

APPENDIX A

RECORDS MANAGEMENT MANUAL

**U. S. Department of the Interior
Office of Surface Mining Reclamation and Enforcement**



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PART I - POLICY AND PROCEDURES

CHAPTER 1 - INTRODUCTION

The Office of Surface Mining Reclamation and Enforcement (OSM) records must be maintained in recordkeeping systems so that they will be integrated, either physically or intellectually, with related records where they will be accessible to OSM staff who may need them. OSM records must remain in the custody of OSM and may be removed only in accordance with the guidelines contained in this Manual. Electronic records (e-records) will be covered in more detail when National Archives and Records Administration (NARA) and Department of the Interior (DOI) guidance is available.

This Manual should be used as a guide to help you control the paperwork in your office and on your desk. If you ask yourself, “Can I throw this away or should I file it?” you will find the answer here. If you are wondering whether you need to copy an e-mail message for storage before deleting the original, the Manual will tell you.

Inside, you will find standards and procedures for classifying, indexing, filing, retrieving, and disposing of records. There is also an established procedure for the maintenance of special records, which are those in formats other than traditional paper, such as e-mail.

This Manual provides guidance for all employees on the definition of Federal records and personal papers.

This Manual may be periodically updated to ensure that it complies with current Federal records management regulations and OSM practices. Of course, you may always ask your Records Liaison Officer (RLO) for additional assistance with your records management questions.

This Manual will aid in documenting and preserving the history of OSM activities, will simplify the training of new employees, and will provide a source of information on how OSM’s files are being managed. The Manual is designed to be flexible and to meet the specific requirements of various offices. However, 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.

A. Organization of the Manual

The Manual is comprised of four parts: Part I is the Policy and Procedures for Records Management; Part II is the Subject File Classification System used for general correspondence; Part III is the Case File Classification system; and Part IV is the Records Disposition Control system.

B. Security of Records

1. Ownership of Records

Bureau records are defined as all documentary materials, regardless of physical form, that are made or received by an agency of the U. S. Government under Federal law or in connection with the transaction of public business, and preserved or appropriate for preservation as evidence of agency activities or because of the value of the information they contain are considered the property of the United States. Bureau records are listed in the OSM Records Disposition Schedule, Appendix C. Any employee who knowingly conceals, removes, mutilates, obliterates, or destroys bureau records will be prosecuted in accordance with Federal law (18 U.S.C. § 2071).

Non-Bureau records are identified as U.S. Government-owned information materials excluded from the legal definition of records or not meeting the requirement of the definition. Non-Bureau records also includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

Personal papers belonging to Bureau employees that were created before entering Government service, brought into, created, or received in the office but not in the course of transacting Government business, and work-related personal papers not used in the transaction of Government business are the property of the employee. If personal papers are kept in an employee's work area, they are to be clearly identified and kept separately from Bureau records and non-record materials.

2. Disclosure Rules

Every official and employee who is involved in the design, development, operation, or maintenance of a system of records relating to an **individual** or who has access to such a system of records must comply with the requirements of the Privacy Act of 1972 (5 U.S.C. 552a).

From these records that are subject to the Privacy Act, no personal information may be disclosed except as provided by law. Additionally, the Privacy Act requires agencies to establish appropriate administrative, technical, and physical safeguards to ensure the security and confidentiality of records containing personal information. This means that records containing personal information must be stored in locked file cabinets or locked rooms. A Privacy Act Notice Statement must be attached on the cabinet or door to the room where this information is kept.

For the purpose of this Act, the term "record" means any item, collection, or grouping of information about an individual that is maintained by an agency. This includes, but is not limited to, information concerning the individual's name, social security number, education, financial transactions, medical, criminal or employment history, or information that contains the individual's identifying number, symbol, or other identifier

assigned to the individual such as fingerprints, voiceprint, or 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 non-confidential 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.

