CLASSIFICATION AND MAINTENANCE OF OIG SUBJECT FILES

This approved OIG guide for all offices establishes a filing system for **subject files.** Specific case files should be filed in accordance with your office policy.

Why can't I use my own filing system?

The OIG goal seeks to establish and maintain a uniform method for setting up a filing system where all users can easily file and locate documents; to facilitate compliance the General Records Schedules (GRS); and to establish an effective and efficient filing approach that will meet the needs of the offices.

Where can I find the GRS and the Schedule that pertains to our specific case files?

You can find the GRS at http://www.archives.gov/records_management/ardor/index.html. Also, the Treasury OIG Records Schedule NI-56-00-2 is attached. Please see PD 540-01 for the proper disposal of these records.

How will I know the difference between a subject file and a case file?

We identify Subject Files by the **topic** of the material it covers, not by case name or number, control or document number, by date, or by any other means of identification. Subject files are usually brief.

We identify case files by case name or number, control or document number, or date. The office of record normally maintains case files, which can be large. For example, investigative case files are in the Office of Investigations. Please file case files in a separate drawer or area from subject files.

How will I know if I am the "Office of Record?"

The **Office of Record** is the office which maintains records to support functions for which it has primary responsibility.

What is a Record Copy?

A **Record Copy** is the official copy of any document maintained by the Office of Record. A record copy may or may not be an original and could be a copy of a document that has become part of your record.

How do I establish a filing system?

Using the file index on the following pages, decide which categories pertain to subject files maintained in your office; there will be some offices that have no documents related to a particular category.

Once you have determined the categories you can set up your files using the tips below on preparing guide cards, file folders and a file Index.

PREPARATION OF GUIDE CARDS

Prepare guide cards for all first level categories of the types of documents your office has.

```
100   ADMINISTRATIVE
```

PREPARATION OF FILE FOLDERS

Use square cut manila or Kraft (for heavy use) folders for all new subject file folders. You may relable folders currently in use if there is enough room for all of the required information.

Please label each folder with a filing code (if applicable), title, inclusive dates and the appropriate disposition date on the left side. There will be some cases where you can not establish a specific disposition date, e.g., "Destroy when superseded or obsolete." In these cases, state the disposition period on the label.

```
100   REPORTS & STATISTICS
      FY 2003

      Destroy October 2006
```

FILE INDEX

Once you have set up the filing system, prepare an index of all the files located in your office and place it at the beginning of the subject files.

How do I dispose of a subject file?

Follow the timeframes listed in the GRS and dispose of your files after they expire at the beginning of the fiscal year.

If you need to destroy your files by burning, please contact the Departmental "burn bag" office, 622-1510. Please remember to have all records in the burn bags before calling; or if records files do not require burning, the records can be recycled.

Who do I call if I have questions?

For questions about this policy, please contact the Office of Management at (202) 927-5200 or OIG-OM@oig.treas.gov.

FILE INDEX

ADMINISTRATIVE SERVICES (100)

Use these subject categories for general correspondence, reports and related papers pertaining to office services functions, office equipment and supplies, printing, property management, and telecommunications. **Do not** use this outline for documentation that is appropriate for filing in specific case files.

CODE	TITLE	DEPOSITION
	ADMINISTRATIVE POLICY **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**Destroy when superseded or obsolete**
101	**REPORTS** **General reports, progress reports, and reports of significant accomplishments.**	**Destroy when of no further administrative use or 1 year after close of fiscal year whichever is sooner**
102	ACQUISITIONS **General material on acquisition of buildings and grounds, leases, lease amendments, renewals, floor plans, etc.**	**See General Records Schedule 18**
103	FACILITIES & MAINTENANCE **Cleaning, heating and air conditioning, utilities, moving alterations, repairs, etc.**	**See General Records Schedule 11**
103-1	SPACE MANAGEMENT	**See General Records Schedule 11**
103-2	PARKING	
103-3	PROTECTION AND SECURITY	**See General Records Schedule 18**
104	OFFICE EQUIPMENT & SUPPLIES **General material on procurement, distribution, control.**	**See General Records Schedule 3, 4**
104-1	MAINTENANCE & REPAIRS	
104-2	SURPLUS PROPERTY	
105	PERSONAL PROPERTY ACCOUNTABILITY	
106	PRINTING & REPRODUCTION	**See General Records Schedule 13, 21**
106-1	GRAPHIC SERVICES **Artwork, design, drafting, etc.**	
106-2	COPYING SERVICES **Internal copier control.**	
106-3	PRINTING & BINDING	
107	EMERGENCY PLANNING **Material relating to continuation operations in an emergency**	**See General Records Schedule 18**
108	SAFETY PROGRAM	**See General Records Schedule 2**

