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U.S. DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING
RECLAMATION AND ENFORCEMENT
DIRECTIVES SYSTEM

Subject Number:

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Date: 5/17/90

Subject: Policy and Procedural Guideline for the Office of Surface Mining Reclamation and Enforcement Records Management System

Approval: *Robert L. Allen* | **Title:** Acting Director

1. **PURPOSE.** This directive provides policy and procedural guidance to all Office of Surface Mining Reclamation and Enforcement (OSM) employees in the implementation and maintenance of the updated Records Management Manual, hereinafter called "the Manual."

2. **DEFINITIONS.** Terms common to the operations and maintenance of records are contained in the attached Manual.

3. **POLICY/PROCEDURE.**

a. **Authority.** The Files Maintenance and Records Disposition Program in the Federal Government is governed by the Records Disposal Act of 1943 (53 Stat. 390 and 50 Stat. 434), as amended; the Federal Records Management Amendments of 1976 (90 Stat. 2723); and 36 CFR 1228. The provisions of these laws place specific requirements upon the head of each Federal agency for the implementation and operation of an effective Files Maintenance and Records Disposition Program. The Records Management Manual establishes the operational procedures for the official Files Maintenance and Disposition Program for OSM.

b. **Responsibilities.**

(1) Assistant Directors, Field Office Directors, and Headquarters Heads of Staff Offices are responsible for:

- The implementation and operation of the Files Maintenance and Records Disposition System;
- the establishment of official files; and,
- the designation of Records Liaison Officers (RLO) to represent their respective offices in the administration of this program.

(2) Records Management Officer (RMO) located in Headquarters is responsible for the agency-wide direction of policy and oversight for the Files Maintenance and Records Disposition System. This responsibility includes:

- planning, formulating, evaluating, and prescribing basic files maintenance and records disposition policies, systems, standards, and procedures:

- coordinating the overall files maintenance and records disposition program;
- providing records management advice and assistance to all organizational levels;
- inspecting the files at all organizational levels to ensure that records are being maintained according to the Files Maintenance and Records Disposition System and advising management officials of findings and recommendations for improvement;
- reviewing and evaluating filing equipment utilization and recommending appropriate action;
- coordinating, approving, and publishing changes to the Manual through change notices to this directive;
- serving as liaison with the National Archives and Records Administration (NARA) and other agencies on related matters pertaining to records management; and
- preparing records required on holding, records disposition activities, and records other reports, as requested.

(3) Records Liaison Officers (RLO) are responsible for the administration of all phases of records management within their offices including:

- Coordinating the files operations;
- evaluating the program's effectiveness;
- coordinating the preparation of records holding reports, records disposition activities, and other reports as requested; and
- acting as liaison between their offices and the RMO.

(4) Managers and Supervisors are responsible for the management of files in their offices and will designate a recordkeeper to maintain the files under their control.

(5) Recordkeepers. Individuals designated as recordkeepers are responsible for:

- The establishment, maintenance, operation of file station, and disposition of records within their offices in accordance with the prescribed procedures; and
- the preparation of required reports.

4. REPORTING REQUIREMENTS. The Annual Summary of Records Holdings is submitted to the RMO by the RLO, upon request, following the end of each fiscal year. Each recordkeeper will submit a feeder report to the appropriate RLO. The RMO will submit a consolidated report to the Department.

5. REFERENCES.

a. Records Disposal Act of 1943 (53 Stat. 380 and 59 Stat. 434), as amended.

b. Federal Records Act of 1950 (64 Stat. 538).

c. Federal Records Management Amendments of 1976 (90 Stat. 2723).

d. 36 CFR 1228

e. FPMR 101-11.4 General Records Schedule.

6. EFFECT ON OTHER DOCUMENTS. Supersedes Temporary Directive No.: 88-16 dated October 1, 1988, Change #1 dated January 2, 1989, and Change #2 dated October 24, 1989.

7. EFFECTIVE DATE. Upon issuance.

8. CONTACT. Division of Management Services (202) 343-5447.

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RECORDS MANAGEMENT

Files Maintenance and Records Disposition



U. S. DEPARTMENT OF THE INTERIOR
Office of Surface Mining Reclamation and Enforcement

PART I
POLICY AND PROCEDURES

PART I - POLICY AND PROCEDURES

CHAPTER 1 - INTRODUCTION

The Records Management Manual has been developed for use in establishing a uniform method for filing, maintaining, servicing, and disposing of the subject, case and administrative files throughout the Office of Surface Mining Reclamation and Enforcement (OSM). The provisions of this Manual apply to all organizational components of OSM. The system will aid in documenting and preserving the history of OSM activities. The Manual will simplify the training of new employees and will provide a source of information on how OSM's files are being managed. Although the system is designed to be flexible and to meet the specific requirements of various offices, it is essential that the basic pattern of primary subjects and numerical codes be followed carefully so that an adequate degree of standardization can be maintained in operating the file system and disposing of the records.

Further subdivision of any of the subjects listed or expansion of the numerical codes shown is permissible to provide for the necessary detail which some offices may require.

However, no changes in the file classifications or subject codes will be permitted without the concurrence of the Records Management Officer (RMO). Recordkeepers will be notified of approved changes through a Change Notice to Directive INF-1.

- A. Purpose and Objectives. The purpose of the Records Management System is to promote economy and efficiency in the organization, maintenance, use, and ultimate disposition of records. Through the application of records management standards and techniques, the following objectives are achieved:
- Uniformity and simplicity in maintaining and using records;
 - adequate controls over the creation of file materials and prevention of the accumulation of unnecessary files;
 - easier classification, filing, retrieval, charging out, and refiling of records;
 - preservation of those records having sufficient continuing value to warrant their permanent retention; and
 - systematic cutoff and periodic destruction or retirement of records using approved records disposition schedule contained in this Manual.

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identifying number, symbol, or other identifier assigned to the individual, such as fingerprints, voiceprint, or a photograph. Records that are subject to the Privacy Act are those that may be retrieved by name, number or other individual identifier.

3. Filing Confidential Records. Safeguards must be applied when filing confidential records to ensure that improper disclosure of protected information is not made. Confidential records must be filed separately in equipment affording proper security. Use a cross-reference form in a nonconfidential subject or case file folder to indicate that the confidential material is filed in security equipment or a secure location. The cross-reference form will not reveal the content of the confidential material. If the entire folder is kept in secure equipment or a secure location, use a charge-out card to show the location of the folder.

D. Definitions

1. Accession is the process of taking over records from a creating or holding agency for the purpose of retaining them when they are no longer in current use; e.g., a body of records taken over by a Federal Records Center (FRC).
2. Active Records, also referred to as current records, are records which must be retained because frequent reference is necessary in conducting day-to-day operations.
3. Administrative Material, also referred to as "housekeeping records," reflect activities common to most Government agencies such as: Budget, personnel, space, parking, office supplies, printing and reproduction; and managerial activities concerned with organization, systems, methods, and procedures. Administrative material should not be confused with the Administrative Record.
4. The Administrative Record. By law, certain documents must be made available for review by the public. The Administrative Record is associated with both rulemaking and quasi-judicial actions.
5. Archives are the permanently valuable records, in whatever form, that have been created or received by a governmental body for its official purposes and made a part of its official documentation. In the records disposition schedule these are the records which are designated as "PERMANENT". Only the National Archives and Records Administration (NARA) is authorized to determine which records of an agency are archival. Archives also refers to an agency established to preserve

and make such records available for use, or a building in which such records are kept, e.g., the National Archives in Washington, D.C.

