

USIS Records Management Handbook



UNITED STATES INFORMATION AGENCY

F O R E W O R D

An effective records management program is indispensable to the proper functioning of the U. S. Information Agency, both in the United States and overseas.

This Records Management Handbook contains the information required to establish and maintain appropriate records, including:

1. A standardized classification system for filing correspondence, reports, and other official Agency records, and
2. The basic principles and methods for the organization, maintenance and disposition of records.

Field personnel are urged to make full use of this Handbook as a continuing guide to effective records management.



Richard F. Cook
Assistant Director for Administration

590 USIS Records Management Handbook**591 General****591.1 Purpose and Use**

591.11 The Records Management Handbook (MOA sections 590-595) provides basic principles and procedures for establishing and maintaining an effective records management program within each field establishment. Because of the expansion of the Agency's programs, it is necessary that these basic procedures be adopted at all such establishments to maintain uniformity in an Agency records system. However, variations to meet local requirements may be authorized by the PAO or officer in charge. Further advice and assistance on records matters may be requested by writing to the Agency.

591.12 Section 591 explains the importance of an effective records management program and assigns responsibility therefor within each field establishment. Sections 592 through 595 contain instructions for the organization and maintenance of current files and the retirement and disposal of inactive files. The Handbook is intended primarily for use by field personnel responsible for maintaining current files, regardless of whether or not such files are maintained on a centralized or decentralized basis, within field establishments. It should also prove useful as a training aid for new clerical or records personnel.

591.2 Relationship to State Department Foreign Service Records Management Handbook (FSRMH)

This USIS Records Management Handbook is based on standard procedures provided for in the State Department's Foreign Service Records Management Handbook but does not supersede it. The principal difference is that the USIS Records Management Handbook contains a revised classification scheme and condensed file procedures for use in individual offices and small central files. In many cases the State Department's Handbook contains more detailed information and should be consulted and used whenever necessary. Copies of the Department's Handbook are available in the post's central file and additional copies may be obtained by Agency personnel through Foreign Service Post channels.

591.3 Classified Records

Since security regulations require special handling and storage

of all security classified material, such material should be segregated from the nonclassified. The extent of physical protection and equipment available at the post will govern the location of the classified records. In some posts, security requirements can only be met by utilizing the State Department's central files. Where secured facilities are available for USIS decentralized files, provision should be made for the segregation of the classified and nonclassified records throughout the system. This segregation will contribute to maximum use of local employees as file clerks.

591.4 Importance of Records Activities

The efficient and economical management of field records is essential to the effective operation of the Agency's program since records are basic administrative tools by the use of which program objectives are achieved and continuity and consistency are given to Agency policy. Field records not only contain administrative and legal evidence that must be preserved to protect the Government but they also embody information necessary to protect legal, property, or other rights of private citizens and Government employees. In addition, many of the records have historical or research value for administrators, scholars, or specialists in various fields of interest.

591.5 Definitions

591.51 Records Management Officer

As used herein, the title "Records Management Officer" refers to the Records Management Officer of the Agency, who is responsible for staff supervision, coordination, and direction of the Agency's records management program.

591.52 Records Supervisor

As used herein, the title "Records Supervisor" refers to the officer or employee designated by the Principal Officer of a Foreign Service post to exercise central staff supervision over all records and files at the post, including Agency's files maintained on a decentralized basis as well as Foreign Service post's central file.

591.53 Records

Records are determined by their physical nature, the purposes for which they are produced or acquired, and their value for information and research purposes. They include books, papers, correspondence, maps, photographs, films,

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filmstrips, and other documentary, graphic and audio-visual materials. Records are made or received by the field establishments pursuant to Federal law, Executive order, or Agency instruction, or in connection with performing functions of the post. Materials are classed as records because they are appropriate for preservation as evidence of the organizational functions, policies, decisions, operations, or other activities of field establishments, or because they contain information of value for various types of research or the protection of civic, legal, and property rights of citizens.

Records as defined do not include:

- a. Library material (i.e., publications in printed or processed form that have been prepared for multiple distribution or for information or reference purposes), except for one master set of such publications produced at the post, which should be maintained for record purposes.
- b. Museum materials acquired and preserved for exhibition purposes.
- c. Extra copies of printed, processed or typed materials of which official copies have been retained for purposes of record.
- d. Stocks of publications and printed documents preserved for supply purposes.
- e. Surplus stocks of blank or obsolete forms.

591.54 Other Definitions

See State Department's Foreign Service Manual Volume 1, Part II, Section 415 for other definitions concerning records activities.

591.6 Records Management Functions

The Federal Records Act of 1950 (P.L. 754, 81st Congress) requires the head of each Federal agency to establish and maintain an active, continuing program for the economical and efficient management of the records of his agency. The Agency records management program has the following objectives:

- a. Development of standards for the adequate documentation of Agency field activities to insure the preservation of records

of enduring value.

- b. Provision of technical assistance and standards to improve existing methods of maintaining current files.
- c. Establishment of standards for the types and quantities of equipment and supplies to be used in records creation and maintenance.
- d. Development of orderly and systematic plans for the retirement of inactive records and the disposal of records of only temporary value.

The cooperation of all field personnel is essential to the implementation of an effective records management program.

591.7 Relationship of USIS Records to Post Central Files

591.71 Current Files

While every Foreign Service post is required to maintain a central file (Section 2.2a, Part I, FSRMH), there are certain types of files that can be maintained more efficiently and economically on a decentralized basis. In many of the larger Foreign Service posts, Agency records have been maintained on a decentralized basis because of the specialized nature of the information program and the physical location of Agency installations. Since the majority of Agency records are used principally by the Agency staff at any post, their decentralization to the point of primary use facilitates reference and tends to decrease the amount of duplication between the records maintained in Agency field offices and the Foreign Service post's central file. Record material containing such subjects as policy, procedures, legal matters, overall administrative matters, administrative support activities, relationships with other agencies and foreign governments, should be sent to the Foreign Service post's central file after necessary action has been completed to insure its preservation as documentation of Agency activities. These documents will be incorporated in the "670" category of the State Department Classification system. Classified Agency records should also be maintained in the Foreign Service post's central file unless security requirements can be met in the decentralized file location. In many Foreign Service posts, it has been the practice to incorporate Agency records in the Foreign Service post's central file and to classify them under the "670" category of the State Department Foreign

Service Records Classification Handbook. Where such a procedure has proved satisfactory and centralization appears more economical from the standpoint of the volume of records and personnel resources, it is recommended that existing procedures for the maintenance of Agency records be continued. A copy of the new Agency records classification system should be provided the Foreign Service post's records supervisor as a guide in establishing appropriate breakdowns of subject matter within the "670" category where the volume of records to be classified thereunder warrants the use of more subdivisions than are available in the Classification Handbook (see Section 4.3, Part I, FSRMH).

591.72 Inactive Files

When decentralized Agency files have become inactive, those which are not yet eligible for disposal under authorizations contained in the Records Disposition Schedule (see Section 595.3) should be retired to a storage area within the Foreign Service post until they can be destroyed. Any records of enduring value among Agency decentralized files which have not previously been sent to the post's central files should be incorporated in the "670" category at the time the decentralized Agency file is retired to the storage area.

