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RETURN TO 1
RECORDS MANAGEMENT DIVISION

Public Law 432, 73rd Congress

57th Statute 380-383 - July 7, 1943

57th Statute 431 - July

RECORDS MANAGEMENT PROGRAM

RECORDS DISPOSITION

ORDERAM FOR SCHEDULING
THE PRESERVATION, RETIREMENT
AND DESTRUCTION of Agency
RECORDS.

Public Law 452 81st Congress

June 30, 1949

Law 754, 81st Congress

Sept 5, 1950

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FOREWORD

A records program designed to manage the creation, maintenance, and disposition of records has been established within the Agency. This Handbook pertains to the records disposition phase of this program. The objective of records disposition is the preservation of records of continuing value and the systematic elimination of all other records. Such action materially increases the usefulness of the records preserved, and substantially reduces the cost and effort of record keeping. To assist in achieving this objective, uniform methods and procedures have been established and published herein for the compliance, information, and guidance of all personnel concerned in the execution of their responsibilities in the program.

This Handbook rescinds Section V of HB and supplements Regulation No.

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FOR THE DIRECTOR OF CENTRAL INTELLIGENCE

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Deputy Director
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SECTION I. GENERAL

1. Legislative Background. The basic responsibilities involved in the administration of a records program by an agency of the Federal Government is imposed upon the head of the agency by laws enacted by Congress and Executive Orders issued by the President of the United States. Although laws governing the disposition of records of the Federal Government have been enacted during many years past, it was not until the year 1934 that the National Archives was established. It was designated as the Agency and facility for the preservation of the records of the United States Government, that have enduring administrative, legal, fiscal, or historical value. Laws enacted at that time, and subsequent amendments, describe the materials which are considered to be of a "documentary" character and which are consequently designated "records." However, a relatively small percentage of the tremendous volume of documentary materials produced or acquired by Government agencies qualify as records of enduring value and with few exceptions, the kind and quantity of records that an agency will produce or acquire is not specified. The procedures for determining which records will be preserved and which will be destroyed, are also prescribed by law to prevent the destruction of those records that have enduring value. In brief, the laws prohibit the destruction of Government records except when authorized by Congress upon the recommendation of the Archivist of the United States.

2. Current Legislation. The substance of the applicable statutes that form the legal basis for present day records management programs in agencies of the Federal Government is as follows:

a. The Act which established the National Archives, approved 19 June 1934 (Public Law 432, 73rd Congress) (44 USC 300-300d), created the office of the Archivist of the United States and provides that all records belonging to the Government of the United States shall be under the charge and superintendance of the Archivist. Also created by this Act was the National Archives Council whose function was to define the classes of material to be transferred to the National Archives Building and establish regulations governing such transfer; and advise the Archivist in respect to regulations governing the disposition and use of the Archives and records transferred to his custody.

b. An Act to provide for the disposal of certain records of the United States Government, approved 7 July 1943, as amended 6 July 1945 (57 Stat. 380-383; 59 Stat. 434) provides a definition of the word "records" (See paragraph 13). The Act also provides that the head of each agency of the United States Government shall submit to the Archivist: (1) Lists of any records in the custody of the agency that have been photographed or microphotographed and, as a

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consequence thereof, do not appear to have sufficient value to warrant their further preservation by the Government; (2) lists of any other records in the custody of the agency that are not needed by it in the transaction of its current business and that do not appear to have sufficient administrative, legal, fiscal, research, or other value to warrant their further preservation by the Government; (3) and schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character that either have accumulated in the custody of the agency or that may accumulate therein at any time after the submission of such schedules and that after the lapse of the periods specified have insufficient administrative, legal, fiscal, research, or other value to warrant their further preservation by the Government. The National Archives Council, under authority of this Act, established procedures for such submissions and established standards for the reproduction of records by photographic or microphotographic processes with a view to the disposal of the original records.

c. An Act which transferred the National Archives establishment and function to the General Services Administration, approved 30 June 1949 (Public Law 152, 81st Congress), also authorized the Administrator of the General Services Administration to survey Government records to determine the efficiency of records management activities.

d. The Act which defined the responsibilities of the Administrator of General Services for the management of Government records, approved 5 September 1950 (Public Law 754, 81st Congress), authorized the Administrator to establish a Federal Records Council. The members of the Council to include representatives of the legislative, judicial and executive branches of the Government. The Administrator shall advise and consult with the Council, at least once annually, with a view to obtaining its advice and assistance in carrying out an economical and efficient management of Federal records. This Act also provided that the head of each Federal agency shall; cause to be made and preserved, records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency; establish and maintain an active, continuing program for the economical and efficient management of the records of the agency; provide for the storage, processing, and servicing of records that are appropriate therefor in a records center; and establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator.

e. Executive Order 10501, "Safeguarding Official Information in the Interests of the Defense of the United States", was issued 5 November 1953. This order requires that security classified documentary material made or received by a department or agency in connection with the transaction of public business and preserved as

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evidence of the organization, functions, policies, operations, decisions, procedures or other activities of any department or agency of the Government, or because of the informational value of the data contained therein, be destroyed only in accordance with the act of 7 July 1943, as amended 6 July 1945 (57 Stat. 380-383; 59 Stat. 434).

f. Congress also enacted laws providing for the punishment of individuals who unlawfully destroy public records. These laws are quoted from Section 234 and 235 of Volume 18 of the United States Code of Laws.

(1) Section 234. Destroying public records. Whoever shall willfully and unlawfully conceal, remove, mutilate, obliterate, destroy, or steal, shall take and carry away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public office of the United States, shall be fined not more than \$2,000, or imprisoned not more than three years, or both. (Criminal Code, Sec. 128).

(2) Section 235. Destroying records by officer in charge. Whoever, having the custody of any record, proceeding, map, book, document, paper, or other thing specified in Section 234 of this title, shall willfully and unlawfully conceal, remove, mutilate, obliterate, falsify, or destroy any such record, proceeding, map, book, document, paper, or thing, shall be fined not more than \$2,000, or imprisoned not more than three years, or both; and shall moreover forfeit his office and be forever afterward disqualified from holding any office under the Government of the United States. (Criminal Code, Sec. 129).

g. To clarify the responsibilities of CIA under provisions of statutes pertaining to Federal records, the General Counsel submitted an interpretation of existing laws on 2 October 1950. In the opinion of the General Counsel it was the intent of Congress that the Agency comply with the statutes whenever possible. It was also the opinion of the General Counsel that the Agency should comply with the laws insofar as compliance does not conflict with Public Law 253, 80th Congress, which provides that the Director of Central Intelligence "shall be responsible for protecting intelligence sources and methods from unauthorized disclosure."

3. Agency Application. The administrative basis for the Records Management Program in CIA is contained in two Agency Regulations. The substance of these is as follows:

a. Regulation No. [] delegates the responsibility for the administration of the Agency Records Management Program to the Chief of the Management Staff.

b. Regulation No. [] defines the scope and content of the program and assigns the responsibility for its administration.

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SECTION II. DUTIES AND RESPONSIBILITIES

4. Program Objectives. The legal and moral responsibilities imposed upon the Director of Central Intelligence with respect to the disposition of records accumulated by the Agency prescribe the objectives of the records disposition program. These objectives are as follows:

a. The establishment and preservation, on a continuing basis, of a complete set of records reflecting the mission of the Central Intelligence Agency, its organization, functional administrative policies and procedures, and overall accomplishments, including therein all documentary materials having administrative, legal, fiscal, or historical significance, of long time or permanent value.

b. The establishment and operation of a system of supervision, facilities, procedures, and instructions which will assure the prompt disposition of records no longer frequently referred to or of no further value in the conduct of current business by retirement to the Agency Records Center or by authorized destruction in accordance with procedures prescribed by law.

c. The development of means for making available to authorized Agency activities the experience and data that Agency records contain for planning purposes, for conducting current business, and for historical or research purposes.

