

SUBJECT-NUMERIC FILES SYSTEM: INSTRUCTIONS

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SECTION 1

The Subject-Numeric File System Defined

The Subject-Numeric File system is a subject classification system in which a selected number of subject titles are arranged alphabetically and the subdivisions are coded for numeric arrangement. The purpose of such a system is to provide a uniform method for filing and maintaining record material. The components of the system are:

- 1 Subject-Numeric File Outline (see Exhibit 2). The system to be used by record-keepers has 36 primary subject headings. They are:

ASSOCIATIONS AND SOCIETIES	PATENTS
AUDITS, INVESTIGATIONS, AND REVIEWS	PERMITS
AUTHORIZATIONS	PERSONAL PROPERTY
AUTOMATED DATA PROCESSING	PERSONNEL
BUDGET	PROCUREMENT AND CONTRACTING
COMMITTEES	PROGRAM AGREEMENTS
COMMUNICATIONS	PROGRAM MANAGEMENT/STRATEGIC PLAN IMPLEMENTATION
COOPERATION	PROGRAM PLANNING AND REVIEW
ENERGY CONSERVATION	PROJECTS
ENVIRONMENTAL QUALITY	PUBLICATIONS
EQUAL EMPLOYMENT OPPORTUNITY	RADIOLOGICAL SAFETY
FINANCIAL MANAGEMENT	REAL ESTATE-REAL PROPERTY
INFORMATION-PUBLIC RELATIONS	RECORDS MANAGEMENT
INFORMATION RESOURCE MANAGEMENT	REPORTS-STATISTICS
INTERNATIONAL	REPRODUCTION AND DISTRIBUTION
LEGAL AND LEGISLATION	RESEARCH
MANAGEMENT	TRAVEL AND TRANSPORTATION
MEETINGS	
ORGANIZATIONS AND REORGANIZATION	

The primary subject headings are further subdivided into secondary and tertiary subjects. Prepare folders only for subject headings actually used.

All program subjects are not included in the above subject outline because of the diversity of Agency programs. Each office is responsible for selecting its own program subjects and preparing the respective file outline. Additional administrative subjects may be added to the Subject-Numeric File Outline. Submit additions to the Records Management Officer, Office Systems Policy Staff, General Services Division, for approval.

- 2 Alphabetic Cross Reference (see Exhibit 3). The purpose of an Alphabetic Cross Reference is to ensure that like material will be filed consistently under the same file heading. The Alphabetic Cross Reference consists of alphabetically compiled listings of topics as they may be titled or thought of, followed by the proper file designation. The Alphabetic Cross Reference is triple spaced to permit the addition of other subjects.

SECTION 2

Basic File Groups

Breaking the records into separate file groups makes filing easier, reduces the area of search, and keeps permanent or essential documents separated from records of temporary value. Each file group can be further subdivided into units closely related by subject matter, person or organization, transaction, place, thing, or event. Records within each file group share common characteristics that differentiate them from records in other file groups. There are 10 basic groups:

- 1 General Correspondence (Subject Files). Consists of letters, memorandums, telegrams, enclosures, reports, and miscellaneous materials arranged by subject.
- 2 Transitory Correspondence. Consists of short-lived material such as papers involved in replying to routine requests for publications or information, in transmitting routine data to other offices, and in arranging for meetings or hotel reservations. These are normally disposable within 6 months after the date of preparation. Material of this type should be placed in separate folders. Depending on paper volume, these folders may be placed either at the front of the file drawer or behind the primary subject.
- 3 Case Files. Case files contain all material relating to a specific action, transaction, event, person, place, project, or other subject, brought together from inception to discontinuance and filed in one folder by name or number.
- 4 Alphabetic Name File (Pink Manifold Copy). The pink copy is filed alphabetically by name of addressee and is used to locate records when the requester specifies only the names of persons or organizations. When there are several pinks addressed to the same person, arrange latest date in front, and paper clip together in chronological order. A separate folder should be set up by the individual's name when five or more of these copies accumulate.

This copy is classified at the same time and with the same subject as the yellow manifold copy which is filed in the subject file.

