Department of Transportation
Office of the Secretary
Washington, D.C.

ORDER

DOT 0000.1B

6-6-74

SUBJECT: STANDARD SUBJECT CLASSIFICATION SYSTEM OF THE OFFICE OF THE SECRETARY

1. PURPOSE. This order establishes the Office of the Secretary (OST) Standard Subject Classification System for classifying documents and records by subject, including correspondence, directives, publications, forms, and reports. The system applies to (a) correspondence and other records being maintained in subject files within OST and (b) all directives, publications, and forms to be approved and issued by OST.

2. CANCELLATION. DOT 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM OF THE OFFICE OF THE SECRETARY (OST), of 6-18-70.

3. REFERENCES. The following directives prescribe procedures and establish control points for processing directives, forms, publications, and requirements for reports from the public:

    a. DOT 1320.2A, DOT Directives System, of 5-20-67.

    b. OST 1320.3, Forms Services for the Office of the Secretary, of 11-12-68.

    c. DOT 1710.1, Control of Publications Issued by the Office of the Secretary, of 6-18-70.

    d. DOT 1320.13, Clearance of Plans and Report Forms Under the Federal Reports Act of 1942, of 11-13-70.

4. GENERAL. The attachments provide a series of numbers designed to meet the needs of OST for a single, standard subject classification system.

    a. The system will be used to identify all directives, publications, or forms which are approved and issued by OST.

    b. The system is intended for use throughout OST in numbering, referencing, and filing the various types of Department documents which are maintained in subject files. (Documents maintained in case or project files need not be so identified, but case or project files may be filed as a part of a subject file.)

    c. The system may be used as a guide by other elements of DOT in developing similar systems, but it is not intended to affect existing classification systems.

DISTRIBUTION: All Secretarial Offices
All Operating Administrations
National Transportation Safety Board (info)

OPI: Office of Management Systems

5. <u>LETTER PREFIXES TO SUBJECT CODES</u>.

   a. When subject codes are assigned to directives (Orders or Notices), publications, or forms, they will always be prefixed as follows:

      (1) By the letters OST only when the document affects, or is intended for use in, OST; or

      (2) By the letters DOT only when the document affects, or is intended for use in, OST and one or more of the other elements of the Department; or

      (3) By letters assigned to each major organizational element (office symbols) within OST only when the document affects, or is intended for use in, one OST office.

   b. After the organizational prefix, the following letter prefixes will be used to distinguish between different types of documents:

      (1) F for forms.

      (2) P for publications not issued as directives.

      (3) N for self-canceling, temporary directives (Notices).

   c. Directives that remain in effect until specifically cancelled (Orders) require no prefix other than the appropriate organizational letters.

   d. Correspondence and other records which are being marked for filing within OST require no alphabetical prefixes.

6. <u>SEQUENTIAL NUMBERS</u>. Sequential numbers (.1, .2) are assigned by control points to directives, publications, and forms after approval. These are consecutive numbers given to identify documents and their order of issuance. For example, OST F 0000.1 would be the identification assigned to the first form approved for use solely within OST in the subject area of "Classification Codes, Checklists, and Indexes." The directives referenced in paragraph 3 designate control points and provide procedures for assigning identifying numbers.

7. <u>EXPANSION AND REVISION OF SUBJECT CODES</u>.

   a. Using offices may add alphabetical or numerical suffixes to meet specialized filing requirements.

   b. The subject classifications and numerical codes in the attachments will be added to, revised, or eliminated only on the basis of demonstrated need. This classification system is based on subject matter alone.

Blocks of code numbers are not assigned to individual organizations for exclusive use. Sub-breakdowns of existing subject areas will not be added to the OST standard system when used only by a few offices for specialized filing purposes.

c. Submit requests for subject code revisions to the Office of Management Systems, OST. All requests will be evaluated on the basis of:

(1) User needs for finding and referencing;

(2) Projected use for subject classification;

(3) Lack of current subject code on same subject; and

(4) Conformity to system design and format.

8. CONVERSION. The subject classification codes listed in the attachments expand, and in some instances change, the coding established by DOT 0000.1A. The following procedures will facilitate the use of these codes.

a. The revised subject classification codes will be used on directives, forms, and publications issued after approval of this order. Published items will not be revised merely to use the revised codes; but when an items is revised for other reasons, or reprinted, the revised codes will be used.

b. The old classification codes may be used for current files. Documents in files for earlier periods should not be recoded. When establishing new subject files, and in setting up new blocks of subject files at the next regularly scheduled files "break," apply the new codes.