6. Case Working Papers are composed of extra copies of official file material; supporting or background material used in developing official files but not needed as part of the official file; and papers used as local administrative aids that do not serve as a basis for official action. Because working papers are considered to be nonrecord material, they are kept only as long as they are needed and then destroyed unless specified otherwise in the Disposition Schedule.
7. Closed Files are files (usually in a series) on which action is assumed to be completed and to which no papers are added.
8. Convenience Files are files, usually consisting of nonrecord, informational papers, kept in or near the user's desk for immediate reference purposes.
9. Cutoff is the termination (closing) of files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks. Under this process, a file is terminated regularly at the end of a specified time or event and, if necessary, a new file established.
10. Disposition is a broad term which may refer to any of the following:
 - Destruction of records;
 - retirement of records to the FRC or NARA; or
 - transfer of records from one office or agency to another.
11. Federal Archives and Records Center (FARC)/Federal Records Center (FRC) refers to a storage facility established for the receipt, maintenance, servicing, and disposition of files which are retired in accordance with standards established by this Manual.
12. File Series is a separately maintained group of files with similar characteristics such as a homogeneous subject matter, a single system of arrangement, similar types of paper within each folder, and the like. Each file or record series comprises the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal.

13. General Records Schedules (GRS) are the retention and disposal schedules issued by NARA listing records common to several or all Federal agencies which establish mandatory standards for general use in records management.
14. Inactive Records are records which are no longer referred to but which must be retained, temporarily or permanently, by OSM, the FRC, or the NARA because of legal, historical, or research value.
15. Maintenance of Records, in relationship to current records, refers to all operations incidental to the upkeep of an organized filing system including classification, indexing, sorting, filing and reference service. In relationship to records in the custody of an FARC/FRC or archives, maintenance of records refers to their proper storage, protection, repair, and rehabilitation when necessary.
16. Nonrecord Material consists of material which has no documentary or evidential value and may be disposed of when no longer needed. Nonrecord material includes, but is not limited to:
 - Stocks of publications, blank forms, and photocopied documents for distribution;
 - preliminary or intermediate drafts of letters, memoranda, reports, or other papers and preliminary work sheets and information notes which do not represent basic steps in the preparation of record copies of documents;
 - letters of transmittal which do not contain any information supplemental to that contained in the material transmitted;
 - photocopied or published materials, catalogues, trade journals or other papers received from other activities or offices, Government agencies, commercial firms, or private institutions which require no action and are not part of a case upon which action is taken;
 - library material preserved solely for reference;
 - reading or chronological files of correspondence;
 - tickler, follow-up, or suspense copies of correspondence; and
 - convenience, reference, or information copies.

17. Official Files are papers received by or created in the Agency documenting the transaction of its business. These files are preserved as evidence of the organization, functions, policies, decisions, procedures, or other activities of the Agency; or are preserved because of their information value. Official files include paper, photographs, maps, film, magnetic tapes, or other documentary materials regardless of physical form or characteristics which have documentary or evidential value. Official files may be destroyed only according to the provisions of authorized Records Disposition Schedules.
18. Official File Station is any office in which official record copies of correspondence and other documents are maintained.
19. Permanent Records are those records of Federal agencies that are determined through appraisal by NARA as worthy of permanent preservation. These records have been designated by the Archivist of the United States as having historical, legal, continuing, or enduring value.
20. Program Records are the mission records which relate to the reason OSM, or a particular office within OSM, was established, its plan of work, and its objectives. Examples include records related to abandoned mined lands, inspection and enforcement, and technical services and research.
21. Records Control Schedules are comprehensive listings and descriptions of records created or accumulated which show all legally authorized actions to be taken in relation to their retention and disposition. Record control schedules provide for the periodic retirement of records to FRCs and their final disposal or retirement.
22. Record Copy is the copy of a document specifically intended to be kept as a record, also referred to as "official file copy". It may be the original, a carbon, or a photocopy, or in non-paper format, such as magnetic tape or microform.
23. Record Set is the group of serial issuances of a particular type (as of press releases, manual issuance, or administrative notices) that, among many groups of copies thereof, has been designated as the official record, or is preserved archivally to serve as such.

24. Retention Period is the period of time that records must be kept. Records are retained in offices while active and in Federal Records Centers or the National Archives after they become inactive.
25. Retirement is the transfer of inactive records to FRCs or other authorized repositories for storage.
26. Schedule Item is a separately identifiable type or group of records included in a records disposition schedule.
27. Scheduled Records are records for which retention periods and disposition authority have been included in this Manual.
28. Screening is the removal of individual papers or folders from a group of records, usually to permit disposal of parts of the file and retention or transfer of the rest. This is also referred to as "purging" or "weeding."

CHAPTER 2 - PLANNING AND ARRANGING FILES

- A. Location of Official Files. The official subject file is maintained in Headquarters by the Regulatory Development and Issues Management (RDIM) Staff; in the Eastern and Western Field Operations offices by the Assistant Directors (AD); in the Field Offices by the Field Office Directors (FOD); and in the Area Offices by the Area Office Managers. The official case files are maintained by persons responsible for that function and, therefore, have no centralized location (e.g., grant case files, maintained in each Field Office).
- B. Basic Types (Groups) of Files. The files collection will normally consist of more than one basic type of file. The first step in planning and arranging a files collection is identifying and separating these various types. A file group consists of file materials that have similar characteristics and should be kept apart from other groups of records in the office. The following are common types of file groups:
1. General Correspondence (Subject) Files. Often referred to as the "general correspondence file" or the "subject correspondence file," this file consists of originals or copies of letters, memoranda, telegrams, reports, and miscellaneous materials. Because this file invariably involves a wide variety of subjects, it is identified and arranged by subject.
 2. Case or Project Files. Case files contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project but will always be filed by a name or a number. A case file documents a transaction or relationship from beginning to end. Where possible, contents of case or project files and their arrangement should be standardized.
 3. Technical Reference Files. Often referred to as "reference material," this file group consists of printed or photocopied material which is by itself of nonrecord value but which has a direct relationship to the work of the office and is needed for future reference. It includes such material as technical reports, periodicals, catalogues, handbooks, equipment manuals, pamphlets, internal instructional and informational manuals, and other similar type material.
 4. Convenience Files. These files consist of extra copies of correspondence, forms, and other papers kept to

satisfy a particular need. Examples of convenience files include reading or chronological files, suspense files, duplicate files, policy reference files and alphabetical name index files.

5. Nonstandard Size Files. Records are kept in nonstandard sized files because of their size or physical characteristics. These files are usually cartographic materials and drawings, computer printouts, films, magnetic tape, photographs, etc.
- C. Use of Microforms. The use of microforms to manage record systems involves the application of microfilming, microfiche, and optical scanning computer-enhanced compact disks. Record systems involving the use of microforms are subject to the provisions outlined in 36 and 41 CFR's. Included in these requirements is a cost analysis determination.

