(Adapted from a presentation by [_____] Records Management Staff, given at the Records Officers' Conference, 4-5 November 1959.)

STAT

I'm sure most of you recall these words of Rudyard Kipling:

> "I keep six honest serving-men,
> (They taught me all I knew):
> Their names are What, and Why and When
> And How and Where and Who.

Today, with apologies to Mr. Kipling, but in keeping with the public speaking principle of covering but three main points, I should like to cover the What, Why, and How of Records Management. Specifically, I should like to answer these questions: What is Records Management? Why is it needed? and How can your records management program be made more effective.

I wish to answer these questions so that with a better understanding of Records Management you can do two things:

1. Measure the needs of your office for a more effective Records Management Program, and ...

2. Determine how the Records Management Staff can help you meet these needs.

To develop an understanding of Records Management, permit me to draw an analogy.

The water in our mighty rivers is essential. But at times these waters have gone out of control; the rivers have overflowed their banks; waste and destruction have resulted.

Paperwork too, is essential. Indeed it is the life blood of our agency. But paperwork too, if it remains uncontrolled, can become a wasteful, unmanageable torrent.

Civil engineers have, out of necessity, developed flood control programs. Management engineers, equally out of necessity, have designed a paperwork control program. We call this program Records Management.

We've stopped just cussing paperwork. Now we're damming it also.

In drawing this analogy, I use the words "control" and "dam" reservedly, for fear that some of you will interpret Records Management as a work stoppage - a no progress action.

To the contrary, as I shall demonstrate, Records Management is an action program, it produces results.

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The term control simply refers to an organized approach, tailored according to certain standards and tested practices, You will look upon this approach as the integration into a going program of all the elements needed to manage paperwork from its creation to its cremation.

So let's take a few moments to look at the various elements that go into the building of a paperwork flood control project.

To manage paperwork at its source, you should direct attention to your forms, reports and correspondence. While different standards and approaches are applied to managing each of these record making elements, I've grouped them together for brevity, and since in general they have these common goals:

1. Improve the quality of paperwork

2. Eliminate and prevent unnecessary paperwork, and

3. Reduce the cost of creating paperwork

To manage the keeping of records, your program should cover

1. Filing supplies and Equipment

2. File locations, systems and classification plans

3. Document processing and control, and

4. Vital Records

This coverage will:

1. Reduce costs for supplies, equipment, and office space.

2. Increase filing and finding efficiency

3. Speed up the processing and locating of documents

4. Ensure continued operations in the event of a disaster.

To manage the disposition of records, your program should include:

1. Active Records Control Schedules on all records, and

2. Use of Records Center facilities.

By an "Active Records Control Schedule" I am referring to a current, approved schedule (or inventory, if you wish) of your records holdings - a schedule which provides the legal authority to destroy records, or to retire them to the Records Center. The word "Active" also implies that such a schedule is being applied.

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The Records Control Schedule therefore is the key to records disposition,
which in turn

1. <u>Save Office Space</u>... by removing from your office those
records no longer needed in daily operations.

2. <u>Save reference and filing time</u>... by separating inactive
records from active material.

3. <u>Reduce filing equipment costs</u>... by preventing the purchase
of additional equipment or by releasing equipment for use in
other components, and

4. <u>Identify permanently valuable records</u>... those records of
archival value to the Agency.

Thus, in the time permitted, I hope I have shown what Records Management is.
To summarize a moment, let's get back to the dam.

These, therefore, are the basic elements of paperwork that should be covered
if a Records Management Program is to be effective. The absence of any seg-
ment of the dam would result in dollar leaks as assuredly as a hole in the
bottom of the Hoover Dam would drain Lake Mead. I'm sure I can illustrate
this more vividly in covering point two of this talk, "Why is Records Manage-
ment needed?"

We have two reasons for a Records Management Program ▓▓▓▓ - a legal one
and a moral one.

The legal one stems from a history of attempts at records management dating
back to the late 1800's. Prior to World War I four separate congressional
committees attacked the mounting records problem. Some of their recommen-
dations are commonplace today. They concerned the use of typewriters and
carbon paper, subject and decimal filing, and the disposal of useless files.

Unfortunately, these early commissions brought about only transitory results.
World War I, the public support years during the depression, and World War II,
increased Federal records holding to a point that demanded drastic action.

The military services took the lead. Of these, the Navy Department made the
greatest strides. The Navy plan brought all of the elements of records man-
agement, that is, record making, record keeping, and records disposition
within the scope of a coordinated program. This concept is still advocated
today.

I would say, therefore, that, notwithstanding the accomplishments of other
agencies, some of which pre-dated Navy's, the Navy Department deserves much
credit for the success of Records Management in Government today.

