for approval at the discretion of the directorate RMO. Requests for other types of nonstandard filing supplies must be approved by the Chief, RMD.
- (2) Reorders of previously approved filing supplies may be approved by the directorate RMO as the technical officer on Form [redacted].
- (3) Appendix C provides additional information on the types of file equipment and filing supplies.



## CHAPTER IV: MICROGRAPHICS

### 10. MICROGRAPHICS MANAGEMENT

#### a. GENERAL

- (1) Micrographics refers to the technology that reduces a unit of information such as a page of text or a drawing to a form which cannot be read without the aid of magnification. This unit of information is referred to as a microimage when reduced. A microform is a form containing microimages, such as a microfiche or reel microfilm. A micrographics system is a configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms. A system may involve one or more, but not necessarily all, of these functions. (See Appendix D for a more detailed glossary of common micrographic terms.)
- (2) The use of micrographics technology is but one alternative available to records managers in developing solutions to files and records management problems. It will not be the purpose of this chapter to promote the use of micrographics as the cure-all to these problems but rather to provide information, guidance, and procedures on the uses of micrographics within the Agency. Subpart 11.5 of Chapter 101 FPMR, Title 41 CFR, is the authority for the standards, regulation, and guidelines for using micrographics technology in the creation, use, storage, retrieval, preservation, and disposition of Federal Government records.

#### b. RESPONSIBILITIES AND OBJECTIVES

Micrographics management is a part of the Agency's records management program administered by OIS. The Information Technology Branch (ITB), RMD/OIS, is designated the responsible component for the management of micrographic activities within the Agency. The primary objectives of the micrographics function are to support the Agency records management program, establish a focal point for the coordination of all Agency micrographic activities, and develop standards and guidelines regarding the production and use of microforms and micrographic equipment.

#### c. MICROGRAPHICS APPLICATION PROPOSALS

Proposals for new micrographics applications must be submitted on Form [redacted] Microfilming Proposal for Evaluation (see Figure 4). The proposal requires the approval of both the component and directorate RMO's. If approved, the directorate RMO should submit the completed Form [redacted] to the RSB focal point for passage to ITB. ITB will conduct a feasibility study to determine if the proposed application meets the requirements of FPMR 101-11.5 (see Appendix E). If the results of the study are favorable, ITB will concur in the proposal and make recommendations on the system configuration.

#### d. MICROGRAPHIC EQUIPMENT PROCUREMENT

Requests for purchase or lease of micrographic equipment will be submitted on a Form [redacted] approved by the component and directorate RMO's, and forwarded to ITB for concurrence and passage to OL. Requests for purchase or lease of micrographic equipment will not be approved unless ITB has approved the micrographics application associated with the equipment. ITB maintains an inventory of micrographic equipment used within the Agency. Components turning in surplus or excess micrographic equipment should forward a completed Form [redacted] through ITB to OL.

#### e. CONVERSION OF PAPER RECORDS

- (1) The best available paper copy of records should be maintained in files identified for microform conversion. The integrity of the file system must be maintained throughout the microfilming process. The records should be arranged, identified, and indexed so that any individual

document or segment of the file series can be located quickly. The use of leaders, flash cards, and classification headings is recommended, particularly for manual retrieval micrographic systems.

- (2) The paper records must be maintained in good order until after the processed microform is verified as an acceptable substitute in accordance with prescribed standards. Components should ensure the microform is verified as soon as possible after microfilming is completed. Disposition of paper records after verification will be accomplished in accordance with instructions contained in the component's approved records control schedule. The component RMO is responsible for ensuring this process is accomplished in accordance with the established system specifications.

#### f. MICROFORM RECORDS

The maintenance, use, and disposition of microform records should be planned and coordinated with the records user by the component RMO and ITB during the micrographics system's configuration phase. These procedures should be specific in terms of the type of microform being used; archival requirements and vital records, if any; disposition of paper records; and file system employed as well as disposition of the microform records. This information will be necessary when the records control schedule is changed. (The value of the information contained in records does not change just because the storage media changes. Records series valued as temporary in their paper form will not increase in value to permanent just because the information is now contained on microfilm. Changes in the retention times for microfilm records must be fully justified. The requirement for silver original microforms will be detailed in the specifications for the system by ITB.)

#### g. MICROGRAPHIC SYSTEM AUDIT

A micrographic system audit is an examination and verification of an existing application to determine whether the objectives of the system are being achieved and whether standards are being followed. ITB will conduct periodic audits of existing micrographic applications, either at the request of the responsible component or on the basis of age, format, or substance. All audits are conducted in cooperation with component and directorate RMO's. ITB will prepare an audit report detailing findings and making recommendations for system improvements.

#### h. MICROGRAPHIC TRAINING

Orientation seminars for the purpose of providing basic information on micrographics technology and its application to Agency information handling are conducted by ITB. Special presentations and the development of other training courses in micrographics are provided upon request.



(Classification)

MEMORANDUM FOR: Chief, Records Management Division  
Office of Information Services, DDA

VIA: Component Records Management Officer  
Directorate Records Management Officer

FROM: Originating Component

SUBJECT: Request for Filing Equipment and/or Nonstandard  
Filing Supplies

REFERENCE: HH [REDACTED]

1. Forwarded herewith for approval is Form 88 for filing equipment required to (specify the justification; estimated savings, if any; or anticipated efficiencies, if any, resulting from the requested equipment).
2. File equipment to be turned in upon receipt of this equipment is listed on the attached Form [REDACTED]
3. The provisions of paragraph 9c of reference handbook have been complied with by the component Records Management Officer.

/s/ Component Head

Attachments:

- A. Form [REDACTED]
- B. Form [REDACTED]

APPROVED:

\_\_\_\_\_  
Directorate Records Management Officer

REVIEWED:

\_\_\_\_\_  
Senior Official at the Directorate Level

(Classification)

Figure 1

CAUTION: Blank form requires secure storage in field

NAME OF CONTACT OFFICER		OFFICE	TELEPHONE	SIGNATURE OF APPROVING OFFICER	SIGNATURE OF TECHNICAL OFFICER				
REMARKS				BUDGET CERTIFICATION: I CERTIFY THAT PRA AND/OR FUNDS ARE AVAILABLE. CHARGE FAN INDICATED IN BLOCK ASTERISKED (*) BELOW.					
				SIGNATURE OF AUTHORIZING OFFICER		DATE			
<b>REQUISITION FOR MATERIEL AND/OR SERVICES</b>		REQ'N. DATE	DOCUMENT CONTROL NUMBER		PROCUREMENT INSTRUMENT NO.				
MATERIEL PROC. ALLOT. NO.		REQUIRED DATE AT DESTINATION	DATE PROC. ITEMS REQUIRED IN DEPOT	DATE STOCK ITEMS REQUIRED IN TRANSPORTATION	TYPE II FPA				
* FINANCIAL ANALYSIS NUMBER					ACCOUNTABILITY TO BE ASSUMED BY STATION				
CONSIGNEE			REFERENCE		RECOMMENDED CHANNEL FOR SHIPMENT (COMMERCIAL, MILITARY, OTHER)				
			RECOMMENDED METHOD OF SHIPMENT (TRUCK, RAIL, SHIP, PLANE, OR POSTAL)						
MARKING INSTRUCTIONS			PACKING INSTRUCTIONS						
SOURCE		EDIT		ICS INPUT		REMARKS			
PROC.	STOCK	INITIAL	DATE	INITIAL	DATE				
ITEM NO.	STOCK NO.	EXP.	NOMENCLATURE		SC	PRICING AND EDITING DATA			
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION
						QUANTITY	UNIT	UNIT PRICE	EXTENSION
						RELEASED	ACTION	S-A-C	LOCATION