CHAPTER 3 - FILES MAINTENANCE AND DISPOSITION PLAN

- A. Purpose. The Files Maintenance and Disposition Plan (hereinafter called the Plan) is a management tool used to provide for an effective records system. It aids in determining the need for additional guidance concerning files policy and procedure, highlights the volume of agency records being managed, and provides disposition instructions for the records maintained.
- B. Requirements. The Recordkeeper for each official file station will prepare the Plan at the beginning of each fiscal year. Plans should contain only those items which apply to file series actually maintained at that station. Each file series maintained at the station will be listed on the Plan in disposition schedule item number order following the File Plan. Arrange the files in the same order.
- C. Preparation Instructions. Prepare two (2) copies of the Plan on the OSM Form 120 (Exhibit 1) and submit to the RLO for coordination within the Field Office. The RLO will forward all Plans to the RMO following the instructions contained on the reverse side of the form.
- D. Review and Approval. The RMO will review the new Plan for evidence of completeness and the presence of unscheduled series. After final approval and signature, the first copy is retained by the RMO for control and monitoring. The second copy is returned to the recordkeeper for records inventory and records disposal purposes.
- E. Updating and Revising the Plan. A new Plan will be prepared when the old Plan is substantially changed or when further minor corrections or additions cannot easily be made. The Plans will be reviewed at the close of the fiscal year and amended, if needed, to ensure that all files are accounted for and that cited disposition authorities are appropriate. This review also enables responsible individuals to determine whether disposition instructions are being effectively carried out.



UNITED STATES DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT



FILES MAINTENANCE AND DISPOSITION PLAN

1. Organizational Unit Name of Office Geographical Location		2. Date Prepared Month/ Day/Year	3. Prepared by Name of Recordkeeper
4. Records Officer Signature			
5. Files Plan			
A. Schedule Item Number	B. Title or Description of Record Series	C. Disposal Instructions	
500-13	Files Maintenance and Disposition Plan	Destroy when superseded.	
100-01a	Subject Correspondence Files (Program) AML Abandoned Mined Lands AML 3 AML Cooperative Agreements AML 7 Realty INE Inspection and Enforcement INE 4 Citizen Complaints INE 5 Inspections INE 11 Penalty Assessments SFP 3 State Programs SFP 3-1 State Programs Amendments SFP Federal Programs TSR 5 Research Programs TSR 6 Technical Review	PERMANENT. Cutoff at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA 15 years after cutoff.	
100-01b	Subject Correspondence Files (Administrative) ADS 3 Space Management ADS 6 Printing and Reproduction AUD 5 Fee Compliance Audit ADP Automatic Data Processing BUD 4 Budget Preparation PER 3 Attendance and Leave PER 13 Pay Administration TRV Travel and Transportation <u>CASE FILES</u>	Cut off at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.	
201-14	Blaster Certification Files	Destroy 2 years after expiration of certification.	
301-07	Duplicate Personnel Files	Review annually, destroy obsolete documents. Destroy all documents 1 year after employee separation or transfer.	



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FILES MAINTENANCE AND DISPOSITION PLAN

1. Organizational Unit Name of Office Geographical Location		2. Date Prepared Month/Day/Year	3. Prepared by Name of Recordkeeper
4. Records Officer Signature Leave Blank			
5. Files Plan			
A. Schedule Item Number	B. Title or Description of Record Series	C. Disposal Instructions	
500-13	Files Maintenance and Disposition Plan	Destroy when superseded.	
100-01a	Subject Correspondence Files (Program) AML 7 Realty Appraisals Liens Rights-of-Entry INE 10 Alternative Enforcement Count Referrals Injunctions	PERMANENT. Cutoff at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA 15 years after cutoff.	
203-03	Coal Mining Unsuitability Petetion Files Alabama Tennessee Kentucky		
NOTE: This example shows how subjects within a subject code maybe broken down and how a case file may be broken down by State. The case file could also be broken down further by topics under the State.			

CHAPTER 4 - FILE MAINTENANCE PROCEDURES

- A. Filing Efficiently. Filing unnecessary papers is a waste of manpower and equipment. Unnecessary filing can be avoided by limiting the creation of formal communications for routine matters; limiting the number of copies prepared to those which are specifically required; eliminating the copies of routine communications which require no record, such as outgoing form letters, routine requests for publications, etc.; limiting extra copy files; and limiting the quantity of technical reference documents received, filing only those which will be of significant reference value.
- B. Classifying. Classifying involves the analysis of correspondence or other documents to determine the subject by which they should be filed and the placing of file designations on material to show where it should be filed.
1. Importance of the Process. Papers received for classifying and filing may cover a wide variety of subjects. A number of papers involving one particular subject may be intermingled with those of other subjects. The File Classification System for Subject (Correspondence) Files and Case or Project Files is designed so that all papers on related categories will be consistently and logically brought together in the files. The ability to locate papers promptly after they have been filed depends largely upon the care used in classifying material and in placing it in the proper folder when it is filed. Therefore, sound judgment and careful attention must be given to the procedures established by this Manual if the classification process is to be accomplished satisfactorily.
 2. Related Papers. Bring together papers relating to the same transaction in the same file or under the same subject. If there has been any previous correspondence, the earlier papers should be taken from the file and consolidated with the current transaction.
- C. Assembling the File Material. Assemble each unit of file material by stapling the file copy on top of the incoming correspondence. Staple small papers such as important routing slips to letter-sized sheets so that they will not be misplaced. DO NOT USE rubber bands on bulky materials. Check correspondence to ensure that the latest date is on top.
- D. Retiring and Disposing of Files. Periodically remove materials from the files that are rarely used and not currently needed. Arrange with the RMO or his/her designee(s) to have material not frequently used either stored or transferred to the FRC. Such material will still

remain available for reference service, as needed. Files cannot be destroyed without prior agency approval. Arrange with the RMO or his/her designee to obtain authorization to have unscheduled, obsolete, or useless record material destroyed. Worthless papers shall not be sent to FRCs. Destroy nonrecord material, such as chronological or reading file copies and extra copies of reports kept for convenience or reference, as soon as possible. When the official record copy is kept in another office or in the central files and is readily available, retention of reference copies is not cost effective.

- E. Cutting Off Files. To cut off files means to stop filing in a series of records on a certain day (e.g., end of fiscal year) and to start a new series of records of the same type. Records may be cut off annually or at other regular times to permit their transfer, retirement, or destruction in complete file blocks. At every cut-off period, only the old material needed to conduct current work should be brought forward to the new folder. The advantages of cutting off records are:

- File size is controlled by maintaining only current records;
- reference service is facilitated;
- filing equipment and space are conserved; and
- records disposal is made easier.

- F. Charging Material from the Files. When records or files are loaned to an individual or an office, the charge-out Form OF-23 or other charge-out forms must be completed and placed in the folder in place of the withdrawn material. The charge-out forms will be periodically reviewed for files charged out 2 weeks or more.

- G. Maintaining the Files. Neat and orderly files are essential to filing and retrieving information efficiently. The following instructions will assist recordkeepers in maintaining efficient files:

1. Identify file drawers or shelf file door. Label file drawers/doors to indicate which files, subject, or names are filed in them. Indicate the year, if appropriate. The disposition schedule item number(s) should also be placed on the drawer label.
2. Avoid overcrowding of the files. Allow at least 4 inches of space in each active file drawer to permit sufficient working space.
3. Keep papers straight. When placing material in file folders, do not let the papers extend beyond the edge of the folders. Crease or fold papers, when necessary.