5. Program Direction. Standardization of methods and procedures is necessary and desirable for the effective management of records. The records of all CIA activities that have permanent or long time administrative, legal, fiscal, or historical value are safely stored in the Records Center for preservation when no longer needed for the conduct of current business or upon deactivation of an activity. In order to facilitate the processing, storage, and servicing of the records received by the Records Center from various activities, they should be uniformly arranged, packed, and processed in accordance with prescribed criteria. Furthermore, it is important that authorization for the disposal of records, granted by the Archivist of the United States and Congress, be uniformly and accurately interpreted. To effect the coordination required to attain these objectives, responsibility for administration of the program is delegated to the Chief of the Management Staff. His representative in the exercise of this responsibility is the Chief, Records Management Division.

6. Program Administration. The Chief, Records Management Division is responsible for:

a. Administration of the extension of the Records Management Program, including the issuance of any instructions necessary to implement the methods and procedures prescribed by this Handbook, and the attainment of the objectives of the program.

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b. Review and approval of Records Control Schedules governing the disposition of records accumulated by the elements of the Agency.

c. Review and approval of all recommendations for the destruction of records, and the subsequent preparation and submission of requests to the Archivist of the United States and Congress for authority to destroy the records as prescribed by applicable statutes.

d. Indoctrination and training of Area Records Officer designated by Chiefs of Major Components, in accordance with Regulation No.

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e. Monitoring and inspection of all records disposition activities of the Agency.

f. Establishment and maintenance of a facility for the storage and servicing of noncurrent records of the Agency.

g. Collection and consolidation of statistical and factual data necessary to the effective management of the Agency program.

h. Conducting all phases of the disposition program in organizational elements in which Area Records Officers have not been designated.

7. Program Implementation. The role of the Area Records Officer is a most significant one; his understanding of his responsibilities and his diligence, zeal and use of common sense in carrying them out, or the lack of these essentials, are clearly reflected by the condition of the records under his jurisdiction. The detailed explanations of methods and procedures described in this Handbook will supply the Area Records Officer with information necessary to enable him to understand and carry out his responsibilities under the disposition program. Area Records Officers are specifically responsible for:

a. Supervision over the proper disposition of all records created, acquired, or maintained by organizational elements under his jurisdiction.

b. Conducting records disposition surveys for purposes of collecting and recording information necessary for the preparation of Records Control Schedules and implementing other aspects of the program.

c. Preparation of Records Control Schedules for activities under his jurisdiction and his submission to the Records Management Division for review and approval.

d. Submission of recommendations to the Records Management Division for the procurement of authority for the destruction of records, not covered by existing Records Control Schedules.

e. Application of approved Records Control Schedules, including the segregation and prompt destruction of records authorized for disposal or their retirement to the Records Center when their scheduled retention in office space has expired.

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f. Supervision of the arrangement and packing of the various classes of records and their retirement to the Records Center for storage.

g. Compilation of data for reports required for effective management of the program.

8. Records Disposition Reports. To provide a measure of the progress and effectiveness of the program, the reports described below are required. The reports will be forwarded to the Records Management Division not later than the fifteenth of August of each year and will cover the preceding fiscal year's activities.

a. Area Records Officers' Report. Each year the Area Records Officer will submit a report consisting of the consolidated statistics outlined below, on the retirement and destruction of records accumulated by the organizational element over which he has jurisdiction. All paper and photographic records, including papers identified in paragraph 30 will be reported. Quantities of records will be expressed in terms of linear feet on the basis of the measurement and conversion formula prescribed in paragraph 28g.

The following data will be reported in memorandum form:

- (1) Records on hand at the beginning of the fiscal year. _____ linear feet
- (2) Records destroyed in current-files area during the fiscal year. _____ linear feet
- (3) Records retired to Records Center during the fiscal year. _____ linear feet
- (4) Records on hand at the end of the fiscal year. _____ linear feet

b. Records Center Report. The Chief, Records Center will submit a report containing the following data in memorandum form:

- (1) Records on hand at the beginning of the fiscal year. _____ cubic feet
- (2) Records received during the fiscal year. _____ cubic feet
- (3) Records destroyed during the fiscal year. _____ cubic feet
- (4) Records on hand at the end of fiscal year. _____ cubic feet

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SECTION III. GENERAL PLAN AND POLICIES

9. General Plan. The records disposition program involves the establishment of a uniform and considered plan for the preservation, retirement, transfer and destruction of records. The formulation of this plan for the disposition of each type or series of records will be expressed in the form of a Records Control Schedule and will provide for:

a. The selective preservation of permanently valuable records reduced to the minimum consistent with all interests of the Agency.

b. The expeditious and systematic removal and disposal of temporarily valuable records, including their reduction to the minimum consistent with the administrative and operating needs of the offices of the Agency.

10. Records Control Schedules. The preparation of records control schedules is a requirement of the General Services Administration Regulations which are issued under authority of the Federal Records Act of 1950. Their preparation and application are an approved means of systematically effecting the preservation, retirement and destruction of records. Form No. 36-269 (to be redesignated as Form No. 139), Records Control Schedule, (See Exhibit 2, page 32) has been developed for use in this Agency and provides the means for implementing the Agency disposition program.

11. General Disposition Policies. The following policies will govern the disposition of records created and acquired by CIA activities and will be carried out in full accordance with the Security Regulations of the Agency.

a. Preservation. Records created or acquired by any CIA activity which are worthy of preservation as a part of the permanent archives of the Agency will be identified and retained as prescribed by this Handbook.

b. Retirement. Records created or acquired by any CIA activity incident to the conduct of its business will be retired to the Agency Records Center in accordance with the procedures outlined in this Handbook.

c. Transfer. When records created or acquired by a CIA activity are transferred to another CIA activity appropriate changes shall be made on the Records Control Schedules (See Sec. VII) maintained in both the transferring and gaining organizational elements. The gaining organizational element will report this transaction to the Records Management Division so that necessary deletions and additions can be made to the Division's copies of the schedules. In addition, records

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proposed for transfer to or from the custody of this Agency to that of another Executive Agency will be accomplished only in accordance with the provision of Title 3, Section 301, of the Regulations of the General Services Administration. The regulation provides that such transfers shall be accomplished only with the prior written approval of the National Archives and Records Service.

d. Disposal. Records created or acquired by any CIA activity incident to the conduct of its business will be destroyed only in accordance with the procedures prescribed by this Handbook.

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SECTION IV. TERMINOLOGY

12. General. Records Management is a field of management of relatively recent development. The terms that have been either "coined" or "applied" in this field, while they are gradually being accepted as common usage, are not standard in their meaning and application. To avoid misunderstanding, definitions of terms used in the text ^{is} provided.

13. Records

a. Statutory Definition. The word "records" is defined by statute as including: All books, papers, maps, photographs, or other documentary material, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal Law in connection with the transaction of public business and preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein. The statute specifically excludes from the definition of the word "records" library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents.

b. Interpretation and Application of Definition. The statutory definition of records does not answer all the specific problems that arise in the process of identifying documentary materials as records, or in determining the disposition of a particular group of records. The difficulty most frequently encountered is in determining whether identical copies of records filed in two or more sets of files are "records" as defined by statute. In this connection, consideration must be given to the reasons for creating the additional copies and the purposes they serve, individually and in relation to other papers with which they may be filed. For example, a copy of Standard Form 50, Notification of Personnel Action, is filed in the official personnel folder; another copy is used by the payroll section for the processing and preparation of the payroll and for audit by the General Accounting Office; and a third copy is maintained in a chronological file by the Personnel Office for audit by the Civil Service Commission. In each instance, the copies cited possess record character and can be disposed of only with specific Congressional authorization. On the other hand, another copy of this form is forwarded to the interested operating office for posting to Optional Form 4b. When this posting is accomplished, the transitory value of the paper is exhausted and the copy should be destroyed immediately as nonrecord material. The interpretation and application of the definition of records as used in the above example is broad in scope, as it is intended to be, for it is meant to include all documentary materials regardless of the existence of other copies. In addition, the definition includes less obvious documentary materials such as sound recordings, film negatives, film and paper prints.