FORM 5-80 USE PREVIOUS EDITIONS

Figure 2



CLASSIFICATION									
MICROFILMING PROPOSAL FOR EVALUATION									
CUSTODIAN		COMPONENT		ROOM NO.		EXTENSION		DATE	
RECORD DESCRIPTION									
FILE IDENTIFICATION (include title, description, inclusive dates) AND COMPOSITION (letter documents, legal documents, cards, etc.)									
IS FILE ON RECORDS CONTROL SCHEDULE		SCHEDULE NO.		ITEM NO.		RETENTION PERIOD OF FILE		LOCATION OF FILE	
<input type="checkbox"/> YES <input type="checkbox"/> NO						HEADQUARTERS    REC. CTR.		(Hqs/Rec Ctr.)	
SIZE OF FILE TO BE FILMED (in ft)		EST. NO. OF DOCUMENTS/CARDS/ETC IN FILE		EST. ANNUAL GROWTH OF FILE (in ft)		FILE ARRANGEMENT			
						ALPHABETIC		NUMERIC	
						CHRONO		OTHER (specify)	
FILE CLASSIFICATION AND SENSITIVITY		COMMENT							
RETRIEVAL									
IS FILE ACTIVE		FILE USED BY (give location)				NUMBER OF USERS			
<input type="checkbox"/> YES <input type="checkbox"/> NO									
FREQUENCY OF REFERENCE (day, week, month)		COMMENT							
RETRIEVAL URGENCY									
<input type="checkbox"/> IMMEDIATE <input type="checkbox"/> WITHIN HOUR <input type="checkbox"/> WITHIN DAY <input type="checkbox"/> OTHER (specify)									
PURPOSE OF MICROFILMING									
INDICATE ORDER OF IMPORTANCE BY 1, 2, 3, ETC.									
FASTER RETRIEVAL		MAINTAIN FILE INTEGRITY		DISPOSITION OF HARD COPY AFTER FILMING					
REDUCE STORAGE		VITAL RECORDS				RETAIN		DESTROY	
PRESERVE DETERIORATING RECORDS		OTHER (Specify)							
MULTIPLE COPY DISTRIBUTION									
COMMENT									
REVIEWS AND CONCURRENCES									
COMPONENT RMO				DATE		CONTROL NUMBER (Cite number on Form 70)			
DIRECTORATE RMO				DATE					
AGENCY MICROGRAPHICS OFFICER				DATE					
FOR <span style="background-color: black; color: black;">[REDACTED]</span> SOLETE PREVIOUS EDITIONS <span style="background-color: black; color: black;">[REDACTED]</span> CLASSIFICATION									

Figure 4



## APPENDIX A: GLOSSARY OF FILES MANAGEMENT TERMS

**ACTIVE RECORDS.** See CURRENT RECORDS.

**ADMINISTRATIVE RECORDS.** See HOUSEKEEPING RECORDS.

**ALPHABETIC INDEX (OR RELATIVE INDEX).** A filing and finding aid for subject files that alphabetically lists each of the topics included in a subject outline and usually contains many additional subjects under which papers might be located. Each entry shows the file designation for papers on that subject.

**ALPHABETIC NAME INDEX.** A finding aid that permits documents filed by subject to be located by the name of an individual or organization mentioned in the documents. Usually consists of extra copies of outgoing correspondence, cross-reference forms, or combinations of both.

**ALPHABETIC-SUBJECT FILING SYSTEM.** A subject file classification system in which subjects are arranged in alphabetic order regardless of their relationship to one another. For example, the subjects "adobe houses" and "adrenalin" might immediately follow "administration."

**ALPHA-NUMERIC FILING SYSTEM.** A classification system in which letters are assigned to main divisions and numbers to subdivisions. For example, "A" might stand for the main subject "administration" and "A3" for the subdivision "personnel."

**APPRAISAL.** The process of determining the value and thus the disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and their relationship to other records.

**ARCHIVES.** (1) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or archival holdings. See also PERMANENT RECORDS. (2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (3) The building or part of a building in which such materials are located; also referred to as an archival repository or depository.

**ARRANGEMENT.** (1) The order in which documents are filed. (2) A logical plan for organizing records, such as numerically or alphabetically by name of subject.

**BREAKDOWN.** (1) The separation of files into such basic types as general correspondence (subject) files, transitory correspondence, case files, case working papers, technical reference materials, convenience copies, and the like. (2) The internal arrangement of basic file types by such filing features as names, places, numbers, dates, or subject categories. (3) The division or subdivision of subject categories into successively more specific classes.

**CASE FILE.** A folder or other file unit containing material relating to a specific action, transaction, event, person, place, project, or other subject. A case file may cover one or many subjects that relate to the case. For example, a contract file contains records on a specific contract, such as the application, correspondence, addenda, reports, and processing documents. Other types of case files include official personnel folders, surveys, studies, and the like. See also PROJECT FILE, TRANSACTION FILE.

**CENTRAL FILES.** The files of several offices or organizational units physically and/or functionally centralized and supervised in one location.

**CHARGEOUT.** The action of recording the removal and loan of papers from a file or the loan of an entire file to indicate its whereabouts, usually done on a specifically designed card.

**CHRONOLOGICAL FILE.** See READING FILE.

**CLASSIFICATION.** The process of determining the file designation and necessary index references to records to be filed, normally connected with subject files (NOT TO BE CONFUSED WITH NATIONAL SECURITY MARKINGS).

**CLASSIFICATION SYSTEMS.** See SUBJECT FILE CLASSIFICATION SYSTEM.

**CODES.** See FILE CODES.

**CODING.** The process of implementing the file designation decision made during the classification process; the process of putting file designations on the records themselves. Normally used only for subject file classification systems.

**COMPREHENSIVE RECORDS CONTROL SCHEDULE.** A document describing all records of an agency or component, specifying records to be preserved as having archival value, and authorizing on a continuing basis the disposition of specified recurring series of records.

**COPY.** A reproduction of the contents of an original document, prepared simultaneously or separately, usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy, information or reference copy, official copy, and suspense copy. Copies identified by method or creation include carbon copy, mimeograph copy, ribbon copy, and electrostatic copy.

**CORRESPONDENCE FILE.** See SUBJECT FILES.

**CROSS-REFERENCE.** A finding aid that directs the user from one place in the file to another when a particular document may be requested by more than one name, number, or subject.

**CURRENT RECORDS.** Records necessary for conducting the current business of an office and therefore generally maintained in office space and equipment. See also NONCURRENT RECORDS, SEMICURRENT RECORDS.

**CUTOFF.** See FILE BREAK.

**DECENTRALIZED FILES.** Files of an agency or agency component that are maintained at several locations. Physically decentralized files can be made subject to centralized intellectual and administrative controls.

**DECIMAL FILING SYSTEM.** A system for classifying records by subject, developed in units of 10 and coded for arrangement in numerical order. Each of the 10 main subjects (000-900) may be divided into as many as 9 secondary subjects (10-90), which in turn may be divided into 9 tertiary subjects (1-9). The use of decimal points can accommodate further breakdown by 9's.

**DIRECTIVE.** Any issuance of an organization that guides, instructs, and informs employees in their work. Included are formalized statements of policy and procedures. Directives are issued under many names, such as notices, orders, procedures, bulletins, manuals, handbooks, regulations, circulars, guides.

**DISPOSAL.** Physical destruction of records. See also DISPOSITION.

**DISPOSAL AUTHORITY.** The legal authorization for the disposal of records obtained from the Archivist of the United States and, for certain series, from the Comptroller General. Initiated by agencies on Standard Form 115, Request for Records Disposition Authority, or granted in the General Records Schedules.