4. Avoid overloading the file folders. When the contents of the folder increase to the point that papers begin to obscure folder labels, crease the bottom of the folder leaves at the second expansion line to increase the capacity of the folder. When the folder count reaches $3/4$ inch, either add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders or subdivide the contents of the folder by using new file designations.
5. Avoid cluttering the files. Bulky material should be filed in equipment suitable to its size and not mixed with standard-sized documents. This material will be cross-referenced so that it can be readily identified with the related papers in the regular files.

CHAPTER 5 - FILING EQUIPMENT AND SUPPLIES

A. Standardization

1. Advantages. Standard equipment and supplies promote efficient and simplified file operations and have the advantages of interchange ability, lower cost through quantity purchasing, simplified stocking, and uniform appearance.
2. Use and Replacement of Existing Equipment. Do not replace equipment and supplies on hand because they fail to meet established standards. Use existing stocks until depleted. When stocks require replacement, obtain the recommended standard items. Filing supplies and equipment should be the most economical possible to meet requirements. National Stock Numbers (NSN) are shown for most standard supplies and equipment. These items are available from the GSA Stock Catalog.

B. File Folders

1. Kraft folders will meet the majority of filing requirements because most records are current for a relatively short time before they are retired or destroyed. The standard kraft folder will be 11-point, flat-type, bottom-scored for 3/4-inch expansion, reinforced self-tab, and square-cut.
 - a. Drawer Files
 - (1) Letter Size: NSN 7530-00-663-0031, 9-1/2" x 11-3/4".
 - (2) Letter size with built-in 1-5/8" prong fastener: NSN 7530- 00-889-3555, 9-1/2" x 11-3/4".
 - b. Shelf Files
 - (1) Letter Size: NSN 7530-00-881-2957, 9-1/2" x 11-3/4".
 - (2) Letter size with built-in 2-1/2-inch prong fastener: NSN 7530-00-926-8974.
2. Pressboard folders may be used for case and project files when the kraft folders will not withstand the added volume and/or use. Prepare folders only as they are needed. The standard pressboard folders are flat-cut, 1-inch expansion, with self-tabs, 2-1/2-inch prong fasteners, and square-cut:

a. Drawer Files

(1) Letter Size: NSN 7530-00-926-8981, 9-1/2" x 11-3/4".

(2) Special pressboard binder-folders may be used for grants, surplus property, and other files as necessary. These folders have two kraft inner dividers with six built-in, two-prong fasteners so that papers may be arranged by type. NSN 7530-00-990-8884.

b. Shelf Files

Letter Size: NSN 7530-00-926-8983, 9-1/2" x 11-3/4".

- C. Folder Labels. Use folder labels to place captions on the folder tab in a neat, uniform, and legible manner. Pressure-sensitive folder labels which do not require moistening are recommended. They are packed in a continuous strip (roll or fan-folder) with 248 in a box. They may be fed directly into a typewriter or run on electric accounting or addressing equipment. Labels are 3-1/2 by 1/2 inch, available in plain white or with a 3/32-inch wide identification strip in various colors, NSN 7530-00-577-4368 through NSN 7530-00-577-4376, depending on color. Label for contract files may be NSN 7530-00-982-0066, style 1, 3-1/2 by 1-1/8 inches, 248 labels per package.
- D. Guide Cards. File guides make files more usable. In addition to indexing files such as correspondence files, guides serve to support the folders. Recommended guide cards are:
1. Drawer Files. Pressboard, one-third cut, angular metal tab, without lower projection, all positions.
Letter Size: NSN 7530-00-989-0692.
 2. Shelf files. Pressboard, one-third cut, center position, with straight black steel tabs and metal shelf hooks on opposite edge.
Letter Size: NSN 7530-00-989-0184.
- E. Forms. The following prescribed forms will be used:
1. File Charge-out Form: Drawer files, OF-23, shelf files, OF-24 (letter size), or OF-25 (legal size).
 2. Files Maintenance and Disposition Plan, OSM-120.

3. Cross Reference, OF-21 (Continuity Reference, OF-22, may also be used)
- F. Standard Filing Cabinets. File equipment should be standardized to accommodate the type of documents most often filed at the file station. Use letter-sized cabinets for records up to 8-1/2 by 11 inches. Recommended filing cabinets are steel, upright, five-drawer, one-drawer wide, 57-1/2 inches high, and 28 inches deep.
- G. Shelf Filing Equipment and Supplies. Standard shelf filing cabinets are more appropriate than cabinets for filing certain material. Shelf filing is most adaptable to records that are alphabetically or numerically arranged such as case or project files. Consider shelf filing when records total 220 linear feet or more and the file station is in a relatively permanent location; when the purchase of new filing equipment is contemplated; and when only a limited amount of required additional space is available.
- H. Requests for Filing Supplies and Equipment
1. Standard Supplies and Equipment. Request for standard filing supplies will be made through normal supply channels. Request for standard filing equipment will also be submitted through normal supply channels, except that preliminary review and approval by the RMO is also required.
 2. Nonstandard Supplies and Equipment. Request for specialized filing and records equipment will be accompanied by a complete justification for need and use, including savings or benefits that may result. Such requests must have prior approval of the RMO before a procurement action is begun.

PART II - SUBJECT FILE CLASSIFICATION SYSTEM

CHAPTER 1 - INTRODUCTION

- A. Purpose and Objectives. The purpose of the Subject File Classification System is to:
- Standardize methods of filing in all offices for general correspondence;
 - provide guidance to recordkeepers on how to file and locate papers according to their informational content;
 - provide managers with efficiency in office practices;
 - ensure that documents of lasting value will not become lost in masses of short-lived papers; and
 - provide personnel with a better manual system of information retrieval.
- The benefits of standardization when all file stations follow a carefully planned filing system are:
- Integrity and continuity of records. High standards are maintained despite reorganizations and personnel changes.
 - Efficiency of personnel. Recordkeepers and users master recordkeeping in their own office, thus acquiring a working knowledge of files throughout the agency.
 - Better communication. Commonly used file language makes it easier for users and recordkeepers to work together in retrieving information.
 - Aid to audit and research. Uniformity in arranging records makes them easier to use in management audits and archival reference research.
- B. Subject Filing Defined. Subject filing is the process of arranging and filing records according to their general informational content. The purpose is to bring together all papers on the same topic to make it easier to find information when needed. Subject files consist mainly of general correspondence but may include forms, reports, and other material that relate to programs and functions but not to specific cases.
- C. Distinction Between Subject Correspondence and Other File Groups. The ability to distinguish between subject correspondence and case files or other records is vital to the efficient, orderly operation and maintenance of files.

It is especially important to distinguish between a subject file (which documents general planning and operations), and a case file (which documents a specific action, event, person, organization, place, project, or the like). A letter or memorandum on procurement policy belongs in the subject file, while a letter concerning a specific contract or a specific purchase transaction belongs in a case file. Recordkeepers should be fully aware of the type of materials placed in subject correspondence files.

