.CENTRAL INTELLIGENCE AGENCY

RECORDS MANAGEMENT PROGRAM

STATUS AS OF 31 DECEMBER 1954

OGC Has Reviewed

RECORDS CREATION   RECORDS MAINTENANCE   RECORDS DISPOSITION

MANAGEMENT STAFF
RECORDS MANAGEMENT DIVISION

CONTENTS

WHY THE PROGRAM IS NEEDED

The Agency has a legal and moral obligation within limits of
security provisions to comply with records management legisla-
tion. (General Counsel Opinion of 2 October 1950, Exhibit A).

An even stronger argument in favor of compliance is our need
for records management. Of all the Federal agencies, CIA
stands to gain most through records management.

- Our security measures and the nature of intelligence
  activities increase record volume and add to the cost
  of creating, handling, storing, and disposing of
  records.

    ✓ Much of our business must be handled in writing
      rather than by phone. Dispersal of buildings
      increases this problem.

    ✓ Requirements for clearances, controls, authori-
      zations, approvals, coordination, etc. add to
      the record volume.

    ✓ Dependency upon other agencies for overseas
      support multiplies paperwork.

    ✓ Sterility requirements increase stationery costs.

    ✓ Large record holdings were inherited from our
      predecessors.

    ✓ A greater part of our records are vital for long
      periods of time.

    ✓ Efficient reference systems are a must to provide
      information without delaying the intelligence
      process.

    ✓ Our safe-type cabinets cost $238--almost five
      times as much as the usual type used by most
      agencies.

    ✓ We must maintain our own records center.

- A large and ever increasing volume of records is the re-
  sult of our records creation and retention peculiarities.
  In fact, more records are being created and acquired, and
  held in costly office space, than are being retired or
  destroyed.

WHY THE PROGRAM IS NEEDED (CONTINUED)

● In FY 1953 we procured 2,878 correspondence file cabinets but only destroyed and retired records equivalent to 318 cabinets. In FY 1954 the ratio was 2,787 correspondence cabinets to 946 retired and destroyed.

● The volume of office records has risen steadily despite increasing records disposition activity. Slightly over 6,000 pieces of equipment were needed to file current records in 1950. Today almost 22,000 are required.

● Present filing equipment in Headquarters was procured at a cost of 2 1/3 million dollars. 9,697 correspondence cabinets are included in the inventory. Total Headquarters equipment for current records rests on floor space valued at 1/4 million dollars.

WHAT IS BEING DONE ABOUT OUR RECORDS PROBLEM

We have established an Agency-wide Program covering records creation, records maintenance, and records disposition. The Program is administered on a decentralized basis by Area Records Officers serving the major components of the Agency. Overall Program direction and staff guidance is provided by the Records Management Division. (Exhibit B)

We have publicized records management through...

- An orientation program for Area Records Officers. (Exhibit C)

- Publication of the Handbook "Records Management Program Guide." (Exhibit D)

A new records center is under construction.

In Calendar Year 1954 the total savings were $357,373 realized from activity in all aspects of records management as reported on the following sheets.

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FORMS MANAGEMENT

Promoted forms management by distributing informational
and promotional material. (Exhibits E and F)

Improved Program administration and reduced operating costs.

- Revised standards for preprinting security classifica-
tions on blank forms to simplify printing, storage,
issuing, and handling procedures.

- Revised the forms numbering system.

- Eliminated one functional file. Consolidated the
material of two others to provide a complete vital
materials file of forms.

- Published an Agency forms index.

- Redesigned the request form and improved procedures for
submitting, reviewing, and approving requests for forms.

- Defined and promoted standards for printing, procuring,
storing, issuing, and utilizing forms. The results...

  ✓ Standard sterilization practices.

  ✓ Greater utilization of other Government forms.

  ✓ Direct distribution of new or revised forms to
  Building Supply Officers.

  ✓ Conservation of supplies of forms.

  ✓ 45% reduction in number of requests for reprints.

Provided review, analysis, design and requisitioning services
covering 301 new forms, 447 revisions, 481 reprints, and the
elimination of 129 forms in calendar year 1954.

Reduced the average annual form usage from 18,698 copies per
form in 1953 to 11,878 in 1954 for a total reduction of
576,172, despite a 53% increase in the number of active forms
since January 1953.

Revised the format and improved the reporting procedure for
Clandestine Services and Office of Operations information
reports. Saved $8,120 in printing costs and substantial but
unevaluated savings in preparation and processing time.

REPORTS MANAGEMENT

Developed and distributed the promotional pamphlet, "An
Introduction to Reports Management." (Exhibit G)

Produced the following general guides for installing and
operating area reports management programs...

● Sample Office Notice Inaugurating a Reports Manage-
ment Program (Exhibit H).

● Sample Office Regulation for Operating a Reports
Management Program (Exhibit I).

● "Analyzing Requirements for Administrative and
Management Reports" (Exhibit J).

Provided the Logistics Office and the Office of the Comp-
troller with specific program guides.

CORRESPONDENCE MANAGEMENT

Established a one-time preassembled carbon and tissue set
(Letterex) as a standard stock item and promoted its use
throughout Headquarters (Exhibit K). Over two million sets
were used in nine months effecting material and labor
savings of $9,017.

Launched work on a correspondex of administrative requests
and reports for the use of Headquarters administrative
personnel. Over a hundred cases (reporting requirements,
requests pertaining to security or personnel matters, etc.)
have been described and indexed. Where necessary, sample
memorandums, reports, and pattern paragraphs are being keyed
to the index.

Completed first draft of a glossary of 300 administrative
terms to be issued as an Agency handbook.

Developed the proposed Handbook <u>Correspondence Style and
Procedures</u> which will...

- Promote labor saving practices not presently described
  in Agency guides.

- Provide a more usable training and desk reference.

- Result in faster training and increased production by
  eliminating present confusion over formats and styles.

Developed the introductory pamphlet "Correspondence Man-
agement." (Exhibit L)

Launched a program to provide guides to improve the writing
ability of Agency personnel. Distribution of the following
pamphlets is being coordinated with the Office of Training...

- "What is Readability," an evaluation of an article
  from <u>Readers Digest</u> to show the qualities of readable
  and interesting writing.

- "Modern Writing Styles," a small glossary of hackneyed
  expressions common to Agency correspondence, with
  suggested substitutes.

Analyzed Office of Personnel entrance on duty pattern letters
and recommended improvements to nine types. Standards
applied to these are now being used by the Office of Personnel
to improve 100 other similar types. Recommendations resulted
in an average reduction of 20% in letter content and in
improved public relations.

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RECORDS SYSTEMS

Developed and coordinated a handbook to provide a standard
system for classifying and filing correspondence records.
The system has been installed in ten offices. Benefits
from this uniform system...

● Centralized training of file personnel.

● Transfer of personnel without training.

● Faster and more complete reference services.

● Cut-off dates for retirement of records.

Established equipment and supply standards for filing corres-
pondence records. (Exhibits M and N) The results...

● Reduced from 54 to 6 the number of types of folders
  stocked.

    ✔ Official personnel folders costing only 6¢ are
      now serving as well as those which formerly
      cost 75¢.

    ✔ Reduced the average cost of other folders from
      7.5¢ to 4.2¢ saving $11,210 in 1954.

    ✔ Saved $6.20 in safe cabinet filing space for
      every 100 standard folders used instead of
      pressboard folders.

● Reduced the types of correspondence cabinets stocked
  from 17 to 6.

● Recommended the use of five drawer instead of four
  drawer cabinets saving $7,500 in space and equipment.

● Saved $1,896 by reviewing purchase orders and recom-
  mending use of standard equipment.

Promoted the use of portable desk trays for overnight storage
of working papers. (Exhibit O) Procurement of 1,400 trays is
now in process. Estimated saving in safe space is $24,500.

MICROFILM PROGRAM

Reviewed 16 projects and established a complete inventory of equipment resulting in substitutions of more suitable equipment and utilization of idle equipment for a saving of $3,358. Survey of equipment is continuing.

Reviewed 32 requisitions for microfilm equipment and supplies for total savings of $5,692.

Conducted a comparative operational test of two new cameras. Results will be helpful in assigning cameras for field use.

VITAL MATERIALS PROGRAM

Established or revised ten Office vital materials schedules, assuring timely and complete deposits. Adequacy and current condition of the program are reflected by deposits during calendar year 1954 as follows...

- Documents - 135 cubic feet or approximately 237,000 sheets of paper.

- Tabulating Cards - 2,497,954

- Film - 2,994 reels representing approximately 6,257,000 sheets of paper.

Revised the inventory and accounting system for control of vital materials to provide...

- More positive and faster means of accounting for deposits and withdrawals.

- Reduction in the number of inventory pages.

- Elimination of hand stamping of security classifications.

- Reduction in size of the inventory form for more convenient filing.

MAIL CONTROL SYSTEM

An intra office mail control system has been developed
and installed in one major office. The system...

- Expedites tracing and locating correspondence
  in process.

- Provides a follow up on unanswered corres-
  pondence.

- Serves as a log and record of actions taken.

- Serves as a finding media for filed corres-
  pondence.

RECORDS DISPOSITION

Conducted surveys in 12 Offices which resulted in...

- Reductions in requirements for office space, filing equipment, and file personnel through the continuing transfer of inactive records to the Records Center.

- Disposition plans covering 19,007 cubic feet of records equivalent to 2,375 file cabinets.

Arranged for the transfer of 576 cubic feet of records from two agencies to CIA. These records were needed for operational reference and research purposes.

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RECORDS CENTER OPERATIONS

Received, maintained, serviced and destroyed inactive Agency records with benefits as follows:

- Received 7,491 cubic feet of records, equivalent to 936 safe cabinets valued at $222,500 and 7,100 square feet of office space valued at $17,750.

- Disposed of 1,457 cubic feet of records, equivalent to 182 safe cabinets valued at $43,316.

- Serviced requests for 89,292 records.

As of 31 December 1954, 17,151 cubic feet of inactive records, equivalent to 2,144 safe type cabinets valued at $510,272, were stored in the Records Center.

Evidenced the need and promoted the construction of a new records center scheduled for occupancy in February 1955.

WHAT'S LEFT TO BE DONE

We still have much to do in Headquarters and in the Field.

Bootleg forms, inefficient in design and use and reproduced expensively, outnumber controlled forms by approximately 20 to 1. Based upon 1954 experience in controlling 1521 forms, an estimated saving of two million dollars can be realized by bringing all forms under control.

Controls to eliminate and prevent nonessential administrative reporting have not been established. Techniques for improving reporting systems and the content of reports have not been used to the fullest extent.

The possibility of cutting costs through substitutes for dictated correspondence, indexes to repetitive-type correspondence, eliminating nonessential copies, and improving the writing ability of Agency personnel has only been partially explored.

Simplified mail control systems are needed.

Headquarters-wide adoption of the subject-numeric system and other filing standards is yet to be accomplished.

Only an estimated 40% of the Agency's records are covered by records control schedules. Accordingly, many of our inactive records are yet to be scheduled for removal from high cost office equipment and space to economical Records Center storage. Disposition experience in 16 components reveals that from 9% to 90% of records retained can be considered temporary. The overall average is about 54%.

To sum up, there is still much to be done in all areas of records management, to improve our records and to balance records creation and acquisition with records retirement and destruction.