FOR THE SECRETARY OF TRANSPORTATION:

William S. Heffelfinger
Assistant Secretary
Administration

SUMMARY OF SUBJECT CLASSIFICATION CODES	
0000 Classification Codes, Checklists, and Indexes	3800 Retirement and Insurance
1000 Management and Administration - General	3900 Special Personnel Programs and Activities
1100 Organization, Authorities, Functions, and Internal Relationships	4000 Logistics Management - General
	4200 Procurement
1200 External Relationships	4300 Real Property Management
1300 Management Systems & Standards	4400 Personal Property Management
1500 Travel and Transportation	4500 Commercial/Industrial Activities
1600 Investigations and Security Programs	4600 Grant Management
	5000 Program Planning and Management
1700 Administrative Support	5100 Planning, Programming and Budgeting
1900 Emergency Preparedness	
2000 Legal	5200 Manpower Management
2100 Rules and Regulations	5300 Transportation Programs and Policies - General
2300 Financial Management - General	5400 Telecommunications
2700 Accounting	5500 Transportation Facilitation
2900 Auditing	5600 Environmental Quality and Impact
3000 Personnel Management	5800 Transportation Safety
3200 Personnel Provisions - General	6000 Air Transportation
3300 Employment	6100 Highway Transportation
3400 Employee Performance and Utilization	6200 Marine Transportation
	6300 Railroad Transportation
3500 Position Classification, Pay and Allowances	6400 Certification Programs
3600 Attendance and Leave	6500 Urban Transportation
3700 Personnel Relations & Services	7000 Transportation Research and Technology

ALPHABETICAL LISTING
SUBJECT CLASSIFICATION CODES

A

Accounting	2700
Administration-General	1000
Administrative Support	1700
Air Transportation	6000
Attendance	3600
Auditing	2900
Authorities	1100

B

Budgeting	5100

C

Certification Programs	6400
Checklists	0000
Classification Codes	0000
Commercial Activities	4500

E

Emergency Preparedness	1900
Employee Performance and Utilization	3400
Employment	3300
Environmental Quality	5600
External Relationships	1200

F

Facilitation, Transportation	5500
Financial Management - General	2300
Functions	1100

G

Grant Management	4600

H

Highway Transportation	6100

I

Impact, Environmental	5600
Indexes	0000
Industrial Activities	4500
Insurance	3800
Internal Relationships	1100
Investigations	1600

L

Leave	3600
Legal	2000
Logistics Management - General	4000

M

Management - General	1000
Management Systems	1300
Manpower Management	5200
Marine Transportation	6200

O

Organization	1100

P

Pay and Allowances	3500
Personal Property Management	4400
Personnel Activities	3900
Personnel Management	3000
Personnel Programs	3900
Personnel Provisions - General	3200
Personnel Relations	3700
Personnel Services	3700

Planning, Programming, and Budgeting	5100	– Railroad	6300
Position Classification	3500	– Research and Technology	7000
Preparedness, Emergency	1900	– Safety	5800
Procurement	4200	– Urban	6500
Program Planning and Management	5000	Travel and Transportation	1500
Programs			
– Certification	6400		
– Personnel	3900		
– Security	1600		
– Transportation	5300		

U

Urban Transportation	6500

Q

Quality, Environmental	5600

R

Railroad Transportation	6300
Real Property Management	4300
Relations – Relationships	
– External	1200
– Internal	1100
– Personnel	3700
Research and Technology	7000
Retirement	3800
Rules and Regulations	2100

S

Safety, Transportation	5800
Security	1600
Support, Administrative	1700

T

Technology, Transportation	7000
Telecommunications	5400
Transportation	
– Air	6000
– Facilitation	5500
– Highway	6100
– Marine	6200
– Programs and Policies	5300