4. Vital Records

Vital Records must be protected and easily retrievable in usable condition. Vital records should be duplicated for storage, with sets maintained offsite (which may be at a separate location within OSM). When the duplicate is magnetic or other machine-readable media, a copy of the software program or other information required to use the records should be stored with them. Store vital records for safeguarding as follows:

- Storage within OSM is considered the most economical and feasible method for protecting vital records.
- Offsite storage is permissible. Consideration must be given to the availability of special equipment, transportation, security, and feasibility of updating and maintaining the records.
- The atmospheric conditions at the Federal Records Centers (FRC) are ideal for proper storage of photographic files, magnetic tapes, and paper records.

C. **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 an 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,” reflects 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 is associated with both rulemaking and quasi-judicial actions. By law, certain documents must be made available for review by the public.
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 that are designated as “PERMANENT.” Only the 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 administration aids that do not serve as a basis for official action. Because working papers are considered to be non-record 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 non-record, 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. Electronic record is any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301.
12. Federal Archives and Records Center (FARC)/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.

13. Federal Records are documentary materials that agencies create and receive while conducting business that provide evidence of the agency's organization, functions, policies, decisions, procedures, and operations, or because they contain information of value (44 U.S.C. 3301). Records may be in paper, film, tape, disk, or other physical form. They may be generated manually, electronically, or by other means.
14. File Series is a separately maintained group of files with similar characteristics such as a uniform subject matter, a single system of arrangement, or similar types of paper within each folder. 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.
15. 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.
16. Inactive Records are records which are no longer referred to but which must be retained, temporarily or permanently, by OSM, FRC, or NARA because of legal, historical, or research value.
17. 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 restoration, when necessary.
18. Non-record Material consists of material which has no documentary or evidential value and may be disposed of when no longer needed. Non-record 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 that do not represent basic steps in the preparation of record copies of documents;
 - Letters of transmittal that do not contain any information supplemental to that contained in the material transmitted;
 - Photocopied or published materials catalogs, trade journals, or other papers received from other activities or office, Government agencies, commercial firms, or private institutions that 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.
19. Official Files are papers received by or created in OSM documenting the transaction of its business. These files are preserved as evidence of the organization, functions, policies, decisions, procedures, or other activities of OSM 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 that have documentary or evidential value. Official files may be destroyed only according to the provisions of authorized Records Disposition Schedules.
 20. Official File Station is any office in which official record copies of correspondence and other documents are maintained.
 21. 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.
 22. 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 mine lands, inspection and enforcement, and technical services and research.
 23. Records are all documentary materials, regardless of physical form, that are made or received by an agency of the U.S. Government under Federal law or in connection with transaction of public business and preserved or appropriate for preservation as evidence of agency activities or because the value of the information they contain.
 24. Records Schedules are comprehensive listings and descriptions of records created or accumulated that show all legally authorized action 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.
 25. 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.
 26. Record Set is the group of serial issuances of a particular type (press releases, manual issuance, or administrative notices) that,

among many groups of copies, has been designed as the official record or is preserved archivally to serve as such.

27. Retention Period is the period of time that records must be kept. Records are retained in offices while active and in FRCs or the National Archives after they become inactive.
28. Retirement is the transfer of inactive records to FRCs or other authorized repositories for storage.
29. Schedule Item is a separately identifiable type or group of records included in a records disposition schedule.
30. Schedule Records are records for which retention periods and disposition authority have been included in this Manual.
31. 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.”
32. Temporary Records are records approved by NARA for disposal (i.e., destruction), either immediately or after a specified retention period.
33. Vital Records are those records that are essential to the functioning of an organization during and right after an emergency, and also those records essential to the preservation of legal rights and responsibilities of citizens and the Government, such as legal records and land titles. All OSM offices must address vital records in their Continuity of Operations Plans and Emergency Operations Plans.

