

RECORDS MANAGEMENT HANDBOOK

Managing Current Files

英文檔案管理概要

張樹三譯註



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## 英文檔案管理概要

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## 譯 者 序

譯者自民國六十二年迄今，將近十年，先後兼任教職於致理商專、世界新專、台北商專、銘傳商專及輔仁大學等校。教授「檔案管理学」。根據學生之反應，「中文檔案管理」容易領悟；「英文檔案管理」不易學習。最大的困難仍在於文字的本身。故特將全文一一譯出，附於原文之後。以期讀者一看就懂、一學就會。更希望能供從事檔案管理、圖書管理及資料管理工作之參考依據。

譯者主修圖書館學，先後畢業於師大社教系圖書館組及文化大學史學研究所圖書文物組，二十年來一直在圖書館服務。譯者曾利用公餘之暇寫成「中文檔案管理概要」一書，亦由曉園出版社刊行，蒙先進愛護，不少學校均採為教本，甚感榮幸。本書譯成，可相互配合採用。譯者才疏學淺，錯誤之處在所難免，深盼學者、專家、先進多所教正。

民國七十一年十月十日

張 樹 三 序於台北



# RECORDS MANAGEMENT HANDBOOK

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## Managing Current Files

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# <sup>1</sup> I. APPRECIATING THE FILES

"Get me the facts on the Jones case."

In words like these, thousands of Government decisionmakers<sup>2</sup> continually call for needed information. The facts come fast from the files—if the records are carefully planned, if the files are systematically<sup>3</sup> maintained, and if the requester gives the right clues. If not, work falters and tempers flare.

Finding a folder<sup>4</sup> in the files or placing a paper in the right folder seems a simple matter—until something cannot be found or until something is misfiled. Then an office staff comes face to face with the age-old problem of record-keeping. Members of the staff wish they had mastered the guiding principles when they established the files and had then consistently applied those principles in their daily filing.

This handbook is written primarily to help the thousands of small offices having only four or five filing cabinets<sup>5</sup> of papers, where specified employees keep files as one of their many administrative duties. Nevertheless this should not lessen its value to offices with full-time recordkeepers. Its basic purpose is to help all these persons understand and successfully apply the basic rules governing their filing work.<sup>6</sup> It does not replace any agency's instructions for its own offices, of course; nor does it apply to offices where recordkeeping has been mechanized.

## The Office Filing Task

This is a how-to-do-it handbook. It presents both rudimentary<sup>7</sup> standards and specific directions for good recordkeeping. Organized around the chief problems of filing, it shows the steps in establishing and maintaining the files at any recordkeeping location. It tells how to—

- Determine which papers to file and which papers to avoid filing.
- Determine which needed papers to maintain as separate file groups.

- Arrange the folders logically<sup>8</sup> within each group.
- Select and use the best available equipment and supplies for housing records and for making the sequence<sup>9</sup> of folders visible through labels.<sup>10</sup>
- Operate the files on a day-to-day basis after establishing them.

In addition, two chapters give detailed guidance on the two most common types of files, subject files and case files. The handbook concludes with a chapter on evaluating and reporting workload.

## The Office Filing Climate<sup>12</sup>

Skilled recordkeepers can help to create, but cannot guarantee<sup>13</sup> sunny filing weather in an office. Since all in the office benefit when rapid factfinding is accomplished, all should help the recordkeeper maintain a healthy filing climate. Office managers have found the best chances for this occur when—

- The designated recordkeeper is given exclusive responsibility for placing materials into the files. Too many cooks<sup>14</sup> spoil the broth in filing as well as in cooking.
- The recordkeeper is allowed enough time from other duties to maintain the files properly and to dispose<sup>15</sup> of noncurrent<sup>16</sup> records.
- The records users work in partnership<sup>17</sup> with the recordkeeper. This partnership should help the recordkeeper to decide what papers to file. It should lead the users to comply with such mutually beneficial rules as quickly releasing complete records to the files or inserting charge cards after removing papers from the files.