(1) **Source of Documentary Materials.** The definition of records specifically includes those documentary materials both made or received by an agency. Documentary materials acquired by this agency from any source incident to its activities that become possessions of the agency are subject to the disposition policy and procedure prescribed by the statute.

(2) **Status of Documentary Material.** The language "preserved or appropriate for preservation" indicates that the intention that a document serve or not serve as a "record" is an important element in determining whether particular documentary materials are "records" within the meaning of the definition. This language also covers instances where, although the intention that the materials not serve as "records" is clear, the nature of the data the materials contain may make them "appropriate for preservation" and subject to the provisions of the statute.

(3) **Character of Documentary Materials.** The definition exemplified the character or nature of the materials by specifying those materials that contain evidence of the organization, functions, policies, procedures, operations, or other activities. These materials may be of either temporary or permanent value. It is significant that, by interpretation, nearly every conceivable type of documentary material can be brought within the meaning of this language.

(4) **Materials Excluded from the Definition.** The three types of materials specifically excluded from the definition namely: Library and museum materials; extra copies of documents preserved only for convenience of reference; and stocks of publications and of processed documents are, either from their very nature or the intention motivating their creation, not considered to be records. Through the application of the definition as a whole, and particularly the language clearly indicating that the intention that particular documentary materials serve or not serve as a record determines whether the materials come within the definition.

14. Disposition. The term "disposition" as used herein includes any and all means of effecting a change in the custody or the existence of records, such as, the preservation, retirement, transfer, and disposal of records.

a. **Preservation.** The safeguarding of selected records, for permanent retention, necessary to document the organization, functions, policies, decisions, and procedures of the Agency.

b. **Retirement.** Although several connotations have been given to the "retirement" of records, the term as employed by this Agency will mean the removal of records from office space to the Records Center.

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c. **Transfer.** The transfer, or change of custody, of "current" records, from one organizational unit or agency to another, as distinguished from "retirement" of records to the Records Center, is another medium contemplated by the term "disposition" as used in this Handbook. Although the "transfer" of records from CIA to another Agency is highly improbable, it is a means of "disposition."

d. **Disposal.** The term "disposal" as used herein is distinguished from the general term "disposition" by the fact that it pertains only to the destruction of records.

15. **Current and Noncurrent Records.** The records with which the Records Management Program is concerned fall into two classes, "current" and "noncurrent." For the purpose of clarity and to forego any misunderstanding of the terms, "current" and "noncurrent" records are used interchangeably with "active" and "inactive" records. "Current records" are frequently referred to by the activity that accumulates them in the conduct of current business and the retention of the custody of which is necessary for the functioning of the activity. "Noncurrent records" are those records which are no longer frequently referred to by the activity that accumulates them in the conduct of its current business and which must be retained permanently or for a specified period before their disposition is authorized.

16. **Other Terminology.**

a. **Area Records Officer.** An individual who is designated by a Chief of a Major Component and assigned the responsibility for administering a records management program for a specific organizational element.

b. **Chiefs of Major Components.** Includes the Deputy Director (Administration), the Deputy Director (Intelligence), and the Deputy Director (Plans), the Director of Training, the Assistant Director for Communications, and the Assistant Director for Personnel.

c. **Current Files Area.** File space, normally office space, utilized by the office or administrative unit which creates and acquires records.

d. **Cut-off Technique.** The systematic means for periodically terminating a file series to provide for its retirement and/or destruction.

e. **Disposal Standard.** The retention period established and approved in accordance with statutory requirements governing the destruction of records.

f. **Evaluation.** The process of determining the administrative, fiscal, legal, or historical value of records.

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g. Microfilming. The technique of making photographic film copies, in greatly reduced form, of letters, drawings, or other documents in order to reduce the bulk and insure the permanency of the materials.

h. Nonrecord. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications or processed documents.

i. Records Center. The facility established for the receipt, maintenance, servicing, and disposition of the noncurrent records of the Agency.

j. Records Control Schedule. A written plan for the disposition of records. It includes the following information:

(1) An identification of the series of records of each function or organization that should be preserved and a plan for their retirement.

(2) An identification of the series of records of each function or organization that are disposable and a plan for their periodic disposal and/or retirement prior to their disposal.

k. Records Series (File Series). A group of closely related records identified with a specific function and maintained in accordance with a single system of arrangement.

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SECTION V. DISPOSITION SURVEY

17. Objective. A records disposition survey is conducted for the primary purpose of collecting and recording factual information on each series of records. Sufficient and accurate data must be obtained on each records series for their proper evaluation and appraisal in terms of administrative, legal, fiscal, and historical value. The factual information obtained on each series and its evaluation stated in time elements, for its cut-off, retirement and/or destruction, are essential for the preparation of Records Control Schedules.

18. Method of Collecting Data. The preferred method of conducting a records disposition survey is the item by item physical inventory made by the Area Records Officers. To delegate this important step to operating personnel of the various segments of the organizational element is time consuming and the results obtained are often unsatisfactory. To obtain the best results, however, suggestions and comments must be solicited from operating officials for acceptability of proposed procedures prior to the final preparation of the Records Control Schedules.

19. Coverage. For the initial preparation of Records Control Schedules and for the annual review of schedules thereafter, a comprehensive survey must be made of records maintained in all organizational elements. This survey will cover all file series including both record and non-record materials. In addition, all space in filing equipment utilized for purposes other than for the housing of records will be measured in linear feet and recorded. This includes file space reserved for expansion, overnight storage and equipment storage, and for housing other materials not included on the Records Control Schedule (See paragraph 28). This additional information, though not included on the schedule, is necessary for measuring the effectiveness of the schedule and for detecting and controlling filing equipment utilization practices.

20. Preparation. There are three requirements prior to beginning the actual survey necessary for an intelligent and practical approach to the problem, namely: Proper authorization, background data, and assistance.

a. Proper Authorization. Authority for the survey should be obtained by the Area Records Officer from the Chief of the Major Component concerned, or his designee, and an announcement made in the form of an administrative issuance to subordinate elements. Such an issuance should state clearly the objectives of the survey, the name of the Area Records Officer and solicit cooperation and assistance from the operating personnel.

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b. **Background Data.** Secure and study organizational charts, reports, regulations, administrative orders, directives, and controls regarding the activities, functions, and procedures of the organization element.

c. **Assistance.** Secure name of individuals to be consulted in each organizational unit. These individuals should be at such an organizational level that they can speak authoritatively on the administrative value of or need for the records.

21. **Conducting the Survey.** Form No. 36-161 (to be redesignated as Form No. 138), **Records Survey Work Sheet**, (See Exhibit 1, page 31) is the prescribed form for recording the information collected during a records survey. This form may be obtained from the Records Management Division. In order to prepare comprehensive Records Control Schedules and to properly analyze and evaluate the results obtained it is essential that a work sheet be prepared for each records series as outlined below:

a. **Date.** Enter the current date of the survey.

b. **Analyst.** Enter name of the Area Records Officer making the survey.

c. **Office Division, Branch and Section.** Enter the organizational elements down to the unit maintaining the files.

d. **Location.** Enter building name or number and room number.

e. **Name of File.** The title selected for the file series should be descriptive, self-explanatory and consistent with the terminology of the office using and maintaining the file. If applicable, it is desirable to assign the title by which the using office identifies the file series. In other words, the title selected should not be foreign to the users of the file. See paragraph 30 which gives instructions for general categories of files with regard to standard titles prescribed. In addition, subject files will be identified by title in the following manner: "Office Subject File," "Division Subject File," or "Branch Subject File," whichever is applicable. Uniformity in use of names of files is desirable when the same type of file is maintained in two comparable organizational elements. For example: A file designated by title as "Mail Control File" in one Division should be similarly named when found in a comparable organizational element.

f. **Custodian.** Enter name of the custodian or the person who is responsible for the files. Also enter the telephone extension so that problems arising later may be settled by telephone.