A

AGENCY GENERAL COUNSEL OPINION

2 OCTOBER 1950

COMPLIANCE WITH PROVISIONS OF LAW PERTAINING TO
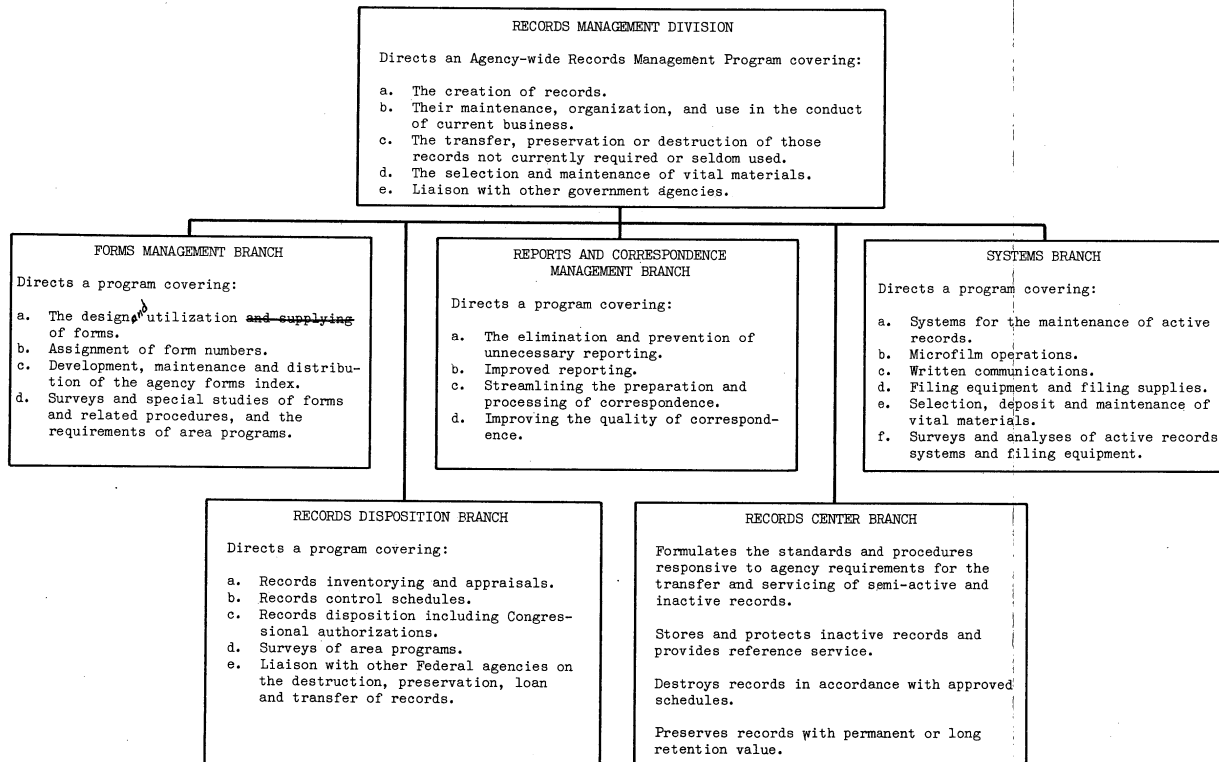FEDERAL RECORDS

"1. THE CENTRAL INTELLIGENCE AGENCY <u>MUST COMPLY WITH
THE RECORDS DISPOSAL ACT</u>, INSOFAR AS IT DOES NOT
CONFLICT WITH THE PROVISIONS OF PUBLIC LAW 253.

2. THE CENTRAL INTELLIGENCE AGENCY <u>SHOULD COMPLY WITH
PUBLIC LAWS 152 AND 754 WHENEVER POSSIBLE</u>, EVEN
THOUGH EACH SPECIFICALLY EXEMPTS CIA FROM ITS PRO-
VISIONS. HOWEVER, IF SUCH COMPLIANCE WOULD RESULT
IN THE UNAUTHORIZED DISCLOSURE OF INTELLIGENCE
SOURCES AND METHODS, PUBLIC LAW 253 MUST BE
FOLLOWED.

3. THE CENTRAL INTELLIGENCE AGENCY <u>SHOULD COMPLY WITH
EXECUTIVE ORDER 9784 WHENEVER POSSIBLE</u>, ALTHOUGH IT
DOES NOT REQUIRE DISCLOSURE OF CONFIDENTIAL INFOR-
MATION WHICH WOULD ENDANGER THE NATIONAL INTEREST OR
LIVES OF INDIVIDUALS. CONSEQUENTLY, NO RELIANCE
UPON PUBLIC LAW 253 SEEMS NECESSARY.

4. PUBLIC LAW 253 PROVIDES THAT THE DIRECTOR OF CENTRAL
INTELLIGENCE "SHALL BE RESPONSIBLE FOR PROTECTING
INTELLIGENCE SOURCES AND METHODS FROM UNAUTHORIZED
DISCLOSURE." <u>IF THE DIRECTOR DEEMS COMPLIANCE WITH
ANY EXISTING LAW WILL RESULT IN SUCH DISCLOSURE, NO
COMPLIANCE IS NECESSARY</u>."

MANAGEMENT STAFF
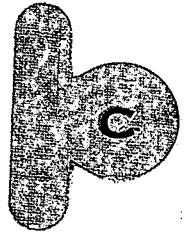**RECORDS MANAGEMENT DIVISION**
September 1954

RECORDS MANAGEMENT DIVISION

Directs an Agency-wide Records Management Program covering:

a. The creation of records.
b. Their maintenance, organization, and use in the conduct of current business.
c. The transfer, preservation or destruction of those records not currently required or seldom used.
d. The selection and maintenance of vital materials.
e. Liaison with other government agencies.

FORMS MANAGEMENT BRANCH

Directs a program covering:

a. The design, utilization and supplying of forms.
b. Assignment of form numbers.
c. Development, maintenance and distribution of the agency forms index.
d. Surveys and special studies of forms and related procedures, and the requirements of area programs.

REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH

Directs a program covering:

a. The elimination and prevention of unnecessary reporting.
b. Improved reporting.
c. Streamlining the preparation and processing of correspondence.
d. Improving the quality of correspondence.

SYSTEMS BRANCH

Directs a program covering:

a. Systems for the maintenance of active records.
b. Microfilm operations.
c. Written communications.
d. Filing equipment and filing supplies.
e. Selection, deposit and maintenance of vital materials.
f. Surveys and analyses of active records systems and filing equipment.

RECORDS DISPOSITION BRANCH

Directs a program covering:

a. Records inventorying and appraisals.
b. Records control schedules.
c. Records disposition including Congressional authorizations.
d. Surveys of area programs.
e. Liaison with other Federal agencies on the destruction, preservation, loan and transfer of records.

RECORDS CENTER BRANCH

Formulates the standards and procedures responsive to agency requirements for the transfer and servicing of semi-active and inactive records.

Stores and protects inactive records and provides reference service.

Destroys records in accordance with approved schedules.

Preserves records with permanent or long retention value.

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SECURITY INFORMATION

TRAINING PROGRAM
IN
RECORDS MANAGEMENT

Sponsored Jointly By: GENERAL SERVICES OFFICE

OFFICE OF TRAINING

ROOM 1402 BUILDING ███

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AGENDA

14 April — 11 May 1953

Chairman — ████████████████
Office of Training

Tuesday, 14 April

0930   INTRODUCTORY REMARKS   ████████████ *Chief*
Record Services Division
████████ *Chief*
Management Training Division
Office of Training

1000   RECORDS MANAGEMENT IN
INDUSTRY   EMMET J. LEAHY, *President*
National Records Management
Council

1100   RECORDS MANAGEMENT IN
GOVERNMENT   HERBERT E. ANGEL, *Director*
Records Management Division
National Archives and Records
Services, GSA

Monday, 20 April

1000   THE PLACE OF RECORDS
CENTERS IN A RECORDS
MANAGEMENT PROGRAM   EVERETT O. ALLDREDGE, *Chief*
Records Center Branch, Records
Management Division, GSA

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SECURITY INFORMATION

Monday, 20 April

| 1100 | DISPOSITION OF FEDERAL RECORDS | ARTHUR E. YOUNG, *Deputy Regional Director for Records Management Service, Region 3, GSA* |

Friday, 24 April

| 1000 | HOW TO MAKE A RECORDS SURVEY | DOROTHY M. LUTTRELL, *Chief Records Administration Branch Administrative Services Division Office of Price Stabilization* |

| 1100 | CORRESPONDENCE MANAGEMENT | MONA SHEPPARD, *Organization and Methods Examiner, Records Management Division, GSA* |

| 1150 | STATUS OF AGENCY CORRESPONDENCE MANAGEMENT PROGRAM | ██████████*Chief Record Services Division* |

Monday, 27 April

| 1000 | FORMS AND PUBLICATION MANAGEMENT | ██████████*Chief Printing Advisory Staff* |

| 1100 | PRINTING AND REPRODUC- TION IN THE AGENCY | ██████*Assistant Chief Printing and Reproduction Division* |

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SECURITY INFORMATION

Friday, 1 May

1000   SYSTEMS FOR THE CONTROL OF CORRESPONDENCE AND RECORDS   ████████████*Records Analyst*

1100   THE APPLICATION OF PUNCH CARD METHODS TO RECORDS MANAGEMENT PROBLEMS   ███████████*Chief Machine Records Branch*

Monday, 4 May

1000   PROCEDURE FOR DEPOSITING VITAL MATERIALS   ██████████*Records Analyst*

1030   OPERATION OF THE VITAL MATERIALS REPOSITORY   ██████████*Services Officer*

1100   RECORDS DISPOSAL, RETIREMENT AND PRESERVATION   ████████████*Chief Records Management and Distribution Branch*

Friday, 8 May

1000   STANDARDS FOR MICROFILMING   ███████████*Records Analyst*

1030   OPERATION OF AN AGENCY RECORDS CENTER   ██████████*Records Analyst*

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SECURITY INFORMATION

Friday, 8 May

1100   REPORTS MANAGEMENT   ██████████, *Records Analyst*

1130   THE IMPORTANCE OF A   WILFRED L. PEEL, *Chief*
        RECORDS PROGRAM AS A   *Organization and Methods Service*
        TOOL OF MANAGEMENT

Monday, 11 May

1000   THE TASK OF AREA   ██████████*Chief*
        RECORDS OFFICERS   *Record Services Division*

1030   INSTALLING YOUR RECORDS   ██████████*Assistant Chief*
        MANAGEMENT PROGRAM   *Records Management and*
                                      Distribution Branch

1100   GROUP DISCUSSION

1145   SUMMARY

1150   CLOSING REMARKS   ██████████*Chief*
                                      General Services

                                      Office of Training

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Next 1 Page(s) In Document Exempt

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SECURITY INFORMATION

THE CENTRAL INTELLIGENCE AGENCY
RECORDS MANAGEMENT PROGRAM GUIDE

A BRIEF ON THE FUNCTIONAL
AREAS OF RECORDS MANAGEMENT

RECORDS CREATION

RECORDS MAINTENANCE

RECORDS DISPOSITION
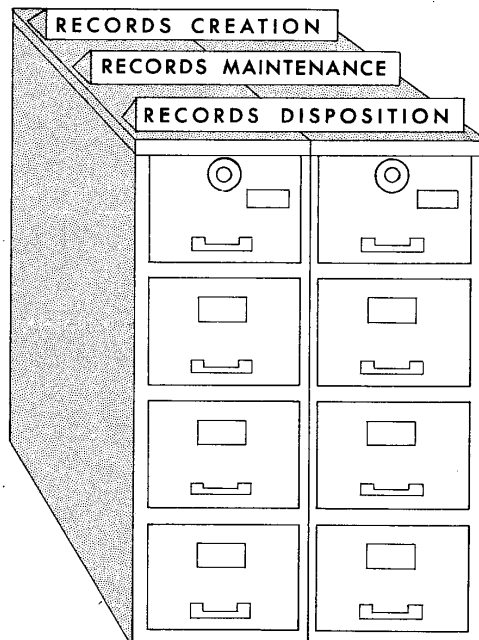
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GENERAL SERVICES OFFICE

RECORDS MANAGEMENT & DISTRIBUTION BRANCH

SEPTEMBER 1953

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FOREWORD

This pamphlet has been prepared in response to requests for a concise outline of the scope of the Agency Records Management Program. It is not intended that it serve as an operating handbook, but instead, is designed to provide information for the use of Area Records Officers in presenting the Program to operating officials and other area personnel. Accordingly, program objectives and the methods to accomplish them have been stated in broad terms.

The Guide is written functionally; therefore phases of the Program are not necessarily outlined in the order in which they will be undertaken. However, the Guide will familiarize Agency personnel with the areas to be covered and will provide the Area Records Officers with a basis for scheduling the various steps of the Program.

DISTRIBUTION: A PLUS SPECIAL

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SECTION I

AN INTRODUCTION TO RECORDS MANAGEMENT

Records are defined by statute, and Federal agencies are required by law to establish and maintain an active and continuing Records Management Program. Authority to destroy records is obtained from the Congress through the National Archives and Records Service in accordance with its prescribed standards and procedures. In CIA, this authority is obtained by the Records Management and Distribution Branch, General Services Office.

