STATE OF NORTH DAKOTA

SUBJECT CLASSIFICATION SYSTEM

Information Technology Department
Records Management Section

600 E Boulevard Ave - Dept 112
Bismarck, ND  58505-0100
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DEFINITION OF FILING CATEGORIES

01 (ACT) ACCOUNTING - All functions involved in a financial transaction.

02 (ACD) ACADEMIC - Information related to academic functions at a college/university.

05 (AF) AGENCY FEDERAL - Information related to a federal agency (reports, correspondence, etc.) which are not directly related to programs administered by your office. Does not include Federal Grants (see 80).

10 (AS) AGENCY STATE - Information relating to any state agency (reports, correspondence, etc.) which are not directly related to programs administered by your office.

14 (AOC) ASSOCIATIONS (Related organizations) - This series contains correspondence, meeting notices, agendas, minutes, etc. from organizations which are not a function of the agency/department.

15 (AUD) AUDITS – Generally, financial audit information will be placed under 01-Accounting and program monitoring will be placed under 80 11-Reviews/Monitoring of Programs. This category would include operational audits not found in other categories.

17 (BUD) BUDGETS - Generally, budget material will be placed under 01-Accounting.

18 (CR) CIVIL RIGHTS - All material relating to affirmative action, EEO, equal employment, minority businesses, Title IV, VI, & VII, and American with Disabilities Act.

19 (CF) CASE FILES - Includes all records retained as case files. Does not include legal cases, but includes clinical, medical and social cases. Legal cases are filed under 50-Legal.

22 (C/M) COMMITTEES/MEETINGS - Includes all material relating to committees, councils, boards, agendas, schedules, minutes, and reports from meetings for the office/department.

26 (COM) COMMUNICATIONS/PUBLIC RELATIONS - Material dealing with any form of communication the agency has with the media or public. Does not include correspondence with specific individuals, etc.

28 (CON) CONSULTANTS - Companies, engineers, or individuals that are (or have the potential of being) contracted by the agency. Includes contract and reimbursement information, references, proposals, audits, and guidelines. Use corporate title or last name of individual.

30 (C/L/A) CONTRACTS/LEASES/AGREEMENTS - Information or documents regarding agency agreements, leases, and contracts.

35 (ED/T) EDUCATION/TRAINING - Any information regarding education training, seminars, etc., that an employee attends or that is sponsored by agency.
43 (EQ) EQUIPMENT - Any information related to equipment actually owned or leased by an agency (owner’s manuals, specification lists, etc.) (also includes State Motor Pool Vehicle Reports)

44 (FM) FORMS MANAGEMENT – Includes records created as a result of forms design and tracking.

45 (GC) GENERAL CORRESPONDENCE - A general category used only if records don't fall into any other category. These should have a short life span.

47 (INS) INSURANCE OR BONDS - Pertaining to insurance or bonds carried by a state agency.

50 (LG) LEGAL - Any communication with the legal division, counsel or law firms, including attorney opinion letters, complaints, and litigation.

55 (LEG) LEGISLATION - Reference material on what is proposed or enacted into law (federal, state, municipal) include laws, requirements, and regulations.

60 (PER) PERSONNEL - Includes employee resumes, employment records, position classification, job descriptions, recruitment, development.

65 (P/P) POLICIES/PROCEDURES - Guidelines on established principles and methods of operation of/for agency.

70 (PS) POLITICAL SUBDIVISIONS - Any city, county, or township information.

72 (REF) REFERENCE MATERIAL - Materials used as reference or to reference the agency records.

75 (SA) SAFETY/SECURITY - Records relating to safety requirements, precautions, protection from damages, risk, injury responsibility, and reports pertaining to safety.

80 (SPS) PROGRAMS, PROJECTS, AND SERVICES - Programs, projects, and services not related to other categories. Includes programs, projects, and services provided by the agency which are continuing and/or repetitive.

81 (SPR) SPECIAL PROJECTS - Special projects provided by your department. These projects are generally one-time and are of shorter duration than programs or services.

85 (S/D) STAFF/DIVISION/UNIT - Statistical data, memos within your own staff or with other divisions within your own agency/department. These will have a short life span.