When the yellow manifold can only be filed in one place, such as case files for active contracts, grants, projects, etc., a pink manifold copy need not be made.

Multiple mailings (letter addressed to more than one correspondent) will be filed in chronological order, latest date in front, in a special folder labeled "MULTIPLE MAILINGS."

- 5 Working Papers. These papers consist of short-lived background materials such as reference materials, rough drafts, notes, and calculations used in the preparation or analysis of other documents.

- 6 Technical Reference Materials. Consists of copies of reports, studies, compilations of data, drawings, periodicals, clippings, etc., that are needed for reference and information but are not part of the official files.
- 7 Extra "Convenience" Copies. Copies of documents created or received that are retained merely for ease of use as a finding or disposal medium. (This does not include the pink manifold file copy.)
- 8 Film, Tape, Printouts, or Disk Records. These records are usually kept separately because of their physical characteristics.
- 9 Cartographic Materials and Drawings. Consists of maps, charts, serial photographs, physiographic diagrams, and engineering drawings. These are usually kept separate from other records because they come in a variety of sizes and formats.
- 10 Card Files. These usually consist of 3" x 5" or 5" x 8" index cards, punch cards, or microprinted cards.

SECTION 3

Filing Procedures

Filing is a much easier job if records are not allowed to accumulate. Records should be filed on a regular basis, preferably daily.

- 1 Examination of Papers to Be Filed. One of the least productive and most costly of all office tasks is the indiscriminate filing of unneeded papers. Many offices routinely file every paper or publication that comes into the office. This filing of unneeded papers is a waste of manpower and equipment.

Even though Federal laws and regulations require agencies to maintain certain records, there are steps that can be taken to reduce the number of papers being filed. The following is a list of types of files which, if maintained, should be physically separated from the main files and destroyed as soon as they are no longer needed.

- a Duplicate Files. Most duplicate files are kept for convenience and are seldom essential to office operations. Examples of duplicate files are employee copies, reading files circulated for information, then retained, and a duplicate of the main file kept "just in case."
 - b Publication Files. Publications should not be placed in file cabinets because of the large volume received. One of the simplest methods of controlling this problem is to make a list of the publications received, have everyone who uses the materials review them to determine the importance of the publication and the earliest disposal date. For publications that must be filed, retention periods can be shortened by setting up a file in which the oldest issue is discarded as the latest one is added.
 - c Directives. Departmental issuances, Federal Property Management Regulations, Agency directives, etc., should not be filed in correspondence files. It is suggested that this material be filed in 3-ring binders to facilitate reference and disposal.
 - d Information Only Files. These files usually contain incoming copies of letters and forms that are designed to keep officials informed. Most of this information should not be filed but should be disposed of as soon as the official has reviewed it. Only those copies that are needed to prevent gaps in the file or which will be needed for future reference should be retained.
- 2 Files Classification. Classifying records or determining the file designation requires a complete and detailed knowledge of the functions and operations of the office and of the file subjects which relate to those functions and operations. This specialized knowledge will enable the classifier to select the most appropriate subject classification.

- a Classifying Subject File Material. Papers to be filed will be marked in the upper right-hand corner with file codes taken from the File Outline (Exhibit 2). The disposal date may also be marked under the file code.

	United States Department of Agriculture	Agricultural Research Service	Administrative Services Division	National Agricultural Library Building Beltsville, Maryland 20705
	August 24, 1982	SUBJECT: Records Disposition TO: Mike Jones		

*Rec 8
Disposition
1986*

The following is a list of techniques used to select the proper subject file classification:

- (1) First, read the subject line, if any.
 - (2) Look for key phrases or familiar terms used in the text and check these against the File Outline or the Alphabetic Cross Reference.
 - (3) In cases where the subject is vague, contact the writer or other authoritative source to determine clearly the subject matter. In many cases, merely the identification of the originator may establish the subject area to which the document belongs.
 - (4) If a paper involves two or more topics within the same primary or other subject, classify by the broader subject.
 - (5) If a paper involves more than one primary subject topic and there is a good chance that it will be asked for by either subject, mark the paper in the upper right-hand corner with the file code, select the file symbol for the second subject and write it immediately below the file symbol for the first subject. Place an "X" before the second file symbol to indicate that a subject cross reference is required. Then file the paper under one topic and cross reference under the other topic using Optional Form 21, Cross Reference (see Figure 3-1, page 8).
 - (6) Classify pink alphabetical name file at the time the yellow is classified.
 - (7) Be consistent.
- b Classifying Case File Material. Case file papers will be marked in the same way as the subject material, with the exception of forms and reports used in personnel, fiscal, and other operations showing numbers, names, and other identifying characteristics which are self classifying (e.g., T&A's, contracts).