Records Management is a specialized field of work and deals with problems and practices relating to the creation, maintenance, organization, and use of records in the conduct of current business, and in the preservation, elimination, transfer or other disposition of those records which are not currently required or are seldom used. Although the need for adequate management over the accumulation of records exists from the time they are created or received until their final disposition, it is recognized that it is not possible to have such management absolutely alike in all areas because of the differences in organizational structure and substantive functions.

The essential guides and sources of detailed information for implementing the Agency Records Management Program will be published in Agency Regulations, Notices and Handbooks developed in cooperation with operating and staff officials.

There are presented in the following sections definitions and a general outline providing the reader with an over-all picture of the functional areas of records management. These areas are: Creation of Records; Organization, Maintenance

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and Use of Records; Disposition of Records; and the Vital Materials Program.

SECTION II

DEFINITIONS

For purposes of this guide, the following definitions apply:

Records include all books, papers, maps, photographs, films, recordings or other documentary material, regardless of physical form or characteristic, made or received by any portion of the Agency in pursuance of Federal law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the Agency or its legitimate successor as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations, or other activities, or because of the informational value of data contained therein.

Non-record material includes 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.

Forms are printed or reproduced documents with blank spaces provided for inserting specific information. Form letters are printed or reproduced letters to furnish information for repeated mailings or one mailing to numerous destinations. Form letters with or without blank spaces, except for actual intelligence information produced therein, are considered forms.

Reports are all requirements for written data, one time or recurring, established to provide administrative or management control of operations.

Correspondence includes all memoranda, letters, and dispatches sent to or received by a person in the Agency in the execution of his official duties.

SECTION III

CREATION OF RECORDS

REPORTS MANAGEMENT

Objectives

1. Eliminate and prevent unnecessary or duplicate reporting.

2. Insure that instructions, forms, and procedures for necessary reports are clear and complete to provide simple and direct reporting methods.

3. Insure that required reports provide adequate data and that realistic reporting intervals are established.

4. Provide a central reference point for information on reports.

Method of Accomplishment

1. Conduct an initial reports inventory and establish reference and analysis files.

2. Establish controls for the clearance through the Area Records Officer of all proposed reporting requirements.

3. Review and analyze all new reporting requirements placed by the office upon other CIA elements and other Government agencies.

4. Analyze all reports prepared by the office to insure that reports are prepared in the most efficient manner, and to develop recommendations for submission to requiring offices or agencies.

5. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing report and the adequacy of Reports Management records.

FORMS MANAGEMENT

Objectives

1. Insure the need for each existing form and each proposed form.

2. Reduce the number of forms by consolidating those serving like functions, eliminating obsolete or ineffective forms, and using standard Government forms when appropriate.

3. Simplify, standardize, and improve essential forms according to Agency standards.

4. Insure that forms are reproduced, stocked, and distributed as economically as possible.

5. Insure that procedures for use with specific forms (or groups of forms) provide for maximum efficiency and utilization of personnel.

6. Provide a central reference point for information on forms.

Method of Accomplishment

1. Conduct an initial forms inventory and establish reference and analysis files.

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2. Establish controls for the clearance through the Area Records Officer of all proposed new and revised forms.

3. Review and analyze all requirements for forms and the procedures related to their use.

4. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing form and the adequacy of Forms Management records.

CORRESPONDENCE MANAGEMENT

Objectives

1. Simplify and speed up the preparation and handling of correspondence.

2. Improve the quality of correspondence and adequacy of documentation.

3. Enable faster training and increased utilization of personnel.

4. Create better public relations.

Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence prepared.

2. Provide measures for the continuous review of correspondence practices.

3. Develop and maintain uniform correspondence procedural and style policies and practices.

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4. Develop and employ the use of pattern paragraphs, letter guides, and form letters.

5. Develop and maintain quality standards for improving letter content and letter writing aptitudes.

6. Review copy requirements to prevent the preparation of nonessential copies of communications.

SECTION IV

ORGANIZATION, MAINTENANCE AND USE OF RECORDS

MAIL CONTROL

Objectives

1. Provide for the prompt and systematic flow of correspondence from originators to action or information addressees.

2. Insure that action is accomplished within established time limits.

3. Provide receipt control for the exchange of classified matter, negotiable instruments, etc.

Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence handled, production rates of machines and personnel, and the process steps affecting the flow of work.

2. Develop recommendations regarding the functional organization and staffing of the office, correspondence

processing steps and techniques, forms, and the utilization of labor saving equipment.

3. Install the revised system, train area personnel in its use, and conduct periodic follow-up to insure adequacy of the system.

REFERENCE SERVICE

Objectives

1. Locate file stations realistically and insure that the contents of files are adequate for the reference services required.

Method of Accomplishment

1. To determine the best locations for file stations, consider: The degree to which administrative responsibility or control is delegated; the possible elimination of duplicate files; the quality of filing standards desired; the accessibility of files to users; any restrictions on the use of classified material; and the flow of material to the files.

2. To provide adequate reference service, determine: The volume and kinds of papers filed; manner in which requests for file material are made; impact of work flow on files; trends indicative of future reference requirements; and the adequacy of personnel, supplies, forms, and equipment.

3. Develop recommendations, install the revised system, train area personnel in its use, and conduct periodic follow-up to insure its adequacy.

Approved For Release 2001/08/28 : CIA-RDP74-00390R000100020001-4

MAINTENANCE MANAGEMENT

Objectives

1. Develop a classification plan for the standardized filing of both general administrative material and records dealing with the operational activities of the office.

2. Develop filing standards for the orderly maintenance and preservation of current records.

3. Provide auxiliary records or indexes (filing media) to facilitate reference to primary records.

4. Develop specialized systems for records pertaining to the operational activities of the office.

Method of Accomplishment

1. To develop a classification plan:

   a. Analyze the content of records to determine definitive subject categories (primary, secondary, tertiary, etc.).

   b. Apply the Subject-Numeric System of the Agency Filing Manual to general administrative records, and develop such special systems necessary for filing records of operational activities, of the office.

2. To develop filing standards:

   a. Determine what material on specific transactions or subjects are to be kept together, the arrangement of folders, and the methods of labeling folders, guides, and file drawers.

b. Install revised system, prepare written instructions, arrange for equipment and supplies, train area personnel, and conduct periodic follow-up to determine adequacy of system.

3. To provide adequate finding media:

   a. Consider volume and complexity of records and the organizational structure of area served to determine type of index or guide needed.

   b. Develop necessary forms and written instructions to implement the system, and procure equipment for its installation.

4. Analyze operational records to determine the extent that machine methods and other specialized forms of record keeping can be employed.

EQUIPMENT AND SUPPLIES STANDARDS

Objectives

1. Effect standardization of filing equipment and filing supplies.

Method of Accomplishment

1. Conduct surveys, provide guides, and establish control measures to insure that filing equipment and supplies conform to prescribed Agency standards.

SECTION V

DISPOSITION OF RECORDS

Objectives

1. Provide for the economical and systematic disposition of Agency records including their preservation, retention, transfer, and disposal according to Federal statutes and regulations.

2. Release high cost office space and filing equipment no longer needed in the daily routine of business.

Method of Accomplishment

1. Prior to conducting a records disposition survey, obtain background information regarding the organizational structure of offices to be surveyed, their functions and missions, and the flow of work within and between offices concerned.

2. Plan the disposition survey, taking into consideration the availability of personnel, and the size and complexity of the organization. Determine in advance the basic records unit to be inventoried (i.e., whether each separate form, or a group of records serving the same purpose, will be reviewed), and specify the criteria to be used for describing each unit of record. Consider also the possibility of obtaining information of value for records management functions other than records disposition.

3. Conduct the inventory and record all pertinent information which will be needed to determine retention periods and the disposition of records.

4. Evaluate records in terms of their immediate usefulness to the Agency for administrative, legal, fiscal, and other operating purposes. Clear recommendations with operating officials.

5. Develop records control schedules in the form of directives to provide for the disposition of record and non-record material by either permanent preservation, microfilming, distruction, or transfer to less expensive records storage in the CIA Records Center. Obtain approval of schedules from operating officials and the CIA Records Officer.

6. Maintain records control schedules up to date in view of changes in organization and requirements.

7. Conduct periodic follow-up to insure that records control schedules are adequate and that the disposition of records is being effected in accordance with schedules.

SECTION VI

VITAL MATERIALS PROGRAM

Objectives

1. Provide for the secure transfer, storage, and ultimate disposition of materials essential to the Agency on a continuing basis and which in the event of destruction would constitute an irreplaceable loss.

Method of Accomplishment

1. In collaboration with the CIA Vital Materials Officer and operating officials:

    a. Identify vital materials and determine their disposition.

RESTRICTED

b. Develop schedules for deposit and disposition.

c. Initiate the transfer of vital materials to the repository.

- 12 -

RESTRICTED

forms management

program

central intelligence agency

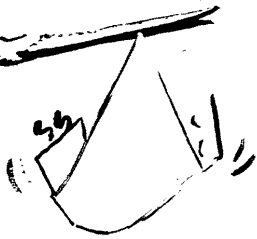# forms management

program

central intelligence agency

- **actions in the government are controlled by forms. . .**

- forms **guide** action but **do not perform** the action.

from birth . . . to death

Central Intelligence Agency
Forms Management Program

management staff
records management division
forms management branch

headquarters	field activities
area records officers	area records officers

Approved For Release 2001/08/28 : CIA-RDP74-00390R000100020001-4

the objective . . . . more efficient
operations at less cost.

"FORM"

what is forms management ?

forms
management is
a continuous reduction
in cost management
improvement program
conserving

———————— manpower

supplies

equipment

time

money

space
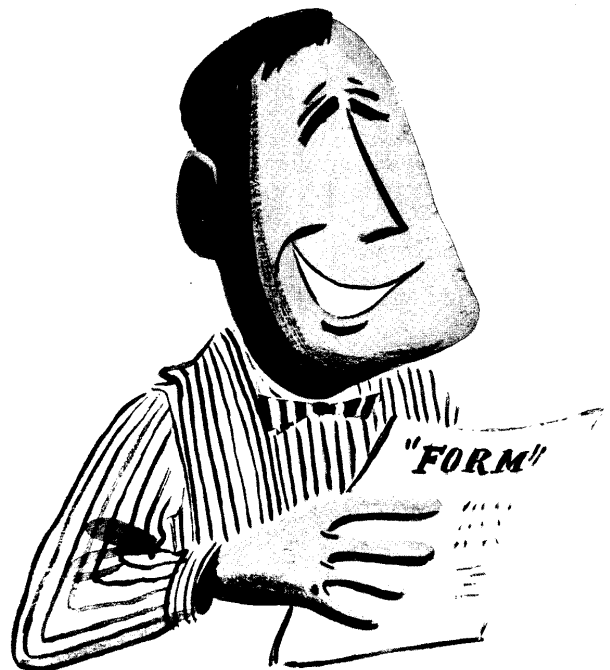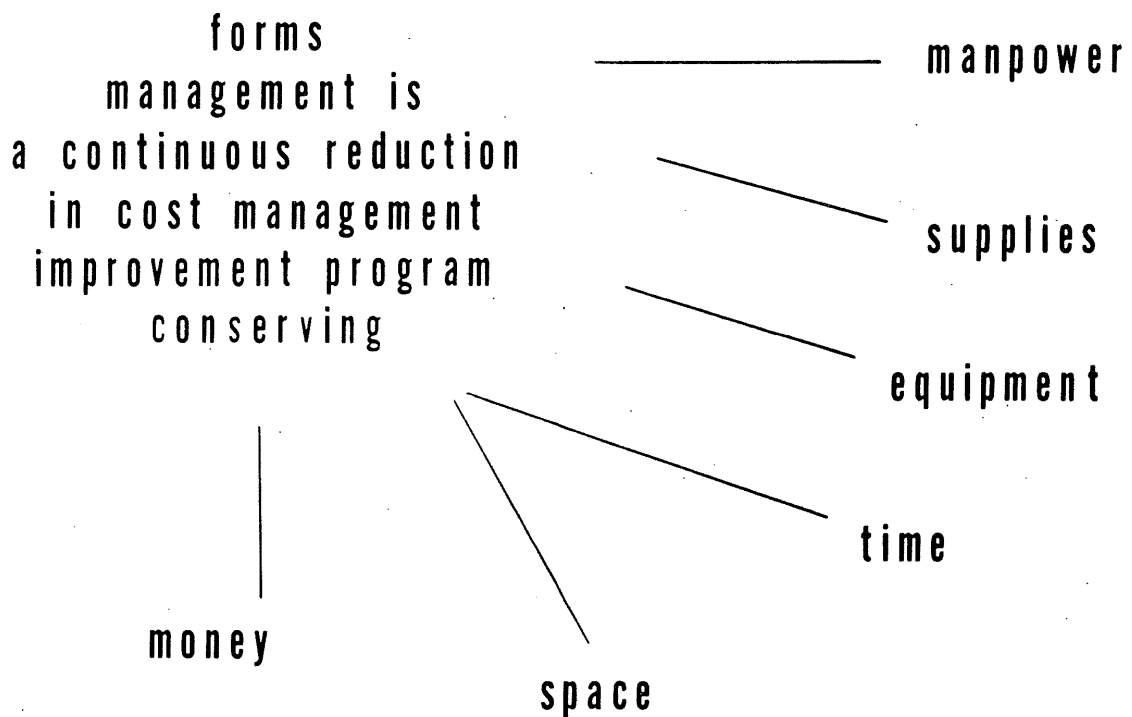
resources are Conserved by . . .