* Cockerell, Taft; Dempsey, Keep.

In particular, Navy's accomplishments lead to the recommendations of the First Hoo~~Approved For Release 2005/07/25 : CIA-RDP70-00211R000500050008-9~~ent of PL 754, referred to as the Federal Records Act of 1950.

The Federal Records Act is CIA's legal authority for a Records Management Program. The Act is also our legal obligation, for the General Counsel, in October 1950, rendered the opinion that the Agency shall comply with the Federal Records Act to the fullest extent possible.

The Federal Records Act charges the head of each Federal Agency with the responsibility for: "establishing and maintaining an active, continuing program for the economical and efficient management of the records of the agency."

This Act, therefore, together with the General Counsel's opinion, and the Agency Records Management Regulation, 43-100, form the foundation for the Agency's Records Management Program.

As I said, the Agency also has a moral reason for practicing records management. Our moral obligation, and the obligation of each Government agency, was brought forcefully home in 1954 when the Second Hoover Commission reported that each year the Government spends $4 billion to handle 25 billion pieces of paper, and that $225 million dollars of this amount could be saved by greater emphasis on paperwork economy.

But what about ourselves. Do we fit into the picture drawn by the Hoover Commission. Most emphatically: "Yes, we do!"

There are those, however, who may think otherwise, who feel that CIA is different, and that its records problems can't be compared with those of other agencies. This kind of statement is sometimes offered with the hope that we can turn our backs to the problem.

To these people, I say, we are different. And this difference makes records management even more appropriate to CIA than it is to many other agencies.

Obviously, our security measures and the nature of intelligence activities generate paperwork which would be considered abnormal in other agencies. Moreover, we must retain our records for long, sometimes undetermined periods if we are to carry out our intelligence mission.

Look at the effect that this has had on our record volume. Since 1952 our records volume has almost tripled. Fortunately, increased records management activity in the past four years has brought about a marked decline in the rate of increase.

But the Agency is still creating each year some 200 million pages of record material. (And heaven only knows how much we receive from the outside.)

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No wonder Mr. Kirkpatrick, ~~████████████████~~, was quoted as saying:
"There are times when ~~██████████████████████████████████████~~ could
be to bundle up most of our paper and drop it on them."

As I stand here, realizing that every minute some 1600 pieces of paper
are being ground out in the Agency, I begin to feel there is some value
in long winded speeches and drawn out conferences. At least the captive
group is not back at the office creating any more paperwork.

Unquestionably, the overall need for records management is great. Let's
take a few moments, then, to examine this need according to the main ele-
ments of records management. I would like to do this by first showing you
what has been done, and then what's to be done.

In 1954, almost 1100 forms were under control. Since then about 2,000 new
forms have been brought within the scope of the Forms Management Program.
Simple addition would give you an inventory today of 3,100 forms. However,
the number of forms under control today is less than 2,000. The 1,100 or
so forms not included in today's inventory are the ones obsoleted through
forms analysis.

This is Forms Management in action, not in theory. A continuous cost-reduction
effort, aimed at putting well-designed, efficient-to-use forms in the hands
of our people while seeing to it that unnecessary forms are avoided or
eliminated.

This slide also shows another result of Forms Management. As we have in-
creased our forms analysis activity, the average annual usage per form has
decreased. Prior to 1955 the average annual usage per form was over 19,000
copies. Since then, with more forms being brought under control, the annual
usage per form has averaged less than 13,000 copies. At todays inventory,
this reduction represents the avoidance of printing, handling, and stocking
almost 12 million forms for the current year.

But let's look at the other side of the picture.

There's a big job still to be done in forms management. In addition to
providing continuous service on the forms already under control, there is
the staggering task of rounding up and analyzing the thousands of "bootleg"
forms that the do-it-yourself addicts have developed. We estimate that
there are at least 20,000 of these.

In Reports Management, unquestionably, there is more ahead than behind us.
However, we have made some progress.

In late 1955 and early 1956, with the help of Operating Offices, we inven-
toried and analyzed all the reports in the DD/S and DD/I areas. We dis-
covered several interesting things.

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1. In the DD/S and DD/I areas, [   ] man hours per year are spent [on reports...] this total was spent on reports that were transmitted solely within Operating Offices.

2. [   ]

3. Reports management produces results. The one-shot survey in '55 and '56 eliminated [   ] annual man hours of reporting.

4. The survey pointed out that if reports management is to continue successfully, that is, as a paperwork control technique, it must be applied to every administrative reporting requirement in every component in the Agency.