D. Acronyms

COOP	Continuity of Operations Plans
DOI	Department of the Interior
DRS	Division of Regulatory Support
FARC	Federal Archives and Records Center
FOIA	Freedom of Information Act
FRC	Federal Records Center
GAO	General Accounting Office
GRS	General Records Schedules
NARA	National Archives and Records Administration
OPF	Official Personnel Folder
OSM	Office of Surface Mining Reclamation and Enforcement
RLO	Records Liaison Officer
RMO	Records Management Officer

CHAPTER 2 – PLANNING AND ARRANGING FILES

A. Location of Official Files

Official subject files are maintained in Headquarters by individual offices; in the Appalachian, Mid-Continent, and Western Regions by the Regional Directors; in the Field Offices by the Field Office Directors; and in the Area Offices by the Chief. 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 non-record 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 Media/Formats of File

Files may be on many different media and in many different formats, as follows.

1. Email and Electronic Files

Files that are stored in a form that only a computer can process. Electronic files may be the products of office automation or larger transactional automated applications. Email files that meet the definition of a Federal record are printed and stored in the appropriate file category. Electronic systems that capture and maintain Federal records must have a NARA-approved records schedule.

2. Audiovisual Files

Files in pictorial or aural form. They include still and motion pictures, graphic materials (such as posters), audio and video recordings, multimedia presentations (such as slide-tape productions), digital photography (still and motion), and negatives, all of which have special handling requirements.

3. Microform Files

Files in any form containing greatly reduced images, normally on microfilm. The use of microforms to manage file systems involves the application of microfilming and microfiche. File systems involving the use of microforms are subject to the provisions outlined in Titles 36 and 41 of the Code of Federal Regulations. Included in these requirements is a cost analysis determination.

4. Scanned Files

Files optically scanned and placed on media that can be read/viewed by a computer. Scanned files are images of existing source documentary material. Textual scanned files that have been processed with optical character recognition (OCR) technology may also be searched (as opposed to simply viewed) by a computer.

5. Cartographic, Remote-Sensing Imagery, and Related Files

Graphic representations drawn to scale of selected features of the Earth's surface. They include maps, charts, photomaps, atlases, and related files such as field survey notes, map-history case files, and finding aids. Also included are digital cartographic files, such as Geographic Information System files. Cartographic, remote-sensing imagery, and related files may be in hardcopy or electronic form, and need to be maintained appropriately.

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 ensure OSM's policy that files are organized so that complete records are maintained and that needed records can be found rapidly. Files should be organized so that the identification and retention of records of permanent value are facilitated and the disposition of temporary and/or non-record material is accomplished promptly and efficiently. This Manual aids in determining the need for additional guidance concerning file policy and procedures, highlights the volume of agency records being managed, and provides disposition instructions for the records maintained.

B. Requirements

The RLO 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 location. Each file series maintained at the location 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 Region or field/area office location. The RLO will forward all plans to the Records Manager Officer (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 RLO 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 out 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 will also enable 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		2. Date Prepared		3. Prepared By	
4. Records Officer Signature					
5. Files Plan					
A. Schedule Item Number	B. Title or Description of Record Series	C. Disposal Instructions		D. Office Location of Files	

Exhibit 1, OSM Form 120

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 transactions.

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.

Additionally, prior to authorizing records disposal, agencies should make sure that the retention date has not been postponed as a result of a Freedom of Information (FOIA) request, freeze, litigation, etc. 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 non-record 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 cutoff 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 cutoff annually or at other regular times to permit their transfer, retirement, or destruction in complete file blocks. At every cutoff 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-out 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. All records should be stored in areas that have the lowest possible risk of damage to the records. Records are most vulnerable to damage from water, high temperatures, humidity and pest

infestations. They should not be stored in areas where these are known to be problems.

2. 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 (i.e., 100-01, 100-02, 200-01, etc.) should also be placed on the drawer label.
3. Avoid overcrowding of the files. Allow at least 4 inches of space in each active file drawer to permit sufficient working space.
4. 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.
5. 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 $\frac{3}{4}$ 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.
6. 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.
7. Standard equipment and supplies promote efficient and simplified file operations and have the advantages of interchangeability, lower cost through quantity purchasing, simplified stocking, and uniform appearance. Use folder labels to place captions on the folder tab in a neat, uniform, and legible manner. File guides can be used for indexing files such as correspondence, files and serve to support the folders.

