

CHAPTER 1. SUBJECT OUTLINES AND FILE PLANS

1-1 File Groups. A file group is a collection of papers with similar characteristics which should be kept apart from other groups of records in file rooms and offices. The file groups are:

- A. Case Files: Papers documenting the history of a case from beginning to end, filed by name or number. A case file covers a specific person, organization, place or thing. A separate folder is set up for each case. Examples: Individual personnel folder on each employee, filed by surname, individual folder on each mortgage, filed by mortgage number. Case files are the largest group of HUD records.
 - B. Case Working Papers: Drafts and extra copies of correspondence and documents about an active case, usually kept at the action level for quick reference. Keep working papers in a separate folder from the official case folder containing the record copies.
 - C. Subject Files: General correspondence and other records not related to a particular case, but filed by its subject. Subject files document HUD's policies, organization, functions, and activities. See par. 1-2 on HUD's filing system for subject files.
 - D. Convenience or Reference Files: Publications and duplications of correspondence or other documents used for reference.
- 1. Alphabetical name index file contains copies of outgoing correspondence used as a finding aid to locate the official record in the subject file. The index file may be divided into three categories:
 - a. Interoffice: Correspondence addressed to Headquarters, State offices and Field Offices.
 - b. Interagency: Correspondence addressed to other Government agencies.
 - c. Other (A to Z): Correspondence addressed to individuals, organizations, States and cities.
 - 2. Chronological or reading file contains extra copies of outgoing correspondence prepared and kept in an individual office. The copies are filed in order by date.

- 3. Technical reference file contains publications and

other nonrecord material kept for reference.

4. Followup file is set up as a reminder that, on a certain date, an action should be taken or something is due. The followup file is also known as the upending," or "tickler" or "suspense" file.

E. Special Media Files include:

1. Date/word processing files. Examples: Cassettes; cartridges; tab and magnetic cards; diskettes; computer printouts; and computer tapes, disks, and reels.
2. Microforms files. Examples: Rolls of film on spools or in cassettes or cartridges, microfiche, aperture cards, and jackets.
3. Card files, ranging from standard 3" x 5" cards up to 8" x 8" ledger or inventory cards.
4. Drawings, blueprints, and other large documents. Examples: Maps and plans, charts, and tracings. Tracings are long-term records on which changes are entered and from which blueprints are reproduced.

1-2 HUD General Subject File Classification Guide

- A. Subject-Numeric System. HUD has adopted a subject-numeric system for arranging subject files.
- B. Guide. HUD's general subject file classification guide (Appendix 2) provides recommended:
 1. Primary Subject Categories. The most important subjects become the primary subject categories, or first division, and are arranged alphabetically. Primary subject headings cover records common to most offices.
 2. Subdivisions. Each primary subject category is subdivided into secondary (second) and, in some cases, tertiary (third) or quaternary (fourth) breakdowns, arranged numerically. See Figure 1-1.

1-2

Figure 1-1

SAMPLE SUBDIVISIONS OF PRIMARY SUBJECT CATEGORY

ENV	ENVIRONMENT	primary	(1st)
ENV 8	POLLUTION	secondary	(2nd)
ENV 8-1	Air	tertiary	(3rd)
ENV 8-1-1	Aircraft	quaternary	(4th)

1-3 Office Subject Outline. Each official file station should have an office subject outline describing the subject file categories kept there. The outline gives the file custodian and user an effective finding aid to the subject files.

A. Using Guide to Prepare Outline. From the general subject file classification guide in Appendix 2, select those primary categories and subdivisions needed for the subject files kept at the file station. Use only the file categories needed. Add or combine subdivisions as needed. See Exhibit 1-1 for a sample Branch office subject outline.

1. Adding Subdivisions. Subdivide a category when expecting to file 20 or more documents on that subject. See Figure 1-2 for an example of how to add new subdivisions to cover other topics the office needs.