Now this is a big order, and we've never had the manpower for a program of such scope. But as somebody once said: "Life by the yard is hard, but by the inch it's a cinch." So instead of biting off the entire problem, we can approach it step-by-step.

One approach, and it appears to be the one most logical and feasible, is to examine the reporting requirements within only one support area at a time, but to do this from top to bottom within a given organization. Of course, the larger the organization, the more effective the study. We could, for example, start with a support function such as training, and trace the effect of its reporting requirements on all Agency components. Simultaneously, a screening system would be established to ensure that all proposed requirements for reports are reviewed for necessity prior to being levied. I would also propose that all approved reporting require- ments be assigned a symbol to indicate their approved status and to identify them for possible future study.

I feel that this step is essential. There's no point in rounding up a bunch of mavericks unless you brand them so that you can check up on them later on.

The third element in the management of record making is Correspondence Management.

In this field, too, we have made encouraging progress--some through friendly persuasion and promotion--some through official prodding. As an example of the latter, a revised manual on correspondence style and procedures was published in the handbook series.

But we've discovered that pride of authorship plays such an important role in the correspondence field, that the friendly persuasion approach pro- duces better results than regulations. On this premise, we have promoted rather than regulated such practices as:

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1. The use of buck slips, telephone calls, personal contacts, concurrences and approvals on basic correspondence and other means to eliminate the need for correspondence.

2. The elimination of nonessential copies.

3. The use of form letters and pattern paragraphs to handle routine repetitive-type correspondence.

4. The use of judgment in approving a letter for signature, putting aside whims and personal preferences, and

5. The technique of writing to express, not impress.

Obviously, these are practices that can't be regulated. So we have promoted them by publicizing and making available booklets by General Service Administration such as Plain Letters, Form Letters, and Guide Letters, as well as pamphlets, articles, and fliers written by the Records Management Staff.

In addition, to cover the field fully, we are constantly on the alert for new labor saving devices to provide our Agency typists and stenographers with the best tools to do their jobs. Incidently here we get quite an assist from the gals themselves with their employee suggestions.

Turning now to what's to be done in Correspondence Management, we find that our future program will be mainly a continuation of past activity, with greater emphasis in some areas.

For example, a U. S. Government Correspondence Manual has been developed under the auspices of the General Services Administration. CIA was privileged to be represented on the working committee that developed the manual. All Government agencies are being asked to comment on this manual and to adopt it in whole or in part. For CIA to carry out its obligation we should form a correspondence style board to pass judgment on the manual. This will be an excellent opportunity for us to reappraise our own Agency correspondence practices in light of what the leading correspondence practitioners in Government have recommended.

There are also many opportunities to reduce the cost of repetitive routine correspondence by developing form and guide letters. And frankly, many of the form letters presently used could stand some polishing, particularly those, like the bootleg forms, that have been run off on ditto and mimeograph machines by the do-it-yourselfers.

And as long as the manufacturers continue to come out with new labor saving devices, we shall continue our search for better tools for the secretary and typist.

With Correspondence Management I have thus covered the need for Records

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Management in the record making field; that is, the need for Forms Manage-
ment, Reports ng
therefore into the field of record keeping.

It has been said that a records management program that does not control
the utilization of filing supplies and equipment is doomed to failure. I
can believe this.

Consider for a moment what the Agency situation would be today if the condi-
tions of about 1952 had been continued. At that time 54 types of folders
were being purchased by the Agency. Today we stock only nine types. Seven-
teen types of safes were being stocked; now we carry only six.

Also, in the early days of the Program, poor or little use was being made
of specialized files. Today, with more experience in this field, we are
able to advise officers on the advantages and disadvantages of using the
many types of mechanized files, as well as the recent substitute for filing
cabinets--open shelf filing equipment. Our recommendations for shelf
filing alone have payed dividends of over $200,000 in equipment and space
savings.

The establishment of uniform filing systems and/a file classification plan
for administrative files also has payed off handsomely. By providing a
basic guide, the Agency Handbook for Subject Filing, and by working with
various offices, we have promoted the conversion of almost 200 files to
the improved uniform system.

Simultaneously with improving their filing systems, many offices have also
given their document control procedures a new look. Gone from many offices
is the cumbersome log book, replaced by a modern 3" x 5" ticket system.
The system begins at a registry where at one writing the registry clerk
makes enough tickets to provide copies for her needs, as well as for the
logging and cross-referencing needs of each subordinate control point.
We are also in the process of refining a system, developed last year, which
combines into one operation the several steps required to prepare a courier
receipt, log out a piece of mail, and address the envelope.