For these self-classifying documents, it is suggested that the identifying number or name be underlined for immediate identification.

- c Preclassification. the originator of correspondence may determine the proper file location code for the subject matter and place the filing code on the upper right-hand corner of the draft copy before giving it to the typist.
- d Classification Review. File codes should be double checked before filing to ensure that they are accurate.

3 Filing.

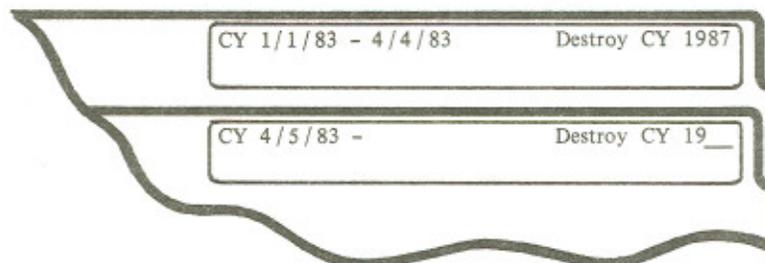
- a General. Remove all rubber bands, paper clips, extra staples, duplicate copies, and other unneeded papers.

Arrange papers to be filed alphabetically by the primary file codes, and then by secondary and tertiary codes within each primary code. For filing papers in case files, alphabetical name files, and related files, follow the guidelines in Figure 3-2, Rules for Alphabetic Filing (see page 9).

The paper will then be placed left-edge down in the folders, facing the front of the drawer. Always file the most recently dated material in the front of the folder.

File folders should be prepared only for those subjects needed by the filing office. File papers in the primary subject folder until there are about 10 papers on the same secondary subject, at which time prepare a separate folder for the secondary subject. The same rule applies to tertiary subjects. When filing papers belonging to secondary and/or tertiary subjects together in one general folder, it is recommended that the disposal date be recorded under the file code.

When a folder reaches 3/4-inch thickness and cannot be subdivided further, cut the folder off by adding the inclusive dates to the folder label. Then prepare a new folder showing the beginning date. Place this folder in front of the cut-off folder. Example:



- b File Cut-Off Periods. Cut off high-volume folders (those having an annual accumulation of more than 25 papers) once a year. This is usually done at the end of the fiscal year. Offices with small quantities of records may use the same folder for more than one year. In such cases, the inclusive dates of the contents must be shown on the folder. Folders should be cut off at least once every 3 years.

Cut off files by:

- (1) Preparing a new set of folders for the current fiscal or calendar year.
- (2) Physically separating inactive subject files and closed case files from active files by placing them in a separate file drawer. For proper disposition, follow the procedures outlined in DIRECTIVE 251.8, Records Disposition.

4 Loan of Records/Folders. The purpose of charge-out cards is to show which records have been removed from the files, who borrowed them, and the date they were removed. There are two types of charge-out cards:

- a Correspondence Charge-Out Card (AD-235). this card issued to charge out material from a subject folder (see Figure 3-3, page 13).
- b Folder Charge-Out Card (AD-234). This card is used to charge out an entire folder or case file (see Figure 3-4, page 14).

When loaning out an entire file folder, place the properly completed charge-out card in the place of the folder. Remove the card when the file is returned. When individual records are removed from a folder, place the card in the folder until the record is returned.

5 Continuity Reference Sheet. Sometimes, in a general correspondence file, it is necessary to bring forward a record from a cut-off subject file and attach it to current material. When this is done, replace the record with an Optional Form 22, Continuity Reference (see Figure 3-5, page 15).