591.73 Separation of USIS Post Administrative Files

Where administrative services are performed for USIS under Administrative Support arrangements, the USIS administrative or housekeeping type records should be maintained separate from those of the Department of State and ICA. Record copies of documents setting forth administrative policies should be handled according to the provisions in 591.71 above. The housekeeping records of a non-policy nature, which are being maintained separately, should be retired to storage and destroyed according to procedures now followed in handling Foreign Service post records.

592 Organization and Maintenance of Current Files**592.1 Types of Files to be Maintained****592.11 General Subject File**

Each field establishment, whether maintaining its records on a centralized or decentralized basis, should classify and file its general correspondence, program and administrative records in a general subject file according to the Agency classification system provided for in Section 593. Wherever practicable from the standpoint of space, personnel, and operating needs, it is recommended that the maintenance of files within field establishments be centralized with the exception of the special types of files described in paragraph 592.12 through 592.16 below. In large posts where centralization may not be feasible, the records should be decentralized by major program categories, e.g., press, radio, motion pictures, etc., and filed according to the Agency classification scheme. One complete set of all informational materials produced locally should be incorporated in the subject files, whether maintained on a centralized or decentralized basis within the post, as a permanent record of the post's activities.

592.12 Technical Records

Photographs, filmstrips, motion pictures, plastic plates, sound recordings, charts, engineering drawings, and other types of technical or oversize records should be maintained in the office having custody or wherever necessary equipment for their proper storage is available.

592.13 Information and Working Files

The maintenance of information and working files by individual officers should be restricted to those that are absolutely essential for current operating purposes. Action or record copies of Agency communications should not be retained in such files after necessary action has been completed.

592.14 Reference Files

Reference and research files, consisting of newspaper clippings, printed and processed materials sent out by the Washington office, and informational material collected from other sources for use in preparing USIS bulletins, periodicals, scripts, and other types of releases, should be maintained at the point of primary use to facilitate reference.

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592.15 Distribution Files

Extra or stock copies of USIS materials prepared by the Washington office or produced locally and intended solely for distribution purposes should be maintained separately from other USIS records to facilitate their distribution while current and their disposal when obsolete or of no further value.

592.16 Reproduction Materials

Stencils, photographic plates, paper mats, hectograph masters, etc., resulting from the reproduction of USIS informational materials should be maintained separately from USIS records to facilitate their disposal when of no further value.

592.2 Folders**592.21 Use of General Folders**

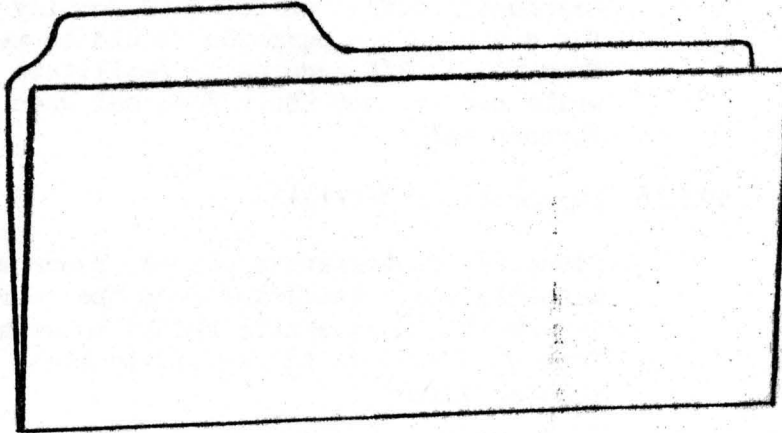
Individual folders shall not be prepared for each document that is filed. Instead, documents should be filed in general subject or miscellaneous alphabetical folders under the classification symbols until six or more papers have accumulated on a given subject or on an individual name, at which time a separate folder may be established for them.

592.22 Selection of Folders

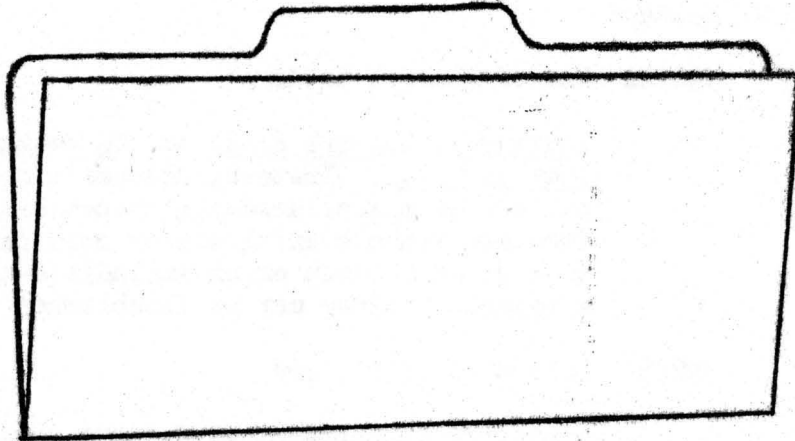
A uniform arrangement of folders should be followed. Folders with one-third cut tabs, with tabs in three positions, are preferable, for general subject files. (See Exhibit 592.22).

- a. Folders with tabs in first position should be used for all primary and all GENERAL AND MISCELLANEOUS categories.
- b. Folders with tabs in second position should be used for all secondary subjects or subdivisions of a general subject.
- c. Folders with tabs in third position should be used for tertiary subjects, such as subjects arranged in alphabetical order, by date, etc.
- d. Straight cut folders (without tabs) should be used for name files or for files which do not require secondary or tertiary breakdowns; for example, personnel and visa files.

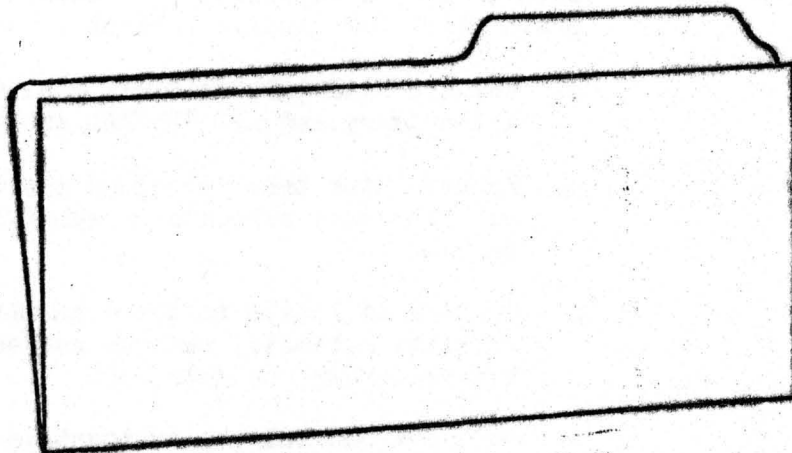
Tab in first
position



Tab in second
position



Tab in third
position



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592.23 Arrangement of Folders

Under any subject, the general subject folder should be placed first, followed by the secondary subject folder. Tertiary subject folders should be placed back of the related secondary folder. (See Exhibit 592.23).

592.24 Preparation

The records classification symbol, together with the subject caption and any qualifying designations, should be labeled uniformly on each folder. The typing should begin one-half inch from the left edge of the tab.