**DISPOSAL LIST.** A document providing one-time authorization for the legal destruction of specified nonrecurring series of records.

**DISPOSAL PERIOD.** See RETENTION STANDARD.

**DISPOSITION.** The actions taken with regard to noncurrent records following their appraisal. The actions include transfer to a records center for temporary storage, transfer to an archival agency, donation to an eligible depository, reproduction on microfilm, and destruction.

- DISPOSITION PROGRAM.** A management system resulting in the efficient and economical disposition of records by developing and implementing standards, procedures, and techniques. Includes scheduling records for disposition and administering their storage, documenting agency benefits accruing from the program, and undertaking surveys and audits of disposition operations.
- DISPOSITION SCHEDULE.** A document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization or agency. Also known as a records schedule, records control schedule, retention schedule, or records retention schedule. See also **COMPREHENSIVE RECORDS CONTROL SCHEDULE**, **GENERAL RECORDS SCHEDULE**.
- DISPOSITION STANDARD.** The time period for the cutoff, transfer to a records center, destruction, or offer to the National Archives and Records Service (NARS) of a records series.
- DOCUMENTATION.** (1) The recording of an agency's legal mission, functions, organization, policies, decisions, procedures, essential transactions, and accomplishments. (2) The body of records that results from such recording.
- DUPLEX-NUMERIC FILING.** The process of arranging records by adding assigned numbers associated with subordinate headings to those associated with main headings; e.g. 2 Communications, 2-1 Mail, and 2-1-1 Postage.
- FACILITATIVE RECORDS.** See **HOUSEKEEPING RECORDS**.
- FILE.** (1) An accumulation of records maintained in a predetermined physical arrangement. (2) Storage equipment, such as a filing cabinet. See also **SERIES**.
- FILE AUDIT.** A systematic evaluation of files operations, including such matters as subject file classification, coding, cross-referencing, retrieval time, accuracy of filing, use of cutoffs, and layout. Also called file inspection.
- FILE BREAK.** Termination of a file at regular periodic intervals to facilitate continuous disposal or transfer of the file series. Also called cutoff.
- FILE CODES.** Numbers or symbols used to abbreviate lengthy file designations that would otherwise be expressed as words. Most filing systems take their name from the file code system used; for example, alpha-numeric, decimal, numeric-alphabetic, and subject-numeric.
- FILE COPY.** The official or record document that is so marked or recognized, complete with enclosures or related papers. Also known as record copy. See **OFFICIAL FILES**.
- FILE CUSTODIAN.** A person given official responsibility for the control of records at a file station.
- FILE DESIGNATION.** A distinguishing symbol, subject, name, number, or date controlling the placement of a document in a filing system. See also **CODING**.
- FILE GROUP.** A collection of papers that have similar characteristics and that need to be kept apart from other groups of records at a file location. Also called file type. See also **SERIES**.
- FILE STATION.** Any location in the organization at which documents are maintained for current use. A file station may be small with only one or two file cabinets serving a single branch or section.
- FILES.** A collective term usually applied to all records of an office or agency.
- FILES OPERATIONS.** The practical application of filing principles; the performance of the practical work of arranging current records in systematic order for purposes of preservation and reference.
- FILES PLAN.** A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibilities. Also known as a files placement plan.
- FILING.** The act of putting documents into their place in accordance with an established system.

- FILING FEATURE.** The characteristic by which a document is filed and found such as a number, date, title, name, or subject.
- FILING MANUAL.** A guide to control and facilitate filing, which prescribes and explains a particular system.
- FILING SYSTEM.** A plan for organizing and identifying records so that they can be found quickly when needed. Most filing systems are based on either an alphabetic or a numeric arrangement.
- FOLLOWUP FILE.** A file used as a means of checking on borrowed records and effecting their return to the files.
- FUNCTIONAL CLASSIFICATION.** Successively dividing records into classes and subclasses to conform to the programs, activities, and transactions carried out by the organization accumulating the records.
- GENERAL CORRESPONDENCE FILE.** A file consisting of correspondence on a number of subjects, as distinguished from a case file that contains correspondence about specific transactions or projects.
- GENERAL RECORDS SCHEDULE.** A schedule, issued by NARS, governing the disposition of specified recurring series common to several or all agencies. Use of the General Records Schedule is MANDATORY.
- HOLDING AREA.** Agency space assigned for the temporary storage of current or semicurrent records and for records with relatively short retention periods. Also known as staging area.
- HOUSEKEEPING RECORDS.** Records of an organization that relate to budget, accounting, personnel, supply, and similar administrative or facilitative operations normally common to most agencies, as distinguished from program or substantive records that relate to an agency's primary functions. See also PROGRAM RECORDS.
- INACTIVE RECORDS.** See NONCURRENT RECORDS.
- INDEX.** A separate collection of cards, extra copies, cross-reference sheets, or other forms arranged in a different sequence from that of the related main file. An index provides a way of finding a document other than by its file designation. For example, a contract file that is arranged numerically might have an index arranged alphabetically by the name of the contract.
- INFORMATION COPY.** An extra copy other than the official file copy. May be sent to offices with an interest in the subject discussed.
- INVENTORY.** A survey of files prior to the development or revision of disposition schedules. Generally included are such data as series title, inclusive dates, use, volume, arrangement, duplication, and other pertinent information. Use of such forms as GSA Form 138, Records Inventory Worksheet, facilitates the completion of inventories.
- LOOSE FILING.** Placing papers in folders without attaching them to the folders or to backing sheets.
- MAINTENANCE OF RECORDS.** All operations incidental to the upkeep of an organized filing system. Includes classifying, indexing, sorting, filing, and reference service.
- MICROGRAPHICS TECHNOLOGY.** A process which reduces a unit of information, such as a page of text or a drawing, to a form which cannot be read without magnification.
- MNEMONIC FILING SYSTEM.** A classification system in which records are coded by symbols that remind the user of the subject; e.g., COM for communications and TEL for telephone. These symbols are usually arranged in alphabetic order.
- NONCURRENT RECORDS.** Records that are no longer required in the conduct of current business and therefore can be accessioned by an archival depository or destroyed. See also CURRENT RECORDS, SEMICURRENT RECORDS.

**NONRECORDS MATERIAL.** Material excluded from the definition of records, such as unofficial copies of documents that are kept only for convenience or reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. See also RECORDS.

**NUMERIC-ALPHABETIC FILING SYSTEM.** A classification system in which numbers are assigned to main divisions and letters and numbers to succeeding subdivisions. For example, 1 might stand for "administration," 1-C for the subdivision "personnel," and 1-C-4 for the further subdivision "retirement."

**NUMERIC FILING SYSTEM.** Any classification system in which records are arranged by numbers. May require an alphabetic index to facilitate its use.

**OFFICE OF RECORD.** An office designated as the official custodian of records for specified programs, activities, or transactions of an organization.

**OFFICE OF SUBJECT OUTLINE.** An outline that is normally based on the topics included in a prescribed agency subject outline and that lists each folder caption or subject heading needed for the records arranged by subject at a particular file station. See also SUBJECT OUTLINE.

**OFFICIAL FILES.** An accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence; the original or action copies of reports; completed forms, maps, photographs, and other documents.

**PAPERS.** See RECORDS.

**PERMANENT RECORDS.** In U.S. Government usage, records appraised by NARS as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. See also ARCHIVES.

**PROGRAM RECORDS.** Records created or received and maintained by an agency in the conduct of the substantive functions for which it is responsible. The term is used in contrast with housekeeping or facilitative records.