FIGURE 3-1

CROSS-REFERENCE

CROSS-REFERENCE (Name, number, or subject under which this form is filed)		
		REAL ESTATE-REAL PROPERTY 2
IDENTIFICATION OF RECORD	DATE	2/15/83
	TO	D. Smith, ASD-RMAB
	FROM	J. Jones
	BRIEF SUMMARY OF CONTENTS	Transfer of land deeds to NARS.
	FILED (Name, number, or subject under which the document itself is filed.)	REC 2-4
<p>NOTE: Organizational titles or locations may be needed to identify to whom the letter is addressed or from whom it is received.</p> <p>Use understandable abbreviations in summarizing contents.</p>		
CROSS-REFERENCE		

FIGURE 3-2

RULES FOR ALPHABETIC FILING

Rules	Examples
1. Personal names	
a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.	Arthur B. Anglin--filed Anglin Arthur B.
b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St. (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetic sequence.	David de Valera--filed de Valera David.
c. HYPHENATED surnames of individuals are filed as one complete surname.	Blanche Duff-Gordon--filed Duff-Gordon Blanche.
d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.	Black Thunder. Henry George.
e. MARRIED WOMEN'S names. The legal name will be used, and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine Adams Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).	Laurens Josephine Mary (Mrs) (Mrs. William A.).
Cross-reference:	Laurens William A. (Mrs)-- filed Laurens Josephine Mary. Chas. Brown--filed Brown Charles.
f. ABBREVIATED first names are filed as though they were spelled in full.	
g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname used as the first name. Nicknames with no recognizable surnames are filed as they are written.	Red Larson--filed Larson Red. Boston Jimmie.
h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.	Dr. Charles C. Brown--filed Brown Charles C. (Dr.). Father Pierre--filed Father Pierre
i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.	C. Albert Brown, Jr.--filed Brown C. Albert (Jr.).

Rules

Examples

2. Firms, corporations, companies, associations, institutions, governments, and geographic names.

a. **COINED** names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.

b. **SURNAMES** are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.

c. **PREFIXES** on firm and geographic names, such as Co-, D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.

d. **HYPHENATED** firm names are filed as one complete name.

e. **COMPOUND** names of firms that may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words such as Inter State; Mid West; South Eastern; South Side; North East.

f. **COMPOUND GEOGRAPHIC** firm names are filed as written. Abbreviations are filed as though spelled in full.

g. **ABBREVIATIONS** representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.

h. **APOSTROPHE S ('s)** is not considered in filing, but s apostrophe (s') is considered in filing.

i. **ARTICLE, CONJUNCTION, OR PREPOSITION**, such as the, and, &, of, for, on, by, when it is part of a firm name is enclosed in parentheses and disregarded in filing. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.

j. **STATE, COUNTY, CITY, TOWN**, or a similar word when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a government establishment, is filed as written.

k. **NUMERALS** of one or two digits that make up a name or the beginning of a name are read in units and tens and are filed as though spelled

AAA Chemical Co.--filed AAA
Chemical Company.
Aunt Jemima's Pancake Flour--filed
Aunt Jemima's Pancake Flour.
Charles Brown & Company--filed
Brown Charles (&) Company.

De la Verne Co.--filed
De la Verne Company.
Los Angeles, Calif.--filed
Los Angeles, California.

Air-E-Ator Ventilating Co.--filed
Air-E-Ator Ventilating Company.
Inter State Warehousing Co.--filed
Inter State Warehousing Company.

Ft. Wayne Paper Co.--filed Fort
Wayne Paper Company.
N.J. Coal & Coke Co.--filed New
Jersey Coal (&) Coke Company.
Amer. Society for Civic Education--
filed American Society (for)
Civic Education.
E. 59th St. Garage--filed East
Fifty Ninth Street Garage.
Anglin's Beauty Shop--filed
Anglin's Beauty Shop
Anglins' Automobile Co.--filed
Anglins' Automobile Company.
The Calico Cat--filed Calico Cat
(The).

Il Progresso Italo--filed
Il Progresso Italo.