592.25 Expansion of Folders

Folders are scored at the bottom to allow for expansion to a capacity of about 1 inch. Breaking the score as the volume of material increases provides greater visibility of labels, keeps folders upright in the drawer, and prevents papers from sliding out of folders. When the capacity of a folder is reached, the inclusive dates of the material contained should be typed or printed on the folder tab or label and a new folder should be prepared. The date of the first document should be typed or printed on the new folder, leaving room to add the closing date. Successive folders containing material on the same subject should be arranged with the most current folder to the front of the file.

592.3 Guides**592.31 General Subject File**

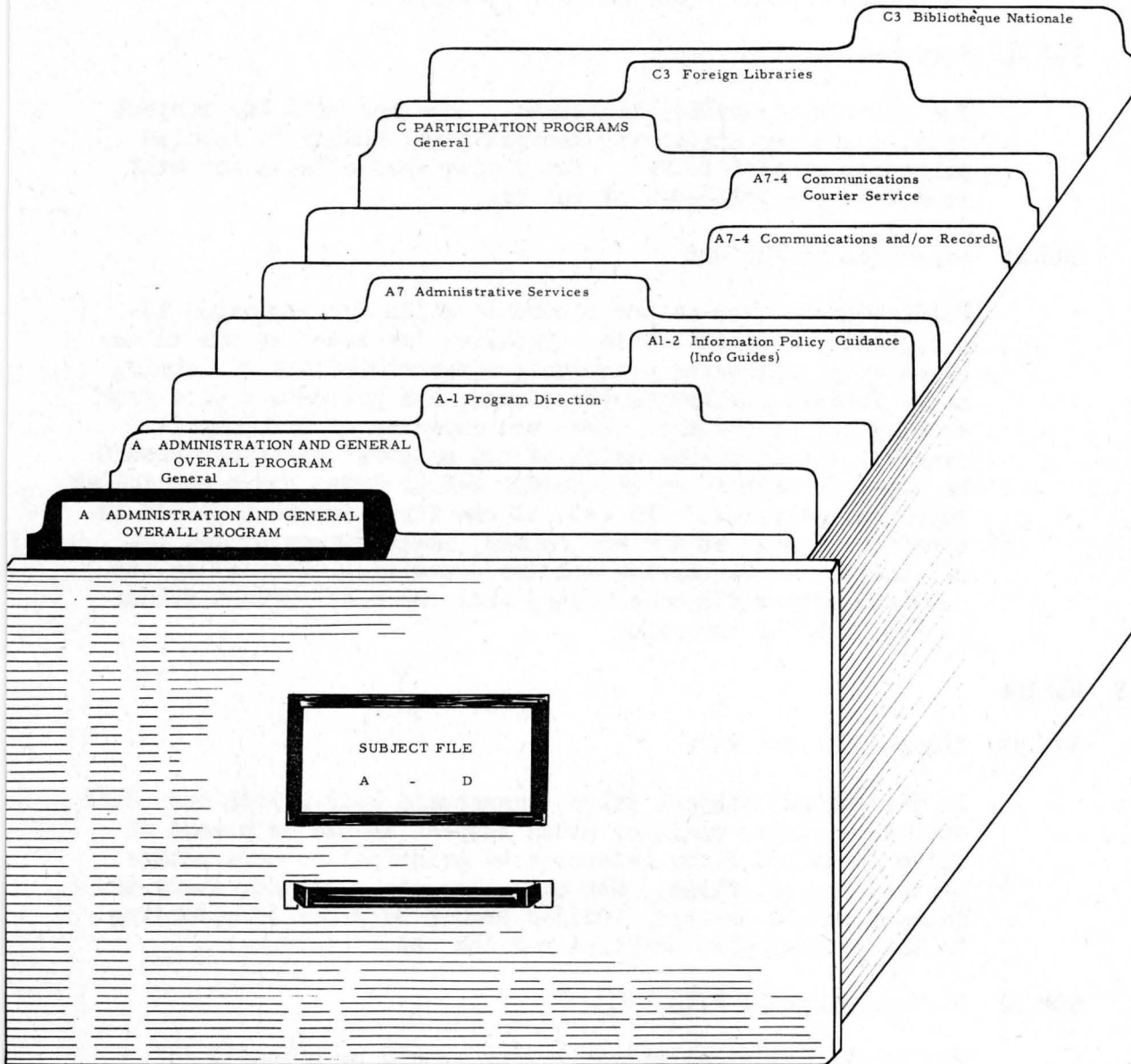
In the general subject files, pressboard guides with one-third cut tabs, either plain or metal tipped, should be placed in files to afford ready reference to principal or more active portions of the files. Not more than one guide for every ten folders should be used. Guides should be prepared according to the general plan outlined for the use of folders.

592.32 In Chronological File

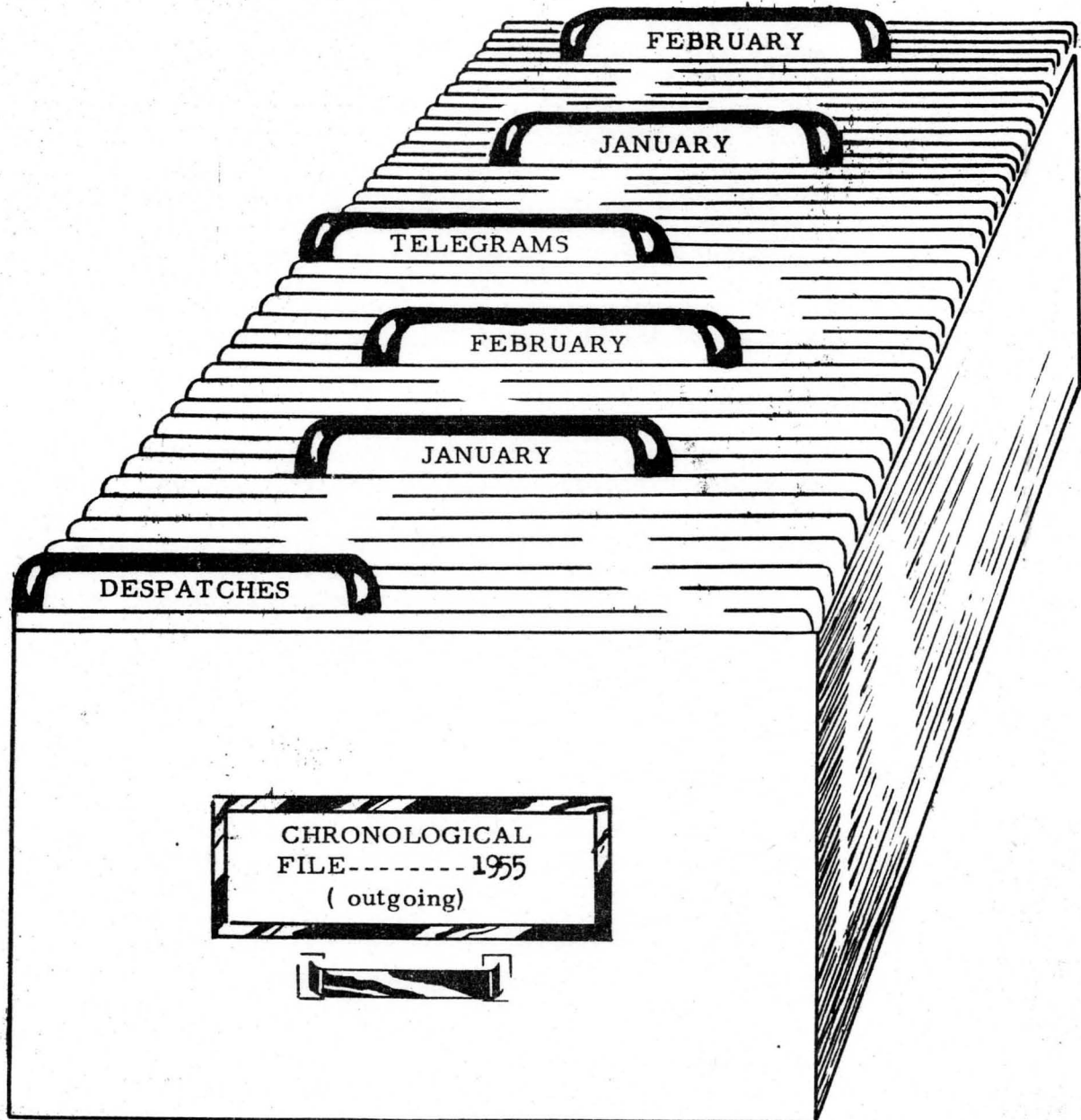
In the chronological files, guides should be prepared for each type of communication and then by appropriate month, quarter, or other portion of the year thereunder. A breakdown of the current month by days may be necessary in very active or very large files. (See Exhibit 592.32).