**PROJECT FILE.** A type of case file that contains records relating to an assigned task or problem. See also CASE FILE.

**PUBLIC RECORDS.** (1) In general usage, records accumulated by Government agencies. (2) Records open to public inspection by law or custom.

**READING FILE.** A file containing copies of documents arranged in chronological order. Sometimes known as a chronological file.

**RECORD COPY.** See FILE COPY, RECORDS.

**RECORD SET.** Official record copies of published materials, as distinguished from extra copies kept in stock.

**RECORDS.** All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, and extra copies of documents preserved only for convenience of reference. Stocks of publications and of processed documents are not included.

- RECORDS CENTER.** A facility for the economical storage and servicing of records pending their ultimate disposition.
- RECORDS CONTROL SCHEDULE.** See DISPOSITION SCHEDULE.
- RECORDS DISPOSITION.** See DISPOSITION.
- RECORDS MANAGEMENT.** That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records. Included are fulfilling archival requirements and ensuring effective documentations.
- RECORDS MANAGER.** The person responsible for or engaged in records management program activities. Sometimes known as a records officer or records administrator.
- RECORDS RETENTION SCHEDULE.** See DISPOSITION SCHEDULE.
- RECORDS RETIREMENT.** See RETIREMENT, DISPOSITION.
- RECORDS SCHEDULE.** See DISPOSITION SCHEDULE.
- RETENTION PERIOD.** See DISPOSITION SCHEDULE.
- RETENTION STANDARD.** The time period for particular records (normally a series) to be kept. Also called retention period or disposal period. See also DISPOSITION STANDARD.
- RETIREMENT.** Transfer of semicurrent and noncurrent records to a records center or some other authorized depository for storage.
- SCREENING.** The examination of records to determine the presence of documents eligible for destruction and the removal of such documents from the files. Also called weeding.
- SELF-INDEXING FILES.** A collection of records in which requested information can normally be searched for and found without resource to a separate index.
- SEMICURRENT RECORDS.** Records required so infrequently in the conduct of current business that they should be moved to a holding area or directly to a records center. See also CURRENT RECORDS, NONCURRENT RECORDS.
- SERIES.** File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Sometimes known as a records series.
- SORTING.** The process of separating papers into groups for filing according to a classification system. A second and third sorting of individual groups may be required to achieve the necessary final breakdown.
- STAGING AREA.** See HOLDING AREA.
- SUBJECT CORRESPONDENCE FILES.** See SUBJECT FILES.
- SUBJECT FILE CLASSIFICATION SYSTEM.** Various plans used for identifying and coding documents by topic to provide an orderly and accurate way of filing and finding. Examples of such systems include the subject-numeric, alphabetic-subject, alpha-numeric, duplex-numeric, and mnemonic. See also FILING SYSTEM, SUBJECT FILES.
- SUBJECT FILES.** Records arranged and filed according to their general informational content. Consist mainly of general correspondence but may also include forms, reports, and other materials that relate to programs and functions and not to a specific case or a particular person or organization. The purpose of establishing subject files is to bring together all papers on the same topic to facilitate information retrieval. Also known as correspondence files, general correspondence files, or central files.

**SUBJECT-NUMERIC FILING SYSTEM.** A subject file classification system in which the main topics are arranged in alphabetic order and the subdivisions are coded for numeric arrangement. For example, "PERSONNEL 10" might stand for "hours of duty." This system may be modified by combining it with the mnemonic filing system so that, for example, "PERSONNEL 10" would become "PER 10."

**SUBJECT OUTLINE.** A written list of topics arranged in hierarchical manner (i.e., primary, secondary, tertiary) and serving as the source for selecting file designations (folder label captions) for arranging or classifying the documents of a subject file. File codes are normally included with the subject outline.

**SUSPENSE FILE.** See FOLLOWUP FILE.

**TECHNICAL REFERENCE MATERIAL.** Copies of reports, studies, compilations of data, drawings, periodicals, clippings, etc., that are needed for reference and information but are not made a part of the official files. Such nonrecord material is to be kept only as long as needed and may be periodically replaced with more current material.

**TICKLER FILE.** See FOLLOWUP FILE.

**TRANSACTION FILE.** A type of case file that documents the conducting of negotiations, business matters, and the like to a particular conclusion or settlement. See also CASE FILE.

**TRANSITORY RECORDS.** A general term for records that lose their value within a short period of time and that should be separated during filing from records requiring longer retention.

**UNSCHEDULED RECORDS.** Records for which no ultimate disposition has been determined.

**VITAL RECORDS.** Records essential for maintaining the continuity of Federal Government activities during a national emergency. Consist of two categories: (1) emergency operating records which outline the essential functions of the Government for the duration of emergency conditions and (2) rights and interests records which are required for the preservation of the rights and interests of individual citizens and the Government.

**WEEDING.** See SCREENING.

**WORKING PAPERS.** Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents.



## APPENDIX B: SUBJECT FILE CLASSIFICATION SYSTEM

### 1. INTRODUCTION

- a. The model subject files classification system provides a uniform method of organizing administrative records that are not part of a case or project file arrangement. The purpose of this system is to provide a model arrangement for administrative correspondence which will be useful to components currently using an inadequate or unsatisfactory system.
- b. The system includes 16 primary subject titles representing administrative functions common to most Agency components with related subordinate subjects grouped in outline form as subdivisions of the primary subject. These subdivisions are referred to as secondary and tertiary subjects. Primary subjects are assigned a three-letter code; secondary and tertiary subjects contain the same three-letter code and a simple numerical identification. The following illustrates the subject-numeric coding system:

- (1) Primary subject: PER Personnel
- (2) Secondary subject: PER 10 Pay Administration
- (3) Tertiary subject: PER 10-2 Deductions

By expanding the primary subjects as necessary to include different program areas, a component can develop a comprehensive filing system for all correspondence filed by subject.

### 2. PRIMARY SUBJECTS

ADP	Automated Data Processing
ADS	Administrative Services
AUD	Audits and Investigations
BUD	Budget
CMC	Committees, Meetings, and Conferences
EEO	Equal Employment Opportunity
FIN	Financial Management
LEG	Legal and Legislative
OPM	Organization, Planning, and Management
PER	Personnel
PRC	Procurement and Contracting
PUB	Public Relations
REM	Records Management and Information Processing
SEC	Security Services
TAE	Training and Education
TRV	Travel and Transportation

#### a. AUTOMATED DATA PROCESSING (ADP)

Use these subject categories for general correspondence and related papers pertaining to automated and electronic data processing equipment, systems, management, and operations. Do NOT use this outline for documentation which is appropriate for filing in specific case files.

<u>Code</u>	<u>Title</u>
ADP	AUTOMATED DATA PROCESSING—Use for ADP planning and management in general.
ADP 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys of ADP within Agency, progress reports, and significant accomplishment reports.

<u>Code</u>	<u>Title</u>
ADP 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
ADP 3	AUTOMATED SYSTEMS—Use for general material regarding systems initiation, development, documentation, operation, and maintenance. Subdivide by name of system. Includes information and statistics, systems, and computer simulation systems.
ADP 4	DATA PROCESSING FACILITIES
ADP 4-1	Accessories-Auxiliary Equipment
ADP 4-2	Word Processing
ADP 4-3	Machine Utilization
ADP 4-4	Maintenance and Repair
ADP 5	EQUIPMENT SELECTION
ADP 5-1	Requirements, Specifications, and Standards
ADP 5-2	Equipment Studies
ADP 6	FEASIBILITY STUDIES—Use for general correspondence relating to feasibility studies. For specific study projects, create a separate case file.
ADP 7	LIAISON AND INFORMATION EXCHANGE—Use for general material regarding liaison with computer facilities and programs of other internal Agency components and other Federal agencies.
ADP 8	STANDARDIZATION—Use for general correspondence regarding data processing standards and standards development.

b. ADMINISTRATIVE SERVICES (ADS)

Use these subject categories for general correspondence and related papers pertaining to office service functions, including buildings and grounds, mail facilities and services, office equipment and supplies (less file equipment and supplies), printing, property management, and telecommunications. Do NOT use this outline for documentation which is appropriate for filing in specific case files.