PART II – SUBJECT FILE CLASSIFICATION SYSTEM

CHAPTER 1 – INTRODUCTION

A. Purpose and Benefits

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 offices, thus acquiring a working knowledge of files throughout OSM.
- Better communication. Commonly used file language makes it easier for users and RLOs 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 issue). 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. RLOs 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, RLOs may also create new subtopics at the second and third levels, if necessary. These changes must always be coordinated with, 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 subdivision, 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 Office Central (Subject) Correspondence File. The program correspondence described in Item 100-01, OSM Records Disposition Schedule, 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, Regions, or Field Offices duplicate the correspondence held in the OSM 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 outlined in Appendix C 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 non-mission 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 (pages 15 - 16).

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

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 grade 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

<u>100-01b</u>	<u>FY XX</u>	PRIMARY LEVEL
<u>ADP</u>	<u>Automated Data Processing</u>	
<u>100-01b</u>	<u>FY XX</u>	SECOND LEVEL
<u>ADP 3</u>	<u>Automated Systems</u>	
<u>100-01b</u>	<u>FY XX</u>	THIRD LEVEL
<u>ADP 3-1</u>	<u>Applicant/Violator System</u>	

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 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 letters 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

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 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, 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 OSM. At least one case file, the OPF, is standardized among all agencies subject to Office of Personnel Management directives on personnel matters.

E. Establishing Case File Folders

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 alphabetically or numerically. For example, contract files may be arranged numerically in ascending order, whereas Abandoned Mine Land 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. The disposition schedule item number from Appendix C 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 paper 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.

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 case 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 those 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 definition 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 the 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:

304-32	Motor Vehicle Operating and Maintenance Files
307-33	Motor Vehicle Cost Files
307-34	Motor Vehicle Report Files
307-35	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

CHAPTER 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 OSM. 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 NARA.

Non-record Material may be destroyed when its purpose has been served or when it is no longer needed for reference. The accumulation of non-record material must be controlled to ensure that filing space is not dedicated to material of little or no value. The retention and disposition of non-record 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 367 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 are:

- Non-sensitive or non-confidential paper records can be recycled or disposed of in a waste receptacle. Consult your Acquisition Section on the disposal of wastepaper.
- Information that might be confidential should be destroyed by shredding or burning to avoid. Prior to destroying confidential information, the Security Officer and Privacy Officer should be consulted.
- When the record consists of magnetic tape or comparable media, erase and reuse, if appropriate.

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 organization 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 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 CUTOFF 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 cutoff instructions are included in the records disposition schedule where applicable. Cutoff 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 cutoff 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 cutoff 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 cut off 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. Prior to authorizing records disposal, agencies should make sure that the retention date has not been postponed as a result of a Freedom of Information (FOIA) request, freeze, litigation, etc. 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.
4. 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. FRC

FRCs are operated by NARA for storage, processing, and servicing of records of Federal agencies. Regional FRCs are located throughout the United States in addition to two National Records Centers.

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. Specially designed boxes will hold either letter or legal-sized files. Each holds 1 cubic foot of files.
2. Map-Size Containers. Plans, blueprints, maps, and similar records are packed in these map boxes (5 x 5 x 43 in.).
3. Half-size Containers. This container holds 1.2 cubic feet of card-sized documents.
4. Over-sized and Under-sized 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 non-record 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 D.1 above. 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.
 - c. Do not pack the files so tightly in the box that referencing the records is made difficult.
 - d. Pack letter-sized folders the 12-inch way facing the front of the carton. Pack legal-sized folders the 15-inch way facing

the left of the carton. The unstitched 12-inch side of the carton is considered the front.

