

2 October 1961

MEMORANDUM FOR: Deputy Director Plans

SUBJECT : 1961 Inventory of Clandestine Services
Classified Records

1. This report is based on a measurement of all of the records held at headquarters by all components of the Clandestine Services. The identification and measurement was done by or under the direction of the various Records Management Officers who followed standard instructions, a set plan, and a standard format. The approach, therefore, was consistent, identification and measurements were reasonably precise, and the data is sufficiently accurate for all statistical purposes.

2. Total holdings in principal categories are shown by the following table in linear feet by groups of organizational units:

| <u>UNITS</u> | <u>OFFICIAL CS FILES</u> | <u>OPERATIONAL AUXILIARY FILES</u> | <u>ADMINISTRATIVE & MANAGERIAL</u> | <u>MISCELLANEOUS CLASSIFIED</u> | <u>TOTAL</u> |
|------------------|------------------------------|--|--|-------------------------------------|--------------|
| Misc. Staffs | 20.0 | 599.3 | 200.0 | 482.0 | 1534.3 |
| Principal Staffs | 303.0 | 5099.0 | 487.5 | 705.0 | 6594.5 |
| Staff Divisions | 323.5 | 3294.8 | 842.5 | 767.8 | 5228.6 |
| Area Divisions | 2284.7 | 6619.1 | 2365.1 | 2942.1 | 14211.0 |
| RID | 4019.0 | 11237.0 | 528.0 | ----- | 19388.0* |
| TOTAL | 6950.2 | 26849.2 | 4123.1 | 4896.9 | 46956.4 |

*INCLUDES RID/ARCHIVES RECORDS

3. Further data, comparisons, discussion, and recommendations relative to general records problems deriving from or depicted by this inventory are contained in the tabs. The most significant point which emerges is that, while the Clandestine Services are geared to a centralized records concept, the official system embraces only 29% of its documents and 70% of its cards. The virtues of such control as the official system embodies are indicated by the fact that total holdings of "official" paper have decreased. On the other hand, total holdings of auxiliary or "unofficial" paper have increased substantially. This fact argues for control, in some wise, of auxiliary paper and, since the CS staff elements deal almost exclusively in such paper, increased attention to basic records management principles by these elements is strongly indicated. Conversely, it can be stated that RID and the Area Divisions are moving into an era of refinement in techniques, approaches, and procedures which will provide for better utilization and maintenance of official paper.

4. On the score of records disposition, OS headquarters has held its own, so to speak, in that disposition of records has equalled receipts during the past four years. Total holdings in 1958 and in 1961 are approximately the same although there are significant variations in category, type, and location of records. In 1958, 11.3% of OS records were at the Records Center. This year, 30.9% are located there and 69.1% are held in the headquarters buildings. We have moved 15,299 feet of records, or the equivalent of 1,912 four-drawer safes, out of expensive office space and into cheaper storage.

5. There are certain other notable characteristics of OS records, 1961, which stem from an appraisal of the inventory figures by functional type of record. We have over 2½ million document control cards resulting from a plethora of document control systems, and there are 3.4 million index cards outside of the RID central index, most of which lead to operational documents of one kind or another. There are 1,870 feet of personality data (125,000 dossiers) again outside of RID supervision and control. The 1,832 feet of chrono files indicates an abiding lack of faith in the file systems themselves which is further reflected in extensive duplication of documents, files, and entire collections among and between desks, branches, divisions, staffs, and RID.

6. As a concurrent purpose, this inventory exercise was to accomplish the immediate destruction of all the obviously useless accumulations in any and all safes, in part at least, as preparation for the move to the new building. Debatable materials in the same category were to be earmarked for later follow up and decision. On the first count the Divisions were most cooperative. EE turned in 60 safes; WH, 31; NE, 25; FE, 17; and SR and WE, the equivalent of 12. For the rest, this first-round elimination of the accumulation of years remains to be done, or conversely, we must continue to live with this considerable residue in the more limited confines of the new space. The neatness, order, and arrangement of the contents of OS safes in general was not impressive. On the physical side, the Pandora's Box effect was all too prevalent. This alone--the formidable aspect of the contents of many safes--is an apparent and substantial reason for reluctance to manage records. Many a clerk loses interest in records problems when faces with the records themselves.

7. The overall perspective of CS records is one of rampant individualism tempered by common experience and common problems. The official system is limited in concept and essentially superficial in its application, leaving many possibilities for the effective use and utilization of official paper untouched. Outside of this system, in the auxiliary file area, units and individuals have obviously proceeded for years according to their own lights in order to produce the duplicate files; numerous, incongruous collections, and the awkward procedures with which we now contend. Considering records management as simple order and discipline--a place for everything and everything in its place--the problem presented by the Clandestine Services has scarcely been touched. The record, an important tool of the profession, is only somewhat accessible and, in many of its aspects, more a hindrance than a help.