AUDITS AND INVESTIGATIONS (200)

Use these subject categories for general correspondence, reports and related papers pertaining to audits and investigations. **Do not** use this outline for documentation that is appropriate for filing in specific audit or investigation case files.

CODE	TITLE	DISPOSITION
	AUDITS & INVESTIGATIONS **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**Destroy when superseded or obsolete**
201	REPORTS & STATISTICS **General reports, studies, surveys, progress reports, and reports of significant accomplishments.**	**Destroy when of no further administrative use or 1 year after close of fiscal year whichever is sooner**
202	STANDARDS & PROCEDURES **Procedures for conducting, reporting, and reviewing audits and investigations.**	
202-1	PLANS & PREPARATIONS	
203	AUDIT TRAINING	
204	COORDINATION WITH OTHER FEDERAL AGENCIES **List of Federal agencies cooperating with IG program activities. Subdivide if necessary.**	
205	LIAISON ORGANIZATIONS **List of non-Federal organizations involved with IG program activities.**	

ALL OFFICIAL CASE AND AUDIT FILES SEE TREASURY OIG RECORDS SCHEDUL NI-56-00-2

BUDGET (300)

Use these subject categories for general correspondence, reports and related papers pertaining to the preparation, review and submission of agency budget data, including budget estimates, justifications, policies, procedures, and financial plans. **Do not** use these subjects for documentation that is appropriately filed in a specific case file.

CODE	FILE	DISPOSITION
	BUDGET **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outlines.**	**See General Records Schedules 5,6,7,8**
301	REPORTS **General reports, studies, surveys, progress reports, and reports of significant accomplishments.**	
302 302-1	BUDGET PREPARATION & SUBMISSION BUDGET ESTIMATES **Includes preliminary estimates**	
302-2	SUBMISSIONS & JUSTIFICATIONS **Materials concerning submission of budget estimates to the Secretary, OMB, and the Congress. Subdivide by review organization if appropriate.**	
303 303-1 303-2 303-3	BUDGET EXECUTION ALLOTMENTS & AUTHORIZATIONS APPORTIONMENT & ALLOCATIONS TRANSFER OF FUNDS	
304	FINANCIAL PLANS **Overall plans for expenditure of funds. Includes requests, consolidations, review work plans, approvals.**	
305	FUND AVAILABILITY **Appropriated funds, earned reimbursements, refunds, allocations received, transfer appropriations, etc.**	

COMMITTEES, MEETINGS, AND CONFERENCES (400)

Use this primary subject for material regarding committees, meetings, conferences, task forces, etc., ONLY when the subject matter is too broad or general to be filed by specific subjects. Establish individual files by name of committee, conference, etc. and arrange in alphabetical order, omitting a subject numeric code.

See the ORGANIZATION, PLANNING, AND MANAGEMENT subject outline for "Committee Management"

See General Records Schedule 23

EQUAL EMPLOYMENT OPPORTUNITY (500)

Use these subject categories for general correspondence, reports and related papers pertaining to equal employment opportunity. **Do not** use this outline for documentation that is appropriate for filing in specific discrimination case files.