1 eliminating non-essential forms

2 consolidating forms that perform the same function
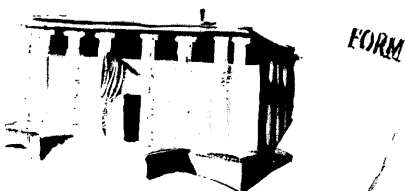
3 using forms prescribed by a higher headquarters

4 informing users of available forms

5 integrating forms, procedures and directives
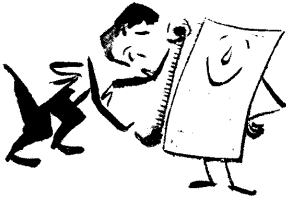
6 simplifying and standardizing size and design
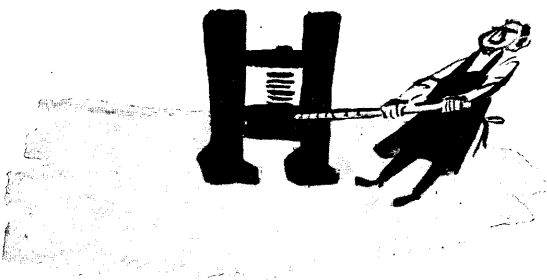
7 eliminating wasteful printing and duplicating methods
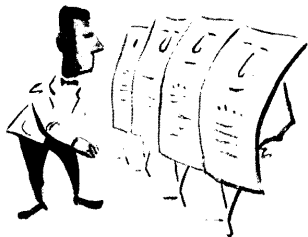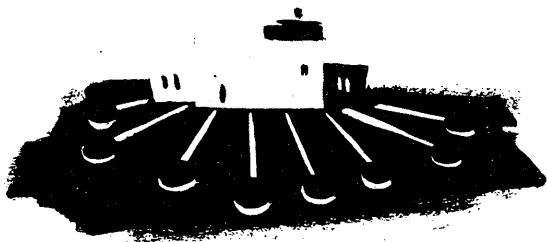
8 centralizing procurement storage and distribution

9 being vigilant - reviewing all forms used to identify and solve functional and organizational problems

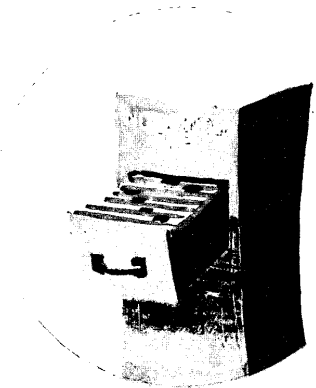**10** by reporting to top management unsatisfactory conditions
● suggest improvements
● recommend forms for wider application

● creation ●f a form . . . ●

operating office

writes issuances   types requests   coordinates with
                                                   interested activities

forms management

studies procedure and issuance
analyzes form

enters into   develops   designed and
conference   specifications   composed - ready
                                        for printer
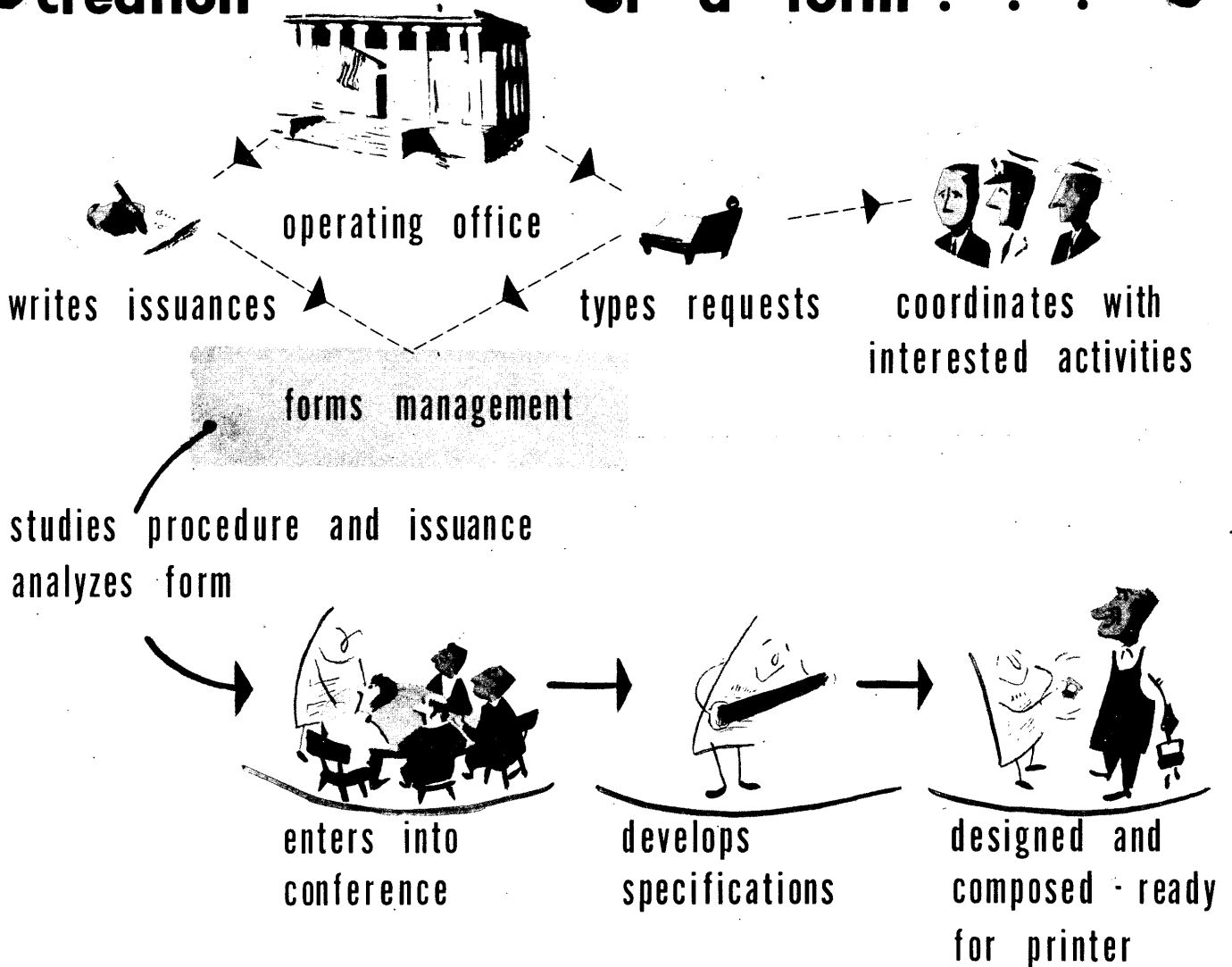
forms management tools

initial request and justification
revisions and reprints
correspondence
reference to issuance
copy of form
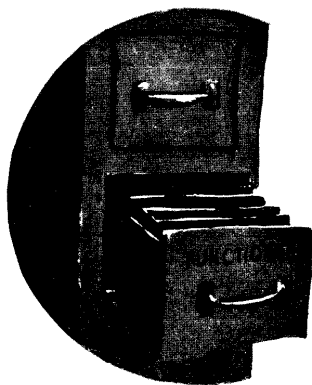
numerical file

bring together similiar forms
used in many activities
point up duplicate and
overlapping forms
aid in consolidation and
elimination
prevent establishment of
unnecessary new forms

functional file

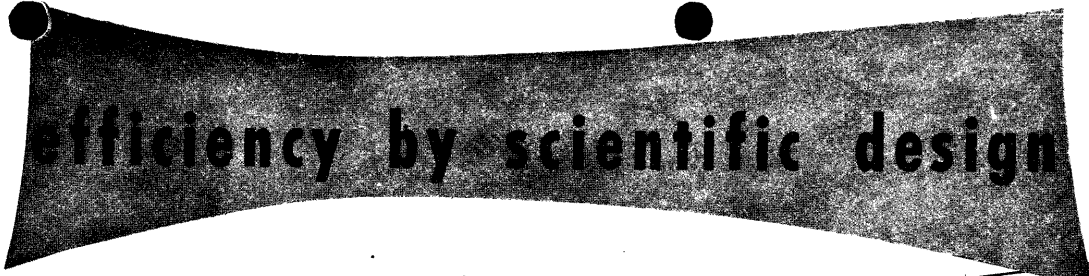# a forms problem . . .

this could
be eliminated
by . . .

the
forms
management
way

a form to fit the need

efficiency by scientific design . . . .

before forms analysis

after forms analysis

save time in . . . preparation
routing
processing
filing
finding
sectional analysis
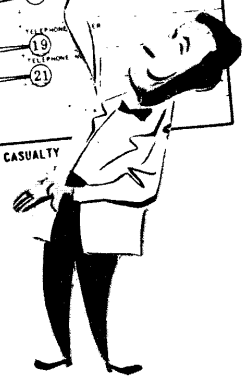
elements of a form in cost...