City Letter Co.--filed City
Letter Company.
County of Wall Surveying Co.--filed
County (of) Wall Surveying
Company.
86 Madison Ave. Realty Co.--filed
Eighty-six Madison Avenue Realty
Company.

Rules

out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.

l. **FIRM** names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any government establishment or function, are filed as written.

m. **STANDARD TERMS**, such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc. whether they appear before or after the names are filed as written. They are not translated.

n. **CHANGE** of firm name due to successorship should be filed under the current firm name and a permanent cross-reference made under the former name.

Cross-reference:

o. **MULTIPLE** names. Firms doing business under two titles are filed under the more active or important name and a permanent cross-reference is made under the other name. This includes firms "doing business as," written "d/b" or "d/b/a."

Cross-reference:

p. **PARTNERSHIP AND FIRM** names that contain the full names of two or more individuals are filed by the name of the first individual mentioned.

q. **VARIOUS LOCATIONS**. The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when three is a duplication of city names.

r. **SUBSIDIARIES OR DIVISIONS**. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

Examples

1198 Park Ave. Corp.--Eleven Hundred Ninety-eight Park Avenue Corporation.

92-96 W. 18th St. Corp.--filed Ninety-two (96) West Eighteen Street Corporation.

Committee for Economic Development--filed Committee (for) Economic Development

Brown Bros.--filed Brown Brothers. Cie Generale Transatlantique--filed Cie Generale Transatlantique.

Clairo Company formerly Van Ess Products Co.--filed Clairo Company (Formerly Van Ess Products Co.).

Van Ess Products Company--filed Clairo Company

Max Jensen doing business as Ace Van Lines--filed Ace Van Lines.

Jensen Max d/b/a filed Ace Van Lines.

Charles Brown & Henry Jones--filed Brown Charles (& Henry Jones).

Allied Van Lines, Denver, Colo. --filed Allied Van Lines, Denver, Colorado.

Allied Van Lines, Portland, Me. --filed Allied Van Lines, Portland, Maine.

Truscon Steel Co. Division of Republic Steel Corp.--filed Republic Steel Corporation Truscon Steel Co. Division.

Rules

Examples

s. **BANKS, BOARDS OF TRADE, NEWSPAPERS, etc.** Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.

t. **FEDERAL DEPARTMENT NAMES.** Federal Government departments and subdivisions thereof are filed by name in the alphabetic name file disregarding the parent organization.

U.S. Coast Guard:
Office of Management and Budget:
Great Lakes Naval Training Station:
Executive Office of the President:

3. **FRATERNAL** or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.

4. **INSTITUTION** names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

5. **SUBDIVISIONS** of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.

Board of Trade Chicago, Ill--
Chicago (Ill.) Board of Trade.

Filed Coast Guard (U.S.)
Filed Management and Budget
Office (of).
Filed Great Lakes Naval Training
Station
Filed President Executive Office
(of The).
Veterans of Foreign Wars,
Portsmouth Post, N.H.--filed
Portsmouth (N.H.) Post, Veterans
(of) Foreign Wars.
Andrew Carnegie Library--filed
Carnegie Andrew Library;
University of Washington--filed
Washington University (of).

Water Dept. Fairfax County,
Va.--filed Fairfax County (Va.)
Water (Dept).

FIGURE 3-3

CORRESPONDENCE CHARGE-OUT CARD

OUT	OUT	OUT
DATE OF RECORD <i>3/18/83</i>	1. DATE OF RECORD	1. DATE OF RECORD
2. CLASSIFICATION <i>Records Management 2-5</i>	2. CLASSIFICATION	2. CLASSIFICATION
3. TO <i>C. Rooney</i>	3. TO	3. TO
4. FROM <i>B. Brown</i>	4. FROM	
5. SUMMARY <i>Transfer of records to OICD</i>	5. SUMMARY	
<p>When correspondence is returned, cross through the block and remove the card to the front of the file drawer for re-use.</p>		
6. CHARGED TO <i>D. Smith</i>	6. CHARGED TO	6. CHARGED TO
7. DATE CHARGED OUT <i>3/30/83</i>	7. DATE CHARGED OUT	7. DATE CHARGED OUT
<p>AD-235 (1/80) CORRESPONDENCE CHARGE-OUT</p>		
7. DATE CHARGED OUT	7. DATE CHARGED OUT	7. DATE CHARGED OUT
6. CHARGED TO	6. CHARGED TO	6. CHARGED TO
5. SUMMARY	5. SUMMARY	5. SUMMARY
4. FROM	4. FROM	4. FROM
3. TO	3. TO	3. TO
2. CLASSIFICATION	2. CLASSIFICATION	2. CLASSIFICATION
1. DATE OF RECORD	1. DATE OF RECORD	1. DATE OF RECORD
OUT	OUT	OUT