- D. Subject File Codes and Arrangement of Subject Outlines. The subject file outlines consist of selected main (also referred to as Primary or first level) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. These subdivisions are referred to as second level and third level subjects. The coding scheme used in the Subject Files Classification System is called a subject numeric code. The PRIMARY subjects are short abbreviations of letters suggesting the titles (e.g., BUD); SECOND level titles (subdivisions of a primary subject) are assigned simple numbers (e.g., BUD 1); hyphens are used to separate the numbers on the THIRD level, which is a subdivision of the SECOND level subject (e.g., BUD 1-2).
- E. Further Subdivisions and Addition of Topics. A bulky folder is a signal that the file needs to be broken down further or a new topic added. In many instances, recordkeepers may also create new subtopics at the second and third levels, if necessary. These changes must always be coordinated with the RLO and approved and published by the RMO.

Add new subjects (topics) only when experience indicates reference rate and volume of documents warrant a separate subdivision. The need to add topics usually occurs whenever a subject area coincides with a major function or program responsibility of the office (e.g., the Budget Division may have a need for more codes than are assigned; therefore it may have to add more subject codes, whereas the assigned BUD codes may be sufficient for other offices). Make the new subject title as short and clear as possible. Be certain to insert the new topic at the proper level so that it represents subject coverage parallel to other topics at that level.

When numbering second level, third level, or further subdivisions, assign your own numbers in sequence under each primary outline.

- F. Functional System. The Subject File Classification System is a functional system. The primary subject represents functions of offices that are performed separately or are recognized as subdivisions of a function. Generally, a primary subject and its related subdivisions will be used almost entirely by the office(s) of primary interest; that

is, the office(s) responsible for the function the subject identifies. However, no primary subject has been prepared for the exclusive use of any one office. Any of the subject outlines may be used as required by an activity or office; for example, if an office responsible for the State and Federal Programs function maintains general correspondence related to personnel matters, that portion of its correspondence would be coded using the primary and secondary topics (as needed) termed "PER".

- G. Separation of Program and Administrative Correspondence. The Records Disposition Schedule provides two different dispositions for program and administrative correspondence found within the Official Central (Subject) Correspondence File. The program correspondence described in Item 100-01 will eventually go to NARA for permanent retention as historically valuable documentation of OSM policy development, activities and accomplishments. The administrative correspondence found within the same files will eventually be destroyed. Most subject correspondence files held in the individual divisions or branches of OSM Headquarters, Field Operations, and Field Offices duplicate the correspondence held in the OSM Official Subject Correspondence File and both the Field Operations and FOD's Official Subject Correspondence Files. Therefore, those subject correspondence files will be destroyed by the FRC after 15 years. Subject correspondence files held at the division or branch level need not be separated since the disposition for program and administrative subject is the same.

CHAPTER 2 - ESTABLISHING THE SUBJECT FILES

- A. Application of the System. Each official file station selects the primary subjects from the files outline in Appendix I that will best meet the need of the office(s) it serves.
1. Program Subjects. Normally, one primary subject is selected that reflects the principal function or activity of each office served by the official file station. Thus, records documenting official action taken in performing the mission of the organization will be grouped under one primary subject. For some organizations it may be necessary to select two or more primary subjects to adequately provide for records reflecting the mission.
 2. Administrative Subjects. Other primary subjects are selected as necessary to provide for papers which, while they do not reflect the mission or function of the office(s) served by the file station, are needed for reference purposes.
- B. Selection of Subtopics. DO NOT prepare a folder for every topic in the subject outline unless it is necessary. The system is designed to cover a subject in depth only when detailed subdivisions are necessary. Many file stations will not need much depth, except in the subject area(s) that cover the functional responsibilities of the office(s) served by that station. Often the primary subject topics alone will be sufficient to file all nonmission papers on a particular subject. Avoid setting up folders that will contain only one or two papers. A topic is not usually selected unless there will be five to ten papers filed under it during the year. The ideal average is about 25 papers per folder.
- C. Preparation of File Outline. After selecting appropriate primary subjects and subordinate topics, each file station will prepare a subject file outline as part of the Files Maintenance and Disposition Plan. Procedures for preparing the plan are contained in Part 1, Chapter 3. See Exhibit 1 for an example (page 10a - 10b).

CHAPTER 3 - ARRANGING THE SUBJECT FILES

- A. Applicability. The instructions that follow apply specifically to files maintained in drawer-type filing equipment. These basic principles of arrangement, however, may also be adapted for shelf files and mechanized filing equipment.
- B. Folders and Guides. Folders and guides should be arranged as illustrated (Exhibit 2). Place folders and guides in the file drawer in the exact sequence as subjects appear in the office file outline, starting from the front of the drawer, with the guides preceding the related folders. The sequence of the drawers should be from top to bottom of the cabinets.

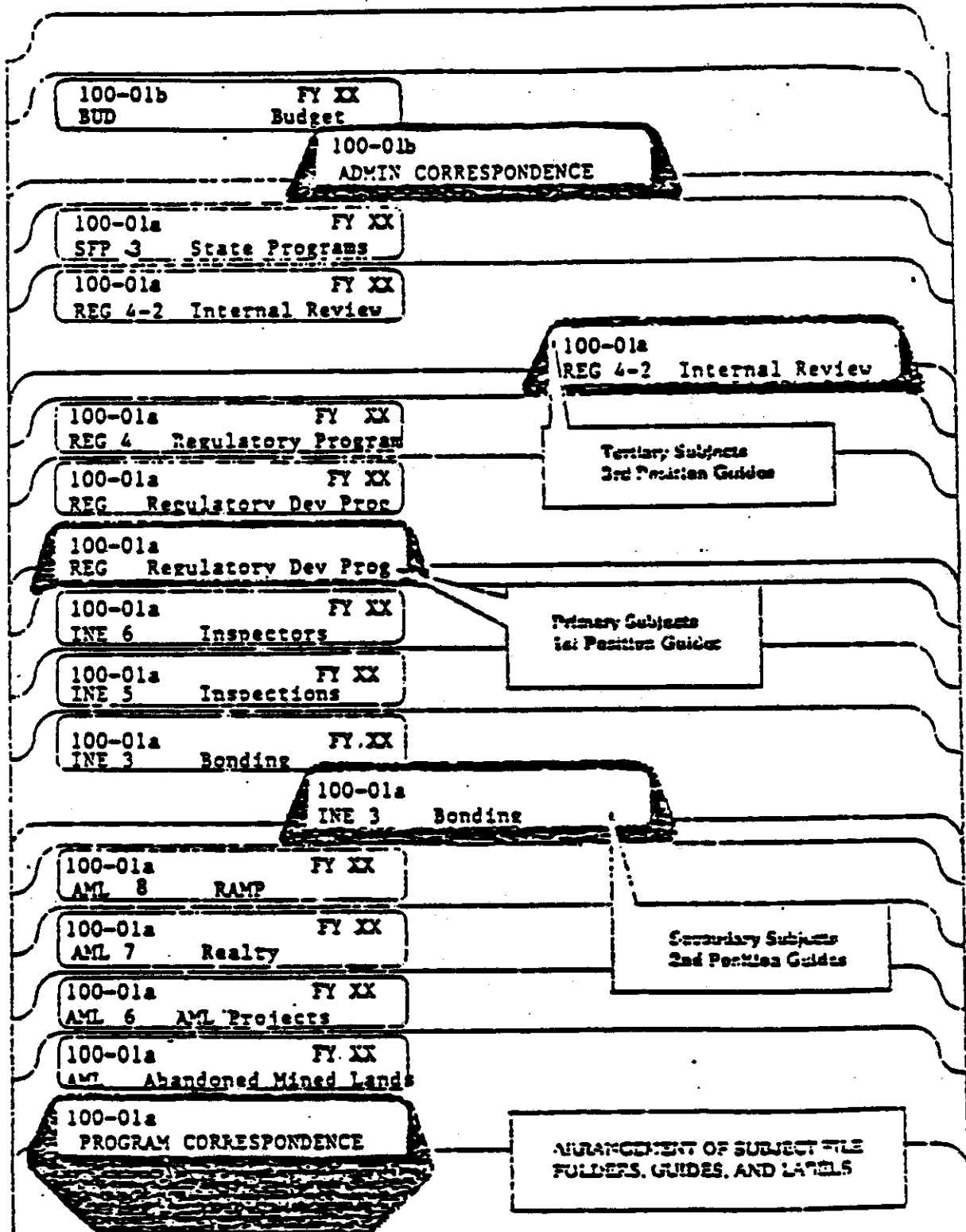
Use the first position of one-third cut guide cards for primary subjects, second position for secondary subjects, and third position for third level subjects. Active files should have one guide for each 8 to 12 folders. Guide labels should show the full file code number and title of the topic for the first folder behind the guide.