DETAILED SUBJECT CLASSIFICATION CODES	
0000 CLASSIFICATION CODES, CHECKLISTS AND INDEXES	**1300** MANAGEMENT SYSTEMS AND STANDARDS - 1310 Management Analysis, Surveys, Industrial Engineering, and Value Engineering
1000 MANAGEMENT AND ADMINISTRATION - GENERAL - 1050 Civil Rights - 1090 Determination and Transfer Orders	- 1320 Paperwork Management - 1321 Directives Management - 1322 Forms Management - 1323 Reports Management - 1324 Records Management
1100 ORGANIZATION, AUTHORITIES, FUNCTIONS, AND INTERNAL RELATIONSHIPS - 1120 Committees & Conferences - 1130 Field Facilities	- 1325 Correspondence and Mail Management - 1340 Management Information Systems - 1360 Publishing and Audio-Visuals Management - 1370 Data Processing Management - 1390 Appraisal and Evaluation Systems
1200 EXTERNAL RELATIONSHIPS - 1210 Public Relations - 1220 Congressional Relations - 1230 Government Relations - 1240 International Relations - 1250 Transportation Education Programs - 1270 Industry/Labor Relations	**1500** TRAVEL AND TRANSPORTATION (Persons and Personal Effects) **1600** INVESTIGATIONS AND SECURITY PROGRAMS - 1610 COMSEC and EMSEC Issuances - 1620 General Investigations - 1630 Personnel Security

- 1640 Information Security

- 1660 Property Protection

- 1680 Identification Media

1700

ADMINISTRATIVE SUPPORT

- 1710 Publishing, Photography, and Graphics Services

- 1720 Library Services

- 1730 Office Services

- 1740 Communications

1900

EMERGENCY PREPAREDNESS

- 1910 Operational Plans

- 1930 Chemical, Biological, and Radiological Defense

- 1940 Emergency Resources Management

- 1950 Reports, Tests, and Exercises

2000

LEGAL

- 2010 Opinions

- 2050 Legislation

2100

RULES AND REGULATIONS

- 2150 Claims and Litigation

2300

FINANCIAL MANAGEMENT - GENERAL

2700

ACCOUNTING

- 2710 General Financial Reports

- 2730 Payroll, Leave, and Allowances

- 2750 Voucher Examination and Certification

- 2770 Collection, Safekeeping, Deposit, and Disbursement of Funds

2900

AUDITING

- 2910 Audit Reporting

- 2920 Internal Auditing

- 2930 External Auditing

- 2960 General Accounting Office Audits

3000

PERSONNEL MANAGEMENT

3200	3400
PERSONNEL PROVISIONS - GENERAL	**EMPLOYEE PERFORMANCE AND UTILIZATION**
- 3210 Personnel Concepts and Definitions	- 3410 Employee Training and Development
- 3211 Veteran Preference	- 3412 Management Training and Development
- 3212 Competitive Service and Status	- 3430 Performance Evaluation
- 3213 Excepted Service	- 3450 Incentive Awards and Employee Recognition
- 3240 Military Personnel	
- 3250 Personnel Program Control and Direction	3500
- 3253 Personnel Program Inspections, Surveys, and Audits	**POSITION CLASSIFICATION, PAY, AND ALLOWANCES**
- 3290 Personnel Records and Document Processing	- 3510 Position Classification and Job Evaluation
- 3291 Personnel Reports	- 3530 Pay Rates and Systems
- 3293 Personnel Records and Files	- 3550 Pay Administration
- 3295 Processing Personnel Actions	- 3590 Allowances and Differentials
3300	3600
EMPLOYMENT	**ATTENDANCE AND LEAVE**
- 3305 Executive Personnel	
- 3330 Recruitment, Selection, and Placement	3700
- 3335 Promotion and Internal Placement	**PERSONNEL RELATIONS AND SERVICES**
- 3350 Job Retention	- 3710 Labor/Management Relations
- 3351 Reduction-in-Force	- 3730 Employee Responsibilities and Conduct
- 3352 Reemployment Rights	- 3731 Suitability
- 3353 Restoration after Military Duty	- 3733 Political Activity
	- 3750 Employee Discipline

- 3770 Grievances, Appeals, and Hearings

- 3790 Services to Employees

3800

RETIREMENT AND INSURANCE

- 3830 Retirement

- 3870 Insurance

3900

SPECIAL PERSONNEL PROGRAMS & ACTIVITIES

- 3901 Health Service Program

- 3902 Safety Program

- 3960 Employee Recreation and Welfare Activities

- 3970 Fund-Raising Campaigns

4000

LOGISTICS MANAGEMENT - GENERAL

4200

PROCUREMENT

- 4210 Authorities/Responsibilities/ Regulations

- 4220 Contracting

- 4230 Small Purchasing

- 4240 Requisitioning/Ordering

- 4250 Personal Services

4300

REAL PROPERTY MANAGEMENT

- 4310 Authorities/Responsibilities/ Regulations

- 4320 Facilities Planning

- 4330 Facilities Management (Includes Space)