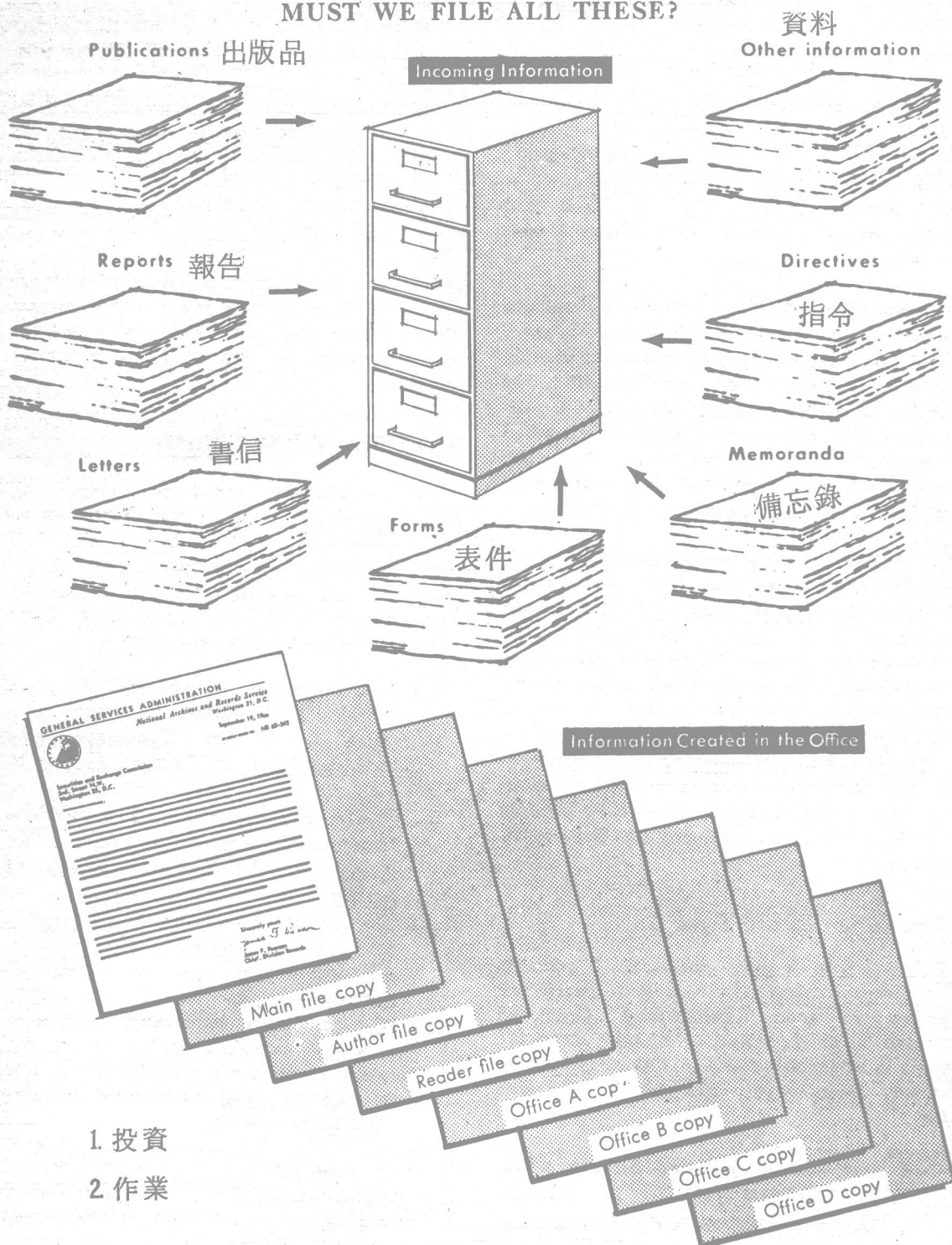
Even the most efficient files are an expensive undertaking.<sup>18</sup> Establishing an effective system for arranging the records that an office must maintain, and placing them at the proper

1. 重視
2. 決策者
3. 系統地
4. 卷夾
5. 檔案櫃
6. 管檔
7. 根本地
8. 合理地
9. 順序
10. 標籤
11. 估評
12. 環境
13. 保證
14. 人多誤事
15. 處理
16. 舊卷
17. 合作
18. 事業

locations, will help secure value from the investment in them. To secure the greatest possible return on the money spent for record-

keeping, however, continuing attention and direction must be given to the day-to-day operation of the files.

## MUST WE FILE ALL THESE?



1. 投資

2. 作業

Figure 1



## II. NEEDLESS FILING

Can we limit the <sup>1</sup>publications we file?

What extra "information" copies should we file?

Should we file copies of all correspondence? <sup>2</sup>

What do we file when we use form letters to answer requests?

How many copies of each document? <sup>3</sup> must we file?

Should we file "just in case" extra copies?

Are we doing our part to make the official file complete?

Can we share files with another office?

Can we reduce distribution? <sup>4</sup> of extra copies to other offices?

A careful look at the individual papers in the records of any office would make many persons wonder why so many were filed, in the first place. They would additionally wonder why so many executives reduce themselves to autom-<sup>5</sup>  
atons by routinely dropping all incoming papers into the "file" box instead of swinging <sup>6</sup>  
a little farther around in their chairs and dropping some of the papers into the waste-basket.