CODE	TITLE	DISPOSITION
	EQUAL EMPLOYMENT OPPORTUNITY	**See General Records Schedule 1**
	Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.	
501	REPORTS & STATISTICS	
	General reports, studies, survey, progress reports, and reports of significant accomplishments.	
502	LAWS & REGULATIONS	
	Proposed laws and regulations and revisions thereto, relating to agency programs.	
503	MANAGEMENT DIRECTIVE 715	
504	COMPLAINTS	
504-1	INFORMAL	
505	DISCRIMINATION	
	Materials that related to discrimination in equal opportunity matters.	
505-1	AGE	
505-2	NATIONAL ORIGIN	
505-3	DISABILITY ISSURES/REASONABLE ACCOMMODATION	
505-4	RACE	
505-5	COLOR	
505-6	SEX	
505-7	RELIGION	
506	FEDERAL WOMEN	
	Information concerning Department of Government-wide programs concerning women's rights and opportunities	
507	SPECIAL OBSERVANCES	
	Special programs or events relating to equal employment	
508	COUNSELING AND COUNSELORS	

CODE	TITLE	DEPOSITION
509	SUPERVISORS	
	General correspondence regarding evaluation, responsibilities, and training of agency supervisors with regard to EEO.	

INFORMATION SERVICES AND PUBLIC RELATIONS (600)

Use these subject categories for general correspondence and related papers pertaining to public affairs functions, including responses to public inquiries, the preparation of publications containing program information, the clearance of publications and audiovisual materials for issuance and distribution, and the promotion of program activities. **Do NOT** use this outline for documentation that is appropriate for filing in specific case files.

CODE	TITLE	DISPOSITION
	INFORMATION SERVICES AND PUBLIC RELATIONS **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**See General Records Schedule 14**
601	AUDIOVISUAL **Subdivide by type if volume warrants; i.e., maps, charts posters, motion pictures, recording, photographs, and slides. Includes promotional aids and publication materials.**	**See General Records Schedule 21**
602	BRIEFING MATERIALS	
603	EXHIBITS, CEREMONIES, AND COMMUNITY PROJECTS	
604	INVITATIONS AND ENGAGEMENTS	
605	PUBLICATIONS	
605-1	ANNUAL REPORTS	
605-2	ARTICLES	
605-3	BIOGRAPHIES	
605-4	NEWSLETTERS AND HOUSE ORGANS	
605-5	PRESS RELEASES	
605-6	PUBLIC SERVICE ANNOUNCEMENTS	
606	PUBLIC OPINION	
606-1	CONGRATULATIONS, COMMENDATIONS, APPRECIATION	
606-2	CRITICISM	
607	PRESS RELATIONS	
608	RADIO, TELEVISION AND MOTION PICTURE **Agency relations these groups.**	
609	SPEECHES	
610	VISITORS, REPRESENTATIVES, GUESTS	

INFORMATION TECHNOLOGY OPERATIONS (700)

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

CODE	TITLE	DISPOSITION
	INFORMATION TECHNOLOGY OPERATIONS **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline**	**See General Records Schedule 24**
701	OVERSIGHT & COMPLIANCE FILES **Statistical performance data for systems and networks; System availability reports; sample performance indicators** **Target IT architecture reports; Systems development lifecycle handbooks; Network assessments; contractor evaluation reports; Market analyses; performance surveys; cost-benefit analyses; Histograms; corrective action reports**	
702	IT FACILITY, SITE MANAGEMENT, & EQUIPMENT SERVICES **Listings of facilities; Inspection reports**	
703	IT ASSET & CONFIGURATION MANAGEMENT Maintenance **IT assets;** Inventories **of assets,** equipment **control systems;** Databases **of barcodes;** Bar code **reports;** Maintenance **service histories;** Asset **management guides,** Service**;** Requisitions **for equipment maintenance;** Change **orders;** Purchase **orders for maintenance;** Property **transfer control systems;** Flow **reconfiguration requests;** Standardization **requests & justifications**	
704	SYSTEM BACKUPS & TAPE LIBRARY RECORDS **Backup tapes; backups of system software; location vault lists; offsite storage facilities; bin location**	

CODE	TITLE	DISPOSITION
705	FILES RELATED TO MAINTAINING THE SECURITY OF SYSTEMS AND DATA **Computer technical manuals, continuity of operations plans; disaster exercise evaluations; disaster recovery plans; risk survey; security plans for IT infrastructure; vulnerability assessments**	

by IG; vulnerability assessments/studies

706 USER IDENTIFICATION, PROFILES, AUTHORIZATIONS & PASSWORD
User identification; user profiles; user passwords profiles; user authorizations