USIS RECORDS MANAGEMENT HANDBOOK
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Exhibit 592.23



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CHRONOLOGICAL FILE

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592.4 Filing Procedures

592.41 Importance of Accuracy and Uniformity

Filing procedures of the post should be written and followed uniformly and accurately. Unauthorized deviations from procedure may result in disorganized files and inadequate reference service.

592.42 Filing Authorization

Documents should not be filed unless specific filing authorization has been noted on each day by the action officer, indicating action taken, except duplicate copies which are to be filed in the serial or chronological file upon receipt. When the filing authority is not indicated, the document should be returned to the action officer for verification.

592.43 Fastening Documents in Folders

All documents comprising one action, including any attachments or enclosures, should be stapled together. Paper clips and pins should not be used. Documents filed in general subject folders should not be fastened permanently since new folders will be set up when six or more papers accumulate on any one subject. Documents relating to case file (personnel or claims files, for example) may be fastened to the folder by Acco, prong, or other available fastener. Papers should be fastened to the folder only at the time the file is charged out.

592.44 Filing Documents

All documents to be filed should be sorted into filing sequence by records classification symbol, dates, names, etc. Within each folder, file all documents in chronological order with the latest date to the front or in alphabetical, numerical, or other according to the established filing plan. All documents should be placed in the folder in the same position with the headings turned to the left so the records classification symbol, subject caption, and date are visible without having to remove the document from the folder or the folder from the drawer when making reference searches.

592.45 New Folders

When in the process of filing, all documents requiring a new individual folder should be laid aside and kept in sequences, for ease in reference, until all other filing is

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completed. Folders may then be prepared in one operation and retained in sequence for ease in filing reference.

592.46 Marking File Drawers

All file drawers should be labeled to show the contents. Each label should include the name of the file, the dates when pertinent, and the opening and closing alphabetical or numerical captions. For example:

| | | |
|-------------------------|----|----------------------|
| Subject File 1955 | or | Subject File 1955 |
| A7-3 | | C - E |
| Transportation Vouchers | | |
| 1 -- 999 | | |

592.5 Charge-Out Procedure

592.51 Purpose

A charge-out system will provide control of documents removed from file by identifying the document and the person to whom charged, thereby keeping the staff informed of the location of charged-out papers.

592.52 Type of System to be Used

The system should be kept as simple as possible. In a small post or office, Form DS-1033 (Exhibit 592.52) may be sufficient. For larger posts or offices having very active files, a formal control system may be established, using Form DS-1033 in combination with a follow-up system.

592.53 Preparation and Filing of Charge-Out Forms

If possible, charge-out forms should be prepared as requests are received. Charge-out forms should be substituted for loaned records at the time the records are removed from the file. Charge-out forms revealing the subject of classified records shall be treated in accordance with appropriate security regulations. Such forms should be stored in the front of the file drawer containing the records.

592.54 Control of Loaned Records

All files should be charged out for a prescribed period of time. Those in charge of the files or the records control

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EXHIBIT 592.52

OUT

| DESCRIPTION OF ITEMS CHARGED (Subject, file number or title, type of document, and date, security classification, number of items, etc.) | OFFICE AND PERSON TO WHOM CHARGED | DATE OF CHARGE AND BY WHOM CHARGED |
|---|-----------------------------------|------------------------------------|
| A6 John Doe contracts A120 Contract | Adm. Off. Mr. Smith | 5/8/55 |
| D2 Interagency Relations A14155 ltr from FOA | PAO's off. Mr. J. Rose | 5/3/55 |
| A3 Lynn Thomas - Personnel Folder | CAO Mr. J. Shaw | 5/15/55 |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

DS-1038 (3-2-54)

USE OTHER SIDE - CANCEL CHARGE OUT WHEN FILES RETURNED

16-70000-1 GPO

TL-27F (10-1-55)

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unit should be advised promptly when files need to be kept beyond the prescribed charge-out period. Any transfer of records from one individual or office to another should be reported to the records unit. These changes should be recorded on the charge-out form, or a new form should be prepared and filed in place of the original charge-out. When security storage is not available, classified records must be returned to file each evening. Follow-up and overdue records should be made by periodically checking the charge-out forms in file. More formal procedures are outlined in the Foreign Service Records Management Handbook.

592.55 Transfer of Inactive Records

Charge-out forms shall be cleared from inactive files by retrieving charged out documents prior to transfer of such files to records depositories, or Embassy central files.

592.6 Rules for Alphabetizing and Filing

To file alphabetically it is necessary to determine what constitutes the primary and secondary filing captions, i.e., the one word in the name or title under which names of persons, organizations, places, ships, governments, conferences, etc. will be filed. Certain rules are required to make this determination, so that similar names will be filed uniformly, thereby facilitating reference to the files.

592.61 Individuals and Non-Government Organizations

- a. SURNAMES of Individuals are used for filing purposes. Arrange (1) by last name (surname); (2) first name (given) or initial; (3) middle name or initial. The same applies when an individual name is embodied in an organization name.

FILED

| | |
|---------------------------|--------------------------------------|
| Mr. Smith | <u>Smith</u> (Mr.) |
| A. Smith | <u>Smith</u> , A. |
| Arthur Smith | <u>Smith</u> , Arthur |
| Arthur B. Smith & Company | <u>Smith</u> , Arthur B. (&) Company |

- b. PREFIXES to Surnames such as De, de, d', Du, von, Le, L', Mac, Mc, O', etc. are considered part of the surname and filed as though one. M', Mac and Mc are filed in strict alphabetical sequence. The same rule applies to organization names.