For the executive lacking foreknowledge <sup>7</sup>  
of precisely what papers will be needed, but aware of the necessity to produce information when it is called for, too often his offhand <sup>8</sup>  
decision is to file. The wise decision as opposed to the offhand one recognizes that indiscriminate <sup>9</sup>  
filing is likely to be the least productive of all office tasks. Filing unneeded papers, in addition to wasting manpower, wastes equipment.

While Federal records disposal laws and regulations require agencies to keep complete records reflecting actions taken, they also permit officials to choose whether or not to file many types of papers for which they will have no further use. This chapter provides guidelines to aid in recognizing those types of papers officials are free to file or not to file when facing the problem depicted by figure 1.

### Filing Fewer Publications

A sure way for an office to ferret out needless filing is to begin with the periodicals, circulars, and other reproduced (printed) items received for general information. These materials come

in so frequently that they quickly can fill the files. Unless they are retained as separate <sup>9</sup>  
reference files, they can present an obstacle to finding rapidly any documents needed.

The recordkeeper starts by listing the publications the office receives regularly. Then the listing is reviewed with the people receiving them and disposition commitments are obtained.

During the review, the challenges inherent <sup>10</sup>  
in questions like the following can eliminate a great deal of needless filing:

- Who first requested this publication?
- Who now uses it?
- How often does he use it?
- Can we conveniently <sup>11</sup> get this information elsewhere when needed?
- Does our past experience justify our remaining on the distribution list?
- Does this publication serve an immediate <sup>12</sup> need? A probable need?
- Has it served its purpose adequately after being reviewed by those who need to see it?
- Is the value of the information long term? Limited? Temporary?
- If we must file it, how soon can we dispose of each issue?

The goal of these questions is to lead to a clearly stated policy, preferably in writing, similar to that in figure 2.

1. 出版品

2. 函件

3. 公文

4. 分配

5. 機械

6. 左右搖轉

7. 預知

8. 不加選擇

9. 隔離

10. 固有的

11. 容易地

12. 立刻

13. 紊亂

## FILING POLICY FOR REGULARLY RECEIVED PUBLICATIONS

Title	How Often Received	<sup>1</sup> Disposition
Survey of Current Business	Monthly	Keep 24 latest copies. Dispose of oldest copy when filing latest.
Housing Situation	Monthly	<sup>2</sup> Circulate. Then send to Office "A."
Current Population Reports	Biweekly	Circulate and destroy.
Check List of New Publications in State Library	Weekly	Get off mailing list.
Nation's Agriculture	Monthly	Circulate. Keep 12 latest copies. Dispose of oldest copy when filing latest.
Freight Shipment Report, XYZ Railroad	Daily	Enter in record book, then destroy.
Family Income Situation	Monthly	Dispose of after 5 years.

Figure 2

To keep the disposition instructions up to date, a little note such as that shown in figure 3 should be attached to all newly received publications. To keep a particular article longer than the publication in which it appears, the article can be cut out or <sup>3</sup>photocopied and filed separately.

### DISPOSITION REMINDER <sup>4</sup>

☐

Dispose after circularizing

☐

Retain in file for \_\_\_\_ years

☒

Other disposition

save page 7 only

Figure 3

When publications must be filed, their stay can be reduced by setting up a revolving <sup>5</sup> file whereby the oldest issue is discarded as the latest is added. To facilitate <sup>6</sup>this, the agreed-upon retention period is put on the label of the folder or guide. Revolving files are identified with an "R" on the label, as in figure 4, or by a special colored label.

If an agency has issued regulations regarding disposal of publications, such as special instructions from the agency library, these regulations should be reviewed before any publications are disposed of.

### <sup>7</sup> Filing Fewer "Information Only" Copies

Received copies of letters and forms that are intended only to keep officials posted usually should not be filed. It may safely be assumed that the originating office can produce additional copies when needed. <sup>9</sup>Recipients should file only those items which are sure to be sub-  
<sup>11</sup>sequently referred to.

### <sup>10</sup> Filing Fewer Directives

Individual directives belong to an overall issuance system. Usually in an office one person is designated to keep the entire "set," with the responsibility of making sure it is complete and up to date. Other persons, then, can discard the copies that come to them for information, depending for reference upon the full "set." Only occasionally will a directive

### GUIDE TAB FOR A REVOLVING FILE



Figure 4

be so essential to the story of a transaction that a copy of it should also be placed in the files.

## Filing Fewer Copies of Routine Communications

Another way to limit needless filing is to eliminate file copies of routine communications which require no record.