- 4340 Services

4400

PERSONAL PROPERTY MANAGEMENT

- 4410 Authorities/Responsibilities/ Regulations

- 4420 Supply/Inventory Management

- 4430 Property in Use Management

- 4440 Vehicle Management

4500

COMMERCIAL/INDUSTRIAL ACTIVITIES

- 4510 Authorities/Responsibilities/ Regulations

- 4520 Commercial Including Commissary, Messing, Laundry, Housekeeping

- 4530 Industrial

- 4540 Public Services

4600

GRANT MANAGEMENT

- 4610 Authorities/Responsibilities/ Regulations

- 4620   Grants

- 4630   Grants-in-Aid

5000

PROGRAM PLANNING AND MANAGEMENT

- 5010   Economic Affairs (Includes
         Economic Analysis, Model
         Development, Forecasting)

- 5020   Program Coordination and
         Evaluation (Includes
         Federal, State, Local,
         Industry, Intermodal)

- 5030   Policy Development and
         Coordination

- 5040   Program Financing Methods
         (Includes Loan Guarantees,
         Taxes, User Charges - See
         4600 for Grant Management)

- 5050   Regional Transportation
         Systems

- 5060   International Transportation
         Program Coordination and
         Evaluation (Includes Inter-
         national Cooperation and
         Technical Assistance)

5100

PLANNING, PROGRAMMING, & BUDGETING

- 5110   Special Studies

- 5120   Program Proposals

- 5122   Program Data Summaries

- 5130   Departmental Review

- 5135   Secretarial Review

- 5137   Internal DOT Appeals

- 5140   Program Memoranda

- 5142   Program and Financial Plan

- 5150   Budget Submissions-DOT Review

- 5160   Budget Submissions-OMB Review

- 5170   Budget Submissions-
         Congressional Review

- 5180   Budget Execution

- 5190   Budget Reports

5200

MANPOWER MANAGEMENT

5300

TRANSPORTATION PROGRAMS & POLICIES -
GENERAL

- 5320   Containerization

- 5340   Documentation and Procedures

- 5360   Transport Systems

5400

TELECOMMUNICATIONS

- 5410   Data/Computer

- 5420   Radio Frequency Management

- 5430   Landline (Telephone, Telegraph)

- 5440   Space/Satellites

- 5450 Radionavigational		6000
- 5460 Command and Control Systems	AIR TRANSPORTATION	
- 5470 Environmental	- 6010 Airports	
5500	- 6020 Airway Facilities and Equipment	
TRANSPORTATION FACILITATION	- 6030 Air Traffic Management and Operations	
5600	- 6040 Airspace Allocation and Use	
ENVIRONMENTAL QUALITY AND IMPACT	- 6050 Aircraft	
- 5610 Environmental Policy Act	6100	
- 5620 Community Impact	HIGHWAY TRANSPORTATION	
- 5630 Noise Control	- 6110 Highways	
- 5640 Pollution Control	- 6120 Highway Design, Construction, and Maintenance	
- 5650 Protection and Enhancement		
- 5660 Parks, Recreational Areas, Wildlife & Waterfoul Refuge, and Historic Sites	- 6130 Highway Networks	
	- 6150 Motor Traffic Management	
- 5670 Oceanography	- 6170 Motor Vehicles	
- 5680 Meteorology	6200	
- 5690 Polar Operations	MARINE TRANSPORTATION	
5800	- 6210 Shore Facilities	
TRANSPORTATION SAFETY	- 6220 Ships	
- 5820 Air Safety	- 6230 Waterways & Territorial Waters	
- 5840 Highway Safety	- 6240 Marine Navigation	
- 5860 Marine Safety	- 6250 Marine Patrols	
- 5880 Rail Safety	- 6260 Merchant Vessels	

6300

RAILROAD TRANSPORTATION

- 6310 Construction & Maintenance
        of Rail Lines, Terminals,
        and Structures

- 6330 Locomotives & Rolling Stock

- 6350 Railroad Traffic Management

- 6370 High Speed Ground Transpor-
        tation

6400

CERTIFICATION PROGRAMS

6500

URBAN TRANSPORTATION

- 6520 Urban Transportation Systems

- 6550 Design, Construction, and
        Maintenance of Urban Transit
        Facilities and Equipment

7000

TRANSPORTATION RESEARCH & TECHNOLOGY

- 7020 Aviation Research & Technology

- 7040 Highway Research & Technology

- 7060 Maritime Research & Technology

- 7080 Railroad Research & Technology