While developing and promoting these many and varied improvements in record
keeping, we have not lost sight of the world situation. Essential to the
continuance of every office in the event of an emergency are the vital
records being set aside, protected, and kept up-to-date. I shall comment
on this program only to the extent that it has shown steady improvement in
the quality and currency of collections on deposit, and in the operations
of the Vital Records repository. Only recently we combined the Records
Center and the Repository, and further streamlining is underway.

Well, so much for what's been done in managing record keeping. What about
the job ahead. Let me say that while a great deal has been accomplished,

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.we are far from being out of work.

Our review of requirements for filing supplies and equipment must be continued to prevent the purchase of expensive specialized equipment which cannot be justified. On the other hand, with office space at a premium and manpower costs high, we must not overlook any advantageous use of modern labor and space saving equipment.

There is still much to be done to standardize and modernize filing systems. We know of [   ] that should be converted to the Agency subject-numeric filing system. In addition, there is the wide open field for developing standard file classification plan for analysts' files.

The extension of modern document controls, too, needs promoting. [   ] [   ] this is a major task in itself.

And finally, our vital records must be kept in a constant state of readiness, but at a cost that is within reason. This calls for a continuing appraisal of the records on deposit and a search for more efficient ways to carry out the Program.

I've discussed the need to manage record making and record keeping. Now, what about record disposition?

Earlier, I showed you this slide and mentioned that, while the volume of records in headquarters has continued to rise, the rate of climb has decreased in the past four years. We credit this decline primarily to records disposition.

Since inception of the Agency Records Disposition Program in 1952, over 85,000 cubic feet of inactive records have been removed from headquarters offices. Had these records remained in offices, they would have occupied space which could have accomodated over 1,000 employees. In addition, the retention of these records in office space would have called for the purchase of over 10,640 additional pieces of filing equipment costing more than $2 3/4 million. We have conservatively estimated that the total dollar benefit from the Records Disposition Program to date is almost $3 million. Not included in this estimate are personnel benefits that must have accrued in those offices that have had fewer records to store and maintain.

We feel that this is a pretty impressive record, and that all who have contributed should be justly proud. But before we get too self assured, let's look at the problem ahead.

We're really faced with two problems: First, existing within present space in the face of an increasing number of records, and secondly, (which is more serious) finding space in the new building for the entire accumulation of records.

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Of course, the space problem is just one result of having too many records. There are also the increased personnel and equipment costs incidental to maintaining this hoard of paper, and even more serious, the detrimental, bogging down effect this mass can have on our operations.

With records disposition I have thus covered the need for records management through the full cycle of paperwork. Now, I wish to put a question to you. Is the records management program in your office an effective one in terms of meeting the need for controlling the full cycle of paperwork? Or asked another way: Are there any dollar leaks in your paperwork control dam?

If this talk has called to light any weaknesses in your program, then our time has been well spent. But to stop here would be committing a major sin in our business. That is, to point up a problem but offer no solution. So for a few moments let's probe the last point I have planned to cover: How can your program be made more effective.

I think our approach should be based on a premise developed by Mr. Robert Schiff, of the National Records Management Council. He said: "The records management force should be as effective as the forces organized to produce paperwork."

I would also add another premise on which to base our approach. "Offices responsible for creating paperwork should share equally in controlling it."

If you will accept these two premises, I think you'll agree that they place upon each Operating Office and upon you as a Records Officer a direct responsibility to carry out an effective Records Management Program. And as the first premise implies, an effective program will depend on an effective records management force.

I'm not sure of Mr. Schiff's definition of a records management force, but I would interpret it to be the entire organized effort in an office to manage its paperwork and records. And if I were responsible for a records management program in an Operating Office, I'd apply the "T" formula to develop this force.

The first "T" would be top management's backing of the program by directions and actions.

My second "T" would be the temperment of the people in the office towards records management. I would establish a climate of acceptance in which records management would thrive.

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My third "T" would be my talent for records management. If I were not
fully qualified, I'd see to it that I became qualified. The metropolitan
area offers many opportunities for acquiring professionalism in the
records management field. There are excellent courses at American Uni-
versity and at the Department of Agriculture Graduate School. Also, the
Records Management Staff will be glad to provide on-the-job training.

My fourth "T" would be time. That is, I would convince my boss that I
needed sufficient time to do a creditable job.

And last, my fifth "T" would be "ties." I would strengthen the ties:

1. Between myself and the operating people. I would let them
   know where and how they could get help.

2. Between myself and my Operating Official. I would let him
   know my plans, my problems, and my accomplishments.

3. Between myself and the Records Management Staff.

I would strengthen all three of these ties, knowing that each one is
needed if we are to meet the challenge of records management.