Here are some proven procedures for eliminating copies:

1. When granting routine requests for publications, blank forms, or other printed supplies, attach the requesting letters to the materials sent, as illustrated in figure 5. Since this returns the incoming document to the sender, there is nothing to be filed.
2. When <sup>2</sup>appropriate, answer routine requests from other offices by placing the information at the bottom of the request, as shown in figure 6. There is nothing to be filed since the incoming document is returned to the sender.
3. When transmitting materials not requested by letter avoid routine transmittal letters with their attendant file copies. Instead show on a route slip <sup>3</sup> necessary information, such as the name of the forwarding office and the purpose of the material. See figure 7. If some record seems necessary, note relevant facts on the office file copy of the transmitted materials.
4. When using form letters, if possible return the request for information with the form letter. If the request must be filed, place on it the date of the reply, the number of the form letter, and any fill-in information. Figure 8 illustrates this practice.

Although the procedures shown above represent the practices of many offices, they are not a complete listing. Most offices can find additional ways of eliminating needless filing.

## Reducing <sup>4</sup>Extra Copy Files

Too many officials set up extra copy files. These "crutch" records bob up everywhere—<sup>5</sup>

the file an employee keeps of copies of all papers he has prepared; a second set of key papers kept against the possibility that the main file will not produce the record; a "reading" or "day" file circulated for information, but *then retained*; or a file containing extra copies arranged as an index to the main file.

Extra copy files kept at various places within an office may seem efficient, and sometimes they are. They are costly, however, and they can be misleading, for they seldom contain all the background data necessary to provide a usable record. Hence, decisions made from these temptingly convenient extra copy files may be unsound decisions based upon incomplete evidence.

Furthermore, extra copy files can underline the main files. They are open invitations to split what should be kept together in the main file: *all* the facts on a matter. There is always the temptation to keep an extra copy file next to an official's desk and retain among the copies some related materials that actually belong in the main file. <sup>7</sup> In time, the files of extra copies may even rival the main file, until no one is quite sure where to look, because no one can be certain who has the whole story.

<sup>8</sup> Sometimes the main file will prove too unreliable to justify confidence, but all too frequently doubts are based on an occasional mishap. <sup>9</sup> If the file has real deficiencies, what can be done to make it complete and efficient? Were the papers telling the whole story released for filing in the main file? One good file is worth several kept haphazardly.

## <sup>10</sup>Sharing the Files

Many offices limit needless filing by sharing files. This has already been mentioned in a preceding paragraph on directives. Persons keeping records in organizationally related offices informally agree to stop known duplication. One office can keep all the records and agree to furnish them to the other; or each office might find it necessary to keep the records on its unique parts of transactions. Thus, each would supplement the other, yet each could have access to all the records whenever necessary.

1. 交易
2. 適當的
3. 傳送單
4. 複本
5. 拐杖
6. 引人地
7. 對手
8. 不能信賴的
9. 不幸
10. 共用
11. 破壞
12. 附卷



## WAYS TO PREVENT NEEDLESS COPIES

*Dear Sir:*  
*Please send me*  
*your publication*  
*on home canning.*

*Sincerely,*  
*J. Roe*

**HOME CANNING**  
 By XZY Bureau

Pub. No 276 19XX

Figure 5

UNITED STATES GOVERNMENT  
**Memorandum**  
 GENERAL SERVICES ADMINISTRATION  
 Washington 25, D.C.

TO : Chief, Accessioning Branch

FROM : Regional Director, NARS

SUBJECT: Vehicle Report

Date: May 4, 19xx

In reply refer to:

Please let us know the speedometer reading shown on the latest report for vehicle 63712.

*Thomas A. Doe*

-----

*Speedometer reading shown as 32,150 miles*

*G. H. Jones*

Figure 6

GENERAL SERVICES ADMINISTRATION  
**ROUTING SLIP**

TO	C0	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10
NAME AND/OR SYMBOL											
BUILDING, ROOM, ETC.											
1. <i>Field Office</i>											
2.											
3.											
4.											
5.											

☐ ALLOTMENT SYMBOL ☐ HANDLE DIRECT ☐ READ AND DESTROY

☐ APPROVAL ☐ IMMEDIATE ACTION ☐ RECOMMENDATION

☐ AS REQUESTED ☒ **NECESSARY ACTION** ☐ SEE ME

☐ CONCURRENCE ☐ NOTE AND RETURN ☐ SIGNATURE

☐ CORRECTION ☐ PER OUR CONVERSATION ☐ YOUR COMMENT

☐ FILING ☐ PER TELEPHONE CONVERSATION ☐ YOUR INFORMATION

☐ FULL REPORT

☐ ANSWER OR ACKNOWLEDGE ON OR BEFORE

☐ PREPARE REPLY FOR THE SIGNATURE OF

REMARKS

FROM: C0 R1 R2 R3 R4 R5 R6 R7 R8 R9 R10

NAME AND/OR SYMBOL: *John Roe* BUILDING, ROOM, ETC.: *NARS*

TELEPHONE: *6264* DATE: *10-1-XX*

GSA FORM 14

Figure 7

*6/26/19xx*

*Dear Sir:*

*Could you please tell*  
*me if I owe you more*  
*money.*

*Very sincerely,*  
*J. B. Doe*

Form Letter  
 Reply No. *10*  
 Date: *7/1/19xx*  
*must*

Figure 8

## Reducing Copy Distribution

Probably the most effective way used by offices to limit needless filing is by reducing distribution. This works well for directives. Of course, information copies of letters are a vital part of the communications chain; but before routinely sending copies to every person or office, officials owe it to their organizations to do some simple investigating— 2

Have the copies been requested?