<u>Code</u>	<u>Title</u>
ADS	ADMINISTRATIVE POLICY—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
ADS 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
ADS 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
ADS 3	BUILDING AND GROUNDS
ADS 3-1	Acquisitions—Use for general material on acquisition of buildings and grounds lease, lease amendments, renewals, floor plans, etc.; acquisition of real property.
ADS 3-2	Facilities and Maintenance—Includes cleaning, heating and air conditioning, utilities, moving, alterations, and repairs.
ADS 3-3	Space Management
ADS 3-4	Parking
ADS 4	MAIL FACILITIES AND SERVICES
ADS 4-1	Mailing Lists
ADS 4-2	Courier Services
ADS 4-3	Postage and Fees
ADS 5	OFFICE EQUIPMENT AND SUPPLIES (EXCEPT FILES EQUIPMENT AND SUPPLIES)—Use for general material on procurement, distribution, and control.
ADS 5-1	Maintenance and Repair
ADS 5-2	Purchase
ADS 5-3	Surplus Property (Except Files Equipment)

<u>Code</u>	<u>Title</u>
ADS 6	PERSONAL PROPERTY ACCOUNTABILITY—Use for general material on control, identification, inventory, loss or damage, and transfers.
ADS 7	PRINTING AND REPRODUCTION
ADS 7-1	Graphic Services—Includes artwork, design, drafting, etc.
ADS 7-2	Copying Services—Includes internal copier control.
ADS 7-3	Printing and Binding
ADS 7-4	Requisition and Authorizations—Use for general papers not regarding a specific requisition.
ADS 8	TELECOMMUNICATIONS
ADS 8-1	Telegraph, Teletype, and Facsimile Service
ADS 8-2	Telephone Service
ADS 8-3	Telephone Directories

**c. AUDITS AND INVESTIGATIONS (AUD)**

Use these subject categories for general correspondence and related papers pertaining to audits and Inspector General (IG) investigations. Do NOT use this outline for documentation which is appropriate for filing in specific audit or IG investigation case files.

<u>Code</u>	<u>Title</u>
AUD	AUDITS AND IG INVESTIGATIONS—Use for general policy not identified by a specific subject listed below.
AUD 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
AUD 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
AUD 3	STANDARDS AND PROCEDURES—Use for procedures for conducting, reporting, and reviewing audits and IG investigations.
AUD 3-1	Plans and Preparations
AUD 3-2	Development of Findings
AUD 3-3	Closure-Resolution
AUD 4	INTERNAL AUDITS
AUD 4-1	Administrative and Program Operations
AUD 4-2	Fiscal Administration
AUD 4-3	Exceptions
AUD 5	CONTRACT AUDITS
AUD 6	AUDIT TRAINING
AUD 7	COORDINATIONS WITH FEDERAL AGENCIES—Use for listing Federal agencies cooperating with IG program activities. Subdivide if necessary.
AUD 8	IG INVESTIGATIONS
AUD 8-1	Conflict of Interest
AUD 8-2	Fraud and Embezzlement
AUD 9	IG INVESTIGATIVE REFERRALS
AUD 10	QUALITY CONTROL
AUD 11	LIAISON ORGANIZATIONS—Use for listing non-Federal organizations involved with IG program activities.

**d. BUDGET (BUD)**

Use these subject categories for general correspondence and related papers pertaining to the preparation, review, and submission of Agency budget data, including budget estimates, justifications, policies, procedures, and financial plans. Do NOT use these subjects for documentation which is appropriately filed in a specific case file. See the FINANCIAL MANAGEMENT outline for records of accounting and management of appropriated and other funds.

<u>Code</u>	<u>Title</u>
BUD	BUDGET—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
BUD 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
BUD 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
BUD 3	BUDGET PREPARATION AND SUBMISSION
BUD 3-1	Budget Estimates—Includes preliminary estimates.
BUD 3-2	Submissions and Justifications—Use for materials concerning submission of budget estimates to the Director, Office of Management and Budget and Congress. Subdivide by review organization if appropriate.
BUD 4	BUDGET EXECUTION
BUD 4-1	Allotments and Authorizations
BUD 4-2	Apportionment and Allocations
BUD 4-3	Transfer of Funds
BUD 5	FINANCIAL PLANS—Use for overall plans for expenditure of funds. Includes requests, consolidations, review work plans, approvals, etc.
BUD 6	FUND AVAILABILITY—Appropriated funds, earned reimbursements, refunds, allocations received, transfer appropriations, etc.

**e. COMMITTEES, MEETINGS, AND CONFERENCES (CMC)**

Use this subject category for material regarding committees, meetings, conferences, task forces, etc., ONLY when the subject matter is too broad or general to be filed by specific subject. Establish individual files by name of committee, conference, etc., and arrange in alphabetical order, omitting a numeric code. See ORGANIZATION, PLANNING, AND MANAGEMENT (OPM) for committee management.

<u>Code</u>	<u>Title</u>
CMC	COMMITTEES, MEETINGS, AND CONFERENCES—Use for subject matter that is too broad or general to be filed by specific subject. For example:
CMC	AUTOMATION TASK FORCE
CMC	CAREER DEVELOPMENT PLANNING CONFERENCE
CMC	CONTRACT REVIEW BOARD—FY 83
CMC	DESIGN AND EVALUATION COMMITTEE—1982
CMC	ENGINEERING WORKING GROUP
CMC	PROJECT REVIEW BOARD—Jan - Jun 1982
CMC	PROJECT REVIEW BOARD—Jul - Dec 1982
CMC	SECURITY WORKING GROUP

**f. EQUAL EMPLOYMENT OPPORTUNITY (EEO)**

Use these subject categories for general correspondence and similar papers related to equal employment opportunity. Do NOT use this outline for documentation which is appropriate for filing in specific discrimination case files.

<u>Code</u>	<u>Title</u>
EEO	EQUAL EMPLOYMENT OPPORTUNITY—Use for general information not related to a specific subject listed below.
EEO 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
EEO 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
EEO 3	AFFIRMATIVE ACTION PLANNING

<u>Code</u>	<u>Title</u>
EEO 4	COMPLAINTS
EEO 4-1	Formal—Including EEO Advisory Committee
EEO 4-2	Informal
EEO 5	DISCRIMINATION—Use for materials that relate to discrimination in equal opportunity matters.
EEO 5-1	Age
EEO 5-2	Ethnic Origin
EEO 5-3	Handicapped Persons
EEO 5-4	Race
EEO 5-5	Color
EEO 5-6	Sex
EEO 5-7	Religion
EEO 6	FEDERAL WOMEN—Use for information concerning programs designed for Federal women.

g. FINANCIAL MANAGEMENT (FIN)

Use these subject categories for general correspondence and related papers pertaining to disbursement and collection activities and the maintenance, control, and accountability of Agency finances. Do NOT use this outline for documentation which is appropriate for filing in specific case files. See the BUDGET section of the subject classification system for materials relating to preparation, submission, and execution of the Agency budget. See TRAVEL AND TRANSPORTATION for subject outline for general correspondence on policies and procedures regarding the travel of individuals and movement of household goods, etc.