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g. Description. This is the most important factor involved in conducting a records disposition survey. The Area Records Officer should obtain answers to questions such as these: What is the purpose or use of the record; where does it originate and to what offices is it distributed; which is the official file copy; how is the record filed; what is its relationship to other records? The reasons for these questions are obvious - they are necessary for a competent appraisal of the records. The importance of accuracy and completeness in this detail cannot be over-emphasized if proper values are to be assigned to records. Therefore, each record series will contain a description including, but not limited to the following:

(1) Description of documents. To eliminate any doubt as to the identification of the file a representative cross-section sampling of the types of documents making up a file series should be recorded. List all form numbers and titles. Record all reports as to source or destination, frequency, and content. Make notations when file contains cables, intra-office memorandums or just correspondence.

(2) Function of the file. Give a brief statement of the specific operation or process from which the file is created. This statement should reflect the use of the file and the purpose the file serves.

(3) Frequency of use. The activity of a file or the approximate number of references made to a file for a specific period is a determining factor for the establishment of cut-off dates and disposition procedures after cut-off.

(4) Arrangement. Record the filing arrangement of the record series. This should be recorded in brief statements such as: "Alphabetically by Surname," "Alphabetically by Subject," "Numerically by Requisition Number," etc.

(5) Inclusive dates. Enter the date (year only) of the oldest document in the series and the date (year only) of the most recent documents.

(6) Extra copies existing. If there are copies of these documents maintained at another file location record that information here. Such entries might be: "Extra copies filed in Branch Subject File," "Extra copies filed in Reading File," etc. If, for instance, the file series being surveyed were the extra copies, with the official or record copy maintained elsewhere, a proper notation might be: "Record copies filed in Official Personnel Folder," "Record copies filed in Office Subject File," etc.

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h. Size of records. Check in appropriate squares the size of the records and enter the linear feet of records in the box provided. Linear feet of records recorded on survey sheets should be the actual measurement regardless of the size of the record. Later, when preparing the Records Control Schedule this footage will be computed in accordance with the table of standard measurements. (See paragraph 28g).

i. Equipment occupied by records. Check in the appropriate square the type of filing equipment housing the records and enter the number of drawers, trays, shelves, etc. utilized.

j. Action recommended. At this point, an official of the organizational unit responsible for the file should be consulted. The official should be one who has knowledge of the value of the file from an operating viewpoint and should be in a position of authority to determine retention periods based on the operating and administrative needs of the office. Since a records disposition survey is conducted primarily for the purpose of preparing a Records Control Schedule, information recorded here will consist of a cut-off procedure, retention time in office space after cut-off, and the overall retention period (disposal standard) for the record series. The retention period, at this point of the survey, is based only on the administrative or operational value placed on the file by the users. This is a preliminary step in the overall evaluation process required in the appraisal of records.

k. Remarks. This space is useful for recording ideas, conversations, comments or other information pertaining to the record series not included elsewhere on the work sheet. Such bits of information often aid materially in the evaluation process or in solving a record problem. An Area Records Officer cannot record too much information about a record series.

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SECTION VI. DISPOSITION CRITERIA

22. General. The analytical process of applying proper values to records in terms of time standards for their retention, of applying cut-off techniques for periodic termination of files, and of applying block disposition procedures to noncurrent files can be accomplished only by a thorough study of each record series surveyed and the careful application of criteria outlined in this section.

23. Evaluation of Records. The evaluation of records in terms of their possible use by the Agency and the Federal Government is an essential preliminary to instituting procedures for their disposition. While the volume of records of permanent value created in any given year is negligible when compared to the total annual accumulation, it is imperative that this nucleus of records of enduring value be identified and preserved. Once these records are identified the residue is of temporary value which will be destroyed now or later, contingent upon when this value diminishes or disappears. In some instances, records of temporary value may be required to be retained for periods of time exceeding the period during which they are used for the conduct of current business because of administrative or legal reasons. These records should be retired to the Records Center for the necessary retention period and ultimate destruction as prescribed in paragraph 35.

24. Permanent Records. Permanent records fall into one or more of four classes, namely: those having administrative value; legal value; fiscal value; and historical value. The Archivist of the United States has described records worthy of permanent preservation as those reflecting: (1) The organization and administrative history of the agency; (2) the policies it followed and the reasons for their adoption; (3) its working methods and results; (4) its specific individual transactions so far as they established a legal status of any kind or as they may be presumed to have a general and continuing interest; (5) the general social, economic or other conditions with which the agency dealt. The maxim: "experience is the best teacher" is a brief but adequate justification and explanation of the basis and necessity for the identification of records of the following types:

a. Administrative Value. The recording of experience in the broad and complex field of administrative management, and of equal importance, the preservation and availability for use of past experiences of trial, error, or success, will frequently provide the means for more sound solutions of current problems. Records worthy of preservation for this purpose are directly dependent upon the degree to which authority is delegated to lower echelons. Broad discretion in policy and procedural matters frequently is delegated to lower echelon activities which makes it necessary to closely examine the functions and responsibilities of an activity, particularly specialized types, to determine the value of its correspondence files, directives files, operations records, and reports files.

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b. **Legal Value.** The evaluation of records from the standpoint of their actual or potential legal value is of extreme importance. Reduced to simple terms, it is the process of determining whether a record, a group of records, or the data they contain, establishes a "legal status," i.e., whether the records effect the rights or liabilities of the United States Government, of military and civilian personnel of the Agency, or of private individuals or corporations that transact business with the United States Government. Among records having legal value are those showing the basis for action, such as legal decisions and opinions; financial and other documents representing legal agreements, such as leases, titles, and contracts; and records of action in particular cases, such as claims papers and legal dockets. These records exist among most of the classes of records described in this section and the importance of identifying them for the purpose of assuring their permanent or long time preservation cannot be overemphasized.

c. **Fiscal Value.** Records of fiscal value worthy of preservation are those which reflect the development, preparation, submission, justification, and adjustment of Agency budgets and selected groups of those which account for the expenditure of funds. Standards established for the retention of records of the General Accounting Office, necessary to account for the expenditure of funds, will provide the guide for retention of similar Agency records. The Agency's unique audit requirements will be the determining factors in the application of these standards.

d. **Historical Value.** Nearly all the classes of records described in a, b, and c above, will prove to have historical research value. The statement of the Archivist of the United States, paragraph 24, is equally descriptive of records worthy of preservation for historical research. In addition to those records that contain data sought in historical research, documents which are in themselves "historical accounts" should be considered for preservation. These documents include, diaries, journals and official histories.

25. Cut-off Technique. To facilitate the disposition of files on an orderly and systematic basis, the termination of file series at regular intervals and the establishment of new files are necessary. This procedure is known as the cut-off technique and permits the destruction, retirement or transfer of files in complete chronological blocks saving many useless hours in screening and servicing records. In applying cut-off techniques one should be aware that records are created primarily for use and not for disposition and any conflict in cut-off procedure should give way to the operating needs. In a word, fit the cut-off procedure to the operating requirement. One of the following cut-off procedures is applicable to any file of the Agency.

a. **Calendar Year Cut-off.** Many file series in the Agency will require a cut-off on a calendar year basis. The procedure is to terminate files at the end of each calendar year and to establish a new file at the beginning of the following year.