development
design
paper
printing
special production
processes
storage and
distribution
˅ gathering data
˅ completion
˅ transmission
˅ review
˅ evaluation
˅ transcribing
˅ filing
˅ administration of
    residual records

apparent cost

10%

90%

hidden cost
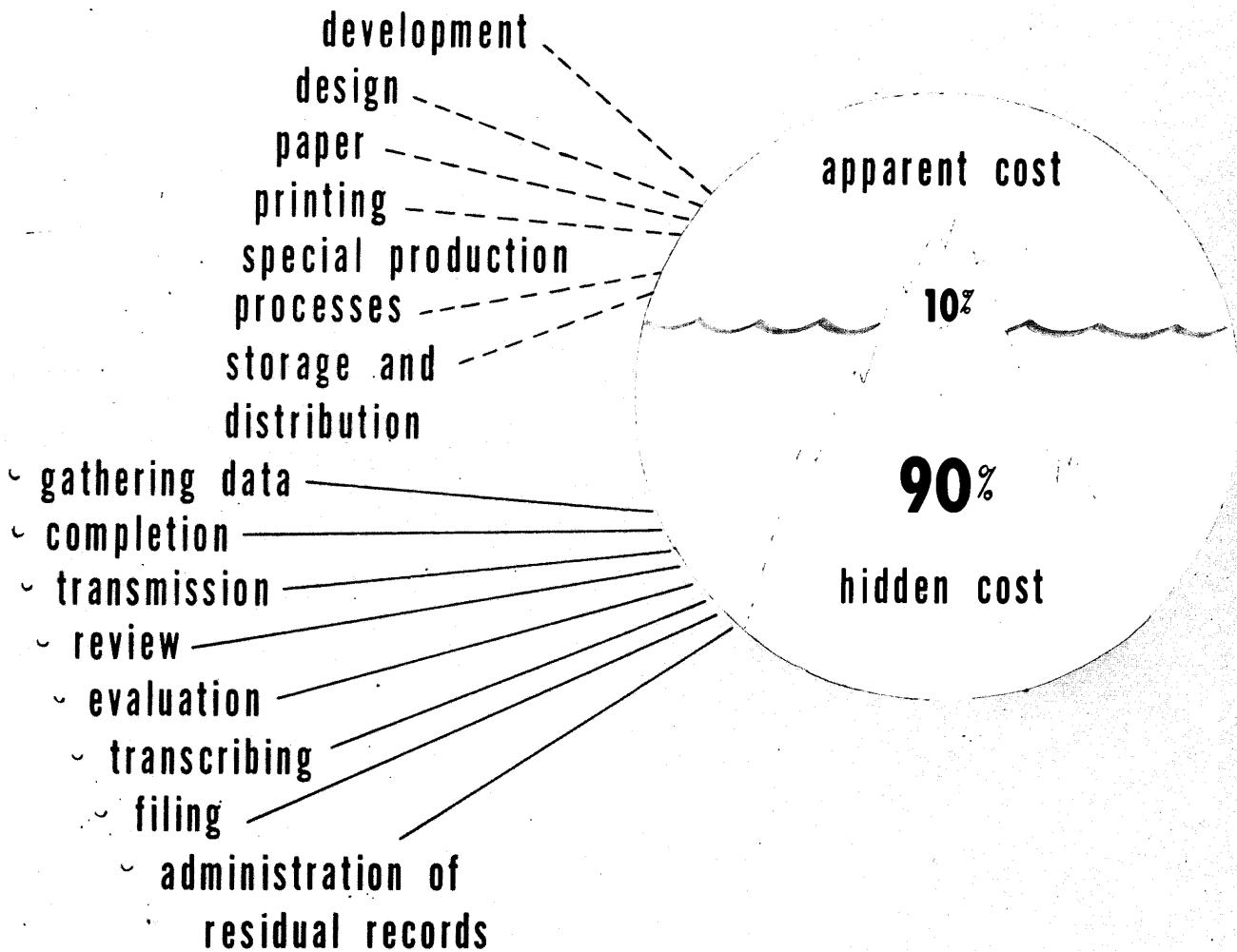
ORME THE FORM
SAYS
**DON'T
HOARD
FORMS**

ORME THE FORM
SAYS

DON'T WASTE FORMS

DON'T USE FORMS FOR
PHONE NUMBERS OR NOTES,
CORRESPONDENCE DRAFTS,
OR COMPUTATIONS

USE NOTE PADS

ORME THE FORM
SAYS

MAKE ONLY AS
MANY COPIES
AS NEEDED

DON'T MAKE EXTRAS "JUST IN CASE"!

forms management saves money
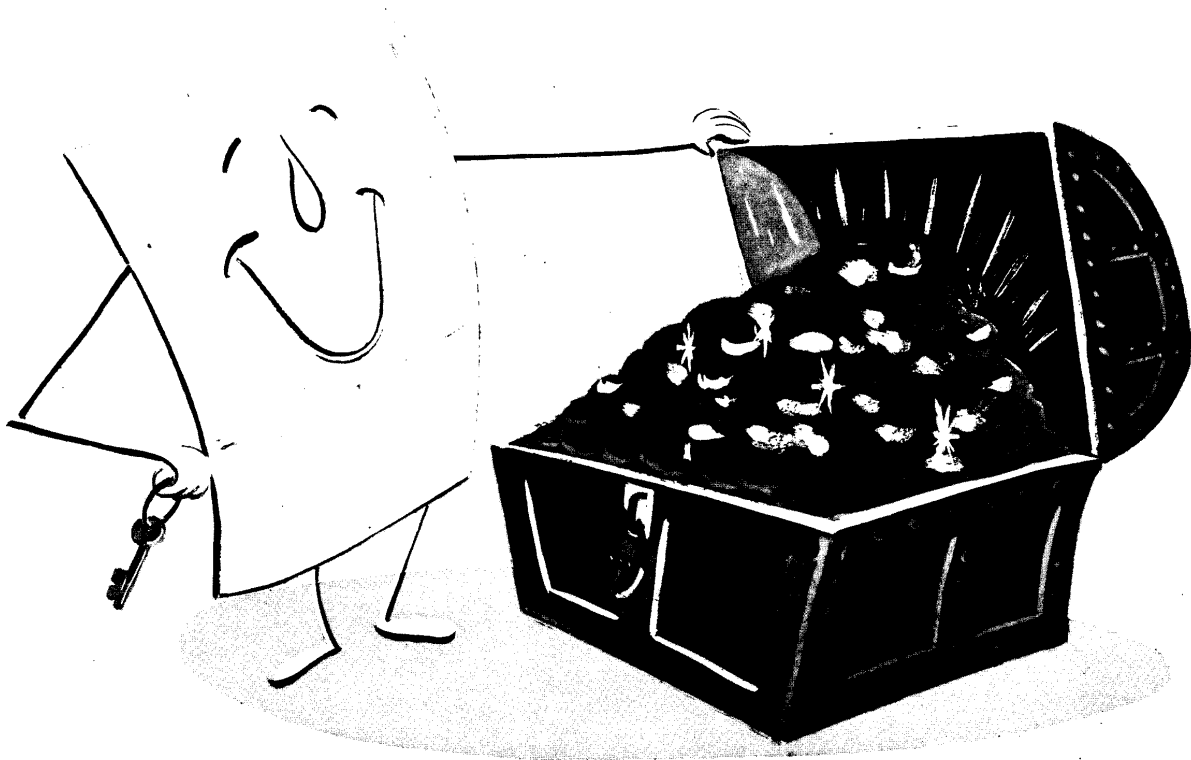
- by eliminating non-essentials
- by 'procedurizing', simplifying, and standardizing essential forms
- by detecting the need to treat the procedures themselves

ORME THE FORM SAYS

DON'T WASTE FORMS

DON'T USE FORMS
FOR DRAFTS, NOTES,
OR COMPUTATIONS,
PHONE NUMBERS OR
CORRESPONDENCE

USE NOTE PADS

F

an introduction to...

REPORTS MANAGEMENT

WHAT IS REPORTS MANAGEMENT?

WHY IS IT NEEDED?

HOW IS IT ADMINISTERED AGENCY WIDE?

HOW IS AN AREA PROGRAM INSTALLED AND CONTINUED?

G

MANAGEMENT STAFF
RECORDS MANAGEMENT DIVISION

JULY 1954

Exhibit G

WHAT IS REPORTS MANAGEMENT?

IT IS A CONTINUING PROGRAM OF PLANNED REPORTS ANALYSIS DESIGNED TO...

- IMPROVE THE QUALITY OF REPORTS and

- ELIMINATE THOSE NOT NEEDED.
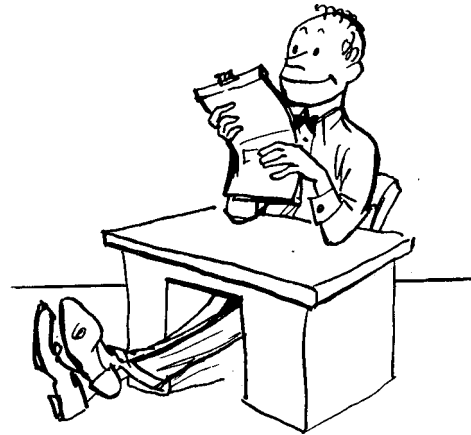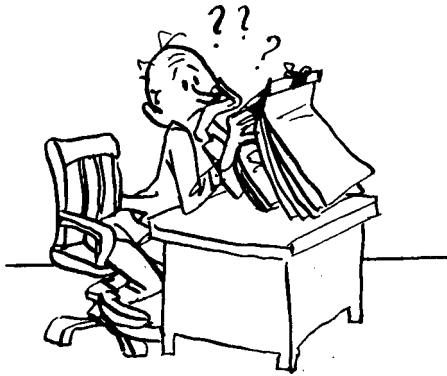
- ASSURE THAT REPORTS ARE PREPARED BY THE SIMPLEST
  AND LEAST EXPENSIVE MEANS.
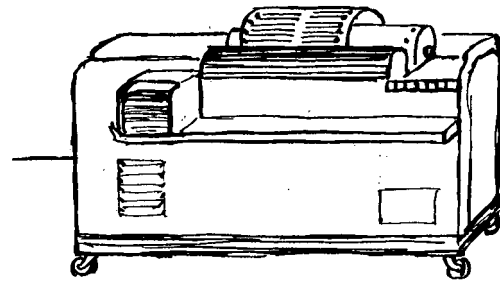
REPORTS MANAGEMENT RESULTS IN...

- FEWER REPORTS, BETTER REPORTS, AT LE°°

WHY IS A REPORTS MANAGEMENT PROGRAM NEEDED?

LET'S FACE IT! AN AGENCY-WIDE NETWORK OF REPORTING SYSTEMS IS NEC-
ESSARY. OUR ORGANIZATION IS COMPLEX. OUR OPERATIONS ARE WORLD WIDE.
WE MUST DEPEND ON REPORTS FOR CONTROL OVER
THESE OPERATIONS.

BUT WITHIN SUCH A FRAMEWORK, SOME UNNECES-
SARY AND INADEQUATE REPORTING IS BOUND TO
EXIST. SEEKING OUT AND CORRECTING THIS CON-
DITION, AND PREVENTING ITS RECURRENCE, CALLS
FOR A COORDINATED AGENCY-WIDE PROGRAM OF
REPORTS ANALYSIS.
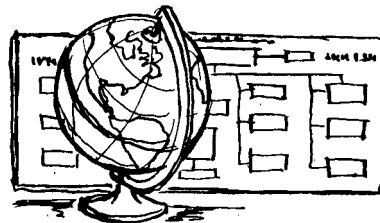
HOW WILL THE AGENCY PROGRAM BE ADMINISTERED?

IT IS PROPOSED THAT THE AGENCY PROGRAM BE A DECENTRALIZED ONE. THAT
IS, IT WILL BE COMPOSED OF MANY AREA PROGRAMS ESTABLISHED AT LEVELS
WHERE MAXIMUM BENEFITS CAN BE EXPECTED FROM REPORTS MANAGEMENT. THUS
COMPONENT (AREA) PROGRAMS CAN BE DESIGNED TO MEET SPECIFIC NEEDS.

EACH AREA PROGRAM SHOULD COVER AS A MINIMUM: ALL RECURRING ADMINIS-
TRATIVE OR MANAGEMENT REPORTS REQUIRED FROM, OR PREPARED FOR...

    (1) OTHER HEADQUARTERS COMPONENTS.

    (2) ANY CONTINENTAL OR OVERSEAS FIELD ACTIVITY.

    (3) ANY ORGANIZATION, FEDERAL OR PRIVATE, OUTSIDE THE AGENCY.

EMPHASIS IS THUS PLACED ON MANAGING RECURRING ADMINISTRATIVE OR MAN-
AGEMENT REPORTS.

HOWEVER, THIS SHOULD NOT EXCLUDE APPLYING REPORTS MANAGEMENT PRINCIPLES
TO ONE-TIME REPORTS, OR THOSE WHICH PROVIDE FOR THE COLLECTION, PRODUC-
TION, OR DISSEMINATION OF INTELLIGENCE.

HOW IS AN AREA PROGRAM INSTALLED?

REGARDLESS OF THE SIZE OF YOUR ORGANIZATION OR THE COMPLEXITIES OF ITS REPORTS, CERTAIN STEPS ARE ESSENTIAL. LET'S BRIEFLY EXAMINE THESE.