90 (S/S/R) SURVEY/STUDY/REPORT - Statistical data, comprehensive or comparative studies, recurring reports that don't pertain to any other category.

95 (TS) TRANSPORTATION SYSTEM - All material relating to airways, railways, roadways, and waterways.
VENDOR INFORMATION - All information received from vendors for equipment not owned, leased or used by your department, including brochures, pamphlets, and specifications.
BREAKDOWN OF FILING CATEGORIES

01 (ACT) ACCOUNTING - All functions involved in a financial transaction.
  01-02 AUDITS
  01-03 AUTHORIZATIONS
  01-04 BUDGET (includes Emergency Commission Requests)
  01-05 CASH CONTROL (includes petty cash funds, cash register tapes)
  01-06 CHECKS, DEPOSIT RECORDS (checkbooks, stubs, statements, reconciliations)
  01-10 FINANCIAL, STATISTICAL, TAX INFORMATION
  01-11 (Overflow for 01-10)
  01-12 INVENTORY (fixed assets, equipment, expendables, etc.)
  01-13 LEDGERS, JOURNALS
  01-15 ACCOUNTS PAYABLE (vouchers)
  01-16 PAYROLL INFORMATION (including employee tax reporting)
  01-17 ACCOUNTING, FINANCIAL REPORTS
  01-18 ACCOUNTS RECEIVABLE
  01-22 WORKING PAPERS, WORKSHEETS (includes supporting documentation with a short retention period)
  01-24 CORRESPONDENCE
  01-25 TRANSFERS
  01-26 INVESTMENTS

02 (ACD) ACADEMIC - Information related to academic functions at a college/university.
  02-01 ADMISSIONS
  02-02 CURRICULUM
  02-03 FINANCIAL AID, SCHOLARSHIPS
02-04  STUDENT RECORDS
02-05  RECRUITMENT
02-06  TESTING, GRADES, COURSE MATERIAL
02-07  ACCREDITATION

05  (AF)  AGENCY FEDERAL - Information related to a federal agency (reports, correspondence, etc.) which are not directly related to programs administered by your office. Does not include Federal Grants (see 80).

05-02  CORRESPONDENCE
05-03  REPORTS

10  (AS)  AGENCY STATE - Information relating to any state agency (reports, correspondence, etc.) which are not directly related to programs administered by your office.

10-01  CORRESPONDENCE

14  (AOC)  ASSOCIATIONS - This series contains correspondence, meeting notices, agendas, minutes, etc. from organizations which are not a function of the agency/department

14-01  ASSOCIATIONS
14-02  BOARDS

15  (AUD)  AUDITS - Generally, financial audit information will be placed under 01-Accounting and program monitoring falls under 80 11. This category would include operational audits not found in other categories.

15-01  AUDIT REPORTS
15-02  AUDIT WORKING PAPERS

17  (BUD)  BUDGETS - Generally, agency budgets submitted to OMB would fall under Accounting/Financial records (01 04 – Budgets). This category would include reporting of budgets not found in any other category.

17-01  BUDGET REPORTS
18 (CR) **CIVIL RIGHTS** - All material relating to affirmative action, EEO, equal employment, minority businesses, Title IV, VI, & VII, and American with Disabilities Act. Includes audits, discrimination complaints, manuals, programs, projects, and reports.

18-01 DISADVANTAGED BUSINESS ENTERPRISE (DBE)

18-04 EQUAL EMPLOYMENT OPPORTUNITY (EEO)

18-05 ON-THE-JOB TRAINING PROGRAM

18-06 TITLE VI

18-07 TITLE VII

19 (CF) **CASE FILES** - Includes all records retained as case files. Does not include legal cases, but includes clinical, medical and social cases. Legal cases are filed under 50-Legal.

19-01 CASE FILES

22 (C/M) **COMMITTEES/MEETINGS** - Includes all material relating to committees, councils, boards, agendas, schedules, minutes, and reports from meetings for the office/department.

22-01 MEETINGS

22-02 ADVISORY

22-03 COMMITTEES

22-04 COUNCILS

22-05 COMMISSIONS

22-06 CONFERENCES

26 (COM) **COMMUNICATIONS/PUBLIC RELATIONS** - Material dealing with any form of communication the agency has with the media or public. Does not include correspondence with specific individuals, etc.