What<sup>3</sup> valid purpose will each copy serve?

Could one copy serve two or more people or offices?

Could a reading file periodically circulated among interested officials keep them as well informed as the present distribution does? (A good reading file is a highly selective collection of the more important papers arranged by date. Since it usually commands more attention than a single routine copy, it should be <sup>4</sup>assembled only by a knowledgeable person.)

While organizations cannot afford communications gaps, neither can officials forget that in thousands of offices yesterday's desired distribution may have become today's filing nuisance. 5

1. 重要的
2. 調查
3. 正確的
4. 彙集
5. 討厭之物

### III. SEPARATING FILES INTO BASIC TYPES

*How do we break down records for easy finding?*

*What are the basic types of files?*

*When do we file these types separately?*

*When do we combine some of these types?*

1. 聯合

2. 乾草堆

3. 性質

4. 辨別

5. 綜合的

6. 細分

7. 合適的

8. 首次的

9. 短時的

10. 個案卷

11. 個案關係卷

係卷

12. 製圖的

13. 簡化

Five file cabinets of the five-drawer type hold about 100,000 papers. The recordkeeper can find facts fast, and all the facts in these papers, if they are properly grouped and arranged and if the requester asks for a paper in the right way. If these two conditions exist, the recordkeeper can still find needed information quickly even if he is responsible for many times more than 100,000 papers.

#### Breaking the Papers Down, Down, Down

Records managers long ago discovered breaking to be the secret of finding the needle of information in an office's haystack<sup>2</sup> of papers. Although the following is an oversimplification,<sup>13</sup> it does indicate the two main steps.

**Into File Types (Groups).** The first breakdown is dividing the stack into basic types (groups) of records. A file group consists of a collection of papers which have similar characteristics<sup>3</sup> and which should be kept apart from other groups of records in the office. This chapter gives guidance in identifying<sup>4</sup> the file groups best suited to each office; for example, technical reference publications, convenience copies of correspondence, and off-size records.

**Within File Groups.** In the second step, the recordkeeper must determine how best to break down further the papers within each separate file group or collection. When he has finished, he will have broken down the file group into small stacks of 10 to 75 papers which are closely related by subject matter, person or organization, transaction, place, thing, or event. These small stacks will have been placed in some type of record housing, normally a file folder, and the many file folders containing the papers of the file group will have been arranged in a logical sequence. This

second step, leading to a system for arranging the records, is described in detail in chapter IV.

By these two <sup>5</sup>overall steps, the stack of 100,000 papers from 5 file cabinets could be expected to break down into several broad groupings. When further <sup>6</sup>subdivided, assuming an average of about 25 papers in a folder, the papers would be contained in about 4,000 folders. This is why, within a minute, the recordkeeper is often able to select the appropriate<sup>7</sup> filing type or group, and within the group, the folder that holds the documents wanted. A few seconds more are needed for scanning the contents of the folder, and the information is located. If the whole search takes more than 2 to 3 minutes, something probably needs correcting.

#### 8 The Initial Breakdown

The various possibilities for dividing the records of an office into separate file types must be known before the recordkeeper can determine which separate file groups are best for his office. There are many possibilities, but nine file groups are commonly found in the Federal Government. These nine, and the estimated percentage of the total Federal files they represent, are as follows:

Type	Percent
1. General Correspondence.....	9
9. 2. <u>Transitory</u> Correspondence.....	9
10. 3. <u>Case Records</u> .....	55
11. 4. <u>Case Working Papers</u> .....	8
5. Technical Reference Materials....	11
6. Extra "Convenience" Copies....	4
7. Film, Tape, or Disk Records....	1
12. 8. <u>Cartographic</u> Materials and Drawings.....	1
9. Cards.....	2



In addition to the basic nine file groups, many offices possess less common types of papers such as ledger books and suspense files. [

## When Are Files Separated Into Basic Types?

The existence of the basic types of records in an office is in itself no reason to set them up as separate files. The reasoning for separation, however, goes like this. *Finding needed records is always the prime consideration.* It is the purpose in filing. Separating papers into basic types aids finding because it immediately reduces the area of search. The recordkeeper need not then thumb through a collection of case folders, working papers, extra copies, or publications and clippings to find the documents wanted. Nor will he be confused by a variety of different filing arrangements which so often occurs when the basic types are combined into one file usually arranged by subject topics. Figure 9 visualizes this situation.