PLACE UPRIGHT IN FOLDER

PLACE UPRIGHT IN FOLDER

FIGURE 3-5

CONTINUITY REFERENCE

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (Under which this form is filed)	REC 11, Correspondence Management
DATE (Under which this form is filed)	December 15, 1982
TO	John Hill
FROM	C. L. Jones
BRIEF SUMMARY OF CONTENTS	Questions on guidelines for FAS correspondence clearance.
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	FAS Correspondence Clearance Guidelines
DATE	January 11, 1983
TO	Perry Smith
FROM	C. L. Jones
<p>Use Form OF-22 to indicate that the document(s) have been removed from an inactive file to a current file, when the document is needed for current operations. Complete Form OF-22 as illustrated. Move the document to the active file and file Form OF-22 in its place in the inactive file.</p> <p>Do not use Form OF-22 when a document is removed for one-time research or audit purposes and is to be returned to the original file.</p> <p>Do not use Form OF-22 in a case file, since a case file contains all documents on the case from start to finish regardless of date and thus provides its own continuity.</p>	
CONTINUITY REFERENCE	

SECTION 4

Preparation of File Folder Labels, Guide Cards, and Drawer Labels

Proper labeling is a very important part of a well managed and efficient filing system. Labels act as signposts, speeding the filing and retrieving of records (see Figure 4-1, page 17).

1 File Folders. The folder labels will contain the following information:

- a Folder subject title.
- b Name of the case file (if any).
- c Period covered by the folder (fiscal year [FY], calendar year [CY]).
- d File disposition authorized in the approved Records Control Schedule, DIRECTIVE 251.8.

The subject title will appear exactly as it appears in the File Outline (see Exhibit 2). Each folder label will be typed and attached to the folder in the format described below.

2 Placement of Folder Labels. There are three areas on the folder tab where a label may be placed: the left-hand corner, center, and the right-hand corner.

- a Left-Hand Corner. This label will contain the folder subject title in the following format:

FINANCIAL MANAGEMENT(FIN) 14-2 Payrolls Time and Attendance Reports

- b Tab Center. This label will contain only the name or number of the case file.

Doc, John

- c Right-Hand Corner. This label will contain the time period covered by the folder and the disposition information.