FILED

| | |
|-----------------|--------------------------|
| Charles DeGraun | <u>DeGraun</u> , Charles |
|-----------------|--------------------------|

Francois D'Olier
duPont de Nemours
Co-Operative Beauty Supply
Company

D'Olier, Francois
DuPont De Nemours
Co-Operative Beauty Supply
Company

- c. UNDETERMINED Surname. When it is not possible to determine the surname of an individual, particularly Indian and foreign names, they will be filed as written, or, if at a post, in accordance with the established practice of the country.

As Written

By Custom of Country

Black Thunder
Blas Vives Martinez
Chiang Kai-Shek
Nam II
Nihad El-Kassen
Abdou Ismail

Black Thunder
Vives Martinez Blas
Chiang Kai-Shek
Nam II
El-Kassen Nihad
Ismail Abdou

- d. COURTESY and ABBREVIATED titles. as Madam, Colonel, Dr., Mayor, Monsignor, Lord, Ph.D., Jr., Sr., 2nd, etc., accompanied by a given name and surname, are placed in parentheses following the name and disregarded in filing, unless they are the only distinction between otherwise identical names.

FILED

Dr. Charles C. Brown
Rev. Charles C. Brown
Lord Howe

Brown, Charles C. (Dr.)
Brown, Charles C. (Rev.)
Howe (Lord)

Titles, such as Father, Princess, Saint (St.), Sister, followed by one or more names not recognizable as surnames, are filed in order as written.

FILED

Father Pierre
Princess Alicia Ruth
Saint Paul

Father Pierre
Princess Alicia Ruth
Saint Paul

- e. HYPHENATED individual surnames and organization names are filed as one complete name.

FILED

Air-E-Ator Ventilating Co.

Air-E-Ator Ventilating Co.

Air-Silk Mills
Blanche Duff-Gordon

Air-Silk Mills
Duff-Gordon Blanche (cross
reference to Gordon)

- f. COINED names of non-government organizations (firms, corporations, companies, etc.) including trade names composed of separate letters or a single word, are filed as written except when they embody the full name of individuals.

FILED

AAA Chemical Company
Abbott Laboratories
Aunt Jemima's Pancake Flour

AAA Chemical Company
Abbott Laboratories
Aunt Jemima's Pancake Flour

- g. ABBREVIATED individual and organization names are filed as though spelled in full.

FILED

Jos. Brown
St. Louis Dairy
E. 59th St. Garage

Brown, Joseph
Saint Louis Dairy
East Fifty-Ninth Street Garage

- h. ARTICLES, CONJUNCTIONS, OR PREPOSITIONS, such as the, and, &, of, for, on, by, when part of organization names are enclosed in parentheses and disregarded in filing.

FILED

American Society for Civic
Education
The Calico Cat

American Society (for) Civic
Education
Calico Cat (The)

When "Ye" form is used, it is filed as written. Old English and foreign language articles are not translated or transposed, but are filed as written.

FILED

Il Progresso Italo
Ye Olde Tea Shoppe

Il Progresso Italo
Ye Olde Tea Shop

- i. BANKS, BOARDS OF TRADE, NEWSPAPERS, ETC. Since the names of boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location; city first, the state in parentheses, followed by the name of the organization, etc. This rule may also be applied

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to commercial bank names.

FILED

Board of Trade, Chicago, Ill.
Daily News, Philadelphia, Pa.
First National Bank of
Westchester, N. Y.

Chicago, (Ill.) Board of Trade
Philadelphia, (Pa.) Daily News
Westchester, (N. Y.) First
National Bank

- j. ORGANIZATION names beginning with such phrases as Association of, Board of, Bureau of, Commission for, Committee for, which do not refer to any government establishment or function, are filed as written.

FILED

Committee for Economic
Development
Association of American
Colleges

Committee (for) Economic
Development
Association (of) American
Colleges

- k. MULTIPLE names. Organizations operating under two titles, subsidiaries or divisions, file under more active or important and a permanent cross reference is made under the other name.

FILED

Max Eigeld Jensen doing
business as Ace Van Lines

Ace Van Lines
Max Eigeld Jensen d/b/a

Cross-reference: Jensen Max Eigeld d/b/a

See - Ace Van Lines

Truscon Steel Co. Division
of Republic Steel Corp.

Republic Steel Corporation
Truscon Steel Co. Division

Cross-reference: Truscon Steel Company Division

See - Republic Steel Corporation

Partnership and organization names which contain the full names of two or more individuals, are filed by name of the first individual mentioned. Cross-reference the second name when necessary.

FILED

Charles Brown & Henry Jones

Brown, Charles (& Henry Jones)

Cross-reference: Jones, Henry (& Charles Brown)

See - Brown, Charles

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1. INSTITUTION names, such as hospitals, schools, colleges, universities, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, transpose as in rule a.

FILED

Andrew Carnegie Library
 St. Margaret's Church
 St. Margaret's School
 University of Washington
 Hotel Statler

Carnegie Andrew Library
Saint Margaret's Church
Saint Margaret's School
Washington University (of)
Statler Hotel

592.62 Government Organizations

- a. NATIONAL governments and departments and subdivisions thereof are filed under the name of the government, and then alphabetically by department or other subdivision, without regard to parent agency or department. The name of the organization may have for the first word the name of a city or place. Cross references may be made within or between governments or departments, as required.

FILED

Government of Great Britain
 Ministry of Civil Aviation
 Colonial Office
 Dept. of Health for Scotland
 Ministry of Health
 Scottish Education Dept.

British Government
Civil Aviation Ministry
Colonial Office
Health Dept. for Scotland
Health Ministry
Scottish Education Dept.

Government of France
 Ministere des Affaires
 Etrangeres
 Archives Nationale

French Government
Affaires Etrangeres Ministere
Archives Nationale

Government of India
 Ministry of Home Affairs
 Ministry of Natural Resources
 and Scientific Research

Indian Government
Home Affairs Ministry
Natural Resources and
 Scientific Research Ministry

Cross-reference: Scientific Research Ministry
 See - Natural Resources and Scientific
 Research

Government of Northern Ireland
 Northern Ireland Parliament

Northern Ireland Government
Parliament

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United States Government
 Department of Agriculture
 Bureau of the Budget
 Executive Office of the
 President
 Great Lakes Naval Training
 Station
 Department of State

United States Government
Agriculture Department
Budget Bureau
Executive Office of the
President
Great Lakes Naval Training
Station
State Department

- b. LOCAL governments and political subdivisions thereof are filed alphabetically by name, without regard to parent country or department. Offices of local government are filed under the parent government name. Cross references may be made, as required.

FILED

Territory of Alaska
 City of Alexandria, Egypt
 City of Alexandria, Minn.

Alaska Territory
Alexandria City (Egypt)
Alexandria City (Minnesota-U.S.)
Health Department
Police Department

Andaman Islands
 County of Kirk, Scotland
 Province of Lorraine, France
 State of New York

Andaman Islands
Kirk County (Scotland)
Lorraine Province (France)
New York State (U. S.)
Motor Vehicle Department

State of West Bengal, India

West Bengal State (India)

593 Records Classification System

593.1 General

In order to standardize the maintenance of current Agency records, to facilitate their eventual retirement, and to simplify the training of records and clerical personnel, use of the revised Agency classification scheme (see Section 593.6) is required in all field establishments maintaining files separate from the Foreign Service post's central files. Because of the varying scope of the Agency's programs at different posts, some of the smaller posts may not have need for all of the detailed subject breakdowns provided in the new classification scheme. It should be emphasized that a post should use only those subject breakdowns which are warranted by the volume of material, e.g. at least six or more documents, to be filed under a specific breakdown. No additional subject symbols should be added to the classification scheme without authorization from the Agency Records Management Officer.