707 COMPUTER SECURITY INCIDENT HANDLING, REPORTING & FOLLOW-UP
Reports and documentation of Website defacement; hacks; break-in records; improper usage by staff; misuse of system; security breaches; security break-ins; security failures; unauthorized intrusions; virus threats

708 IT OPERATIONS
Cycle time reports; maintenance schedules; run reports; workload schedules; software problem reports; benchmark measures; operation reports; performance monitoring

709 FINANCING OF IT RESOURCES & SERVICES
Note: Copies of records needed to support contracts should be in procurement files (See General Record Scheduled 3)

710 IT CUSTOMER SERVICE FILES
Customer queries; customer service; end-user inquiries; feedback records; FAQs; helpdesk logs; pamphlets; requests for assistance; trend analysis; trouble reports; user guides

711 IT INFRASTRUCTURE DESIGN & IMPLEMENTATION
Acquisition; implementation of new systems; installation & testing; installation reviews; new enterprise projects; quality assurance plans; requirements specifications; technology refresh plans; test plans

712 ELECTRONIC MAIL & WORD PROCESSING SYSTEM COPIES
Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in General Record Schedule 24.

713	TELECOMMUNICATIONS	**See General Records Schedule 12**
713-1	TELEGRAPH, TELETYPE & FACSIMILE SERVICE	
713-2	TELEPHONE SERVICE	
713-3	TELEPHONE DIRECTORIES	

LEGAL AND LEGISLATIVE (800)

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

CODE	TITLE	DISPOSITION
	LEGAL AND LEGISLATIVE **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	
801	LITIGATION AND APPEALS	
801-1	CIVIL ACTIONS	
801-2	CRIMINAL ACTIONS	
802	OPINIONS AND DECISIONS	
802-1	U.S. ATTORNEY	
802-2	U.S. COURTS AND JUDGES	
803	FREEDOM OF INFORMATION ACT **Do not use for case files or non-FOIA inquires.**	
804	PRIVACY ACT **Do not use for case files or non-Privacy Act inquiries.**	

ORGANIZTION, PLANNING, AND MANAGEMENT (900)

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

CODE	TITLE	DISPOSITION
	ORGANIZATION, PLANNING, AND MANAGEMENT	**See General Records Schedule 23**
	Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.	
901	REPORTS & STUDIES	
	General reports, studies, survey, progress reports, and reports of significant accomplishments.	
902	COMMITTEE MANAGEMENT	
	General correspondence regarding the management and administration of agency committees. Do NOT **use for papers on committee meeting that should be filed under the specific subject category or "Committees, Meetings and Conferences.**	
903	DELEGATIONS OF AUTHORITY	
904	MANAGEMENT ANALYSIS AND IMPROVEMENT	
	Management improvement, evaluation, and cost reduction activities other than inspections, audits, and surveys.	
905	ORGANIZATION AND REORGANIZATION	
	Organization charts, statements of functions, organization and reorganization plans, history and background of agency elements, and the establishment and jurisdiction of regional offices.	
906	STAFF CONTROLL AND UTILIZATION	
906-1	STAFF REQUIREMENTS	
906-2	WORK DISTRIBUTION	
906-3	WORK MEASUREMENT	
906-4	WORK SIMPLIFICATION	

CODE	TITLE	DEPOSITION
907	PROGRAM PLANNING AND EVALUATION	
	General material on the overall planning, direction, coordination, supervision, review, and evaluation of program goals.	
908	PROJECTS MANAGEMENT	
	General correspondence relating to the management and administration of agency projects.	

PERSONNEL (1000)

Use these subject categories for general correspondence and related papers pertaining to personnel. **Do not** use this outline for documentation that is appropriate for filing in specific case files.

See the EQUAL EMPLOYMENT OPPORTUNITY subject outline for general correspondence and similar papers related to equal employment opportunity.