Figure 1-2

ADDING SUBDIVISIONS ON OFFICE SUBJECT OUTLINE

HUD General Subject File		Revised Categories	
		for	
Classification Guide (Appendix 2)		Office Subject	
		Outline	
FIN	FINANCIAL MANAGEMENT	FIN	FINANCIAL MANAGEMENT
FIN 17	AGREEMENTS	FIN 17	AGREEMENTS
		FIN 17-1	Grant
		FIN 17-2	Loan

1-3

2. Combining Subdivisions. Unnecessary folders take up extra space in the file drawer and make retrieval more difficult. Avoid including a subject category in the outline for only a few documents. Instead, do either of the following:

- Combine file categories as shown in Figure 1-3 below, or
- Eliminate the category and use the subdivision one level above it. Using the example in Figure 1-2 above, an office with few subject files on agreements would use the "FIN FINANCIAL MANAGEMENT" category in preparing their outline, instead of the "FIN 17 AGREEMENTS" category.

Figure 1-3

COMBINING SUBDIVISIONS ON OFFICE SUBJECT OUTLINE

HUD General Subject File Revised Categories for
Classification Guide (Appendix 2) Office Subject Outline

ADS ADMINISTRATIVE SERVICES ADS
 ADMINISTRATIVE SERVICES

ADS 3 BUILDINGS AND GROUNDS ADS 3
 BUILDING SERVICES &

 TELECOMMUNICATIONS
ADS 8 TELECOMMUNICATIONS

- B. Filing the Outline. The first file folder in the first drawer of the first cabinet at each file station should always have an office subject outline. Each employee needing access to the files or classifying correspondence for filing should have a copy of the outline.
- C. Updating the Outline. Each file custodian should update the office subject outline when needed to reflect the files actually kept at the file station. Subject categories may need to be added or deleted when:
 - 1. Functions and responsibilities change.
 - 2. Public interest in a program rises or falls.

1-4

- D. Assistance. The RMLO's will provide advice and assistance in preparing and updating the outlines. The RMLO's may contact the Records and Directives Branch if they have questions.

1-4 Files Maintenance and Disposition Plan. Develop a files maintenance and disposition plan for each official file station. The plan should identify all official files (by record series) kept at that station and the related disposition instructions for those files. Prepare and process the plan as follows:

- A. Prepare the plan on Form HUD-21001 (see Figure 1-2).
- B. Forward the plan to the RMLO (through the Records Management Coordinator, for plans originating in the Field office) for review and signature. The RMLO reviews the plan to be sure the proper disposition instructions are listed for each record series. The RMLO will advise the preparing office if the plan needs to be revised.
- C. File the approved plan with the office subject outline in the first folder of the first drawer of the first file cabinet at the file station.

D. Update files maintenance and disposition plans when:

1. Disposition instructions are revised (and approved by NARA), or
2. The functions of the office are changed to the extent that records series are affected.

1-5

SAMPLE OFFICE SUBJECT OUTLINE
FOR BRANCH

Exhibit 1-1

DOCUMENT DIVISION

RECORDS AND DIRECTIVES BRANCH

Branch office Subject Outline

CODE	TITLE	COMMENTS
ADS	ADMINISTRATIVE POLICY	Material on space, office equipment and supplies, printing and reproduction, telephone service.
BUD	BUDGET	Material on budget submission and execution.
OPM	ORGANIZATION, PLANNING AND MANAGEMENT	Material on organization, staffing, program/work plans, project management.
OPM 11	MBO COORDINATION	Progress reports on Management By Objectives (MBO's) assigned to the Division.
PER	PERSONNEL	Material on personnel that cannot be put under PER 3 through PER 20.
PER 3	ATTENDANCE AND LEAVE	Includes T & A's.
PER 4	EMPLOYEE RELATIONS AND SERVICES	Material on campaigns and drives and general employee relations.
PER 5	EMPLOYMENT	Supervisor's personnel files on individual employees are filed alphabetically by last name under this category.
PER 11	PERFORMANCE EVALUATION	

PER 19 TRAINING AND CAREER
DEVELOPMENT

PER 20 AWARDS AND COMMENDATIONS

PRC PROCUREMENT AND Requisitions originated
CONTRACTING or funded by the Branch.