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b. **Fiscal Year Cut-off.** Fiscal and accounting series of files fit into the fiscal year cut-off procedure. This procedure is to terminate files at the end of each fiscal year and to establish a new file at the beginning of the following fiscal year.

c. **Case File Cut-off.** Certain categories of files, normally referred to as case files, such as individual personnel folders, project files, contract files, and similar types must be maintained in a current status until the passing of an event. The cut-off to apply to this type of file is to place in a noncurrent file after separation of employee, completion of project, final payment of contract or similar event. The noncurrent file is then terminated periodically, the disposition effected and a new noncurrent file established.

d. **Other Cut-off Periods.** Files may, for various reasons, require cut-off periods of a lesser time than prescribed in paragraph a above. To apply a 1-month, 3-month, or 6-month cut-off procedure at least one of the following factors should be present:

- (1) The filing arrangement is easily adapted to cut-off.
- (2) The file series has relatively short retention value.
- (3) File space is limited and the file series increases rapidly in volume.
- (4) Very little reference is made to files after cut-off.

26. **Block Disposition.** One of the objectives of an economical disposition program is to effect block retirement and destruction of records. To achieve this end, uniformity of retention periods of records in current files area after cut-off is necessary. Generally, all files with a disposal standard of one year or less will be retained in the current files until destruction is effected. Records of permanent value or with a disposal standard of more than one year will be retained in current files area for one year after cut-off and then retired to the Records Center. However, availability of storage space in the current files area must be considered when scheduling such records. It has proven to be more economical to schedule records with standard time limits for destruction and retention in current files area by the use of standard periods of 1-month, 3-month, 6 month, 9-month, 1-year, 2-year, 3-year, etc. If destruction or retirement time periods were not standardized, records disposition activity would soon become unmanageable due to daily destructions and retirements.

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SECTION VII. RECORDS CONTROL SCHEDULES

27. General. Records Control Schedules are the means for implementing the records disposition program. Schedules are prepared from survey work sheets after careful analysis of each record series inventoried. They constitute the nucleus and foundation for the effective administration of both the current and noncurrent records of an activity. The schedule, although used primarily for the purpose of effecting the prompt and systematic retirement or destruction of noncurrent records, also functions as a "finding medium" and an "account" of the location, custody, and disposition of both the current and noncurrent records of an activity. Effective scheduling of records for disposition influences the maintenance of current files by necessitating various procedures for their segregation, arrangement, cut-off, centralization, or decentralization, etc. Experience in the use of Records Control Schedules has firmly established the need for systematizing their installation and application. The policies and procedures designed to obtain the objectives sought in well administered records soon become inoperative unless steps are taken to systematically call attention to the activity having custody of records of the expiration of scheduled retention periods; record the disposal of each series of records when such is accomplished; control and record any change in the location of each series of records; and periodically review the schedule for accuracy and completeness.

28. Preparation of Schedules. The preparation and maintenance, on a current basis, of Records Control Schedules for the records of the Agency is a requirement of the regulations issued under authority of the Federal Records Act of 1950. The responsibility for the preparation of schedules is incumbent upon the Area Records Officers. At least four copies of the schedules will be prepared and will cover all files, record and nonrecord, maintained. The use of Form No. 36-269 (to be redesignated as Form No. 139), Records Control Schedule, and Form No. 36-269A (to be redesignated as Form No. 139a), Continuation Sheet, are prescribed (see Exhibit 2, page 32 and 33). The use of an alternate form is not authorized, except that schedules which have already been prepared on other forms may be used until the next annual schedule review (see paragraph 31), at which time all schedules will be prepared in accordance with this Handbook. These forms may be obtained from the Records Management Division and will be prepared as follows:

a. **Identification of Schedule.** Enter in the space captioned "Office, Division, Branch" the specific organizational element to which the schedule pertains, such as, General Services Office, Records Services Division, Machine Records Branch. Each organizational element down to the Division level will begin on Form No. 36-269 using a Continuation Sheet Form No. 36-269A, for additional pages as required. In general the physical separation of files of an Office should be the determining factor in deciding whether schedules should be identified with units below the Division level.

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b. **Schedule No.** A number will be assigned by the Records Management Division upon approval of the schedule.

c. **Date Prepared.** Enter the date the schedule is prepared.

d. **Approving Official.** Enter in this space the signature of the chief of the organizational element (Branch or Division Chief) to which the schedule pertains. The signature of the Office Chief will be entered on the first page of the schedule which will indicate not only his approval of the schedule for his immediate office (administrative, staff, etc.) but for the entire schedule. This signature should be obtained after chiefs of all other organizational elements of the Office have signed.

e. **Item Number.** Beginning with item number one, list and number each series, starting with the records of the Office Chief and continue consecutively through each organizational unit of the Office. The use of sub-item numbers are permissible when subordinate file series are component parts of an overall file (see Exhibit 2, page 33).

f. **Files Identification.** The precise description of each series of records will be entered in this column. This descriptive data requires the utmost care in its preparation. In general, this data must be sufficient to accurately identify the records and enable a determination of propriety of the disposition prescribed for them. Specifically, each file identification will consist of five elements, namely: The title or name of the file; description of documents of which the file consists; a brief statement of the specific function or operation incident to which the files are maintained; a statement concerning the filing arrangement; and inclusive dates of the file. See paragraph 30 for instructions for general categories of files.

(1) **Title of record series.** Groups of records maintained to serve a specific purpose usually are identified by a name or designation which invariably coincides with the function the groups of records perform. The title selected should be descriptive, self-explanatory and consistent with the terminology of the organizational element using and maintaining the file.

(2) **A listing of several representative documents found in the file, such as, form numbers and titles, titles of reports, office memoranda and correspondence, assists in their identification.** Such identification is essential because these same records may be maintained in another file which serves a different function and may be disposed of after a lesser retention period.

(3) **Function of file.** The administrative or technical operation incident to which the record series is accumulated and the function the record series performs in connection therewith is also essential to the identity of the records. In other words, this statement should answer: "What operation or function created this record and for what purpose is this file used?" An example of the function of a file accumulated in every organizational element of the Agency in connection

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with security regulations requiring receipts for classified documents might logically be stated, "These documents reflect the receipt and transmission of classified documents and are maintained as a control for security purposes."

(4) **Filing Arrangement.** An adequate statement of the filing arrangement will be entered next in the files identification. Examples of such statements are as follows: "Alphabetically by Surname;" "Alphabetically by Subject;" "Numerically by Requisition Number;" "Chronologically;" etc. This information, in addition to being useful in the analysis of a file, is invaluable in detecting the inadequacy of the filing system and cut-off and retirement procedure.

(5) **Inclusive dates.** Enter the date (year only) of the oldest document in the series and the date (year only) of the most recent document. The effective application of the schedule can then be measured by a comparison of the cut-off and disposition procedure with the inclusive dates of the file.

g. **Volume.** Enter the volume in terms of linear feet for each file series. Fractions of linear feet will be expressed in tenths by use of the decimal point, e. g. 1.5, 20.3, etc. The volume for a file series measuring less than one-tenth foot will be entered as .1. Files which have been retired to the Records Center will not be included in the volume reported on a Records Control Schedule.

(1) The following standard table of measurements is established for computing linear feet of records. Quantities of card records, maps and other odd size material not included in this table will be computed in cubic inches and cubic inches in turn converted to linear feet at the ratio of 1008 cubic inches to 1 linear foot. This formula is based on one linear foot of letter size files. (8" x 10 $\frac{1}{2}$ " x 12").