<u>Code</u>	<u>Title</u>
FIN	FINANCIAL MANAGEMENT—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
FIN 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
FIN 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
FIN 3	AUTHORIZATIONS AND DESIGNATIONS—Use for designations of personnel to perform paying, collecting, timekeeping, and similar functions.
FIN 4	BONDING OF EMPLOYEES
FIN 5	ACCOUNTING SYSTEMS
FIN 5-1	Accounting Codes and Symbols
FIN 5-2	Automated Accounting Systems
FIN 6	COLLECTIONS/RECEIPTS
FIN 6-1	Accounts Receivable
FIN 6-2	Adjustments
FIN 6-3	Checks, Money Orders, Currency—Except payroll and travel.
FIN 7	DISBURSEMENTS—Except payroll and travel.
FIN 7-1	Accounts Payable
FIN 7-2	Adjustments
FIN 7-3	Imprest Fund
FIN 7-4	Letters of Credit
FIN 7-5	Voucher Examination and Certification
FIN 8	GENERAL LEDGER—Includes correspondence concerning general ledger accounting, including journal vouchers, subsidiary ledgers, trial balances, balance sheets, etc.
FIN 9	CONTRACTOR ACCOUNTING

<u>Code</u>	<u>Title</u>
FIN 10	OBLIGATION FUND CONTROL AND FLOW
FIN 11	PAYROLL ACCOUNTING
FIN 11-1	Deductions
FIN 11-2	Paychecks
FIN 11-3	Salary Changes
FIN 12	TRAVEL ACCOUNTING
FIN 12-1	Advances
FIN 12-2	Per Diem
FIN 12-3	Transportation

**h. LEGAL AND LEGISLATIVE (LEG)**

Use these subject categories for general correspondence and similar papers pertaining to the Agency's legislative programs, relations with Congress, and legal matters that are so general in nature that they cannot be filed under more specific subjects. Do NOT use this outline for documentation which is appropriate for filing in specific legal and legislative case files.

<u>Code</u>	<u>Title</u>
LEG	LEGAL AND LEGISLATIVE—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
LEG 1	COPYRIGHTS—PATENTS
LEG 2	FEDERAL REGISTER
LEG 2-1	Published Items
LEG 2-2	Proposed Items
LEG 3	LEGAL LIBRARY
LEG 4	LEGISLATION
LEG 4-1	Proposed
LEG 4-2	Enacted
LEG 5	LITIGATION AND APPEALS
LEG 5-1	Civil Actions
LEG 5-1-1	Freedom of Information Act
LEG 5-1-2	Privacy Act
LEG 5-2	Criminal Actions
LEG 6	OPINIONS AND DECISIONS
LEG 6-1	Administrative
LEG 6-2	Judicial

**i. ORGANIZATION, PLANNING, AND MANAGEMENT (OPM)**

Use these subject categories for general correspondence and related papers pertaining to the establishment, organization, reorganization, and termination of organizational units; the assignment and reassignment of functions; operational planning, management analysis, and surveys; manpower requirements and utilization; and emergency planning. Do NOT use this outline for documentation which is appropriate for filing in specific case files.

<u>Code</u>	<u>Title</u>
OPM	ORGANIZATION, PLANNING, AND MANAGEMENT—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
OPM 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
OPM 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
OPM 3	COMMITTEE MANAGEMENT—General correspondence regarding the management and administration of Agency committees. Do NOT use for papers on a committee meeting which should be filed under the specific subject category or category CMC (Committees, Meetings, and Conferences).

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<u>Code</u>	<u>Title</u>
OPM 4	DELEGATIONS OF AUTHORITY
OPM 5	ADMINISTRATIVE SURVEYS—Includes administrative and operational surveys of a general nature.
OPM 6	MANAGEMENT ANALYSIS AND IMPROVEMENT (See also RECORDS MANAGEMENT AND INFORMATION PROCESSING)—Includes management improvement, evaluation, and cost-reduction activities other than inspections, audits, and surveys.
OPM 7	EMERGENCY PLANNING (See also RECORDS MANAGEMENT AND INFORMATION PROCESSING under VITAL RECORDS.)—Use for material relating to continuation of operations in an emergency.
OPM 8	ORGANIZATION AND REORGANIZATION—Includes organization charts, statements of functions, organization and reorganization plans, history and background of elements, and the establishment and jurisdiction of regional offices.
OPM 9	STAFF CONTROL AND UTILIZATION
OPM 9-1	Staff Requirements
OPM 9-2	Work Distribution
OPM 9-3	Work Simplification
OPM 9-4	Work Measurement
OPM 10	PROGRAM PLANNING AND EVALUATION—Use for general material on the overall planning, direction, coordination, supervision, review, and evaluation of program goals.
OPM 11	PROJECTS MANAGEMENT—Use for general correspondence relating to the management and administration of Agency projects.

j. PERSONNEL (PER)

Use these subject categories for general correspondence and related papers pertaining to personnel. Do NOT use this outline for documentation which is appropriate for filing in specific case files. See EQUAL EMPLOYMENT OPPORTUNITY for subject outline for general correspondence and similar papers related to equal employment opportunity. \*

<u>Code</u>	<u>Title</u>
PER	PERSONNEL—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
PER 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
PER 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
PER 3	ATTENDANCE AND LEAVE—Includes annual, sick, military leave, leave without pay, holidays, and absence for jury duty. Subdivide by type as volume warrants.
PER 4	EMPLOYEE RELATIONS AND SERVICES
PER 4-1	Appeals and Grievances—Use for general material on the appeals system, policies and procedures for handling appeals, complaints, and grievances.
PER 4-2	Campaigns and Programs—Includes Combined Federal Campaign, Savings Bonds Campaign, and blood donation program.
PER 4-3	Conduct of Employees—Use for general materials relating to regulations and procedures governing conflicts of interest, political activities, acceptance of gratuities, etc. Subdivide as necessary.
PER 4-4	Disciplinary and Adverse Actions
PER 5	EMPLOYMENT
PER 5-1	Former Employees
PER 5-2	Job Retention and Restoration

<u>Code</u>	<u>Title</u>
PER 5-3	Special Categories—Includes students, handicapped veterans, consultants, etc.
PER 6	HEALTH AND MEDICAL CARE—Includes injuries, alcoholism, physical examinations, etc. Subdivide as necessary.
PER 7	HOURS OF DUTY
PER 8	INSURANCE AND ANNUITIES
PER 8-1	Life Insurance
PER 8-2	Health Insurance
PER 8-3	Retirement
PER 8-4	Unemployment Compensation
PER 9	LABOR MANAGEMENT RELATIONS
PER 10	PAY ADMINISTRATION
PER 10-1	Allowances and Differentials
PER 10-2	Deductions
PER 10-3	Name and Record Changes
PER 11	PERFORMANCE EVALUATION
PER 11-1	Documentation and Processing
PER 11-2	Ratings and Appraisals
PER 11-3	Performance Standards
PER 12	PERSONNEL MANAGEMENT—Includes program inspections and surveys.
PER 13	POSITION CLASSIFICATION
PER 13-1	Appeals
PER 13-2	Job Descriptions
PER 13-3	Series and Standards
PER 13-4	Surveys and Evaluations
PER 14	POSITION MANAGEMENT—Use for requests for, establishment of, and control over numerical authorization of staffing levels of personnel ceilings.
PER 14-1	Personnel Ceilings
PER 14-2	Staffing Patterns
PER 15	PROMOTION AND INTERNAL PLACEMENT
PER 15-1	Assignments and Demotions
PER 16	RECRUITMENT, SELECTION, AND APPOINTMENT
PER 16-1	Advertising and Publicity—Includes general material relating to vacancy announcements.
PER 16-2	Application for Employment
PER 16-3	Appointment—Subdivide by type of appointment if volume warrants.
PER 16-4	Examination and Testing
PER 16-5	Qualifications
PER 16-6	Requirements
PER 17	SEPARATION AND DISPLACEMENT
PER 17-1	Death
PER 17-2	Reduction-in-Force
PER 17-3	Resignation
PER 17-4	Separation for Cause
PER 17-5	Transfer
PER 18	CAREER DEVELOPMENT
PER 18-1	Career Planning and Counseling
PER 18-2	Orientation
PER 19	AWARDS AND COMMENDATIONS—Subdivide by type of award if volume warrants.