- C. Folder Labels. Labels through the third level should be typed and placed in one position only, one-half inch from the left side of the square-cut folder tab. This arrangement improves the appearance and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the applicable disposition schedule item number, the file code symbol, the title of the particular subject material in the folder, and the fiscal year. The example shown below illustrates the preferred arrangement.

EXAMPLE OF SUBJECT FILE FOLDER LABELS

100-01b	FY XX	PRIMARY Level
ADP	Automated Data Processing	
100-01b	FY XX	SECOND Level
ADP 3	Automated Systems	
100-01b	FY XX	THIRD Level
ADP 3-1	Applicant Violator System	

ARRANGEMENT OF SUBJECT FILE FOLDERS, GUIDES, AND LABELS



CHAPTER 4 - CLASSIFYING SUBJECT FILE PAPERS

- A. Basic Steps in Classifying. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Papers must be read and analyzed, then classified on the basis of the informational content. How quickly a particular document can be located after it has been filed depends largely on how carefully it has been classified before filing. The basic steps in classifying subject correspondence material are:
1. Read and analyze the document to determine its major subject (the subject by which the document will most likely be requested). The subject line appearing above the body of the correspondence is often helpful in classifying but should not be relied upon entirely. It may be vague, misleading, or even remote from the real subject of the correspondence.
 2. Select the proper file designation from the subject file outline portion of the Files Maintenance and Disposition Plan. First, select the appropriate primary subject category, and then the correct subdivision of the primary subject, if any. If no subdivision has been provided, use the primary subject itself as the file designator. When a sufficient volume of paper accumulates in a subdivision that was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers. Then segregate other documents of that same subject and file in a new folder.
 3. Write the subject-numeric file code (three letter plus number, if necessary) in the upper right hand corner of the file copy in pencil.
 4. Underscore the reference when papers refer to previous papers already on file. This will emphasize that there are previous papers involved. Earlier material should be consolidated with later correspondence on the same subject.
- B. Techniques in Classifying
1. Read the document. The knack of noticing key phrases and ideas in correspondence helps one to select the correct file designation. The subject matter is sometimes difficult to determine. In such instances, it is helpful to consider the correspondence in this light: "Why was it written?" and/or "What is the basic subject?" Usually the purpose for writing suggests the subject under which it should be filed.

2. It is helpful at times to refer to previous correspondence already on file to verify a tentatively selected file designation.
3. Being consistent is the first rule of classifying. Consistency ensures that papers currently being classified will be filed with the previous papers with which they belong.
4. In unusual cases, the subject of correspondence is extremely vague and it is impossible to determine the proper file designation from the letter itself. In such cases, the classifier should contact someone more familiar with the material for more information.

PART III

CASE FILE CLASSIFICATION SYSTEM

PART III - CASE FILE CLASSIFICATION SYSTEM

CHAPTER 1 - INTRODUCTION

- A. Purpose and Objectives. The purpose and objectives of the case file classification system are to:
- Standardize contents. Ensure complete documentation of a case by specifying the records and data that the case folder should contain.
 - Standardize document identification. Identify the file by a distinguishing symbol. Either a number or name should appear in the same location as much as possible.
 - Standardize disposition plans. These plans will explain how to segregate papers for disposition and how to carry out disposition instructions for closed case files.
- B. Case Filing Defined. A case file is defined as a folder or other file unit containing material relating to a specific action, transaction, event, person, place, project, or other subject. Case filing includes the creation, maintenance and use, and disposition of records that relate to a particular issue.
- C. Common Types of Case Files
- Official Personnel Folder (OPF)
 - Contract File
 - Health Record
 - Project File
- D. Case File Standardization. Except in unusual circumstances, a standard system should be adopted for a particular case file throughout the entire agency. At least one case file, the OPF, is standardized among all the agencies subject to OPM directives on personnel matters.
- E. Establishing Case File Folders (see Exhibit 3). A case filing system normally involves the creation of at least one folder for each case. Under unique circumstances, the system may allow one folder for several cases as long as there is a common denominator for the unit. For example, a project filed by name, may have several different parts identified by number.

CHAPTER 2 - ARRANGING AND MAINTAINING CASE FILES

Case files can be arranged either alphabetically or numerically; for example, contract files may be arranged numerically in ascending order, whereas AML files may be arranged alphabetically by project name.

The allocation of file space in cabinets or on shelves should be planned to avoid unnecessary shifting of records.

Fastened filing is usually associated with case filing.

A. Labels, Arranging Folders, and Guides

1. Label Preparation (see exhibit 3). The disposition schedule item number from Appendix II of this manual is shown first, because this number is the basis for the arrangement of all files. The case file label will also normally show the identifying file designation, such as a name or number reflecting the arrangement pattern of the series. The year or inclusive dates, as appropriate, may be included. The label is placed on the folder in one position only--usually the first position. Labels should be easy to read, precise, and complete.
2. Arranging Folders and Guides. The orderly appearance and efficiency of any file operation depends upon the careful preparation, use, and arrangement of folders and guides in the file drawer or shelf. Folders are necessary to keep the papers together and in order. Guides serve as "sign posts" to help speed up filing and locating operations. Guide cards reduce the area of the search and help the folders stand erect.

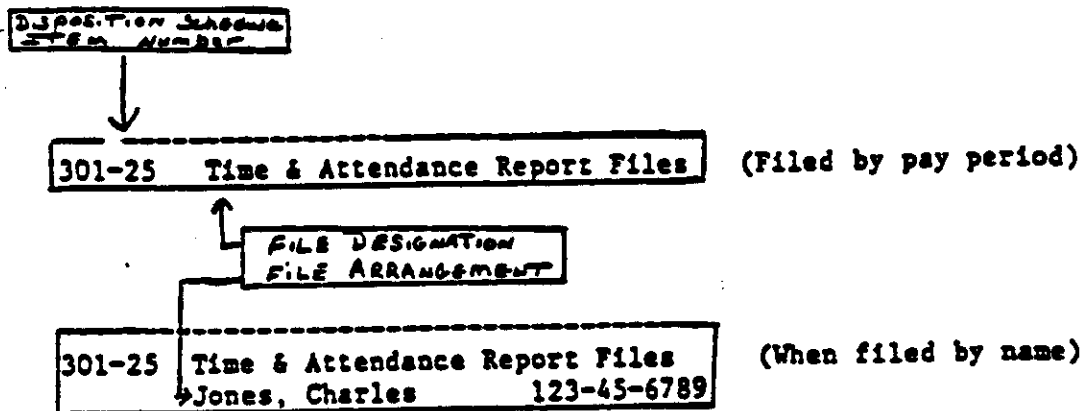
As a general rule, place a first position guide card in front of each record series (if volume warrants) to identify and isolate it from other series in the same drawer. Two rules to follow are 4 to 6 guide cards in each drawer or 1 guide to every 8 to 12 folders.