26-01 MARKETING

26-02 PHOTOGRAPHS

26-04 PUBLICATIONS

26-05 SPEECHES
26-06 PRESS RELEASES
26-07 RADIO/TV RECORDINGS, VIDEO TAPES, SLIDES
26-08 WORKING DOCUMENTS TO PUBLICATIONS

28 (CON) **CONSULTANTS** - Companies, engineers, or individuals that are (or have the potential of being) contracted by the agency. Includes contract and reimbursement information, references, proposals, audits, and guidelines. Use corporate title or last name of individual.

28-01 CONSULTANTS

30 (C/L/A) **CONTRACTS/LEASES/AGREEMENTS** - Information or documents regarding agency agreements, leases, and contracts.

30-01 AGREEMENTS, CONTRACTS
30-02 DEEDS
30-03 RELEASE OF LIABILITY
30-05 LEASES, EASEMENTS, ABSTRACTS
30-07 BIDS
30-08 TITLES AND TITLE OPINIONS
30-09 LICENSES AND PERMITS
30-10 CERTIFICATE OF INCORPORATION

35 (ED/T) **EDUCATION/TRAINING** - Any information regarding education training, seminars, etc., that is sponsored by agency.

35-01 TRAINING (includes seminars, conferences, workshops, retreats)
35-04 CERTIFICATION, APPROVAL OF TRAINING PROGRAMS (individual employee certifications fall under 60 06)

43 (EQ) **EQUIPMENT** - Any information related to equipment or computer software actually owned or leased by an agency (owner manuals, specification lists, etc.) (also includes State Motor Pool Vehicle Reports)
43-01 EQUIPMENT MANUALS, BROCHURES
43-03 USAGE REPORTS (includes motor pool/vehicle, telephone, multi-function printer/copiers, machine operating records)
43-04 SERVICE REPORTS
43-05 JOB ORDERS, SERVICE REQUESTS
43-07 CORRESPONDENCE
43-08 SOFTWARE LICENSES

44 (FM) FORMS MANAGEMENT
44-01 FORM DESIGN (original forms, update approvals)

45 (GC) GENERAL CORRESPONDENCE - Used only if records don't fall into any other category. These should have a short life span.
45-01 GENERAL CORRESPONDENCE

47 (INS) INSURANCE OR BONDS - Pertaining to insurance or bonds carried by a state agency.
47-01 CORRESPONDENCE, GENERAL INFORMATION
47-02 POLICIES
47-03 CLAIMS
47-04 FIDELITY BONDS, GUARANTEES

50 (LG) LEGAL - Any communication with the legal division, counsel or law firms, including attorney opinion letters, complaints, and litigation.
50-01 ADMINISTRATIVE CODE (created by agency - includes backup documentation)
50-02 AFFIDAVITS (except AFFIDAVIT OF PUBLICATION - see 26-04)
50-04 COURT CASES, ADMINISTRATIVE HEARINGS (includes appeals)
50-05 LEGAL OPINIONS
50-07 PROCLAMATIONS, EXECUTIVE ORDERS
50-08 SUMMONS, SUBPOENAS
50-12 LEGAL REFERENCE
50-13 POWER OF ATTORNEY
50-14 PATENTS AND TRADEMARKS

55 (LEG) LEGISLATION - Reference material on what is proposed or enacted into law (federal, state, municipal) include laws, requirements, and regulations.

55-01 LEGISLATION – FEDERAL (actual billing and support documentation)
55-02 LEGISLATION – STATE (actual billing and support documentation)
55-03 LEGISLATIVE ASSEMBLY MATERIALS - any information received (includes Legislative Council interim studies and committees)
55-04 ORDINANCES, RESOLUTIONS, RULES

60 (PER) PERSONNEL - Includes employee resumes, employment records, position classification, job descriptions, recruitment, development.