**k. PROCUREMENT AND CONTRACTING (PRC)**

Use these subject categories for general correspondence and related papers pertaining to procurement of Agency supplies, equipment, and services; contracting for supplies and services; and interagency agreements. Do NOT use this outline for documentation which is appropriate for filing in a specific contract or procurement case file.

<u>Code</u>	<u>Title</u>
PRC	PROCUREMENT AND CONTRACTING—Use this subject for general policies that cannot be placed under a more specific category.
PRC 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
PRC 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
PRC 3	AUTHORIZATIONS AND APPOINTMENTS—Includes contracting officers and purchase limitations.
PRC 4	PROCUREMENT METHODS—Includes formal advertising, negotiations, small purchases, and blanket purchase agreements.
PRC 5	SUPPLIERS AND CONTRACTORS
PRC 5-1	Bidder Lists
PRC 5-2	Ineligible Bidders
PRC 5-3	Small Business and Minority Businesses
PRC 5-4	Catalogs, Price Lists, and Schedules
PRC 6	PURCHASE ORDERS AND REQUISITIONS—Includes policies and procedures for submission and requisition.
PRC 7	CONTRACTS AND AGREEMENTS—Includes general material on clauses, forms, etc. Subdivide by type of contract such as lease, rental, interagency agreement, etc.
PRC 8	SOLICITATIONS, BIDS, AND AWARDS
PRC 8-1	Issuance for Invitation for Bids/Request for Proposals
PRC 8-2	Evaluation of Bids and Proposals
PRC 8-3	Negotiation
PRC 8-4	Award
PRC 9	CONTRACT ADMINISTRATION
PRC 9-1	Contract Monitoring
PRC 9-2	Changes and Modifications
PRC 9-3	Cost and Billing Rates
PRC 9-4	Closeout and Termination

l. Not used.

**m. PUBLIC RELATIONS (PUB)**

Use this subject outline for general correspondence and related papers pertaining to public affairs functions, the preparation of publications containing program information, the clearance of publications and audiovisual materials for issuance and distribution, and the promotion of program activities. Do NOT use this outline for documentation which is appropriate for filing in specific case files, nor for information requested under Freedom of Information Act (FOIA) and Privacy Act (PA). See ADMINISTRATIVE SERVICES for subject headings relating to printing and reproduction, including graphic services. See RECORDS MANAGEMENT AND INFORMATION PROCESSING for subject headings concerning FOIA and PA requests for information.

<u>Code</u>	<u>Title</u>
PUB	PUBLIC RELATIONS—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
PUB 1	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.

<u>Code</u>	<u>Title</u>
PUB 2	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
PUB 3	AUDIOVISUAL—Includes promotional aids and publication materials. Subdivide by type if volume warrants; maps, charts, posters, motion pictures, recordings, photographs, and slides.
PUB 4	BRIEFING MATERIALS
PUB 5	EXHIBITS, CEREMONIES, COMMUNITY PROJECTS
PUB 6	INVITATIONS—ENGAGEMENTS
PUB 7	PUBLICATIONS
PUB 7-1	Annual Reports
PUB 7-2	Articles
PUB 7-3	Biographies
PUB 7-4	Newsletters and House Organs
PUB 7-5	Press Releases
PUB 7-6	Public Service Announcements
PUB 8	PUBLIC OPINION
PUB 8-1	Congratulations, Commendations, Appreciation
PUB 8-2	Criticisms, Critiques
PUB 8-2-1	Favorable
PUB 8-2-2	Unfavorable
PUB 9	PRESS RELATIONS
PUB 10	RADIO, TELEVISION, AND MOTION PICTURE—Use for Agency relations with these groups.
PUB 11	SPEECHES
PUB 12	VISITORS, REPRESENTATIVES, GUESTS

n. RECORDS MANAGEMENT AND INFORMATION PROCESSING (REM)

Use this subject outline for general correspondence relating to such records management functions as records maintenance and disposition, document security, and the management of correspondence, forms, directives, and reports. Do NOT use this outline for documentation which is appropriate for filing in a specific case file.

<u>Code</u>	<u>Title</u>
REM	RECORDS MANAGEMENT—Use for information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.
REM 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
REM 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
REM 3	CORRESPONDENCE MANAGEMENT—Includes procedures and instructions.
REM 4	DIRECTIVES MANAGEMENT—Use for correspondence on systems for issuing policy and procedures for giving guidance to Agency personnel and outsiders. Do NOT use for copies of directives.
REM 5	DOCUMENT AND INFORMATION SECURITY—Use for systems and procedures regarding the handling and control of information and documents. Includes material on technical, administrative, and physical safeguards to ensure the confidentiality of records containing national security information.
REM 6	FORMS MANAGEMENT—Use for general correspondence on forms clearance and control, design and development, analysis, storage, and distribution.
REM 7	FREEDOM OF INFORMATION ACT—Use for requirements involving inquiries specifically identified as Freedom of Information Act requests. Do NOT use for case files.

<u>Code</u>	<u>Title</u>
REM 8	MICROFORM MANAGEMENT—Use for correspondence regarding the management of microfilm, microfiche, and other microforms.
REM 9	PRIVACY ACT—Use for requirements involving inquiries specifically identified as Privacy Act requests. Do NOT use for case files.
REM 10	RECORDS DISPOSITION—General correspondence on policy and procedures to be followed in administering and operating the Agency's records disposition program as a whole.
REM 10-1	Disposition Schedules—General correspondence about scheduling records.
REM 10-2	Records Retirement
REM 10-3	Statistical Reports of Records Holdings
REM 11	RECORDS EQUIPMENT AND SUPPLIES
REM 12	RECORDS MAINTENANCE—Includes filing systems.
REM 13	REPORTS MANAGEMENT—General matters regarding the preparation, submission, control, and cost of reports.
REM 14	VITAL RECORDS—General correspondence on policy and procedures to be followed in handling records essential to the Agency's operations in an emergency situation.

**o. SECURITY SERVICES (SEC)**

Use these subject categories for general correspondence and related papers pertaining to Office of Security service functions, including physical security, personnel security, clearances, accountability and handling of classified material, and related subjects. Do NOT use this outline for documentation which is appropriate for filing in specific case files.

<u>Code</u>	<u>Title</u>
SEC	SECURITY SERVICES—Use for information pertaining to general policies and procedures that cannot be put under specific subjects.
SEC 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
SEC 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
SEC 3	PHYSICAL SECURITY
SEC 4	PERSONNEL SECURITY
SEC 4-1	Special Clearances
SEC 4-2	Liaison Clearances
SEC 5	ACCOUNTABILITY AND HANDLING OF CLASSIFIED MATERIAL
SEC 6	SAFETY PROGRAM

**p. TRAINING AND EDUCATION (TAE)**

Use these subject categories for general correspondence and related papers pertaining to Office of Training and Education. Do NOT use this outline for documentation which is appropriate for filing in specific case files.