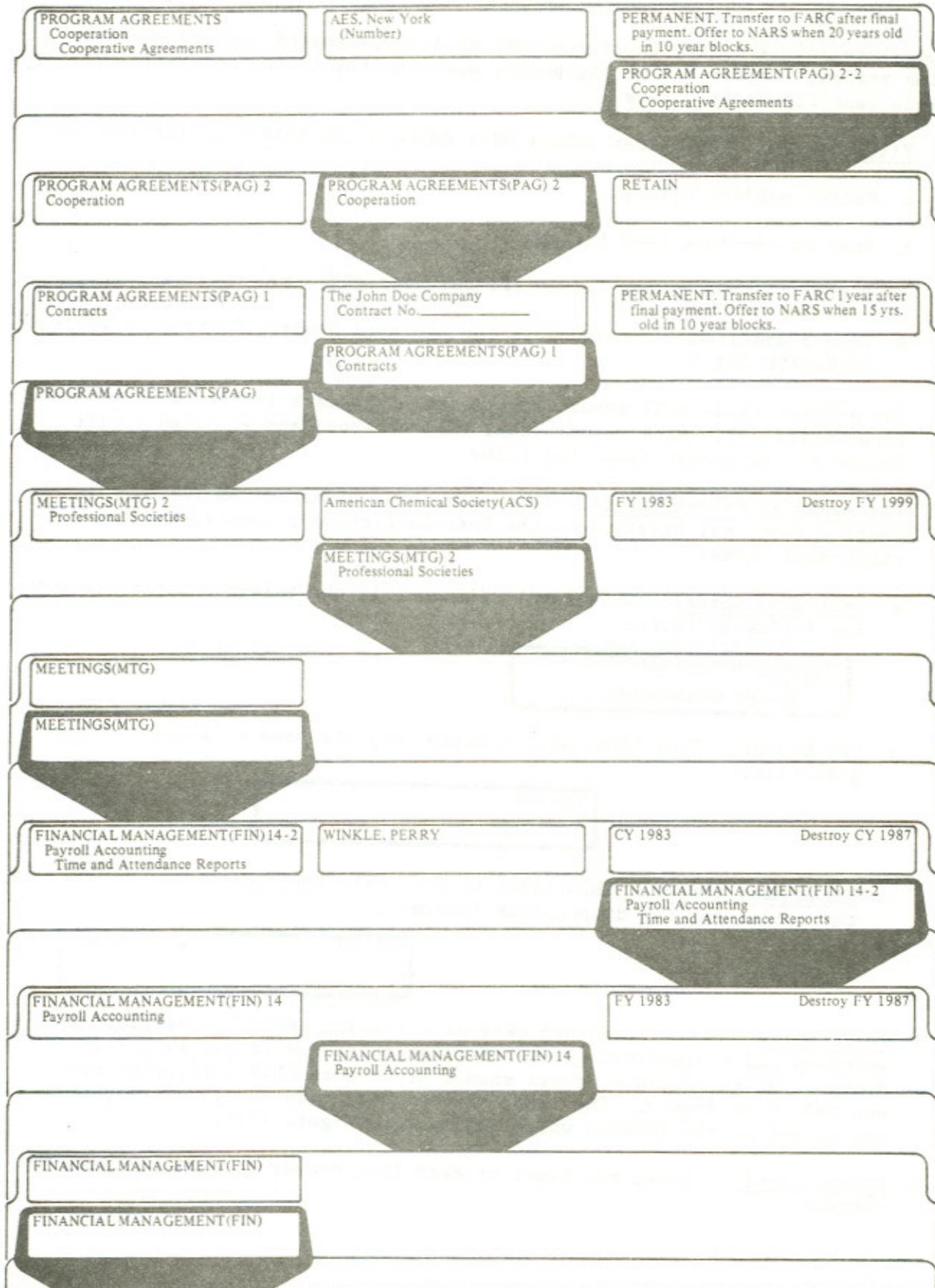
CY 1983	Destroy CY 1987
---------	-----------------

3 Guide Cards. Guide cards are used as a finding media for various file segments and to separate groups of files contained in the same file drawer. On the average, there should be no more than 6-10 guide cards per full file drawer. The label on the guide card should clearly show the nature of the folders which follow (see Figure 4-1).

4 Drawer Labels. Label the front of each file drawer to show the drawer contents.

FIGURE 4-1

GUIDE CARDS AND FOLDERS



SECTION 5

Requests for Filing Supplies and Equipment

- 1 Standard Filing Supplies and Equipment (see Figure 5-1, page 20). All AD-700 requests for filing cabinets will bear a statement showing compliance with the conditions set forth in MANUAL 221.1 which states: "Filing cabinets will not be requested or replaced until every effort has been made to effect maximum use of filing cabinets on hand according to records management practices." Listed below are suggestions for the efficient use of filing equipment.
 - a Dispose of all records which are included on schedules approved by the National Archives and Records Service (NARS).
 - b Remove office supplies, publications, and other nonrecord material from filing cabinets to more suitable storage equipment, except where the quantity of such material is small--as a rule, less than half a cabinet.
 - c Transfer inactive or semiactive records, not authorized for immediate disposal, to a Federal Archives and Records Center (FARC), to the extent that facilities are available, or transfer to NARS where records are of sufficient historical or other value to warrant their permanent preservation.
 - d Shift inactive records which must be maintained in Agency space to less expensive containers, such as transfer cases, wood cabinets, and corrugated boxes placed on shelving.
 - e Use letter-size filing cabinets instead of legal-size ones.
 - f Use five-drawer filing cabinets in lieu of two- and four-drawer cabinets.
- 2 Nonstandard Filing Supplies and Equipment. For the sake of uniformity and efficiency, only those items listed in Figure 5-1 should be procured for use. Any additional supplies and equipment, such as automatic data processing media cabinets, microform cabinets, legal-size cabinets and folders, must be approved by the Area Administrative Officer. the AD-700 should contain a justification as well as the statement required in 1 above.