8. The tabs which follow present the inventory data in various ways in an effort to facilitate consideration of the problems which the statistics pose. Certain general conclusions and recommendations are combined at Tab VIII. They are not specific and have not been worked out in detail because this report, after all, represents a parochial "records" point of view and clearly needs to be considered in a larger context. Should these views be accepted, however, any particulars required can be readily submitted.

DD/P Records Management Officer

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TABS:

- I - CS Records Terminology
- II - Component Totals & Change in Total Holdings, 1960-1961
- III - CS Records Holdings in Major Categories by Unit
- IV - Official CS Files -- Subject-Project
- V - Card Indices
- VI - CS Records Disposition Activities (FY 1958-FY 1961)
- VII - CS Headquarters Records (Statistics)
- VIII - Recommendations

TAB

MISSING PAGE

ORIGINAL DOCUMENT MISSING PAGE(S):

TABS I II III IV V VII

TAB VI

CS RECORDS DISPOSITION ACTIVITIES

Although the total of records on hand has not changed significantly from 1958 to 1961, the fact that an appreciable quantity of them has been shifted to Records Center storage is a clear gain since the storage and maintenance costs are considerably less and the remainder, at headquarters, becomes more manageable. The total on hand at headquarters is encouraging when viewed in this light and also when compared directly with the total held in 1958. While the input rate is largely a guess, it is not increasing rapidly as might be expected and, at the one point where it can be measured accurately (in RID), it clearly demonstrates increasing discrimination on the part of the field stations. However, the rate of destruction and the rate of retirement both tend to decrease slightly, and combined, they will probably converge with input during the coming year. All of these figures are affected in one way or another by special circumstances, such as the "Cunningham purge" in 1958, and a spate of retirement by RID in 1960. Taking these factors into account as best we can however, the overall trends are not unfavorable and the totals themselves are not unmanageable at present.

The traditional device governing disposition of records is the Records Control Schedule which operates in terms of file types rather than by individual documents or any other designation of records. Government and Agency disposition authorizations are expressed in such terms. In the few instances where this device has been tried in the CS it has turned out to be a paper exercise and failed in its purpose for the simple reason that there is no comprehensive file system against which the schedule can operate. From the employee's point of view, any listing of general types of CS files fails to relate to the actual content of the safes. They cannot be expected to stop and figure it out so they end up ignoring the schedule. After all, records disposition is initially a matter of deciding what to keep. With this decision at hand, disposition becomes a procedural and scheduling problem which can be managed. Without it, we can only retire the stuff and eventually build another warehouse. The trend is illustrated by CS performance. In the beginning we ignored the Records Center facility and refused to participate. We are now an eager customer and rapidly filling up our third of the available space.

There is no way to arrive at any quantitative standards for CS records as there is for commercial concerns and in some government agencies. The commonly used standard of "feet per person" doesn't apply and we haven't had measurements of CS records long enough to strike any averages by function or by unit. We are left with the standard we have always had; available space, hitherto unlimited but due to be sharply curtailed in the new building. In the absence of a comprehensive filing system, discipline, and all the rest, this is the most practical way to view the matter because it is realistic and consistent. Disposition, like filing, is left to the discretion of individuals who perform, in this regard, in a remarkable uniform manner and seldom dispose of anything they really need. One consequence of this essential lack of system should be pointed out. It means that the small quantity, which is officially considered to be vital, must be managed sheet by sheet, and this becomes significant in terms of cost. According to GSA, the average cost of processing classified government documents for final disposition is \$1.25 per cubic foot. The DD/P cost for processing a similar quantity works out to be something more than \$187.00. This disparity could be rationalized on the basis of our unique mission were it not that efficiency and effectiveness in records, as in commerce, go hand in hand with costs.

The following table gives the totals, as indicated for the four year period, for which we have useable figures.

CS RECORDS DISPOSITION ACTIVITIES
FY 1958 - FY 1961

| <u>Records</u> | <u>FY 1958</u> | <u>FY 1959</u> | <u>FY 1960</u> | <u>FY 1961</u> |
|---|----------------|----------------|----------------|----------------|
| Received | 11,237 | 11,466 | 11,700 | 11,934 |
| Destroyed | 14,573 | 12,503 | 12,040 | 9,035 |
| Retired | 2,596 | 3,062 | 5,318 | 3,382 |
| On Hand at Headquarters End of FY | 44,068 | 39,967 | 34,309 | 34,218 |
| Accumulated at Records Center at End of FY | 5,596 | 8,191 | 12,444 | 15,299 |
| Total Records on Hand | 49,664 | 48,158 | 46,753 | 49,517 |

Attachment:

Graph - CS Records Disposition Activities
(Cubic Feet)

