

DEPARTMENT OF CORRECTIONS, D.C.  
Office of the Director

DO 1210.1A  
September 1, 1974  
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DEPARTMENT ORDER NUMBER 1210.1A

Subject: Department of Corrections Standard Filing System

1. Purpose. The purpose of this Order is to establish procedural guidance for the operating units of the Department with respect to the use of official correspondence files, and to assist users of the procedures established herein to improve their filing practices.

2. Issuances Affected or Referenced.

a. Cancellation. This Order cancels and supersedes DO 1210.1, dated June 16, 1967, which may be removed from the files.

b. References.

(1) DN 1110.1, dated October 22, 1973 and DN 1110.2, dated June 1, 1974, are referenced.

(2) Department Directives Procedures Manual Issuance 5 and 6 dated August 20, 1973, are referenced.

3. Definitions. For purposes of this Order the following classifications of files are established and defined.

a. Subject Correspondence Files are those files which are established and maintained as records of written communications between organizations. They serve the purpose of providing historical data for reference and research purposes and as one of the sources of workload for the organizations maintaining them. Generally, the larger the responsibility of the organization maintaining the files, the greater such files will be, since it will have more contacts with other organizations than a smaller organization. The Department's standard filing system is applicable to all subject correspondence files maintained at the Service/Office level and above, and to many divisions and lower level organizations.

b. Chronological Files are files of all correspondence and documents received by an organization which are filed in order by date rather than by number. They serve as a cross-reference check on subject correspondence

files and are used primarily to locate correspondence and documents by date. Since no numeric assignment is prescribed, the numeric codes indicated for subject correspondence files is inapplicable.

c. Working Files are those files which are maintained as a record of the work outputs of the organization. The work may have been generated within or outside of the organization, and the file may be active or inactive, or complete or incomplete. Generally, subject correspondence file material will serve as the source of assignment for only a portion of the assignments of an organization and the supervisor of the organization will structure the assignment by writing instructions or filling out an assignment form before the correspondence is passed on. In addition, the subject codes established by this Order are designed to cover all facets of the Department's operations while the great majority of the organizations and sub-organizations of the Department deal with restricted subjects. Therefore, the subject numeric codes for filing correspondence are generally not applicable to working files below the level of offices working on all phases of the Department's operations. When materials are received which serve as a source of workload, copies should be filed in both the Working Files and Subject Correspondence Files.

d. Special Files are authorized for such purposes as providing technical working guides for employees and inmates on one or a select few subject, and for subject matter materials which are so great in volume that filing in subject correspondence files would make the classification system of the subject correspondence file meaningless; for example, if 50% of the materials in the subject correspondence files related to inmate rules and regulations. Special files are authorized for such subjects when one or a group or a series of such closely related subjects would predominate in a subject correspondence file. Special files are particularly useful for one of a kind events such as a large scale disturbance in one of the institutions. The numeric subject codes described herein are generally not applicable to special files. Such files may be set up alphabetically or numbered consecutively or filed consecutively by date without a number.

e. Miscellaneous Files are authorized for purposes not covered under items a-d above. Such files may include, but not be limited to the following subjects: library materials including books, periodicals, manuals, pamphlets and other documents; outside publications, films, teaching aids, and blank forms. No numeric classification is prescribed for such files.

4. Policy. The numerical classification coding system for the Department's standard filing system will be based upon the numerical classification coding system established by Department Order Number 1110.1 dated February 1, 1973, and Department Directives Procedures Manual Issuances 5 and 6 dated August 20, 1973, which are authorized by this Order. The filing system designed herein is prescribed for use by all Department activities. Inmate dossiers are excluded from the coverage of this Order.

5. Procedures.

a. Delegation of Authority. Service Heads and Office Heads are hereby delegated authority to establish appropriate files under this Order, to assure that such files are properly maintained by means of regularly scheduled inspections, and to redelegate their authority to lower echelon organizations.

b. Actions.

(1) The Department's Standard Filing System employing the numeric classification coding system alluded to in item 4 above will be employed by all Service and Office echelons and above for filing subject correspondence. In addition, the larger divisions of each Service and Office such as Youth Center #1 and the Personnel Division may also employ this system for subject correspondence files.

(2) The numerical subject codes for use in filing subject correspondence are delineated in attachment number 1 of issuance number 6 of the Department Directives Procedures Manual. There are eight major groups of subjects in numerical sequence using a four digit number:

- 1000 - General Administration
- 2000 - Business and Fiscal Management
- 3000 - Personnel Management
- 4000 - Inmate Management
- 5000 - Correctional Management
- 6000 - Medical Management
- 7000 - Engineering and Facilities Management

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8000 - Community Based Programs

Each major group is broken down into 100 groups, then 10 groups, and single digit groups indicating subject matters of more closely related topics. For example:

1000 - General Administration

- 1000 - Organization and Authority
- 1100 - Management Systems
- 1200 - Administrative Procedures
- 1300 - Public Relations
- 1400 - Law and Legal Matters

1000 - Organization and Authority

- 1000 - Organization and Authority
- 1010 - Department Organizational Structure and Functions
- 1020 - General Delegation of Authority

1000 - Organization and Authority

- 1000 - Organization and Authority
- 1001 - Department Originating Authority

(3) All activities using this system may file using breakdowns to 10 numbers, but not below. For example, correspondence concerning the Department's Standard Filing System and Records and File Disposal System should be filed under 1210, not 1211. In many cases breakdowns to 100 numbers will be sufficient. This will be true when there are fewer items of correspondence to file.

(4) When necessary, employers of subject correspondence files may further breakdown the files by adding slants (/) and a name or number. These should be filed in alphabetic or numeric sequence. Thus: 1210 - Records and Files Operations. 1210/ - Department's Standard Filing System. 1210/ - Records and File Disposal Systems. 1210 - Records and Files Operations. 1210/1 - (Titles may be used with the numer) 1210/2.

(5) The following methods or systems are recommended for files described by the definitions section of this Order. They are not

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mandatory.

(a) Chronological Files - by the date affixed to the correspondence.

(b) Working Files - in order of assignment by Fiscal Year; e.g. cases assigned to the Warrant Squad Investigators for the current year would be numbered and filed as 1-74, 2-74, 3-74, 4-74, et. seq.

(c) Special Files - alphabetically or chronologically with or without consecutive numbers.

(d) Miscellaneous Files - none prescribed.

c. Records and Reports. All departmental activities subject to the provisions of this policy will convert their subject correspondence files in accordance with the procedures described herein within 180 days of receipt of this Order and certify in writing to the Assistant Director for Administration through the Management Analysis Division that the conversion has been completed.

6. Effective Date. This Order is effective upon receipt.

  
Delbert C. Jackson  
Director

Distribution: "A"