Four other considerations will often help an office decide which separate file types to establish.

**Disposal Factor.** Separation into file types keeps <sup>4</sup>essential documents apart from short-lived papers which may be disposed of earlier than the essential documents. For example, case working papers are kept separate from essential case papers to facilitate disposal of the working papers. Transitory and convenience files also have a shorter life than the general correspondence records. Differing retention periods are, therefore, a good reason for filing these types of records separately.

**Identification Factor.** The inability to recognize readily the papers of each type may affect the decision. If it is difficult to distinguish technical reference and transitory materials from general correspondence, it may be better to keep them together to avoid filing errors.

<sup>5</sup> **Volume Factor.** The quantity of papers involved is important. If less than a file drawer of case records or technical reference material is involved, separating them from the general correspondence will be of little value. On the other hand, it does not take many transitory, working, or convenience papers to justify

separation. While no one volume figure can apply to separating file types in every office, where possible in the next few pages, guidance has been given on the volume factor for some of the common file types.

**Completeness Factor.** The needs of records users for complete information telling the whole story of transactions should not be overlooked. If photographs and correspondence are separated, either both files may have to be searched when records are requested, or the office runs the risk of the user taking actions without the complete facts. Most often it is the physical characteristics of papers, such as the size of engineering drawings, that force recordkeepers to file materials separately that they would prefer to have together.

## The Basic File Groups

The following describes the characteristics of the papers or materials included in the nine basic or most common file groups:

### 1. General Correspondence (Subject Files)

Often known as the "central file," the "general file," or the "subject correspondence file," the general correspondence file consists of letters, <sup>7</sup>memorandums, telegrams, <sup>8</sup>enclosures, reports, and miscellaneous materials, <sup>9</sup>*arranged by subject.*

Almost every office requires a file of this type for those papers which will most often be requested by subject.

The general correspondence file often includes papers belonging to the other basic types if finding is easier or if the volume of such papers is small—factors already cited. It is frequently argued that "case-type records" are not "case files" unless they are filed separately from the general correspondence. The basis for this argument is that a subject-coded heading precedes a case heading, as,

MIL 2—Jones, Richard, or  
201/Doe, John.

Therefore, the subject-coded heading controls

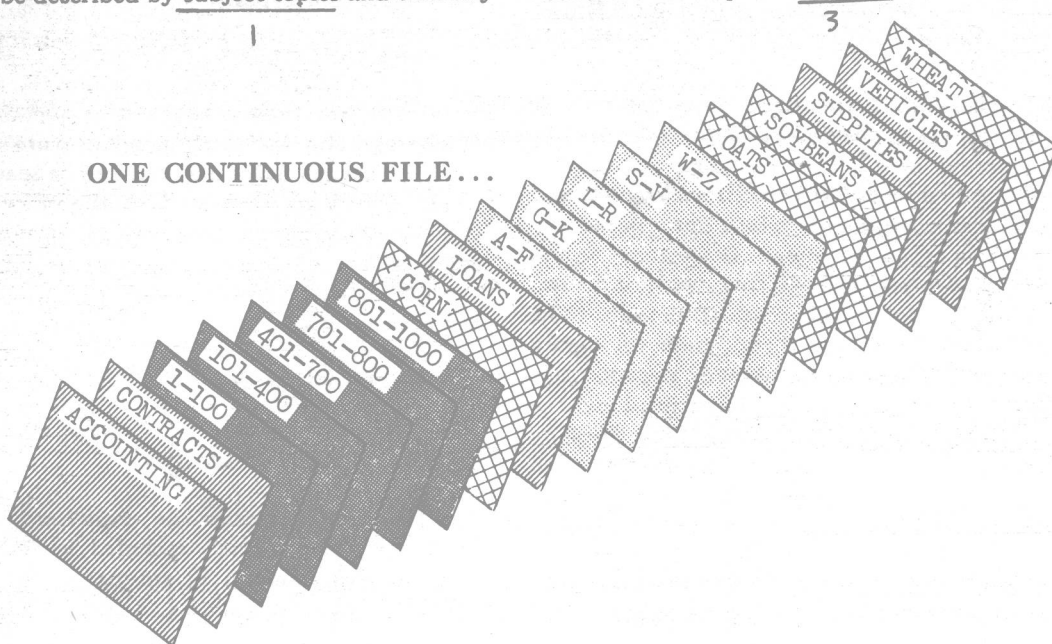
1. 懸案
2. 剪報
3. 可見
4. 重要的
5. 量
6. 主題卷
- (分類卷)
7. 備忘錄
8. 附件
9. 其他

the place of the folder in the general correspondence file. It could thus be technically correct to say that all papers are part of the general correspondence subject file since they can be described by subject topics and that any