60-01 AWARDS
60-02 APPLICATIONS, RESUMES, RECRUITMENT
60-03 APPOINTMENTS TO POSITIONS ON BOARDS, COMMISSIONS, ETC
60-04 MERIT SYSTEM INFORMATION
60-06 EMPLOYEE FILES, CURRENT AND FORMER
60-07 LEAVE RECORDS, WORK SCHEDULES, DAILY ACTIVITY REPORTS, TIMECARDS
60-09 JOB DESCRIPTIONS, JDQ’s, APPEALS OF CLASSIFICATION
60-10 EMPLOYMENT PROGRAMS (Job Service Employment Programs, Cooperative Education/Internships, etc.)
60-13 COMPLAINTS AND GRIEVANCES FILED AGAINST EMPLOYER
60-14 COMPLAINTS, INCIDENTS FILED AGAINST EMPLOYEES
GENERAL INFORMATION ON PERSONNEL RELATED MATTERS

**65 (P/P)** **POLICIES/PROCEDURES** - Guidelines on established principles and methods of operation of/for agency.

- **65-01** MANUAls
- **65-03** PLANS, ORGANIZATIONAL CHART
- **65-04** RECORDS MANAGEMENT
- **65-05** POLICIES
- **65-06** GOALS AND OBJECTIVES
- **65-07** PROCEDURES

**70 (PS)** **POLITICAL SUBDIVISIONS** - Any city, county, or township information.

- **70-01** CORRESPONDENCE
- **70-02** COUNTY FILES (school districts, townships, park district records, etc. not covered elsewhere)

**72 (REF)** **REFERENCE MATERIAL** - Materials used as reference or to reference the agency records.

- **72-01** GENERAL REFERENCE RECORDS
- **72-02** INDEX TO REFERENCE MATERIALS OR FILES
- **72-03** LISTS
- **72-04** MAPS

**75 (SA)** **SAFETY/SECURITY** - Records relating to safety requirements, precautions, protection from damages, risk, injury responsibility, and reports pertaining to safety.

- **75-01** ACCIDENT REPORTS
- **75-02** SECURITY, GENERAL
- **75-03** INSPECTIONS
SAFETY, GENERAL (includes hazardous material safety data sheets)

**80 (SPS)** PROGRAMS, PROJECTS, AND SERVICES - Programs, projects, and services not related to other categories. Includes programs, projects, and services provided by the agency which are continuing and/or repetitive.

80-02 PROGRAMS ADMINISTRATIVE RECORDS (correspondence)

80-03 PROGRAMS AND SERVICES

80-04 AUTHORIZATIONS

80-05 (Overflow for 80-03 – Follows 80-03-99)

80-07 FACILITIES

80-08 MAIL RECORDS

80-09 GRANTS

80-10 PROGRAM REPORTS

80-11 REVIEWS, MONITORING OF PROGRAMS

80-12 WORK PAPERS TO PROJECTS, PROGRAMS

80-13 (Overflow for 80-03 and 80-05 – Follows 80-05-99)

80-14 (Overflow for 80-03, 80-05, and 80-13 – Follows 80-13-99)

**81 (SPR)** SPECIAL PROJECTS - Special projects provided by your department. These projects are generally one-time and are of shorter duration than programs or services.

81-01 PROJECT FILE

**85 (S/D)** STAFF/DIVISION/UNIT - Statistical data, memos within your own staff or with other divisions within your own agency/department. These will have a short life span.

85-01 STAFF MEETINGS

85-03 TRAVEL

85-04 MONTHLY REPORTS
85-05  INTRA-AGENCY, INNER-AGENCY CORRESPONDENCE

85-06  CALENDARS

90  (S/S/R)  SURVEY/STUDY/REPORT - Statistical data, comprehensive or comparative studies, recurring reports that don't pertain to any other category.

90-01  SURVEYS, STUDIES

90-02  REPORTS

90-04  STATISTICAL INFORMATION

90-05  WORKSHEETS, QUESTIONNAIRES

90-06  HISTORY MATERIALS

90-07  Overflow for 90-02

95  (TS)  TRANSPORTATION SYSTEM - All material relating to airways, railways, roadways, and waterways.

95 01  TRANSPORTATION RECORDS

97  (VI)  VENDOR INFORMATION - All information received from vendors for equipment not owned, leased or used by your department, including brochures, pamphlets, and specifications.

97-01  CATALOGS (for equipment not owned, leased, or used by the department)

97-02  VENDOR COMPLAINTS