3. Preparing Papers for Case Filing. Case filing is the easiest and fastest type of filing, if the case identification is prominently placed on the front of all papers to be filed. Time required for erasing and marking file material can be greatly reduced if files are correctly identified.

The following guidelines should be followed in preparing case papers for filing:

- Review papers to verify that they are ready for filing;

- indicate the proper file designation - written, stamped, underlined, or encircled on the documents;
- remove items such as rubber bands, pins, and paper clips;
- assemble the material to be filed chronologically with the latest date on top unless another sequence is specified;
- fasten pages with staples in the upper left corner;
- fold off-sized material to fit the folder. If such material is too large to fold and fit, file it nearby with a cross-reference in the case folder to indicate its existence and location; and
- discard duplicate copies of the same papers and valueless attachments (envelopes and routing slips) that do not contain record information.



When drawer or cabinet contains same series

303-01 Grant Case Files (Outside of cabinet and
guide card inside)

303-01 Rocky Mount Water Hole (Individual folder)

or

303-01 AML Reclamation Project (Type of Grant is
Rock Creek Park shown)

The label may contain other information as appropriate, i.e. year.

PREPARATION OF LABELS FOR CASE FILES FOLDERS

CHAPTER 3 - ORGANIZATION OF THE CASE FILES

- A. Organization of Program Case Files. In some program case files the most efficient method of arranging the files is clear-cut. As a result, the method of arranging the files is specifically stipulated. In other cases, the organization of the office and the program areas covered differ substantially. In these cases, the file arrangement has not been specified. This allows the individual office the flexibility to organize the file arrangement that allows it to locate and retrieve information quickly. This flexibility is reflected in the case file definitions with the remark: "File as appropriate to office." This flexibility is granted with the understanding that its use must be consistent within the file group. Contents of the file group must be arranged in the same order within each individual case file.
- B. Organization of Administrative Case Files. The disposition shown for administrative case files (case files in the 300 Series) are specified by NARA in the General Records Schedules. These dispositions are legally mandatory. They can be modified only with NARA's approval. Arrange with the RMO for only required changes in retention. However, within OSM, it may be advantageous for some organizational components to combine some or all of the related administrative case files in one control folder. This is generally done because it assists in the management of the individual function and because it facilitates the location and retrieval of related information concerning the function. Where all or some of the related administrative case files are combined, the disposition of the material is determined by the Controlling Disposition. The Controlling Disposition is defined as the longest retention period of any of the individual case files that are combined. The longest retention period governs the disposition of all the records contained in the combined file. For example, if some of the case files relating to Motor Vehicles are combined in one case file it could contain the following records:

307-14 Motor Vehicle Operating and Maintenance Files

307-15 Motor Vehicle Cost Files

307-16 Motor Vehicle Report Files

307-19 Gasoline Sales Tickets.

Since the longest retention period for any of the above files is 3 years, it becomes the Controlling Disposition for the combined file.

It must be remembered that the flexibility to combine case files is granted only for administrative case files and only for case files that are related.

PART IV

RECORDS DISPOSITION CONTROL SYSTEM

RECORDS DISPOSITION CONTROL SYSTEMCHAPTER 1 - INTRODUCTION

- A. Purpose and Objectives. The purpose of the Records Disposition Control System is to provide a standard system for the designation, retention, retirement, and disposal of records maintained by the agency. Federal law requires proper authorization by the Archivist of the United States to destroy Government records. This authorization is reflected in the guidelines shown in the Records Disposition Control Schedule (Appendix II). The schedule provides for the selective retention of records of continuing historical value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a given event. The schedule also provides for the removal of noncurrent records from office space and filing equipment to less expensive storage facilities, which improves the use of files and reduces maintenance costs.

Official records will NOT be destroyed by any provisions other than those shown in the Records Disposition Control Schedule in this Manual. Revisions to the dispositions may be made only by approval of the RMO through the submission of a Standard Form 115 to the National Archives and Record Administration.

Nonrecord Material may be destroyed when its purpose has been served or when it is no longer needed for reference. The accumulation of nonrecord material must be controlled to ensure that filing space is not dedicated to material of little or no value. The retention and disposition of nonrecord material should comply with the guidelines specified in this Manual.

- B. Records Disposition. Records disposition includes the retirement, transfer, or destruction of records.
1. Retirement. Records are considered "retired" when they are sent to a designated FRC for storage, servicing, and ultimate destruction or retention.
 2. Transfer. Disposition includes the transfer or a change of custody of records from one organization or agency to another. Records may be transferred to another office within OSM as a result of realignment of functions or reorganization. During realignment or reorganization, records due to be retired may be sent to the FRC in accordance with approved records disposition schedules. Transfer of records to another office or agency must be approved by the RMO. Transfers to another agency are governed by 36 CFR 1200.

3. Destruction. The destruction of records includes the physical destruction of the record material itself or the removal of the information content. Records authorized for destruction by this manual will be:
- a. Placed in wastebaskets when the quantity is small and the records are nonconfidential. Large quantities of records eligible for destruction should be sold as wastepaper. Consult your Acquisition Section on the disposal of wastepaper.
 - b. Destroyed by shredding or burning if this action is necessary to avoid disclosure of information that might be confidential. Prior to destroying confidential information, the Security Officer should be consulted.
 - c. Erased and reused, if appropriate, when the record consists of magnetic tape or comparable media.

CHAPTER 2 - DISPOSITION SCHEDULE

- A. Arrangement of Disposition Schedule. The records disposition schedule contained in this manual consists of individual scheduled items arranged as follows:
1. The 100 Series contains the guidelines for the retention and disposition of official correspondence and duplicate copies of official correspondence.
 2. The 200 Series contains scheduled items arranged according to the program functions of OSM.
 3. The 300 Series contains scheduled items that are used for administrative support.
 4. The 400 Series contains scheduled items for the Administrative Record.
 5. The 500 Series contains scheduled items that are kept by most offices for reference purposes.
- B. Numbering. The numbers assigned to individual items in the records disposition schedule serve both as an identification of the file series and as an abbreviation of the disposition authority. All file series relating to the same functional area are grouped together in a section. The specific scheduled item number (for example 200-01) is generally derived from the internal arrangement of the functional area and the sequence in which the item appears in the area. The first digit of an item number indicates the series in which it appears (Item 200-01, for example, is in series 200; Item 400-01 is in series 400).
- C. File Reviews. Each office is responsible for ensuring compliance with the provisions of the records disposition schedule and ascertaining that all records of the organization are covered by appropriate disposal instructions. Each office will review its files at least annually to determine whether the applicable schedule is adequate and is being followed.
1. Recommendations to add, delete, or change records disposition schedules will be made when annual reviews disclose:
 - Record series not covered by the schedule;
 - Items that should be deleted;
 - Retention periods that clearly need to be changed based on valid justification.