TAB VIII

RECOMMENDATIONS

The missing element in the CS records system, in point of both system and procedure, is that of functional (or staff) participation. The acceptance of a functional responsibility clearly involves responsibility to keep records on those subjects unique to the function from which doctrine and operational direction derive. A logical derivative of this responsibility is that of codifying experience for the benefit of the operators or somehow seeing to it that the function is implemented at the highest possible level of standardization including the use and disposition of the functional record. Finally, of course, in their own interests as well as that of overall efficiency, the functional units should cooperate in preparing and implementing procedures in order to service both action and functional interests in the same documents. Virtually none of this happens in the Clandestine Services. The "official CS records system" contemplates the possibility but does not enforce it with the result that two-thirds of our records are uncontrolled and "unofficial" and, what is worse, their proper role and purpose is undefined.

The foregoing report has ignored many accomplishments in the records field in order to emphasize weaknesses and depict the consequences of the present approach to the problems posed by six miles of headquarters records. This approach is limited in both scope and depth, and the remedy, if such is desired in the light of this report, is to increase the scope and intensify the effect of the system by taking in, so to speak, administrative paper, reports paper, miscellaneous operational paper and, above all, staff paper as such. This can be done without disturbing our present concentration on personality data but it must be accomplished by the elements which are charged with the primary responsibility for the functions and purposes of the paper which is omitted from present controls.

This then is the purpose of the following recommendations; to refine and increase the effectiveness of the present "official system" and to systematize the CS approach to the remainder of its records.

RECOMMENDATION #1 (see Tab IV, paragraph 3)

Require that appropriate functional units prepare and publish instructions pertaining to the reporting, filing, maintenance, use, and disposition of the record on:

| | |
|------------------|--------------------------------|
| FI Projects | IO Projects |
| Liaison Projects | Operational Support Projects |
| CI Projects | Commercial Enterprise Projects |
| CA Projects | |

RECOMMENDATION #2

Require each staff to initiate and participate in the development and implementation of operating instructions covering the file systems and paper processing related to their functional interests. (E.G., operational reporting and operating instructions for making name traces, processing covert approvals, clearances, and name checks.)

RECOMMENDATION #3 (see Tab III, paragraph 2 and Tab IV, paragraph 4)

Assign responsibility for managing the present CS official file system to Chief, RID. RID responsibility at present is confined to the workings of RID itself and does not extend to the participation of divisions and staffs in the official records system. Logically, from the standpoint of responsibility and as a practical matter considering who is best fitted to do the work, RID should pick up where the Records Handbook leaves off and publish all the procedures required to fill the need for guidance in this area.

RECOMMENDATION #4 (see Tab IV, paragraph 2)

Instruct the staffs to participate in conceiving and developing a revised CS subject filing system to provide for inclusion of management papers and to place responsibility for classifying, maintenance, and disposition at the point of use. Specific action to be taken as follows:

- a. Charge each staff with development of the appropriate file subject headings to cover paper related to their functional areas of responsibility. (E.G., Foreign Intelligence and Security Services, and the Illegal Apparat of the Communist Party.)

b. Assign to DDP/RMO the task of collaborating in and coordinating the staff effort with the end objective of producing an official CS subject file handbook in which the classification plan will permit expansion or contraction to meet the varying volume and subject requirements of the several components requiring files on the same subject.

c. Transfer responsibility for subject classification and filing this material from RID to the action component.

RECOMMENDATION #5 (see Tab V, paragraph 2)

Authorize the DDP/RMO to develop and issue a standard mail control procedure for adaption to the individual requirements of the respective components. This procedure will establish the minimum records needed to meet both security and internal requirements for logging, control, and reference requirements.

RECOMMENDATION #6

Require Chief, FI (through Chief,) to develop the criteria and instructions for the establishment, maintenance, and disposition of Reports Officer card, reference, subject, and chrono files.

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RECOMMENDATION #7 (see Tab V, paragraph 3)

Require Chief, CI to establish and publish criteria for the maintenance of operational card indices outside of RID, covering card content, format, and disposition.

RECOMMENDATION #8 (see Tab III, paragraph 4)

Require SSA/DDS, with the assistance of the Agency Records Management Staff, to develop a program for installation of a uniform subject file system throughout the CS Support Staffs and to develop and administer an administrative records control schedule for all CS administrative paper.

RECOMMENDATION #9

Authorize the DDP/RMO to undertake a review of the entire crypto-pseudo process and establish a standard procedure for assignment, file maintenance, and control.

It is realized that these recommendations, in the aggregate at least, go considerably beyond the normal province of records management. This is inevitable because the records situation of a given organization is a consequence of its management attributes, and because paperwork systems are not a thing apart. So, too, with solutions. If responsible officials will determine the role which they want their records to play, records management can so arrange and then revert to its proper and pedestrian place.