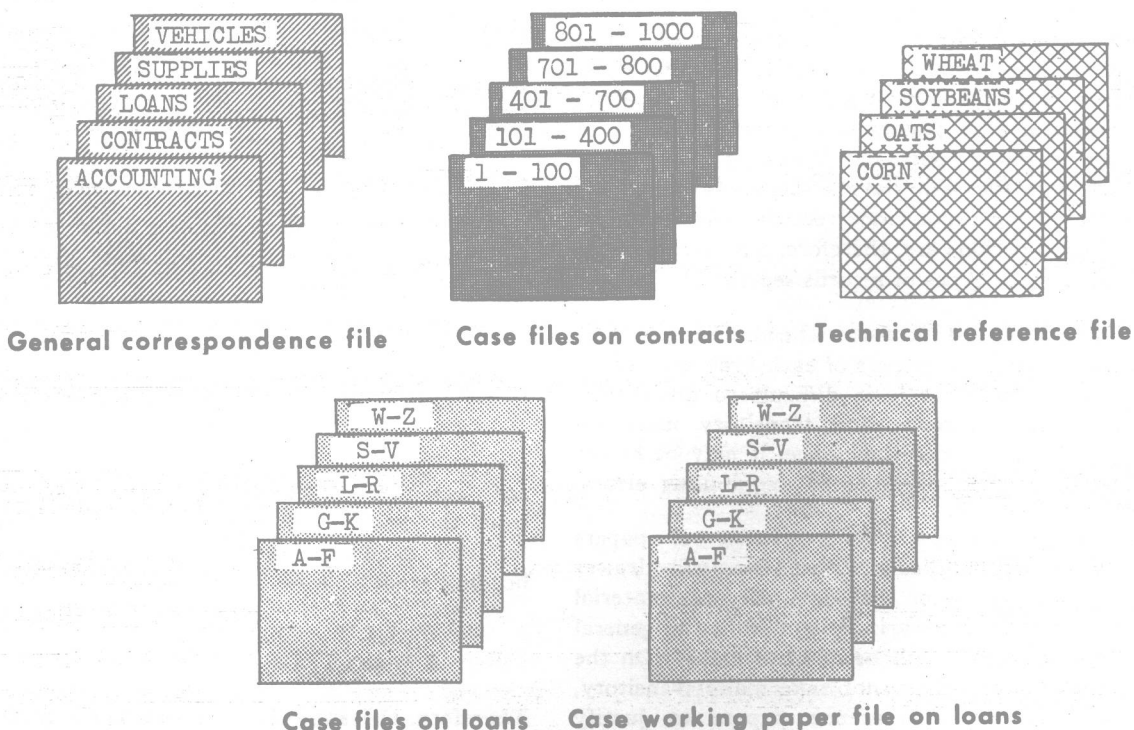
other "basic type" established is simply a part of the general correspondence<sup>2</sup> pulled out for separate handling. For ease of explanation, however, each basic type (file group) will be discussed as a separate entity in this chapter

1. 標題
2. 分出
3. 實體

### ONE CONTINUOUS FILE...



### ...OR SEPARATE FILE GROUPS?



2. Transitory Correspondence

One of the great <sup>1</sup>failures in filing is the failure to recognize adequately the existence of transitory correspondence and to provide for its handling. This failure means that many papers are kept longer than they need to be, and are kept more expensively than they need to be. Transitory correspondence consists of easily recognizable routine materials. Examples are short-lived papers involved in answering routine requests for information or publications, in requesting or transmitting routine data to other offices, and in making hotel <sup>3</sup>reservations or arranging for conferences. Such papers often may be authorized for disposal within 6 months or less. Every office has such papers, and almost every office needs to segregate them. They should be kept in folders separate from folders for other general correspondence if they amount to 5 percent or more of the papers.

Usually an office will establish a separate file for these transitory materials. Sometimes, however, it is preferable to file transitory folders within the general correspondence file, but <sup>4</sup>earmarked by distinctive topics or labels, so that disposal is easy. Whether or not an office has a separate transitory file or segregated folders within the general correspondence file depends largely on ability to recognize materials as transitory when they are requested. When the recordkeeper can easily recognize transitory materials, he will probably establish a separate file.

If less than 100 papers a month are involved, a separate transitory file will normally be set up in date order. If the volume is much larger, subject filing may be required to facilitate reference.

3. Case Records

"Case files," "project files," and "document files" are essentially synonymous terms for the largest single type of records in offices. Records commonly case filed relate to—

- Purchase orders
- Contracts
- Investigations
- Requisitions
- Loans

- Research projects
- Construction projects
- Personnel transactions

This file type contains 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*. This aids in distinguishing them from the general correspondence, which as has been noted, is filed by subject. Another distinguishing <sup>6</sup>feature of case records is the similarity in the nature of the papers within each case folder constituting the total file.