Bookcases	3.0 linear feet to shelf
Map case	3.0 linear feet to drawer
Filing Cabinets (leg. or ltr.)	2.0 linear feet to drawer
3" x 5" card file	.2 linear foot per running foot
5" x 8" card file	.5 linear foot per running foot
4" x 6" card file	.3 linear foot per running foot
3 1/4" x 7 3/8" card file (Mach. Rec.)	.3 linear foot per running foot

h. **Type of Filing Equipment.** Enter in this space the type of filing equipment in which each file series is maintained. For example: 4 drawer legal safe, 4-drawer letter safe, 4-drawer legal cabinet, 16 tray visible file, etc. This information will be used by operating officials, Area Records Officers and the Records Management Division to detect inefficient filing equipment utilization practices.

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1. Disposition Instruction. Entries in this column will be made only after careful appraisal and evaluation of the records series (see Section VI). The column will consist of three elements and will be entered in the order given below:

(1) Preface each instruction with the word "Permanent" or "Temporary" whichever is applicable.

(2) The second element consists of the phrase "Disposal not authorized" if the records are of permanent value. Records of temporary value will cite a disposal standard, e.g. "Destroy after 3 years," "Destroy 2 years after audit," "Destroy upon separation of employes," etc.

(3) By application of cut-off procedures as prescribed in paragraph 25, give complete instructions for the cut-off and retirement and/or destruction of the files. These instructions may be indicated as "Cut-off at end of each calendar year; destroy 1 year thereafter," "Cut-off at end of each calendar year; transfer to the Records Center 1 year thereafter," "Place in noncurrent file upon liquidation of obligation; transfer to the Records Center 1 year thereafter."

29. Material Excluded from Schedule. Certain types of material, although of a record character in form and appearance, because of the purpose or use they serve, are not of a record character and will not be reported on a Records Control Schedule. This material is identified as follows:

- a. Blank forms maintained for supply purposes.
- b. Publications maintained for supply purposes.
- c. Reproduction materials, such as stencils, hectograph masters, offset plates, etc.

30. Instructions for General Categories of Files. The following instructions will govern the entry of information on schedules relating to the title and disposition instruction of the files listed below:

a. Extra copies of Agency publications, publications of other Government agencies, commercial publications and similar publications which are collected and maintained in a separate filing system for reference purposes are considered as nonrecord material. Examples of such publications are Agency Regulations, Agency Handbooks, Army Regulations, Civil Service Regulations, trade journals, magazines, etc. On Records Control Schedules, these materials will be identified by title as "Reference Publications File." The disposition instructions will read "Temporary. Destroy when superseded or obsolete or no longer needed for reference purposes."

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b. Library material such as law books, medical books and similar types of books used for reference purposes but which have continuing value, both in monetary value and for reference purposes, will not be destroyed. On Records Control Schedules these books will be identified by title as "Library Material." The disposition instructions will read "Permanent. Return to Library when no longer needed for reference purposes."

c. Extra copies of papers preserved only for convenience of reference are of a nonrecord character. Examples of such papers are those maintained in a reading or chronological file. On Records Control Schedules, these papers will be identified by title, such as "Convenience Files (Reading)," and as an additional element of the files identification column, a statement will be made as to the location of the official record, e.g. "Record copies filed in Division Subject File," etc. The disposition instructions normally will provide for their destruction one year after cut-off period. However, a shorter period of retention is authorized and recommended.

d. Extra copies of technical materials, such as motion pictures, sound recordings, still photographs, maps, etc. are of nonrecord character if one or more identical copies are retained. On Records Control Schedules this material will be identified by title as convenience files followed by the type of technical material in parenthesis, e.g. "Convenience Files (Sound Recordings)," "Convenience Files (Maps)," etc. The disposition instructions will read; "Temporary. Destroy or salvage when superseded or obsolete or when no longer needed."

II. Submission and Periodic Review of Schedules. Immediately after preparation of initial schedules, three copies (original and two carbons) of each Records Control Schedule prepared will be submitted to the Records Management Division for review and final approval. Each year thereafter, schedules will be reviewed by Area Records Officers and revised schedules submitted to the Records Management Division in the same manner as initial schedules. In many instances, the annual revision will consist only of changes in the linear feet and inclusive dates reported on the schedule. However, additional categories of records will have to be added to the schedules as new functions develop or are reassigned to an organizational unit. Also certain records may be dropped from a schedule because of changes in functions and organizations.

a. Additions to Schedules. Additional items may be added to schedules by the use of decimal points. A new item would be placed in its logical sequence by organizational element and the new item number would be assigned by adding a decimal point. For example, the first new item falling between items 11 and 12 would be assigned item number 11.1.

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b. Deletions from the schedules. Series of records which have been discontinued and have been removed from an office either through retirement or destruction will be deleted from the schedule. Revised schedules will account for all item numbers but those records for which disposition has been accomplished will have only the word "Deleted" entered in the column adjacent to the item number.

32. Review and Approval of Schedules. The Agency responsibility for the review of Records Control Schedules is assigned to the Records Management Division.

a. This review is intended to ensure that:

(1) All recommended actions have the concurrence or certification of the appropriate operating officials.

(2) The retention periods are sufficient to meet the normal administrative, legal and fiscal requirements of the Agency.

(3) Records recommended for disposal possess no interest to other elements of the Agency.

(4) Records of continuing value are appropriately identified and that instructions for their protection are adequate.

(5) Recommended disposals are covered by existing legal authorizations.

(6) The purposes for which schedules were prepared are being attained.

b. Records of temporary value for which specific disposal authorizations have not been established through the General Records Schedules or specific submissions to the Congress will be described on Standard Form No. 115, "Request for Authority to Dispose of Records" by the Records Management Division. After concurrence and coordination through the Security Office, the General Counsel and other Offices as necessary, a representative of the Archivist of the United States, previously cleared by the Agency, will review the proposed disposals and make recommendations to the Congress. Depending upon the action taken by the Congress, adjustments, if any, will be made to the Records Control Schedule and approved for application.

33. Distribution of Approved Schedules. After final approval of the schedule, the Records Management Division will retain one copy, return a copy to the appropriate Area Records Officer, and forward one to the Records Center. Upon return of the approved copy of the schedule, the Area Records Officer will make appropriate changes, if any, to his retained copy which will be subdivided by organizational elements of his area for distribution for administrative and operational use in effectively establishing and maintaining the area records disposition program.

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CONFIDENTIAL**SECTION VIII. RETIREMENT AND DESTRUCTION**

34. Application of Approved Schedules. Since the ultimate goal in the scheduling of records is to establish a systematic plan for the retention, retirement and destruction of records, it is essential that the schedules, after approval, be installed and put into operation. An effective and simple method for controlling the application of approved schedules involves the use of a "disposition tickler file." This file is established by using a 3" x 5" or 5" x 8" card to list each item appearing on a Records Control Schedule. The cards are filed chronologically by action date and serve as a reminder to take specific actions at specified times. The establishment and continued use of this file is assurance that authorized actions are being accomplished at the prescribed time.

Although the Records Control Schedules are used primarily to effect the retirement or destruction of records, the proper scheduling of records also influences the maintenance of current files by necessitating various procedures for their segregation, arrangement, cut-off, centralization, or decentralization. The effective utilization of filing equipment will also be achieved by the timely and periodic disposition of records through the application of these schedules. Requests for filing equipment should be reviewed by the Area Records Officer who can determine to what extent the space and equipment needed can be provided by the prompt removal of scheduled records and can recommend disapproval of the request if schedules have not been fully applied. This is a very effective instrument of control and often makes possible important economies.

35. Retirement of Records.

a. Preparation of Records Retirement Request. Form No. 60-52 (to be redesignated as Form No. 140), Records Retirement Request, shown as Exhibit 3, page 34, will be used in requesting retirement of records. The form will be prepared in quadruplicate and forwarded to the Chief, Records Center. For appropriate action by the Records Center and for future reference and identification it is important that each item be completed and the information be accurate. In addition, it is important that only records of equal retention value be listed on the same request. The identification should be made as follows:

(1) From. Designate the Office, Division and Branch in the appropriate block.