593.2 Installation and Blocking of Files

In installing the new filing system, a new file should be established with guide cards prepared for the major divisions of the file outline and new folders for the primary subject breakdowns under each of the major divisions of the outline. Folders for the secondary and tertiary subject breakdowns should not be prepared until the need for them has been established by the accumulation of at least a half dozen documents to be filed thereunder. The files should be maintained in three year blocks to facilitate current operations as well as the retirement and disposal of inactive records. Exceptions to this annual year blocking procedure may be authorized only by the Agency Records Management Officer.

593.3 Explanation of the System

The Classification system is designed to bring together related materials, within a framework that will reflect the organization, administration and development of Agency programs. The symbols are used to keep material in its proper relationship, and to serve as easy means of identification.

593.31 Development of Categories

a. Primary Categories

The subject matter is grouped into nine major categories beginning with "Administration and General Overall Program" followed by categories representing the major fields within which the program activities of the Agency are being developed. These categories are represented by

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593.31b

capital letters. A primary subject might thus be identified as "Administration and General Overall Program" A

b. Secondary Categories

Related specific subjects fall into larger groupings within the primary categories. These groups are known as "secondary subjects" and are numbered serially. A secondary subject under the heading cited above might thus be identified as "Administrative Services, 7".

c. Tertiary Categories

When secondary subjects require further division they fall into a "tertiary subject". This is identified by a dash (-) then a serial number. This third subject under the above heading would thus become "Travel", -3.

The whole citation of the subject mentioned above would be summarized:

| | |
|---|------|
| Administration and General Overall Program | A |
| Administrative Services | 7 |
| Travel | -3 |
| Complete symbol | A7-3 |

593.4 Expansion within Classification Symbols

The classification system provides basic symbols under which documents are to be classified and filed. The chronological filing of a large quantity of papers under any one symbol may lead to difficulty in locating a particular document. Although classification symbols may not be added, categories may be added as required under any existing classification symbol by the following methods:

593.41 Alphabetical by Qualifying Title

Certain symbols may be subdivided by the title of a specific secondary or tertiary subject. These subdivisions should be arranged alphabetically under the classification symbol.

Examples: A3 Personnel
 A3 Personnel - Leave
 A3 Personnel - Local Employees

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593.42 Alphabetical by Name of Individual, Organization, Conference, etc.

When documents are written to, received from or relate to an individual, organization, conference, etc. or when a proper name will be the reference medium, the material should be classified by the classification symbol best representing the subject content and then by the name. All such material should be filed under the appropriate classification symbol and arranged alphabetically by name thereunder.

Example: C4 Industrial Participation
C4 Industrial Participation - Brown Motor Company

593.43 Alphabetical by Geographical Location

When the primary subject is further identified by particular geographical locations it should be classified under the appropriate symbol and subject and then by name of the country, city, etc. The documents should be filed under the classification symbol and alphabetically thereunder by the designated geographical location.

Example: J1 Trade Fairs
J1 Trade Fairs - Vienna

593.5 Instructions for Use of Records Classification Scheme**593.51 Determining Classification**

All communications must be read and analyzed to determine the most appropriate classification symbol applicable to its principal subject in accordance with the Records Classification Scheme. The qualifying subject category, if any, should then be determined. Frequent reference to the alphabetical index of the Records Classification Scheme will prove valuable also in selecting the most appropriate file classification. In difficult or obscure cases it may be helpful at times to refer to previous correspondence in file to verify a tentatively selected file designation.

593.52 Writing File Designations

The type of file designation to be written on each document will depend on the nature of the classification symbol. When a symbol covers only one subject or phase of a subject (for example, F2 Television Programming or D- Exchange of Persons Program), only the symbol and the qualifying subtitle, if any need to be placed on the document. The general subject title does not need to be included.

Example: F2 or D - Smith, John

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EXHIBIT 593.52

OUTGOING TELEGRAM

American Embassy
Guatemala

UNCLASSIFIED

Action

Control: 1000

Rec'd:

E.F.M. FROM: Guatemala City

Info

R.L. TO: United States Information Agency

T.W.S. NO: TOUSI 100, February 7

J.H.E.

J.A. USIA 20, December 27.

EMB. Expect favorable reception of plan for Savannah City concert salute to Guatemala, but Mayor has received no communication presenting idea; prospects good for radio time to rebroadcast.

BROWN

JHH

C2
XF1-4

If the classification symbol covers more than one subject (for example, A7-4 - Communications and/or Records), the pertinent subject title must be included to avoid confusion.

Example: A7-4 Communications - Messenger Service
A7-4 Records - Retirement

The file designation should be written clearly and legibly on the right margin by colored pencil, or indelible pencil. (See exhibit 593.52)

593.53 Marking Duplicate for Chronological File

The records classification symbol and subject caption, if any, should be noted in the right-hand margin of the duplicate copy of all circular or serially numbered communications which will be filed in the chronological files. A carbon should be placed between the original and the chronological copy so that the records classification may be made on both copies at one writing.

593.6 Records and Classification Scheme

A. Summary

Information and Cultural Activities of U. S. Government
(United States Information Service)

| | |
|---|---|
| Administration and General Over-all Program . . . | A |
| Restrictions on USIS Activities | B |
| Participation Programs | C |
| Exchange of Persons Program | D |
| Press and Publications | E |
| Radio and Television | F |
| Motion Pictures | G |
| Information Center Service | H |
| Special Projects | J |

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B. Subject Classification

| | |
|---|------|
| ADMINISTRATION AND GENERAL OVERALL PROGRAM | A |
| Program Direction | A-1 |
| Country Plans, Global and Area Objectives and Plans | A1-1 |
| Information Policy Guidance (Info Guides) | A1-2 |
| Program Activities in Terms of Objectives | A1-3 |
| Administration | A2 |
| (including coordination of information activities, public relations, official entertainment, official visits, legal etc.) | |
| Personnel | A3 |
| Security and Loyalty | A4 |
| Budget and Finance | A5 |
| Budget and Financial Plan | A5-1 |
| Accounting and Reports | A5-2 |
| Contracts | A6 |
| Administrative Services | A7 |
| Equipment and Supplies (file technical equipment and supplies under media subject) | A7-1 |
| Space and Building Maintenance | A7-2 |
| Travel | A7-3 |
| Communications and Records | A7-4 |
| Reports | A8 |
| (Semi-annual and general; file media reports under media subjects) | |
| Conferences, Committees and Meetings | A9 |
| (PAO Regional, USIS Weekly, etc.) | |
| Research | A-10 |