CODE	TITLE	DISPOSITION
	PERSONNEL **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**See General Records Schedule 1**
1001	ATTENDANCE AND LEAVE **Annual, sick, and military leave; leave without pay; holidays; and absence for jury duty. Subdivide by as necessary.**	
1002	EMPLOYEE RELATIONS AND SERVICES	
1002-1	APPEALS AND GRIEVANCES **General material on the appeals system and policies and procedures for handling appeals, complaints, and grievances.**	
1002-2	CONDUCT OF EMPLOYEES **General materials relating to regulations and procedures governing conflicts of interest, political activities, acceptance of gratuities, etc. Subdivided as necessary.**	
1002-3	DISCIPLINARY AND ADVERSE ACTIONS	
1003	EMPLOYMENT	
1003-1	SPECIAL CATEGORIES **Students, handicapped veterans, consultants, etc.**	
1004	PAY ADMINISTRATION	**Also see General Records Schedule 2**
1005	PERSONNEL MANAGEMENT **Program inspections and surveys.**	
1006	POSITION CLASSIFICAITON	
1006-1	APPEALS	
1006-2	DESK AUDITS	
1006-3	SURVEYS AND EVALUATIONS	
1007	STAFFING PATTERNS	
1007-1	ORGANIZATIONAL CHARTS	

CODE	TITLE	DEPOSITION
1008	RECRUITMENT, SELECTION, AND APPOINTMENT	
1008-1	DEU QUARTERLY REPORTS	
1008-2	REDUCTION IN FORCE	
1008-3	REGULAR 45 DAY HIRING REPORTS	
1008-4	SES 45 DAY HIRING REPORTS	
1009	TRAINING AND CAREER DEVELOPMENT	

PROCUREMENT AND CONTRACTING (1100)

Use these subject categories for general correspondence and related papers pertaining to procurement of agency supplies, equipment, and services; contracting for supplies and services; and interagency agreements. **Do not** use this outline for documentation that is appropriate for filing in specific contract or procurement case files.

CODE	TITLE	DISPOSITION
	PROCUREMENT AND CONTRACTING **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**See General Records Schedule 3**
1101	PURCHASE ORDERS AND REQUISITIONS **File by fiscal year, order number and requisition number.**	

RECORDS MANAGEMENT (1200)

Use these subject categories for general correspondence and related papers pertaining to such records management functions as records maintenance and disposition, document security, and the management of correspondence, forms, directives, and reports. **Do not** use this outline for documentation that is for appropriate for filing in specific case files.

CODE	TITLE	DISPOSITION
	RECORDS MANAGEMENT	**See General Records Schedule 16**
	Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.	
1201	DOCUMENT AND INFORMATION SECURITY	
	Systems and procedures regarding the handling and control of information and documents. Includes material on technical, administrative, and physical safeguards to ensure the confidentiality of records containing personal and proprietary information.	
1202	DISPOSITION SCHEDULES	
	General correspondence about scheduling records. Exclude SF-115	
1202-1	RECORDS RETIREMENT	
	Completed SF-135 and related papers	
1203	VITAL RECORDS	
	General correspondence on policy and procedures to be followed in handling records essential to agency's operations in an emergency situation.	

TRAVEL AND TRANSPORATION (1300)

Use these subject categories for general correspondence and related papers pertaining to the travel of individuals and the movement of household goods; the shipment of equipment, supplies, and materials; and the acquisition, maintenance, use, and disposition of motor vehicles. **Do not** use this outline for documentation that is appropriate for filing in specific case files.

CODE	TITLE	DISPOSITION
	TRAVEL AND TRANSPORATION **Information pertaining to general policies and procedures that cannot be put under specific subjects of this outline.**	**See General Records Schedule 9**
1301	REPORTS **General reports, studies, survey, progress reports, and reports of significant accomplishments.**	
1302	CLAIMS **Loss and damage.**	
1303	GOVERNMENT VEHICLES **General material on acquisition, assignments and use, credit cards, operator permits, maintenance and repairs, and motor vehicle reporting. Includes GSA Interagency Motor Pool vehicles and agency vehicles.**	**See General Records Schedule 10**
1304	TRAVEL ORDERS AND AUTHORIZATIONS **General material of a regulatory or procedural nature. Includes transportation requests.**	
1305	TRAVEL VOUCHERS **Procedures regarding preparation and submission.**	