(2) Brief Description. Describe the records being retired. Each record series will be listed as a separate item regardless of the volume of the records. Describe the use of the material.

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Avoid the term "miscellaneous" as it does not adequately identify records for appraisal purposes. Indicate if original or carbon copies and whether the material is printed or processed. Designate the inclusive dates of the material in years. Do not place detailed listing of records in this space. See part "f", of this paragraph for the preparation of such listings. Indicate whether calendar or fiscal year. In the event there is an approved schedule covering the records proposed for retirement, the necessary description will be taken from the schedule and will include the schedule and item numbers, record series title and description, and the inclusive dates.

(3) General Information. State the highest security classification of the records. Place an "X" in appropriate block for type of equipment used and indicate number of drawers occupied. Indicate the approximate reference activity of the records per month.

(4) Location of Records. Insert the building name or number and room number where the records are located, also the name of the records custodian. The Area Records Officer will sign in the appropriate block.

(5) The reverse side of the form will be completed by the Records Center.

b. Submission of Records Retirement Request. When the forms are completed they will be transmitted to the Chief, Records Center. Upon receipt at the Records Center a job number will be assigned to the retirement request and arrangements will be made for the delivery of shipping containers and labels as well as the eventual transportation of the records. When retirement has been effected, a receipted copy of Form No. 60-52, completed by Records Center personnel, will be returned to the Area Records Officer for his reference and convenience.

c. Shipping Containers. The shipping containers to be used are corrugated, fiberboard boxes measuring 15" x 12" x 10" and can be used for the storage of either legal or letter size material. Each container will hold one cubic foot of records. These containers will be supplied to organizational units upon request.

d. Packing Procedures. Records should always be packed in the order in which they have been arranged and maintained in the cabinets. The exception to this rule may occur in cases where some disorder exists in the original arrangement that can be corrected at the time of packing. Boxes should be numbered consecutively, beginning with number one, for each job. As each box will hold one cubic foot of records, six boxes will hold the contents of one letter size cabinet, eight boxes will be required for one legal size cabinet.

e. Records Storage Box Labels. Form No. 11, Records Storage Box Label, is to be prepared and affixed to the end of each box in the upper left corner and will identify the material in the box as shown in Exhibit 5, page 36.

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f. Shelf list or inventory. To facilitate the reference service on the retired records, Form No. 60-52A (to be redesignated as Form No. 110a), Records Shelf List will be prepared identifying the contents of each box. (See Exhibit 4, page 35). The description of the records should be adequate enough to locate material in each individual box. For example, only the first and last folder in each container need be listed in alphabetical, numerical or chronological file series. The list or inventory is normally made during the packing process. One copy will be forwarded with the records at the time they are retired to the Records Center.

g. Accessibility of retired records. Records retired to the Records Center are physically accessible to persons authorized by the organizational element retiring the records. Upon receipt of records in the Center, steps are taken to establish adequate reference control over the material received. A telephone call to the Records Center will assure that the records are made available for reference, either in the search room at the Center, or if necessary the records will be delivered to the requestor by courier. Urgent requests will be given immediate attention and dispatched by special courier.

36. Destruction of Records

a. In current files area. There are certain records, because of their short retention value, which are authorized for destruction in the current files area. The destruction of these records shall be accomplished as authorized by the approved Records Control Schedules and in full accordance with the Security Regulations of the Agency. A record of all such destructions will be maintained for reporting purposes as required (paragraph 8).

b. In Records Center. Records in the custody of the Records Center are also retained or destroyed at the authorized time in accordance with approved Records Control Schedules. When the retention period of temporarily valuable records has expired, Records Center personnel will prepare Form 36-115 (to be redesignated as Form No. 111), Notification of Disposal Action, (see Exhibit 6, page 37). On this form the records will be described, and authority cited for their destruction. The form will then be forwarded to the appropriate Area Records Officer for information and action. This procedure provides operating officials an opportunity for final review and approval of disposal action. The Area Records Officer will sign the original copy of the form and return it to the Records Center and retain the duplicate.

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37. Protection of Retired Records

a. Responsibility of the Records Center. The Records Center operates on the theory that its interest are best served when the interests of the source of records is best served. As it pertains to permanently valuable records, this principle requires that no records shall be rearranged or removed except with specific, detailed instructions by the Office from which they were accessioned. The principle has gained acceptance in the Archival profession for the following reasons:

(1) It serves to protect the integrity of records in the sense that their origins and the processes by which they came into existence are reflected by their arrangement. Agency records are accumulated in connection with official actions, and as the actions of the Offices are related to each other through function and administrative organization, so the records are most intelligible when they are kept together under the identity of the Office or the subdivision of an Office by which they were accumulated and in the general order given them by the Office or Division.

(2) It serves to make known the character and significance of records; for the subject matter contained in individual documents can be fully understood only in context with related documents. If records are arbitrarily separated from their context or removed, their real significance as documentary evidence may be obscured or lost.

b. Responsibility of Area Records Officers. The principle of the protection of source should also be applied by personnel responsible for packaging records preparatory to their retirement. Often, the temptation is great to remove and hold in Office space the more valuable material in a records series. Such removal destroys the integrity of the records as a group and must be avoided.

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EXHIBIT 1

SECRET

Approved For Release 2005/11/21 : CIA-RDP70-00211R000300110018-6

RECORDS SURVEY WORK SHEET		DATE 7 December 1953
		ANALYST John Doe

OFFICE General Services	DIVISION Records Services	BRANCH Machine Records	SECTION	LOCATION Curie Hall 1088
NAME OF FILE Employee Record Card		CUSTODIAN J. Smith, Ext. 3333		

DESCRIPTION (Function of files, value, frequency of use, form numbers and titles, arrangement, inclusive dates, and other descriptive data.)

Consists of OF 4b, "Employee Record Card," and other cards used for the same purpose. Cards contain recorded personnel actions, notations of training courses attended, and other personnel information.

File reflects all personnel information on employees of the Branch and is used in direct supervision and personnel administration of the Branch.

Filed alphabetically by surname. (1946 to 1953)

Used approximately 100 times a month.

No reference made to cards after separation of employee. Information of record value is essentially duplicated in Official Personnel Folder.

EXTRA COPIES EXISTING:

SIZE OF RECORDS	<input type="checkbox"/> Legal	<input type="checkbox"/> Letter	<input type="checkbox"/> Other-Specify:	LINEAR FEET 1
	<input type="checkbox"/> 3"x5"	<input checked="" type="checkbox"/> 5"x8"		
EQUIPMENT OCCUPIED BY RECORDS	<input type="checkbox"/> Safe	<input type="checkbox"/> Lock	<input checked="" type="checkbox"/> Other-Specify:	NO. OF DRAWERS 2 trays
	<input type="checkbox"/> Legal	<input type="checkbox"/> Letter	16-tray visible file	
ACTION RECOMMENDED	<input type="checkbox"/> Destroy	<input type="checkbox"/> Retain	Other-Specify: See remarks	RETENTION PERIOD
	<input type="checkbox"/> Schedule	<input type="checkbox"/> Transfer		See remarks
	<input type="checkbox"/> Microfilm	<input checked="" type="checkbox"/> Other-Specify:		

Remarks:

Destroy card when employee is separated from the Agency. Upon intra-Agency transfer, transfer card with employee.