Case records may be said to be specialized subject records, the specialization being the "name or number" filing feature. For example, a contract, <sup>7</sup>may be filed by number "L-19843," or by vendor "L. L. Jones Co." Typically a case file handles a transaction or relationship from its inception to its close.

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4. Case Working Papers

One of the notable ways filing systems can be improved lies in the recognition of this type. These papers should be viewed as a <sup>9</sup>segment of a case history file segregated to aid disposition of short-lived specific classes of materials.

The most readily recognized case working papers are the voluminous background and working materials accumulated in connection with project-type cases. Typical are the reference materials and other data collected for the project, materials involved in summarizing or analyzing the data, and drafts or other preliminary papers leading to final findings.

Not as readily recognized, but far more common, are the short-lived correspondence and working papers which offices accumulate with almost any type of case or project file. Typical are routine requests by an office for reports or data on a case, routine correspondence between <sup>10</sup>headquarters and field offices on administration of cases, occasionally received extra copies of case documents or reference materials, and the like.

If the recordkeeper can <sup>12</sup>distinguish the working papers from important case papers, he

- 1. 失敗
- 2. 移送
- 3. 訂位
- 4. 註明
- 5. 同義的
- 6. 特徵
- 7. 賣主
- 8. 開始
- 9. 部份
- 10. 總公司
- 11. 分公司
- 12. 分別

should always take some action to segregate them. This does not necessarily mean that he will keep them in a separate file. He may find it desirable to keep short-lived correspondence and more important papers together in the same folder, but segregated within the folder. Or he may put such papers in separate folders but file the folders side by side.

## 1. 資料手冊

## 2. 發佈

## 3. 使受害

## 4. 要則

## 5. 充分的

## 6. 唱片

## 7. 生動的

## 7. — 1. 保管

## 8. 冤情

## 9. 顯微照片

## 10. 空中照像

## 11. 地文圖

It is important to distinguish between case working papers and transitory correspondence. Working papers are allied to case records, while transitory papers are related to general correspondence. Finding needed information can be difficult when these two basic types are intermixed. In addition, mixing these papers complicates disposal. Transitory papers are normally disposable within 6 months after date of preparation, while case working papers are normally disposed of after a period dating from the close of the case.

## 5. Technical Reference Materials

Printed reports, periodicals, and special studies, usually called "reference materials," are received constantly from government agencies, colleges and universities, private research organizations, trade associations, and the like. These materials also include internal agency instructional and information manuals. Frequently they include publications supplementing available library facilities. They are most evident in offices involved in research, product development, statistical reporting, and information gathering and dissemination. <sup>2</sup>

<sup>3</sup> The correspondence files in many offices are crippled by including more technical reference materials than correspondence. Much of chapter II was concerned with how offices can prevent the overloading of their files with needless reference materials. As a broad rule <sup>4</sup> of thumb, if more than one drawer of the bulk of a correspondence file consists of reference materials, separate filing of the latter is warranted.

## 6. Extra "Convenience" Copies

Extra copies of documents created or received that are retained solely for ease of use constitute the "convenience" file group. Some offices

<sup>5</sup> have ample justification for keeping them, but most do not, as was explained in chapter II. The "day file" of letters written by an office, arranged in date order, is a typical example of a convenience file. Not so evident may be the copies of letters and forms which are filed with the general correspondence or case files, not because of any action that must be documented, but for convenience of reference.

Unless such copies are only occasionally received, recordkeepers usually set up an extra copy file as an aid to finding and disposal. Even one folder a month will usually justify a separate file. Typically, such files are retained in folders identifying the originating offices.

## 7. Film, Tape, or Disk Records

<sup>6</sup> These records have the form of graphic <sup>7</sup> images, or of electronic or other mechanical reproduction of sounds or coded information. They are usually kept separately because of their physical characteristics.

Still pictures are used in many instances to record activities or progress, and as such must be treated as records. If prints are received only occasionally, the custom is to house <sup>7-1</sup> them in the regular subject or case files. Still picture negatives, as well as motion pictures, demand separate housing and special care for preservation.

Sound recordings from some office dictating machines are disks compatible in size with letter paper and can be filed with paper records, but tape types cannot. Many sound recordings are transcribed to paper records so that the recording media can be discarded or reused. Others are not transcribed and must be preserved, as in the case of some grievance <sup>8</sup> hearings. Even a small volume of tapes or off-size recordings requires a separate file.

Other items in this basic type are magnetic and paper tapes, X-ray films, and microphoto- <sup>9</sup> graphs.

## 8. Cartographic Materials and Drawings

<sup>10</sup> <sup>11</sup> Maps, charts, aerial photographs, physiographic diagrams, and engineering drawings have a