1-6

CODE	TITLE	COMMENTS
------	-------	----------

REM	RECORDS MANAGEMENT	Material on records management that cannot be put under REM 1 through REM 18.
-----	--------------------	---

REM 1	LAWS AND REGULATIONS	
-------	----------------------	--

REM 2	REPORTS AND STATISTICS	
-------	------------------------	--

REM 4	DIRECTIVES MANAGEMENT	
-------	-----------------------	--

REM 4-1	Liaison with DMO's	
---------	--------------------	--

REM 4-2	Status Reports on OAMs Directives	
---------	--------------------------------------	--

REM 4-3	Branch Review of Other Offices' Directives	Directives clearance packages sent to Branch for review due to impact on Branch functions and copies of the responses. Does not include directives case history files.
---------	---	---

REM 5	DOCUMENT AND INFORMATION SECURITY	Includes material on transition and vital records.
-------	--------------------------------------	---

REM 9	MICROFORM MANAGEMENT	
-------	----------------------	--

REM 9-1	Legal Opinion on Microfilmed Records	
---------	---	--

REM 9-2	Disposition of Paper Records After Filming	
---------	---	--

REM 10	RECORDS DISPOSITION	
--------	---------------------	--

REM 10-1	HUD Headquarters Holding Area (Rm. B-229)	Material on the Headquarters holding area in Rm. B-229 and transfers of records to the area.
----------	---	---

REM 10-2	Statistical Reports of Records Holdings	
----------	--	--

REM 10-3	Information Resources Management Newsletters	
----------	---	--

Exhibit 1-1

CODE	TITLE	COMMENTS
REM 10-4	GAO Relations/Operations	Does not include letters giving GAO approval of specific schedules. Those letters are filed in the schedule case files.
REM 10-5	Federal Records Center Relations/Operations	
REM 10-5-1	Center Disposals	Material on the destruction of specific accessions in the Center.
REM 10-5-2	Records Retirement	Does not include material on specific accessions now kept in Room B-229.
REM 10-6	Disposal Lists	Material on the development, approval and use of disposal lists.
REM 10-7	Freezes	Material on requests for approving or removing freezes on the destruction of HUD records.
REM 10-8	On-Site Disposals	Material on destroying records in HUD offices or other HUD space.
REM 10-8-1	Cleanout Campaigns	
REM 10-9	Offers For Permanent Retention	Material on offering records to National Archives for permanent retention.
REM 10-9-1	Completed Transfers to NARA	Material on completed transfers of records to NARA's legal custody. Subdivided by Record Group (RG) number.
REM 10-9-2	Pending offers	Material on offers of records pending NARA approval.
REM 10-10	Transfers of Records to Other Federal Agencies	Material on transferring records to other Federal agencies. Does not include material on records retired to

a Federal Records Center (see REM 10-1) or transferred to National Archives for permanent retention (see REM 10-9).

1-8

CODE	TITLE	COMMENTS
REM 10-11	Records Donations	Material on donating records eligible for destruction to non-Federal Government entities.
REM 11	RECORDS EQUIPMENT AND SUPPLIES	
REM 12	RECORDS MAINTENANCE (FILES MANAGEMENT)	
REM 16	RMLO/MLO DESIGNATIONS	Designations of Records Management Liaison Officers (RMLOs) and Micrographics Liaison Officers (MLOs). Material on liaison with RMLOs and MLOs is filed by subject.
REM 17	FIELD TRIPS	Material on trips to provide advice and assistance to Field Offices.
REM 18	IDEAS	Employee Ideas on records management, both pending and completed.
TRV	TRAVEL, AND TRANSPORTATION	

1-9

CLICK HERE OR TYPE Alt-p to LINK TO PDF FILE OF EXHIBIT 1-2, SAMPLE FORM HUD-21001

1-10 thru 1-12