STEP 1 - THE REPORTS INVENTORY
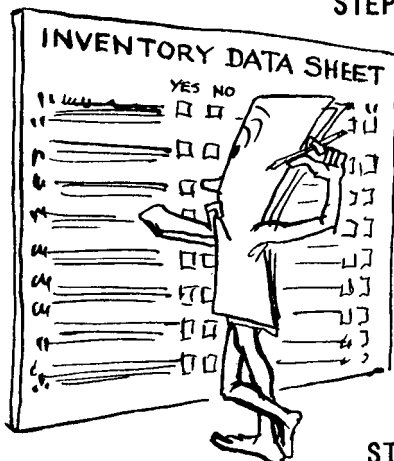
THIS STEP BUILDS THE PROGRAM'S FOUNDATION. IT PROVIDES DATA FOR AN IMMEDIATE ANALYSIS OF YOUR REPORTS, AND FURNISHES RECORD MATERIAL FOR CONTINUING THE PROGRAM. EACH REPORTING REQUIREMENT SHOULD BE DESCRIBED ON A DATA SHEET. IN ADDITION, IT WILL BE DESIRABLE TO ATTACH SPECIMEN COPIES OF THE REPORT, COPIES OF PERTINENT DIRECTIVES OR INSTRUCTIONS, AND OTHER DESCRIPTIVE MATERIAL.

STEP 2 - THE REPORTS ANALYSIS

THE MOST OPPORTUNE TIME FOR THIS ANALYSIS IS DURING THE INVENTORY. IT IS THEN THAT PROBLEM AREAS ARE REVEALED. FURTHERMORE, THE INVENTORY DATA SHEET CAN BE USED TO RECORD RECOMMENDATIONS.

ANALYSIS PROJECTS SHOULD BE PLANNED AND COORDINATED. HERE'S WHY.....

1. MANY REPORTS ARE INTERRELATED.

2. THE PROBLEMS OF THOSE WHO REQUIRE REPORTS AS WELL AS THOSE WHO MUST PREPARE AND SUBMIT THEM SHOULD BE CONSIDERED.

3. AN ANALYSIS OF REPORTING DOCUMENTS ALONE IS NOT ENOUGH. EQUALLY IMPORTANT IS AN EXAMINATION OF THE RELATED PROCEDURES AND RECORDS.

4. OUR REPORTING SYSTEMS CONTAIN A WIDE VARIETY OF NARRATIVE, TABULAR, GRAPHIC, AND PUNCH CARD REPORTS. ANALYZING THESE REQUIRES A KNOWLEDGE OF MANY TECHNIQUES.. THE SERVICES OF AGENCY SPECIALISTS MAY THEREFORE BE NEEDED.

GUIDES (AND PERSONAL ASSISTANCE, IF DESIRED) WILL BE FURNISHED BY THE
REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH. ALSO, THE INVENTORY DATA
SHEETS CONTAIN BASIC QUESTIONS TO AID THE ANALYST. FOR EXAMPLE:

		YES	NO
9. COMPLETE THE FOLLOWING USING SPACE 10 IF NECESSARY:			
A.	DOES INFORMATION IN THIS REPORT DUPLICATE IN ANY MANNER DATA IN OTHER REPORTS YOU PREPARE? IF SO, SPECIFY THE REPORTS.		
B.	IS THE INFORMATION REPORTED IN MORE DETAIL, SUBMITTED MORE FREQUENTLY, OR GIVEN WIDER DISTRIBUTION THAN IS CONSIDERED NECESSARY? IF SO, EXPLAIN AND RECOMMEND CHANGES.		
C.	IS YOUR OFFICE ABLE TO MEET THE REQUIRED SUBMISSION DATE FOR THIS REPORT WITHOUT DETRIMENT TO OPERATIONS? IF NOT, EXPLAIN. SPECIFY IF ANY OVERTIME HAS BEEN REQUIRED TO MEET DUE DATES. RECOMMEND CHANGES.		
D.	IS THE FORM OR FORMAT PRESCRIBED FOR THIS REPORT ADEQUATE WITH REGARD TO: (1) SPACING _ (2) WEIGHT OF PAPER? *(Can sufficient copies be made at one typing?)* _ _ _ _ _ _ _ (3) POSSIBLE ELIMINATION OF TRANSMITTAL LETTERS? _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _		
E.	IF THE REPORT IS REPRODUCED BY MIMEOGRAPH, DITTO, MULTILITH, ETC., DO THE MASTERS CONTAIN THE MAXIMUM AMOUNT OF PREPRINTED DATA *(headings, lines, etc.)?*		
F.	ARE INSTRUCTIONS FOR THE PREPARATION OF THIS REPORT CLEAR AND COMPLETE?		
G.	WOULD YOUR OFFICE CONTINUE TO: (1) MAINTAIN _ (2) COMPILE _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ THE DATA BEING SUBMITTED IN THIS REPORT, IF THE DIRECTIVES FOR ITS SUBMISSION WERE RESCINDED? IF SO, EXPLAIN.		
10. WHAT IS YOUR APPRAISAL OF THIS REPORT? RECOMMEND ANY IMPROVEMENTS INCLUDING REVISED PREPARATION PROCEDURES.			

		YES	NO
D.	IS THE INFORMATION REQUIRED BY YOUR OFFICE APPROPRIATE TO ITS ASSIGNED FUNCTIONS, RESPONSIBILITIES, AND AUTHORITY?		
E.	IS THE INFORMATION REQUIRED ACTUALLY AND ACTIVELY USED AS A BASIS FOR ACTIONS, PLANS, OR DECISIONS, AND DOES SUCH USE FULLY JUSTIFY THE COST OF PREPARING THE REPORT?		
F.	DOES THE NEED FOR THIS REPORT RESULT FROM ADMINISTRATIVE OR PROCEDURAL PROBLEMS WHICH SHOULD BE CORRECTED RATHER THAN REPORTED? IF SO, RECOMMEND CHANGES.		
G.	IS THE REPORT DESIGNED TO SERVE A PURPOSE WHICH COULD BE ACCOMPLISHED MORE EFFECTIVELY SOME OTHER WAY SUCH AS THROUGH DIRECT SUPERVISION OR INSPECTION? IF SO, RECOMMEND REVISIONS.		

STEP 3 - THE REPORTS REVIEW

FINDINGS AND RECOMMENDATIONS WHICH RESULT FROM THE WORKING-LEVEL REPORTS ANALYSIS GENERALLY REQUIRE STUDY OR RESOLVING BY HIGHER AUTHORITY. THIS IS THE PURPOSE OF THE REPORTS REVIEW.

THE AREA RECORDS OFFICER AND REPRESENTA- TIVES OF THOSE UNITS CONCERNED WITH THE REPORTS UNDER REVIEW SHOULD PARTICIPATE. IN ADDITION, A MEMBER OF THE REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH WILL BE MADE AVAILABLE TO SERVE IN AN ADVISORY CAPACITY. IF DESIRED, A PANEL MIGHT BE ESTABLISHED FROM WHICH COMMITTEES COULD BE APPOINTED TO REVIEW REPORTS.

ON THE BASIS OF THIS REVIEW...

SOME REPORTS WILL BE FOUND ESSENTIAL IN EVERY RESPECT.

OTHERS WILL BE CORRECTED IMMEDIATELY...

OR CANCELLED!
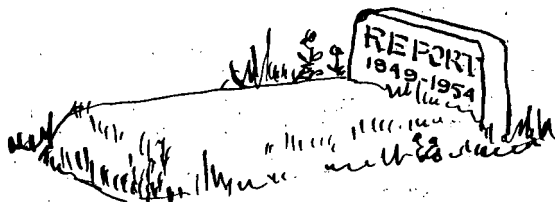
...WHILE STILL OTHERS MAY REQUIRE FURTHER STUDY.

STEP 4 - ESTABLISHMENT OF PROGRAM RECORDS

CASE FOLDERS AND REFERENCE FILES SHOULD BE ESTABLISHED CENTRALLY ON EACH REPORTING REQUIREMENT AS A BASIS FOR CONTINUING THE PROGRAM. RECORD MA-TERIAL WILL RESULT FROM THE INVENTORY, ANALYSIS, AND REVIEW.

HOW IS THE PROGRAM CONTINUED?

TO BE SUCCESSFUL, THE PROGRAM MUST PRO-VIDE FOR A CONTINUING REVIEW OF REPORTS.

EACH NEW OR REVISED REPORTING REQUIRE-MENT SHOULD BE SCREENED FOR NECESSITY BY APPROPRIATE AUTHORITY PRIOR TO BEING ESTABLISHED.

EACH CURRENT REPORTING REQUIREMENT SHOULD BE RE-EXAMINED AT LEAST ANNUALLY TO ENSURE THAT ITS CONTINUANCE IS FULLY JUSTIFIED. THESE RE-REVIEWS SHOULD BE STAGGERED THROUGHOUT THE YEAR TO DISTRIBUTE THE WORKLOAD. THE RE-EVAL-UATION PROCESS CAN BE SIMILAR TO THAT USED TO ANALYZE THE REPORTS DURING THE INSTALLATION PHASE. THAT IS, OPERATING PEOPLE EXAMINE THEIR REPORTING REQUIREMENTS AND SUBMIT RECOMMENDA-TIONS TO A REVIEW BODY FOR ACTION.
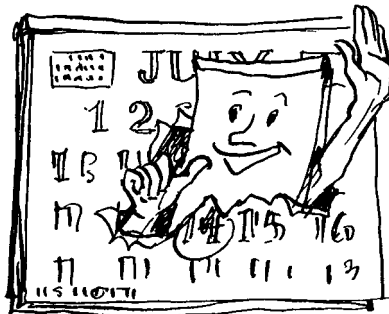
IT SHOULD BE REMEMBERED THAT AN ANNUAL REVIEW IS ADEQUATE ONLY IF CONDI-TIONS REMAIN STABLE. PROGRAMS ON WHICH INFORMATION IS REPORTED MAY AC-CELERATE OR DECELERATE RAPIDLY. CHANGES IN ORGANIZATION AND FUNCTIONS TAKE PLACE. NEW FORCES OR TRENDS COME INTO BEARING. UNDER THESE CONDI-TIONS REPORTS SHOULD BE CONTINUALLY APPRAISED TO ASSURE THAT THEY ARE ECONOMICALLY SERVING THE PURPOSES FOR WHICH THEY WERE ESTABLISHED.

IF THIS IS DONE YOU CAN BE ASSURED OF....

FEWER REPORTS, BETTER REPORTS, AT LESS COST!

A STAFF REPRESENTATIVE WILL BE PLEASED TO DISCUSS REPORTS MANAGEMENT FUR-THER WITH YOU. CALL EXTENSION 3742.

SAMPLE OFFICE NOTICE INAUGURATING A REPORTS
MANAGEMENT PROGRAM

SUBJECT: ABC Office Reports Management Survey

1. GENERAL

This Notice sets forth procedures and responsibilities for an
inventory and analysis of current reporting requirements, pre-
paratory to establishing an Office-wide Reports Management
Program.

2. OBJECTIVES

This survey will provide the foundation for a continuing program
designed to:

a. Eliminate and prevent unnecessary reporting.

b. Insure that instructions, forms, and procedures for
necessary reporting are clear and complete to provide
simple, direct reporting methods.

c. Improve the quality of reports.

d. Provide a central reference point for information on
reports.

In brief, the ABC Office Reports Management Program will mean
fewer reports, better reports, at less cost.

3. DEFINITIONS

a. Report - An account or statement of information
prepared in written narrative, tabular, punch card, or
graphic form, and transmitted from one organizational
element to another on a recurring basis.

b. Administrative or Management Report - As distinguished
from an operational or intelligence report, it is a
report that provides for administrative or management
control over an activity or operation.

c. Recurring Report - Either a periodic report which conveys
essentially the same type of information regularly at
prescribed intervals (daily, weekly, monthly, etc.) or a
situation report which is prepared on each occurrence of
an event of certain prescribed characteristics.

Exhibit H

4. SCOPE

With the exception of those reports and documents listed in Enclosure 1, the inventory and analysis shall include all recurring administrative or management reports which ABC Office components either _require_ from, or _prepare_ for:

  a. Other Headquarters components, including those in the ABC Office.

  b. Any continental or overseas field activity.

  c. Any organization (Federal or private) outside the Agency.

5. RESPONSIBILITIES

  a. The Chief, Administrative Staff in collaboration with the Area Records Officer, shall:

   (1) Direct the inventory by providing guidance and interpretations.

   (2) Serve as the collecting agent for inventory and analysis material.

   (3) Review findings and recommendations resulting from analyses, and conduct such additional studies as deemed necessary.

   (4) Submit to the Chief of ABC recommendations for eliminating, simplifying or otherwise improving reports.

  b. Chiefs of Staffs and Divisions shall:

   (1) Direct that the inventory and analysis be conducted within each component under their authority.