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Approved For Release 2005/11/21 : CIA-RDP70-00211R000300110018-6
 RECORDS CONTROL SCHEDULE

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FR 000300110018-6 53

DATE PREPARED
 7 December 1953

OFFICE, DIVISION, BRANCH
 General Services Office, Special Services Division

APPROVING OFFICIAL
 John D. Doe

ITEM NO.	FILES IDENTIFICATION (Title, description, arrangement, and inclusive dates)	VOLUME (Linear Ft)	TYPE OF FILING EQUIPMENT	DISPOSITION INSTRUCTIONS
1.	<p>Division Subject File</p> <p>Consists of memoranda, reports, and other documents pertaining to personnel, budget, training, workloads, production and related subjects. These records are accumulated for planning and administrative purposes in carrying out the functions of the Division. Filed alphabetically by subject.</p> <p>(1951-1953)</p>	2.5	4 drawer legal safe	Temporary. Destroy after 3 years. Cut off at end of each calendar year; transfer to the Records Center 1 year thereafter.
2.	<p>Reproduction Requisition File</p> <p>Consists of Form No. 36-2, Reproduction Requisition (pink copy), Form No. 36-77, Work Ticket, work order, delivery ticket, control card, and related documents accumulated in the course of processing and controlling a job until completed. Filed numerically by job number.</p> <p>(1953)</p>	10.0	4 drawer letter safe	Temporary. Destroy after 1 year. Cut off at end of June and December of each year; transfer to the Records Center 6 months thereafter.
3.	<p>Reference Publications File</p> <p>Consists of copies of Agency publications, commercial publications and publications of other Government agencies collected and maintained for reference purposes. They contain such publications as Agency Regulations, Agency Handbooks, Army Regulations, trade journals, magazines, etc. Filed categorically by source.</p> <p>(Current)</p>	7.2	3 shelf book cases	Temporary. Destroy when superseded or obsolete or no longer needed for reference purposes.

EXHIBIT 2

ITEM NO.	FILES IDENTIFICATION (Title, description, arrangement, and inclusive dates)	VOLUME (Linear Ft)	TYPE OF FILING EQUIPMENT	DISPOSITION INSTRUCTIONS
4.	<p>Employee Record Card File</p> <p>Consists of OF 4b, Employee Record Card, and other cards used for the same purpose, containing recorded personnel actions, training courses attended and similar notations. They are used in the direct supervision of Division personnel. Filed alphabetically by surname. (Current)</p>	.2	16 tray visible file	Temporary. Destroy upon separation from the Agency; upon intra-agency transfer, forward to gaining office.
5.	<p>Convenience File (Reading)</p> <p>Consists of extra copies of communications sent out of the Division and retained as a ready reference. Record copies filed in the Division Subject File. Filed chronologically. (1952-1953)</p>	.3	4 drawer legal safe	Temporary. Destroy after 1 year. Cut off at end of each calendar year; destroy 1 year thereafter.
5.1	<p>Telephone Maintenance and Service Files</p> <p>Consists of records which reflect the installation and maintenance of telephone service for the Agency and used for certification to Fiscal Division of bills submitted for payment.</p> <p>a. Requests from various offices for telephone installation, moves, private lines and TX. Filed chronologically. (1952-1953)</p> <p>b. Retained copies of Form No. 36-65, Telephone Service Order, prepared by this office and forwarded to the telephone company as work orders. Filed chronologically. (1952-1953)</p>	1.2	4 drawer legal safe	Temporary. Destroy after 1 year. Cut off at end of each fiscal year; destroy 1 year thereafter.
		1.6	4 drawer legal safe	Temporary. Destroy after 1 year. Cut off at end of each fiscal year; destroy 1 year thereafter.

EXHIBIT 2

RECORDS RETIREMENT REQUEST		TO BE ASSIGNED BY CIA RECORDS CENTER JOB NO. <u>54-72</u>	
[Submit in original and 3 copies. One copy will be returned to the originating office when material is accessioned by CIA Records Center.]		FOR REFERENCE SERVICE ON RECORDS TRANSFERRED TO STORAGE CALL EXT. 8311 AND REFER TO ABOVE JOB NUMBER.	
TO: Chief, Records Center.		DATE <u>3 July 1954</u>	
FROM: <u>General Services</u> <small>(Office)</small>	DIVISION <u>Special Services</u>	BRANCH	
APPLICATION IS MADE FOR RETIREMENT OF THE RECORDS DESCRIBED BELOW			
BRIEF DESCRIPTION OF FILE SERIES (title, inclusive dates, arrangement and function of files). LIST RECORDS ON FORM 60-52A.			
<p style="margin-left: 40px;">Records Control Schedule 92-53, item 2.</p> <p style="margin-left: 40px;">Reproduction Requisition File</p> <p style="margin-left: 40px;">Consists of Form No. 36-2, Reproduction Requisition (pink copy), Form No. 36-77, Work Ticket, work order, delivery ticket, control card, and related documents accumulated in the course of processing and controlling a job until completed. Filed numerically by job number.</p> <p style="margin-left: 80px;">1 July 1953 through 31 December 1953</p>			
<input type="checkbox"/> INVENTORY LISTING ATTACHED		OR <input type="checkbox"/> INVENTORY INCLUDED WITH TRANSFER	
GENERAL INFORMATION			
CLASSIFICATION OF RECORDS Confidential		FILE EQUIPMENT OCCUPIED BY RECORDS <input checked="" type="checkbox"/> LETTER <input type="checkbox"/> OTHER (specify) <input type="checkbox"/> LEGAL <u>6</u> NUMBER OF DRAWERS	
APPROXIMATE REFERENCE ACTIVITY PER MONTH Two calls per month			
LOCATION OF RECORDS			
<input type="checkbox"/>	ROOM	RECORDS CUSTODIAN	SIGNATURE OF AREA RECORDS OFFICER
Approved For Release 2005/11/21 : CIA-RDP70-00211R000300110018-6			

25X1

RECORDS SHELF LIST			JOB NO.
<i>NOTE: Prepare in duplicate and submit original to Records Center</i>			51-70
OFFICE	DIVISION	BRANCH	TOTAL NO. OF CONTAINERS
General Services	Special Services		12
CONTAINER NO.	DESCRIPTION AND DATES		
1	00531 - 00622		
2	00623 - 00684		
3	00685 - 00710		
4	00711 - 00748		
5	00749 - 00764		
6	00765 - 00796		
7	00797 - 00832		
8	00833 - 00856		
9	00857 - 00885		
10	00886 - 00901		
11	00902 - 00946		
12	00947 - 00982		

EXHIBIT 5

Number of Individual Box →

Number of total boxes →

Organizational Breakdown →

BOX NO.	2	BOXES	JOB NO.	54-72
OF	12		DIVISION	Special Services
OFFICE			SECTION	
General Services				
BRANCH				
FILE SERIES				

← Job Number assigned to retirement request by the Records Center

← Title of file

Reproduction Requisition File

STARTS 00623

ENDS 00648

EXCEPTIONS

RECORDS STORAGE BOX LABEL

FORM NO. 14 REPLACES FORM NO. 36-288 WHICH MAY BE USED. (35)

1 JUL 54

~~Confidential~~

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~~EXHIBIT 6~~

NOTIFICATION OF DISPOSAL ACTION

TO : Area Records Officer, General Services Office Date: 5 January 1955
FROM : CIA Records Officer
SUBJECT: Request for Concurrence in Records Disposal.

1. Your concurrence is requested for the disposal of the following records transferred to the CIA Records Center under Job Number 54-72.

2. Description:

**Reproduction Requisition File
Arranged numerically by job number
1 July 1953 - 31 December 1953**

3. Authority for disposal of the above records:

**Records Control Schedule 92-53
Item 2, which states that the subject records
shall be destroyed after 1 year.**

4. Please sign and return original to CIA Records Officer.

James Smith

Approved: John Doe
AREA RECORDS OFFICER

Subject records destroyed

19 January 1955

DATE

James Smith

CIA RECORDS OFFICER