<u>Code</u>	<u>Title</u>
TAE	TRAINING AND EDUCATION—Use for general material which cannot be filed under a more specific subject of this nature.
TAE 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
TAE 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
TAE 3	INTERNAL TRAINING—Use for general material relating to various internal training courses.
TAE 4	EXTERNAL TRAINING

q. TRAVEL AND TRANSPORTATION (TRV)

Use these subject categories for general correspondence and related papers pertaining to the travel of individuals and the movement of household goods; the shipment of equipment, supplies, and materials; and the acquisition, maintenance, use, and disposition of motor vehicles. Do NOT use this outline for documentation which is appropriate for filing in a specific case file. See FINANCIAL MANAGEMENT for accounting matters.

<u>Code</u>	<u>Title</u>
TRV	TRAVEL AND TRANSPORTATION—Use for general material which cannot be filed under a more specific subject of this outline.
TRV 1	REPORTS AND STATISTICS—Use for general reports, studies, surveys, progress reports, and significant accomplishment reports.
TRV 2	LAWS AND REGULATIONS—Use for proposed laws, regulations, and revisions thereto relating to Agency programs.
TRV 3	GOVERNMENT VEHICLES—Use for general material on acquisition, assignment and use, credit cards, operator permits, maintenance and repairs, and motor vehicle reporting. Includes General Services Administration (GSA) interagency motor pool vehicles and Agency vehicles.
TRV 4	ITINERARIES AND RESERVATIONS
TRV 5	TRANSPORTATION OF PERSONAL AND HOUSEHOLD EFFECTS
TRV 6	TRAVEL ALLOWANCES—Includes per diem and mileage rates, travel advances, etc.
TRV 7	TRAVEL ORDERS/AUTHORIZATIONS—Use for general material of a regulatory or procedural nature. Includes transportation requests.
TRV 8	TRAVEL VOUCHERS—Use for procedures regarding preparation and submission. (See FINANCIAL MANAGEMENT for accounting matters.)



## APPENDIX C: FILE EQUIPMENT AND SUPPLIES

### CORRESPONDENCE TYPE FILE EQUIPMENT

The two-, four-, or five-drawer safe is the most common type of filing equipment used by the Agency.

#### 1. STANDARD FILE EQUIPMENT

##### a. Two-Drawer Safe

The two-drawer desk safe occupies no additional office floor space when used as a pedestal for a desk. It should be used only when there is a legitimate need for secure storage at the desk location. This safe is the most expensive in terms of cost per cubic feet of storage.

##### b. Four-Drawer Safe

The four-drawer safe occupies the same amount of office floor space as a freestanding two-drawer safe. It provides twice the storage volume at less than twice the cost of a two-drawer safe.

#### 2. NONSTANDARD FILE EQUIPMENT

##### a. Five-Drawer Safe

The five-drawer safe increases filing capacity by 20 percent without increasing office floor space requirements. When office floor space is critical, this type safe should be considered, despite its additional cost.

##### b. Card Filing Cabinet

This equipment is available with a combination lock and is suitable for storing 3x5 and 5x8 inch cards or 4x6 inch microfiche. Storage of classified material in this equipment is restricted to Office of Security-approved vaulted areas. (See HR [redacted] for guidance on the storage of classified information or material.)

##### c. Oversized Items

Cabinets for storing maps, charts, and other oversized items are available with or without combination locks.

##### d. Lateral and Shelf File Equipment

Lateral and shelf files store records in lateral fashion with the sides of the file folders facing forward rather than their front surface. The shelves may be fixed or on roll-out drawers. This equipment utilizes floor space more efficiently, speeds filing and retrieval, and costs less than the standard safe-type storage equipment. The equipment can be constructed to store cards, magnetic tapes, and various microforms. Storage of classified material in this equipment is restricted to Office of Security-approved vaulted areas. The component RMO should be consulted early in the planning phase when lateral or shelf filing equipment is being considered. A description of other types of file equipment and filing supplies may be found in the General Services Administration (GSA) Supply Catalog, FSC Group 75.

APPENDIX D

## APPENDIX D: GLOSSARY OF COMMON MICROGRAPHIC TERMS

**ARCHIVAL MICROFILM.** Silver halide microfilm meeting the requirements of Federal Standard No. 125D, Film, Photographic and Film, Photographic, Processed (for permanent records use); American National Standards Institute (ANSI) Standard PH1.25-1976, etc. (See FPMR 101-11.502 (a).) For Agency purposes, archival microfilm is defined as a silver gelatin type film that is controlled through all phases of processing in accordance with the provisions of FPMR 101-11.5. The Printing and Photography Division, Office of Logistics, provides centralized micrographic services available to all Agency components. Those components using this central facility can be assured that processed film meets the technical specifications established by NARS for the production of archival quality microfilm. Agency components performing independent micrographic operations (not processed by the central facility) are obligated to follow the same standards and specifications set forth in FPMR 101-11.5 for the production and processing of archival quality film. The objective of meeting these rigid requirements is to produce high quality microfilm capable of being stored under environmentally controlled conditions for long-term (permanent) retention with no significant loss in quality or readability.

**COMPUTER OUTPUT MICROFILM (COM).** Microfilm containing data produced by a recorder from computer-generated signals.

**FACILITY.** An area set aside for equipment and operations required in the production or reproduction of microforms either for internal use or for the use of other organizational elements of the Federal Government.

**MICROFILM.** (1) Raw (unexposed and unprocessed) film with characteristics that make it suitable for use in micrographics. (2) The process of recording microimages on film. (3) A fine-grain, high-resolution photographic film containing an image greatly reduced in size from the original.

**MICROFORM.** A term used for any form containing microimages.

**MICROGRAPHICS.** The science and technology of document and information microfilming and associated microform systems.

**MICROIMAGE.** A unit of information, such as a page of text or a drawing, that has been made too small to be read without the aid of magnification.

**PERMANENT RECORD.** Any record (see 44 U.S.C. 3301) that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government.

**SYSTEM, MICROGRAPHIC.** A configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms. A micrographic system may involve one or more, but not necessarily all, of the functions listed above.

APPENDIX E

## APPENDIX E: ELEMENTS OF A MICROGRAPHIC SYSTEM ANALYSIS

(Items applicable for Agency use have been extracted from FPMR 101-11.505.)

- (1) A system analysis including a cost/benefit analysis shall be conducted prior to the decision to establish a micrographic system. The cost/benefit analysis shall include a comparative cost analysis in accordance with Office of Management and Budget (OMB) Circular A-76, if it meets the guidelines described therein.
- (b) The system analysis will contain the following items:
  - (1) An examination of the current operating system to evaluate the need for the documents or information and the use to which they are put.
  - (2) A consideration of the alternatives to micrographics including such measures as:
    - (i) Revising records control schedules to provide for the disposition of paper records by disposal, or transfer of inactive records to the AARC.
    - (ii) Improving current retrieval and distribution procedures using paper records.
  - (3) A consideration of all feasible alternative methods of creating the microform records, such as:
    - (i) Purchase, lease, or lease-purchase of equipment.
    - (ii) Sharing micrographic production equipment already in the Agency.
  - (4) An analysis of the workload and staffing requirements to ensure sufficient trained personnel to operate and maintain the micrographic system.
  - (5) An examination of the information needs of the user when determining reduction ratio, format, quality control procedures, viewing equipment, and user training.
  - (6) A review to ensure compatibility of microforms used within the Agency and those used to transmit information to other agencies and the public.
  - (7) A determination of the availability and cost of specialized space requirements: i.e., temperature, humidity control, etc.
- (c) The chosen alternative will be the most cost effective and efficient system unless overriding intangible benefits necessitate an alternate decision.



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