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| | |
|---|------|
| RESTRICTIONS ON USIS ACTIVITIES | B |
| Censorship | B1 |
| Taxation | B2 |
| Copyright Clearances | B3 |
| Local Performance Rights | B4 |
| PARTICIPATION PROGRAMS | C |
| University Participation Program | C1 |
| General | |
| Alphabetically by name of Institution | |
| Community Participation Program | C2 |
| General | |
| Alphabetically by name of City | |
| Foreign Libraries | C3 |
| General | |
| Alphabetically by name of Library | |
| Industrial Participation | C4 |
| General | |
| Alphabetically by name of Organization | |
| EXCHANGE OF PERSONS PROGRAM | D |
| (break down by type of program e.g., Fulbright, Smith-Mundt, Foreign Government, Voluntary, etc., and thereunder by category and name of grantee if volume warrants) | |
| Relations with Educational Institutions | D1 |
| U. S. Educational Institutions | D1-1 |
| American-sponsored Schools Abroad (alphabetically by name of school) | D1-2 |
| Foreign Universities and Other Educational Institutions (alphabetically by name of institution) | D1-3 |
| Interagency Relations | D2 |
| UN Technical Assistance Program | D3 |

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| | |
|---|----------|
| EXCHANGE OF PERSONS PROGRAM (continued) | D |
| Orientation and Pre-departure Briefing | D4 |
| Reception Centers In U.S. (alphabetically by location of Center) | D5 |
| Census of Returned Grantees | D6 |
| Program Effectiveness and Evaluation | D7 |
| PRESS AND PUBLICATIONS | E |
| Fast News | E1 |
| IPS-originated (wireless file, cable, signal) | E1-1 |
| Locally-originated (USIS, indigenous) | E1-2 |
| News Letters (labor, culture, science, agriculture etc.) | E1-3 |
| News Agencies, Press Associations | E1-4 |
| Pamphlets | E2 |
| (primary by suggested subjects - Agriculture, Art, Atomic Energy, Communism, Economics, Edu- cation, Government and Politics, International Cooperation, Labor and Religion - with the following categories if volume warrants) | |
| Locally-produced for USIS | E2-1 |
| USIS-produced | E2-2 |
| Pilot Models | E2-3 |
| RPC-produced for Post | E2-4 |
| Produced by Other Posts (samples) | E2-5 |
| Produced by Other Countries | E2-6 |
| Periodicals (primary by suggested subjects - see E2; with the following categories if volume warrants) | E3 |
| Locally-produced for USIS | E3-1 |
| USIS-produced | E3-2 |

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| | |
|---|------|
| PRESS AND PUBLICATIONS (continued) | E |
| RPC-produced for Post | E3-3 |
| "Problems of Communism" | E3-4 |
| Other Sources | E3-5 |
| Visual Materials | E4 |
| Photographs | E4-1 |
| Negatives | E4-2 |
| Filmstrips | E4-3 |
| Plastic Plates | E4-4 |
| Plastic Molds | E4-5 |
| Cartoons | E4-6 |
| Posters | E4-7 |
| Feature Materials | E5 |
| Features | E5-1 |
| Magazine Reprints | E5-2 |
| Background Kits | E5-3 |
| Monthly Packets | E5-4 |
| Distribution Lists | E6 |
| Fast News | E6-1 |
| Pamphlets | E6-2 |
| Periodicals | E6-3 |
| Visual Materials | E6-4 |
| Feature Materials | E6-5 |
| Technical Equipment & Production Requirements | E7 |
| Paper | E7-1 |

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| | |
|--|------|
| PRESS AND PUBLICATIONS (continued) | E |
| Supplies (not administrative) | E7-2 |
| Maintenance of Equipment | E7-3 |
| Requisitions for Reproduction & Printed Material | E7-4 |
| Production Schedules | E7-5 |
| PROGRAM EFFECTIVENESS AND EVALUATION | E8 |
| RADIO AND TELEVISION: VOICE OF AMERICA | F |
| Radio Programming | F1 |
| VOA Package Programs | F1-1 |
| USIS Locally Produced Programs | F1-2 |
| Local Relays of VOA | F1-3 |
| Music | F1-4 |
| Television Programming | F2 |
| VOA Program | F2-1 |
| USIS Locally Produced Programs | F2-2 |
| IMS Films for TV Use | F2-3 |
| Local Radio-TV Activity | F3 |
| Relay Base Operations (file alphabetically by Base then break down by subject* e.g., frequency clearances, technical equipment and supplies, etc.) | F4 |
| Monitoring Post Operations (file alphabetically by Post then break down by subject* e.g. technical equipment and supplies, etc.) | F5 |
| Promotion and Publicity | F6 |
| VOA Radio Programs and Relays | F6-1 |
| Local Radio Programs | F6-2 |
| Program Booklets | F6-3 |
| Television | F6-4 |

*This broad classification does not exclude the rest of the classification system where the subjects apply, particularly the A series.

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| | |
|---|------|
| RADIO AND TELEVISION: VOICE OF AMERICA (continued) | F |
| Technical Equipment and Supplies (excluding Relay Base and Monitoring operations) | F7 |
| Program Effectiveness and Evaluation (Audience mail, clippings, etc.) | F8 |
| VOA Shortwave Radio Broadcasts & Relays | F8-1 |
| USIS Local Radio Programs | F8-2 |
| Television | F8-3 |
| MOTION PICTURES | G |
| Program | G1 |
| Films | G2 |
| By Title | G2-1 |
| Shipment - Transfer of | G2-2 |
| Requests | G2-3 |
| Disposal - Withdrawals | G2-4 |
| Rights | G2-5 |
| Catalogue | G2-6 |
| Distribution | G2-7 |
| Cinema Houses | G3 |
| Technical Equipment and Supplies (mobile units etc.) | G4 |
| Inventory | G4-1 |
| Commerical Sources and Outlets | G5 |
| Program Effectiveness & Evaluation (mail, clippings etc.) | G6 |
| Communist Reaction | G6-1 |
| Public Opinion (protest, criticism etc.) | G6-2 |

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| | |
|---|------|
| INFORMATION CENTER SERVICE | H |
| Requests for and Distribution of Materials (break down . . . by type of material requested if subject not pro- vided and volume warrants) | H1 |
| USIS Libraries, Information and/or Binational Centers . . . (arrange alphabetically by name of city with further break down if volume warrants) | H2 |
| Community Activities (break down under lectures, . . . discussion groups and play readings if volume warrants) | H2-1 |
| Exhibits and Displays (arrange alphabetically by name . . . of city with further break down if volume warrants) | H3 |
| Exhibits prepared at Post | H3-1 |
| Exhibits prepared & Circulated by Washington | H3-2 |
| Art and Crafts | H3-3 |
| Scientific | H3-4 |
| Music | H4 |
| Concerts | H4-1 |
| Recordings | H4-2 |
| Published Music | H4-3 |
| Rentals | H4-4 |
| English Teaching Program | H5 |
| Materials | H5-1 |
| Direct Teaching | H5-2 |
| Seminars for National Teachers of English | H5-3 |
| English-by-radio and Television | H5-4 |
| English Certificate Program | H5-5 |
| Informational Media Guaranty Program | H6 |