   (2) Review recommendations and findings of subordinate components.

   (3) Forward the inventory and analysis material on each reporting requirement to the Chief, Administrative Staff, prior to _____1954.

6. PROCEDURE

  a. _Inventory and Analysis_ - Enclosure 2 provides detailed instructions for inventorying and analyzing reporting requirements. Additional copies of this guide and the forms to be used during this survey may be obtained from the Administrative Staff, extension 1234.

b. Approval of New or Revised Reporting Requirements -
Effective immediately, any proposal to establish a new
reporting requirement, or to revise an existing one, shall
be submitted through the Chief, Administrative Staff, to
the Chief of ABC for approval.

7. CONTINUATION OF THE PROGRAM

This Notice will be rescinded by an ABC Office Instruction upon
completion of the reports survey. At that time, policies, responsi-
bilities, and procedures for a continuing Office-wide Reports Man-
agement Program will be established. Suggestions for a program to
meet our needs are invited.

U. R. WRIGHT
Chief of ABC

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT SURVEY

1. Reports providing for the collection, production, and dissemination of intelligence.

2. Reports of inspection prepared by inspectors general.

3. Official reports of audit, survey, or investigation by administrative bodies appointed for that purpose.

4. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.

5. Formal reports of findings, recommendations, or actions prepared by special committees or boards appointed to inquire into and report on a particular matter. However, recurring reports initiated by such committees or boards to obtain data required for their work are not exempt under this provision.

6. Comments and/or concurrences as part of routine clearance of proposed actions, requisitions, or publications.

7. One-time recommendations, suggestions, or evaluations as to plans, policies, or procedures, and official employee or beneficial suggestions.

8. Replies to requests for suggested agenda for meetings.

9. Agency budget requirements:

   a. The annual budget estimate or request for funds required by law. This exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.

   b. Reports upon apportionment and allocation of appropriated funds.

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT SURVEY (Cont.)

10. The following operating documents:

Affidavits   Identification
Agreements   Leases
Announcements   Liens
Applications or requests   Oaths of office
Authorizations   Payrolls
Bids   Permits
Bills   Performance bonds
Bills of lading   Receipts
Certifications   Receiving-and-inspection forms
Claims   Requisitions
Contracts and initial   Sales slips
    allied papers   Shipping orders
Depositions   Specifications
Guarantees   Statements of witnesses

This exemption covers only the actual operating documents them-
selves. Reports concerning progress in preparing, numbers proc-
essed, etc., are not exempt.

PROCEDURES FOR CONDUCTING THE ABC
OFFICE REPORTS MANAGEMENT SURVEY

1. GENERAL

   a. The reports survey is an essential step in establishing
   the ABC Office Reports Management Program. It provides
   the foundation, that is: (1) A complete description and
   case history of each reporting requirement, and (2) an
   analysis of these requirements to point up reporting defi-
   ciencies and ways to correct them. In addition, the survey
   will provide experience on which policies and procedures
   for continuing the program can be based. The importance
   of this survey thus dictates that persons selected to par-
   ticipate should have a broad knowledge of their component's
   reporting requirements, and be qualified to analyze them
   objectively for possible improvements.

   b. The following terms apply to simplify stating survey proce-
   dures:

      (1) Required Report (Incoming Report) - A report which a
      component requires from one or more other elements.
      The report is an incoming report to the office which
      requires it.

      (2) Prepared Report (Outgoing Report) - A report which a
      component prepares at the request of another element.
      The report is an outgoing report from the office which
      prepares it.

2. THE INVENTORY

   a. Take the following action on each current requirement for
   either a required or prepared report:

      (1) Complete an original and one copy of either Required
      Reports Analysis Sheet, Form No. 143 (Attachment A),
      or Prepared Reports Analysis Sheet, Form No. 144
      (Attachment B).

      (2) To the original of each Analysis Sheet, attach one
      copy of each directive affecting the report, a specimen
      copy of the report, and any other descriptive material.

   b. It will not be necessary to furnish copies of directives
   (authorities) issued as Agency or ABC Office Regulations,
   Instructions or Notices.

3. THE ANALYSIS

    a. Personnel shall analyze each reporting requirement con-current with taking the inventory. The need for required reports will be fully justified. Prepared reports shall be analyzed with a view to improving preparation proce-dures, and recommending to the requiring office, ways to reduce or simplify reporting.

    b. Forms No. 143 and 144 contain questions which establish criteria for analyzing reports. Additional and more detailed guides are provided in Attachment C, "Analyzing Requirements for Administrative and Management Reports."

4. SUBMISSION OF INVENTORY AND ANALYSIS MATERIAL

Completed Analysis Sheets, together with supporting material, shall be forwarded through supervisors and component chiefs for review, prior to being submitted to the Chief, Administrative Staff by ____ 1954.

REQUIRED REPORTS ANALYSIS SHEET

1. REPORT TITLE	2. DATE ANALYZED

3. AUTHORITIES OR DIRECTIVES REQUIRING THIS REPORT

4. REPORT FORMAT (Form no., memorandum, machine tabulation, etc.)	5. FREQUENCY OF REPORT AND NUMBER OF COMPONENTS REPORTING
	☐ DAILY __ ☐ MONTHLY __ ☐ SEMI-AN __ ☐ SITUATION (No. of reports received annually) ☐ WKLY __ ☐ QTRLY __ ☐ ANNUALLY __ ☐ OTHER _____

6. NUMBER OF COPIES REQUIRED AND THEIR DISTRIBUTION

7. Considering every organizational element of the Agency concerned with this report, what is your best estimate of the total man days expended <u>annually</u> in its preparation and handling?.................	

8. Complete the following using Space 9 if necessary:	YES	NO
a. Does this report duplicate in whole or in part any other report known to exist in the Agency? If so, explain.		
b. Is the information required by your office appropriate to its assigned functions, responsibilities, and authority?		
c. Is the information required actually and actively used as a basis for plans, actions, or decisions, and does such use fully justify the cost of the report?		
d. Is the information reported in more detail, submitted more frequently, or given wider distribution than is necessary to serve the purpose for which the report was established:		
e. Does the need for this report result from administrative or procedural problems which should be corrected rather than reported? If so, recommend changes.		
f. Is the report designed to serve a purpose which could be accomplished more effectively some other way such as through direct supervision or inspection? If so, recommend an improved way.		
g. Is the form or format of the report adequate with respect to: (1) Spacing? (2) Weight of paper? Can sufficient copies be prepared at one typing?.... (3) Possible elimination of transmittal correspondence?............		

FORM NO. 143 (Test) Aug 54.   ATTACHMENT A

9. What is the justification for continuing the requirement for this report? Recommend any revisions. In your appraisal consider the volume of data already collected, changes in organization and functions, program progress, trends, etc., since the reporting requirement was established.

(Continue on separate sheet, if necessary.)

REPORT WAS ANALYZED BY:	COMPONENT	BUILDING	ROOM NO.	PHONE

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE

FORM NO. 143 (Back)

PREPARED REPORTS ANALYSIS SHEET

1. REPORT TITLE	2. DATE ANALYZED

3. AUTHORITIES OR DIRECTIVES REQUIRING THIS REPORT

4. REPORTING FREQUENCY (Daily, weekly, monthly, as situations occur, etc.)	5. REPORT FORMAT (Form no., memo, machine tabulation, etc.)

6. NUMBER OF COPIES PREPARED AND THEIR DISTRIBUTION

7. BRIEF DESCRIPTION OF HOW REPORT IS PREPARED (Include information on records maintained, machines utilized, requirements for data from other offices, average number of pages per report, etc.)

8. Complete the following using Space 10 if necessary:	YES	NO
a. Does information in this report duplicate in any manner data contained in other reports your component prepares? If so, specify the reports.		
b. Is the information reported in more detail, submitted more frequently, or given wider distribution than is considered necessary? If so, explain and recommend changes.		
c. Is your office able to meet the required submission date for this report without detriment to operations? If not, explain. Specify if any overtime has been required to meet due dates. Recommend changes.		
d. Is the form or format prescribed for the report adequate with respect to: (1) Spacing?......................... (2) Weight of paper? Can sufficient copies be made at one typing?....... (3) Possible elimination of transmittal correspondence?............		
e. If the report is reproduced by mimeograph, Ditto, multilith, etc., do the masters contain the maximum amount of preprinted data (headings, lines, etc.)?		
f. Are instructions for the preparation of this report clear and complete?		
g. Would your office continue to: (1) Maintain............................. (2) Compile............................. the data being submitted in this report if the directives for its submission were rescinded? If so, why?		

FORM NO. 144 (Test) Aug 54.

ATTACHMENT B

9. Considering the elements of preparation outlined above, what is your best estimate of the total man days expended <u>annually</u> in the preparation and handling of this report?.............................

. What is your appraisal of this report? Recommend any improvements, including revised preparation procedures.

(Continue on separate sheet, if necessary.)

REPORT WAS ANALYZED BY:	COMPONENT	BUILDING	ROOM NO.	PHONE

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE

FORM NO. 144 (Back)

SAMPLE OFFICE REGULATION FOR OPERATING
A REPORTS MANAGEMENT PROGRAM

REPORTS MANAGEMENT

Rescission: ABC Office Notice No. 00

CONTENTS

1. PURPOSE

This Regulation establishes requirements for a continuing
Office-wide Reports Management Program designed to:

a. Eliminate and prevent unnecessary reporting.

b. Insure that instructions, forms, and procedures for
necessary reporting are clear and complete, and provide
simple, direct, reporting methods.

c. Improve the quality of reports.

d. Provide central reference points for information on
reports.

In brief, our objective is fewer reports, better reports, at
less cost.

2. SCOPE

With the exception of those reports and documents listed in
Enclosure 1, the Program includes all recurring administrative
or management reports which ABC Office components either re-
quire from, or prepare for:

a. Other Headquarters components, including those in the ABC
Office.

b. Any continental or overseas field activity.

c. Any organization (Federal or private) outside the Agency.

Emphasis is thus placed on managing recurring administrative
or management reports. However, this does not exclude applying

Exhibit I

reports management principles to one-time reports, or those which provide for the collection, production, or dissemination of intelligence.

3. POLICIES

a. Report Directives. Requirements for reports shall be stated in clear and complete written directives rather than orally.

b. Essentiality. Reports shall be required only to collect essential information, as distinct from that which is merely interesting or informative.

c. Duration and Frequency. Reporting requirements shall be continued only as long and submitted only as frequently as circumstances dictate.

d. Consolidation. Related reports in the same subject matter area shall be consolidated wherever possible.

e. Summarization. Reports shall be summary in nature insofar as practicable, and devoid of unnecessary detail.

f. Economical Procedures. Reporting procedures shall be as simple and direct as possible. Existing basic records shall be employed as sources to the fullest extent. Methods of preparing and transmitting reports shall be the most economical consistent with the end use of the required information. Reports that are self-identifying shall be forwarded without transmittal correspondence.

g. Creation Control. The following controls over the creation of reporting requirements shall be maintained:

(1) Proposed reporting requirements shall be reviewed and approved by a Reports Control Authority.

(2) Each new or revised requirement for a recurring report shall be reappraised within three months after submission of the first report.

(3) Each reporting requirement initiated by an ABC Office component and not exempted from the Program shall be assigned a reports control symbol. Such a symbol will identify a requirement and indicate to activities or offices which are to prepare the report that the requirement has been approved by appropriate authority. A reporting requirement exempted from the Program shall be so identified in the report directive. Reports

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control symbols shall be cited in report directives
and in reports submitted accordingly. Personnel re-
ceiving a report directive which does not cite a
reports control symbol or an exemption clause shall
refer the matter to their Reports Control Authority.

h. <u>Periodic Review</u>. Each requirement for a recurring report
which an ABC Office component has established, and each
similar requirement placed upon an ABC Office component,
shall be reappraised at least annually. The need for
required reports shall be fully justified. Prepared re-
ports shall be analyzed with a view to improving prepa-
ration procedures, and recommending to requiring offices
ways to reduce or simplify reporting.