2. Proposed records disposition schedule revisions will be submitted through the RLO to the RMO. Recommendations should include the following information:
 - a. Name of the organizational office(s) accumulating the records.
 - b. A clear and meaningful description of the records, including the purpose for which the records were created; their relationship to the program activities of the office(s) creating them; and their relationship with other records, including duplication elsewhere in content or substance.
 - c. A proposed period of retention that is no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period. (The final authority on the approval of dispositions is the National Archives of Records Administration (NARA). The NARA will consider agency input in deciding whether to approve or reject recommendations.

If the retention period proposed is no longer than that for which the records are in active use, the recommendation should provide for their transfer to an FRC.

3. Representative samples of paper records recommended for destruction or permanent retention will be submitted with the related recommendations. Samples will not be returned unless requested.
4. The RMO will review, coordinate, and evaluate the information furnished for conformity with established policies and regulations. If the decision is made to add or change a disposition scheduled item, the RMO will take the necessary action to obtain approval for the disposal authority.
5. Additions or changes to schedules will be published as numbered changes to this manual. Records recommended for disposal shall not be destroyed until such specific amendments are issued.

CHAPTER 3 - FILES CUT-OFF PROCEDURES

- A. Definition and Objective. Files "cutoff" is the segregation of active and inactive files. Periodic cutoff of files is essential to effectively control the accumulation and growth of records and to facilitate economical disposition in convenient blocks. At least annually, Recordkeepers will cut off files and segregate inactive files from active files, and dispose of files eligible for retirement or destruction.

Cutting off files is important because it controls the size of the file. If not cut off periodically, folder contents will grow until individual papers become hard to find. If the files are cut off periodically, older files can be progressively moved from active file space to storage space as their reference activity declines.

- B. Cut-off Standards. Prescribed cut-off instructions are included in the records disposition schedule where applicable. Cut-off standards are based on the following criteria for the various types of records:
1. Chronological Sequence Files, such as accounting records, are filed by period of account (fiscal year) and lend themselves to cut-off procedures. Chronologically arranged records can be readily cut off and retired in convenient blocks.
 2. Subject Files must be cut off at planned intervals; there is no natural cut off point such as occurs with chronologically-arranged records or case files. Subject files are usually maintained on a fiscal year basis.
 3. Case or Project Files are often cut off upon the termination of a transaction or expiration of an event, such as separation of personnel, final purchase order payment, or completion of a grant project. When closed, the case file should be marked with the date of closing and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient fiscal year blocks.
 4. Reference Materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed. These files should be reviewed at least annually to determine if they are current and still useful.

CHAPTER 4 - RETIREMENT PROCEDURES

A. Records Retirement Criteria. Offices should retain as current records a minimum volume of records consistent with efficient operations. Records on hand that are inactive and not scheduled for early destruction should be retired to appropriate FRCs. The schedules in this manual include retirement instructions for many file series. The general criteria for the retirement of records is shown below.

1. Reference Rate. Files which are referred to not more than once a month are to be transferred to a records center, provided volume is sufficient.
2. Retention of Less than a Year. Records should not be retired if they will be destroyed less than 1 year after transfer. Some records with a retention of less than 1 year may be retired if the file is bulky, continued retention in office space is more costly than the transfer, and the local FRC agrees in writing to the transfer.
3. Volume. Records should be retired at annual intervals except when the volume involved warrants more frequent transfers.

Current procedures for transfer of records to an FRC require that each series (block of records described by a single disposal scheduled item number) have the same disposal date and that no more than one series be packed in a single box. This means that a series of records would have to accumulate 1 cubic foot each year to provide sufficient volume to warrant transfer. Because many series do not accumulate at this rate, records from some series may be held until sufficient volume for transfer is available. The disposal date for these records is based on the latest records in the carton. In accumulating sufficient volume for transfer, the guidelines cited above should be considered.

B. Retirement Deviations. The RMO is authorized to approve specific deviations from retirement instructions on an individual basis only. Deviations apply only to records retirement. No records will be destroyed sooner or later than authorized by approved disposal schedule unless the applicable schedule is officially changed. Exceptions to retirement instructions will be approved in writing by the RMO. Records required in litigation or investigations should be brought to the attention of the RMO to secure a deviation in their retirement.

- C. Federal Records Center (FRC). FRCs are operated by NARA for storage, processing, and servicing of records of Federal agencies. Regional FRCs are located in regions throughout the United States in addition to two National Records Centers. The addresses of the FRCs are listed in Exhibit 4. You should consult this address listing when sending records to the FRC serving your geographic area. See Exhibit 4.
- D. FRC Boxes. Cardboard containers available through normal supply channels from the GSA Supply Service are used to transfer files to the FRCs.
1. Standard Cartons. NSN 8115-00-117-8344 and -8249 (preferred) or NSN 8115-00-290-3379 (acceptable), depending on availability. These specially designed boxes will hold either letter- or legal-sized files. Each holds 1 cubic foot of files.
 2. Map-size Containers. NSN 8115-00-190-5019. Plans, blueprints, maps, and similar records are packed in these map boxes (5 x 5 x 42 in.).
 3. Half-size Containers. NSN 8115-00-117-8338. This container holds 1.2 cubic-foot of card-sized documents.
 4. Oversized and Undersized Records. Contact the local FRC for instructions on shipping records of an odd size.
- E. General Retirement Procedures
1. Estimating Volume. When records become eligible for transfer, the Recordkeeper should estimate the volume involved and obtain the necessary boxes.
 2. Review Prior to Boxing Records. Before files are boxed for shipment, they should be screened to eliminate nonrecord material, especially personal comments, and material authorized for immediate destruction. However, such screening should be limited to complete folders or subject classification file categories.
 3. Packing Standard Sized Records. Pack legal- and letter-sized records in the standard FRC boxes prescribed in paragraph c below. In packing records, follow these rules:
 - a. All records packed in the same carton must have the same disposal authority manual and the same disposal date as listed in this manual.
 - b. Pack the records in the same arrangement used in the original file.

FEDERAL RECORDS CENTERS
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Area ServedMailing and Shipping AddressNational Centers

Records of Separated military and civilian personnel and other designated records	National Personnel Records Center 9700 Page Boulevard St. Louis, Missouri 63132 FTS: 8-279-7201 (local: (314) 263-7201)
Entire Federal government for personnel records of separated Federal employees, pay records of all Federal employees, medical records of civilian employees of the Army, Navy; Air Force; records of agencies in greater St. Louis area (Missouri only)	National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, Missouri 63118 FTS: 8-279-5722 (local: (314) 425-5722)
Designated records of the Department of Defense and the U. S. Coast Guard	National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis, Missouri 63132 FTS: 8-273-7247 (local: (314) 263-7247)

District of Columbia, Maryland, Virginia, and West Virginia (except U. S. Court records)	Washington National Records Center Washington, D. C. 20409 FTS: 8-763-7000 (local: 301- 763-7000 Washington only - IDS Code: 173-37000 Shipping Address: 4205 Suitland Road Suitland, Maryland 20409