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| | |
|--|-------|
| INFORMATION CENTER SERVICE (continued) | H |
| Presentation Program | H7 |
| Book Presentation | H7-1 |
| Periodical Subscription Presentation | H7-2 |
| Book Translation Program | H8 |
| Basic List | H8-1 |
| Condensations | H8-2 |
| Book Packets | H8-3 |
| Promotional Techniques | H8-4 |
| Program Effectiveness and Evaluation | H9 |
| SPECIAL PROJECTS (crossing media lines and not covered by a subject classification) | J |
| Trade Fairs (arrange alphabetically by name of city if volume warrants) | J1 |

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C. Index

A detailed index has been provided only as guide in finding the proper classification. The text of the classification listing itself must be carefully examined to determine its appropriateness before the file symbol is assigned. All symbols showing an asterik (*) require reference to the classification system in order to determine complete classification.

| SUBJECT | SYMBOL |
|--|--------|
| Accounting | A5-2 |
| Agriculture, | |
| pamphlets | E2* |
| periodicals | E3* |
| Area objectives and plans | A1-1 |
| Art, | |
| exhibits | H3-3 |
| pamphlets. | E2* |
| periodicals. | E3* |
| Atomic Energy, | |
| exhibits | H3-4 |
| pamphlets. | E2* |
| periodicals. | E3* |
| Binational Centers | H2* |
| Books, | |
| presentation program | H7* |
| translation program | H8* |
| Budget | A5* |
| Building maintenance | A7-2 |
| Cable, | |
| communications | A7-4 |
| news (IPS) | E1-1 |
| Cartoons | E4-6 |
| Censorship | B1 |
| Cinema Houses. | G3 |
| Committees | A9* |
| Communications | A7-4 |
| Communism, | |
| motion picture reaction. | G6-1 |
| pamphlets. | E2* |
| periodicals. | E3* |
| Community programs, | |
| activities of Libraries and Centers. | H2-1* |
| participation programs (IOC) | C2* |
| Concerts | H4-1 |
| Condensations. | H8-2 |

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| SUBJECT | SYMBOL |
|---|------------|
| Conferences | A9* |
| Contracts | A6 |
| Copyright clearances (except motion pictures) | B3 |
| Country plans | A1-1 |
| Crafts - exhibits | H3-3 |
| Customs | B2 |
| Discussion groups | H2-1* |
| Displays | H3* |
| Disposal, | |
| films | G2-4 |
| records | A7-4 |
| Distribution lists | E6* |
| book translations | H8-1 |
| films | G2-7 |
| Economics, | |
| pamphlets | E2* |
| periodicals | E3* |
| Education, | |
| English teaching program | H5* |
| pamphlets | E2* |
| periodicals | E3* |
| student exchange | D1* |
| university participation | C1* |
| Effectiveness - programs, | |
| exchange of persons | D7 |
| Information Center Service | H9 |
| motion pictures | G6* |
| overall program | A1-3 |
| radio and television | F8* |
| press | E8* |
| English teaching program | H5* |
| Entertainment, | |
| official | A2* |
| performances, etc. | D* |
| Equipment and supplies, | |
| administrative | A7-1 |
| technical, | |
| motion pictures | G4* |
| press and publications | E7* |
| radio and television | F4, 5 & 7* |
| Evaluation - programs (see Effectiveness - programs) | |
| Exchange of persons program | D* |
| Exhibits | H3* |
| Fairs, trade | J1* |
| Feature material | E5* |
| distribution lists | E6-5 |

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| SUBJECT | SYMBOL |
|---|--------|
| Films, | G2* |
| TV films. | F2-3 |
| Filmstrips. | E4-3 |
| Finance | A5* |
| Global objectives and plans | A1-1 |
| Government and politics, | |
| pamphlets | E2* |
| periodicals | E3* |
| Grantees, exchange of persons | D* |
| Grants (fiscal) | A5-2 |
| Industrial, | |
| fairs | J1* |
| participation program | C4* |
| Information, | |
| Centers | H2* |
| policy guidance (infoguides). | A1-2 |
| Informational media guarantee program | H6 |
| International, | |
| conferences and committees. | A9 |
| cooperation, | |
| administrative | A2* |
| pamphlets. | E2* |
| periodicals. | E3* |
| Inventory, | |
| administrative supplies and equipment | A7-1 |
| motion pictures technical equipment | G4-1 |
| Kits, background (IPS). | E5-3 |
| Labor, | |
| pamphlets | E2* |
| periodicals | E3* |
| Lectures. | H2-1 |
| Legal, | |
| administrative services | A2* |
| restrictions. | B* |
| Libraries, | |
| foreign | C3* |
| USIS. | H2* |
| Magazine reprints | E5-2 |
| Meetings. | A9 |
| Monitoring Post Operations. | F5* |
| Music | H4* |
| radio programs. | F1-4 |
| Negatives | E4-2 |
| News, fast. | E1* |
| distribution lists. | E6-1 |
| Orientation & pre-departure briefing (IES). | D4 |

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| SUBJECT | SYMBOL |
|--|--------|
| Packets, | |
| book translation | H8-3 |
| monthly (IPS). | E5-4 |
| Pamphlets. | E2* |
| distribution lists | E6-2 |
| Performances, | D* |
| rights (except motion pictures). | B4 |
| rights - motion pictures | G2-5 |
| Periodicals, | E3* |
| distribution lists | E6-3 |
| subscription presentation. | H7-2 |
| Personnel. | A3 |
| Persons, exchange of | D* |
| Photographs. | E4-1 |
| Pilot models | E2-3 |
| Plastic, | |
| molds. | E4-5 |
| plates | E4-4 |
| Play readings. | H2-1* |
| Policy guidance. | A1-2 |
| Politics, | |
| pamphlets. | E2* |
| periodicals. | E3* |
| Posters. | E4-7 |
| Press associations | E1-4 |
| Projects, special. | J* |
| Public Relations | A2* |
| Radio, | F* |
| English teaching program | H5-4 |
| Reception Centers (U.S.) | D5* |
| Recordings | H4-2 |
| Records. | A7-4 |
| Regional Production Centers. | E* |
| Relay Bases. | F4* |
| Religion, | |
| pamphlets. | E2* |
| periodicals. | E3* |
| Rentals - musical. | H4-4 |
| Reports, | |
| administrative or general program. | A8 |
| media file under media subject | |
| Restrictions, | |
| foreign | B* |
| motion pictures. | G2-5 |
| United States. | B* |

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| SUBJECT | SYMBOL |
|---|--------|
| Rights, | |
| motion pictures | G2-5 |
| performance | B4 |
| Science, | |
| distribution of material. | H1 |
| exhibits. | H3-4 |
| Security and Loyalty. | A4 |
| Shipment, | |
| films | G2-2 |
| household effects | A7-3 |
| records | A7-4 |
| Signal, news (IPS). | E1-1 |
| Space | A7-2 |
| Supplies - see equipment | |
| Tariff. | B2 |
| Taxation. | B2 |
| Television. | F2* |
| English teaching program. | H5-4 |
| Trade fairs | J1* |
| Translation program | H8* |
| Travel. | A7-3 |
| United Nations technical assistance (IES) | D3 |
| University participation program. | C1 |
| Visits to posts, | |
| official. | A2 |
| performers (singers, bands, etc.) | D* |
| Visual materials. | E4* |
| distribution lists. | E6-4 |
| Wireless, news. | E1-1 |