- e. If the cartons are to be shipped to a center by freight, express, or parcel post, reinforce them either by placing a cardboard liner inside the carton or by taping the corners or edges of the closed carton.
4. Preparing Finding Aids. Detailed lists of the contents of boxes, indexes to the records, and other specialized finding aids normally are retained by OSM so that documents, needed for future reference, can be identified clearly by requesting officials.
5. Entering Agency Box Numbers. After the boxes are filled, number the cartons in each shipment consecutively beginning with number 1. Prominently enter in the upper right corner of the front of each box with a black felt-tip marker the number of the box and the number of boxes in the transfer (i.e., 1 of 12, 2 of 12). These are OSM box numbers. They are used to show the total number of boxes in the accession.

F. Preparing Transmittal Forms – SF-135

The retirement of records to an FRC requires the preparation of SF-135 (Rev. 7-85), Records Transmittal and Receipt, and SF-135A, Continuation Sheet. More than one series of records may be transferred on the same form. General Accounting Office (GAO) records held by OSM may be transferred on the same form but must be listed as a separate accession and clearly indicated as GAO records in the series description, column f. Recordkeepers making shipments to FRCs will prepare an original SF-135 and three copies. Complete the SF-135 following the instructions shown on the reverse of the form.

G. Submission Instructions for SF-135

RLOs will submit the original and two copies to the RMO for review, approval, and signature. The recordkeeper for the originating office will keep one copy in suspense until the FRC returns the annotated copy.

NOTE: The SF-135 should be mailed to the FRC at least two weeks before the records are to be shipped to the FRC.

H. Processing the SF-135

1. The FRC will review the SF-135 and annotate the accession number for each series in column 6(j) and in some cases the location number for the first carton in each series in column 6(j). For records being transferred to the Washington National Records Center ONLY, the RMO will assign the accession number. One

copy of the completed SF-135 is returned to OSM indicating the Center's approval to ship the material.

2. The RMO will forward the completed SF-135 to the recordkeeper for use in preparing the boxes for shipment.

I. Entering FRC Box Numbers and Accession Number

Prior to shipment, the recordkeeper will use a black felt-tip marker to place the assigned accession number on the SF-135 in the upper left corner of the front of each box.

J. Shipping the Records

The most economical means available should be used to ship files to an FRC. Records may be transferred by United Parcel Service or by regular U.S. mail for small shipments (less than 24 boxes) or by commercial motor or rail freight for larger shipments with costs to be paid by OSM. To obtain the lowest freight rate for records shipments, enter the following description on bills of lading or other shipping documents:

“Records, Office, Old”

(The agreed or declared value of this property is hereby stated by the shipper not to exceed 3.5 cents per pound.)

K. Signed SF-135

Upon receipt of the records shipment, the FRC will complete Item 4 of the SF-135 and return one copy to the originating office.

L. Referrals to Stored Records

Even though records are physically stored in FRCs, they are readily accessible to the offices that retired them. The requester may ask for the loan or return of the records themselves, or in the case of a real emergency, for information from the records. Optional Form 11, Reference Request – Federal Records Center, is available for use in requesting reference service. Use a separate OF-11 for each folder or box requested. Persons requesting reference service should specify:

1. The name and location of the person for whom the request is being made.
2. The accession number of the transfer in which the records were included, as shown on the originating office copies of the SF-135, Records Transmittal and Receipt.
3. The OSM container number and FRC location number should be furnished and will be found on the originating office copies of the SF-135

M. Disposal of Records by FRCs

1. Records stored at FRCs will be destroyed in accordance with the disposition control schedule contained in this Manual. OSM will be notified 90 days prior to scheduled destruction by the FRC. If there is no objection from OSM during that period, the records will be destroyed as scheduled.
2. If unusual circumstances require that certain records be retained longer than their scheduled retention, justification for continued retention must be submitted in writing by the RMO and must indicate the specific need (audit, legal, or other pertinent issues) and the estimated duration of continued retention of the records.