The following specialized filing equipment must be clearly justified and approved by the Records Management Officer, GSD through the Area Administrative Officer.

- a Electric power files.
- b Hand-powered mechanical files.
- c Track-operated shelf files.
- d Fire-resistant and insulated files.

e Security-type cabinets with built-in combination or padlock locking features.

f Electronic data processing media cabinets obtained from sources other than GSA and Federal Supply contracts.

A written justification must accompany all requests for specialized equipment. Justifications for other than security-type cabinets will contain a breakdown of dollar savings expected from the use of specialized equipment based on a 3-year amortization of equipment costs. These savings may be based on a decrease in manpower costs, increased production, and a reduction in space that can be used for other essential purposes.

Justifications for security-type file cabinets will explain the nature, volume, and value of the proposed contents, and the degree of risk involved in using less secure but available or cheaper equipment such as key-locked file or supply cabinets.

FIGURE 5-1
STANDARD FILING SUPPLIES AND EQUIPMENT

NOTE: In Source of Supply column: CSB = Central Supply Branch, Office of Operations; CR = Central Receiving (primarily serves offices located in Maryland)

<u>GSA Stock Number</u>	<u>Item</u>	<u>Source of Supply</u>
	Filing cabinet, metal, letter size, 5-drawer	GSA
	Without lock	
With lock		
7110-00-497-2346	-2508 Black	
7110-00-497-2370	-2506 Parchment	
7110-00-286-3798	-- Gray	
7110-00-551-5495	-- Walnut finish	
7530-00-663-0031	Kraft folders, letter size, square cut, <u>reinforced top</u>	GSA, CSB, & CR
7530-00-577-4376	Labels, gummed, blank, pressure sensitive, file folder, white	GSA & CR
7530-00-988-6541	Card, guide, file, blank, metal tabs, 1/3 cut, letter size, first position	GSA & CSB
7530-00-988-6542	Card, guide, file, blank, angular metal tabs, 1/3 cut, letter size, second position	GSA & CSB
7530-00-988-6543	Card, guide, file, blank, angular metal tabs, 1/3 cut, letter size, third position	GSA & CSB
7530-00-988-6544	Card, guide, file, blank, angular metal tabs, 1/5 cut, letter size, first position	GSA
7530-00-988-6546	Card, guide, file, blank, angular metal tabs, 1/5 cut, letter size, third position	GSA
7530-00-988-6548	Card, guide, file, blank, angular metal tabs, 1/5 cut, letter size, fifth position	GSA
7510-00-286-9640	Inserts, index tab, 1/3 cut (extra inserts for use in 1/3-cut guide cards)	GSA & CR
-----	AD Form 234, Folder Charge-Out Card	CSB & CR
-----	AD Form 235, Correspondence Charge-Out Card	CSB & CR
7540-00-682-6423	OF Form 11, Reference Request - Federal Records Center (3-part set)	GSA & CSB
7540-00-823-8128	OF Form 21, Cross-Reference (pads of 33 sets)	GSA, CSB, & CR

<u>GSA Stock Number</u>	<u>Item</u>	<u>Source of Supply</u>
7540-00-891-9935	OF Form 22, Continuity Reference (pads of 100 sheets)	GSA, CSB, & CR
--	*Paper set, manifold and carbon paper set, yellow, 8-1/2 x 11	Open market
--	*Paper set, manifold and carbon paper set, pink, 8-1/2 x 11	Open market

*See DIRECTIVE 261.2, Correspondence Management Program, for the use of other colors of manifold.