4. DEFINITIONS

a. <u>Report</u>. An account or statement of information in written
narrative, tabular, punch card, or graphic form, and trans-
mitted from one organizational element to another on a one
time or recurring basis.

b. <u>Administrative or Management Report</u>. As distinguished from
an operational or intelligence report, it is a report that
provides for administrative or management control over an
activity or operation.

c. <u>Recurring Report</u>. Either a <u>periodic</u> report which conveys
essentially the same type of information at prescribed
intervals (daily, weekly, monthly, etc.) or a <u>situation</u>
<u>report</u> which is prepared on each occurrence of an event
of certain prescribed characteristics.

d. <u>Required Report (Incoming Report)</u>. A report which a com-
ponent requires from one or more other elements. The
report is an incoming report to the office which requires
it.

e. <u>Prepared Report (Outgoing Report)</u>. A report which a com-
ponent prepares at the request of another element. The
report is an outgoing report from the office which prepares
it.

f. <u>Reports Control Authority</u>. An official responsible for
reviewing and approving ABC Office reporting requirements
and assigning reports control symbols thereto. Reports
control authority is assigned to:

(1) The ABC Office Area Records Officer who has jurisdiction
over:

(a) Reports required from, or submitted to, Agency
components outside the ABC Office.

(b) Reports submitted from one ABC staff or division to another.

(2) Division and Staff Chiefs or their designees who have jurisdiction over reports submitted solely within their respective components.

g. <u>Reports Control Symbol</u>. A symbol of identification and approval assigned to a reporting requirement by a Reports Control Authority. A reports control symbol is composed of the organizational symbol of the component which requires the report, the abbreviation "rep" for "report," and the numerical designation of the reporting requirement.

Numerical designations are assigned in consecutive order as reporting requirements are reviewed and approved by a Reports Control Authority. Numerical designations for <u>intra</u> division or staff reporting requirements are enclosed in parentheses--e.g., ABC/PD-Rep-(1). Designations for <u>inter</u> division or staff reporting requirements, and those placed upon Agency components outside the ABC Office, are not so enclosed--e.g., ABC/PD-Rep-1.

5. RESPONSIBILITIES

a. The Chief, Administrative Staff, in collaboration with the ABC Office Area Records Officer, shall:

(1) Direct and coordinate the overall Program by providing staff guidance and all basic plans, policies, and procedures.

(2) Review and approve reporting requirements under juris- diction of the Area Records Officer, and recommend ways to eliminate, simplify, or otherwise improve reports. Recommendations which cannot be resolved between the Chief, Administrative Staff and chiefs of other com- ponents shall be referred to the Chief of ABC.

(3) Conduct studies and reappraisals, maintain records, publish lists of reporting requirements, and submit reports in accordance with this Regulation and the "ABC Office Reports Management Program Guide."

(4) Maintain liaison with the Management Staff, Reports and Correspondence Management Branch, for staff guidance and participation in the Agency Reports Management Program.

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b. Division and Staff Chiefs or their designees shall review and approve reporting requirements under their jurisdiction, conduct studies and reappraisals, and perform such other Reports Control Authority functions as necessary to meet the requirements of this Regulation and the "ABC Office Reports Management Program Guide."

6. PROCEDURES

a. Request for Approval of a New or Revised Reporting Requirement. All new or revised reporting requirements originated within the ABC Office shall be submitted to the appropriate Reports Control Authority for approval prior to being established. Originators shall submit the following material through channels:

   (1) An original and one copy of Form No. 142 (Enclosure 2).

   (2) An original and one copy (in draft form) of the proposed report directive, including all forms, instructions, and procedures proposed to be issued.

   (3) Any additional supporting material that will assist approving officials with their review.

b. Transmitting Copies of Report Directives to Reports Control Authorities. Immediately upon issuing a directive which initiates, revises or rescinds a reporting requirement, the originator shall forward a copy of the directive and all supporting material to his Reports Control Authority.

c. Discontinuing Reporting Requirements. The appropriate Reports Control Authority shall be notified immediately upon the discontinuance of a reporting requirement.

d. Requests for Reports Received from Components Outside the ABC Office. All requests received directly from components outside the ABC Office shall be brought to the attention of the Chief, Administrative Staff.

U. R. WRIGHT
Chief of ABC

Enclosures:
1. Types of Reports and Documents Exempted from the ABC Office Reports Management Program

2. Form No. 142, Request for Approval of a New or Revised Reporting Requirement

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TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT PROGRAM

1. Reports providing for the collection, production, and dissemination of intelligence.

2. Reports of inspection prepared by inspectors general.

3. Official reports of audit, survey, or investigation by administrative bodies appointed for that purpose.

4. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.

5. Formal reports of findings, recommendations, or actions prepared by special committees or boards appointed to inquire into and report on a particular matter. However, recurring reports initiated by such committees or boards to obtain data required for their work are not exempt under this provision.

6. Comments and/or concurrences as part of routine clearance of proposed actions, requisitions, or publications.

7. One-time recommendations, suggestions, or evaluations as to plans, policies, or procedures, and official employee or beneficial suggestions.

8. Replies to requests for suggested agenda for meetings.

9. Agency budget requirements:

   a. The annual budget estimate or request for funds required by law. This exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.

   b. Reports upon apportionment and allocation of appropriated funds.

ENCLOSURE 1

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT PROGRAM (CONTINUED)

10. The following operating documents:

Affidavits	Identification
Agreements	Leases
Announcements	Liens
Applications or requests	Oaths of office
Authorizations	Payrolls
Bids	Permits
Bills	Performance bonds
Bills of lading	Receipts
Certifications	Receiving-and-inspection forms
Claims	Requisitions
Contracts and initial	Sales slips
allied papers	Shipping orders
Depositions	Specifications
Guarantees	Statements of witnesses

This exemption covers only the actual operating documents them-
selves. Reports concerning progress in preparing, numbers proc-
essed, etc., are not exempt.

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REQUEST FOR APPROVAL OF A NEW OR REVISED REPORTING REQUIREMENT

	DATE REQUEST SUBMITTED
TO: THROUGH:	

1. TITLE OF REPORT

2. CHECK WHICH ☐ NEW ☐ REVISED	3. IF REVISED, INDICATE NATURE OF REVISION

4. LIST ANY REPORTS TO BE SUPERSEDED BY THIS NEW OR REVISED REPORTING REQUIREMENT	5. PROPOSED DURATION OF REPORT ☐ INDEFINITE ☐ TEMPORARY (Designate period.)

6. DIRECTIVES OR AUTHORITY (ORIGINATED BY YOUR ORGANIZATIONAL ELEMENT) REQUIRING THE SUBMISSION OF THIS REPORT

7. OTHER CURRENT DIRECTIVES, AUTHORITIES, OR INSTRUCTIONS AFFECTING THE REPORT

8. REPORT FORMAT (Form no., machine tabulation, memo, etc.)	9. REPORTING FREQUENCY	10. DATE REPORT IS DUE IN YOUR OFFICE

11. SUPPORTING MATERIAL REQUIRED TO BE SUBMITTED WITH THE REPORT

12. ACTIVITIES OR COMPONENTS REQUIRED TO SUBMIT THIS REPORT	13. DISTRIBUTION OF REPORT ORIGINAL: COPIES:

FORM 142 (Test) Aug 54

ENCLOSURE 2

14. DETAILED NEED FOR AND USE OF THIS REPORT

15. PERSON TO CON- TACT REGARDING THIS REPORT :	NAME		BUILDING	ROOM NO.	PHONE

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

SIGNATURE	TITLE	DATE

RECOMMENDATIONS

SIGNATURE	TITLE	DATE

● RETURNED, APPROVED	SIGNATURE (Reviewing Official)	DATE
☐ RETURNED, DISAPPROVED		
☐ COMMENTS ATTACHED		

FORM 142 (Back)

ANALYZING

REQUIREMENTS FOR ADMINISTRATIVE OR MANAGEMENT
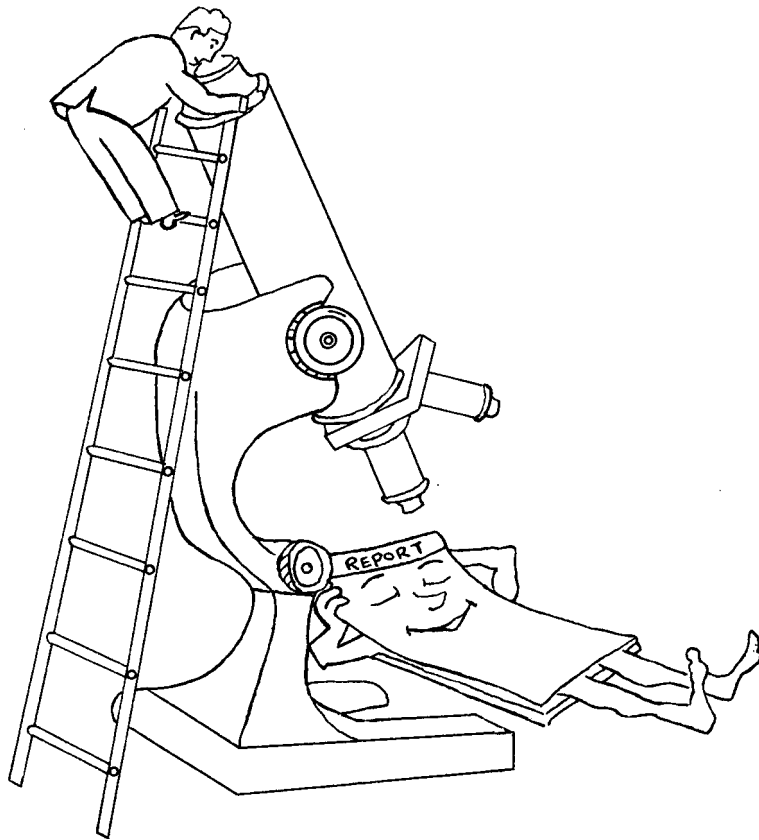
REPORTS

MANAGEMENT STAFF
RECORDS MANAGEMENT DIVISION

NOVEMBER 1954

Exhibit J

INTRODUCTION

A sage old fire chief at a large naval base was being questioned about fire regulations. "What about reporting fire hazards?" he was asked. "If you mean in writing, heck no!" he replied (but probably in somewhat stronger terms). And he added, "By the time I got the word the darn place would be burned down!"

The Chief didn't know it, but he was practicing reports management. Simple and direct reporting of essential information was what he wanted. And it paid off, judging from his excellent fire prevention record.

Unfortunately, most Agency requirements for reports cannot be stated as simply, nor complied with so easily. Extensive activity requiring administrative or management control, a complex organization, and changing conditions tend to complicate the reporting picture. Thus an analysis of your reporting requirements is essential--at the time they are created and periodically thereafter. Here is your guide.

This pamphlet is not a complete course in reports analysis. Instead, it is a collection of what might be termed "thought starters," to create a consciousness of the keys to sound reporting, and to serve as a check list during your analysis. Additional copies may be obtained from the Reports and Correspondence Management Branch, Management Staff.

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CONTENTS

ANALYZING REQUIREMENTS FOR ADMINISTRATIVE AND MANAGEMENT REPORTS

PLANNING YOUR ANALYSIS

Analyzing requirements for reports is simply applying the logic: If the information isn't needed, don't ask for it. If a report is necessary, assure that only essential data is compiled and submitted by the simplest and most direct means.

But significant results cannot be achieved by hit or miss tactics. A planned analysis is necessary. Reports that are interrelated must be studied together. Some are alike according to the functions they serve or the subjects they cover. Others, sometimes called "feeder reports" are only small segments of a reporting network designed to provide top management with a single document of information. The relationship of these "feeders" to the end product must be considered.

QUESTIONING THE BASIC NEED FOR A REPORT

Is there a sound need for the report as a whole as well as for every item in the report? Consider these questions in making your decision...

- Is the information reported, appropriate to the assigned functions, responsibilities, or authority of the component requiring it?

- Does the report serve a purpose which could be accomplished some other way, such as through direct supervision or inspection?

- Does the need for the report result from an organizational or procedural problem which should be corrected rather than reported?

- Can the requiring office obtain the same information from another source or in a different format or manner, e.g., a copy of another report, a machine tabulation from punched cards maintained for another component, or copies of operating documents?

- Is the information reported actually and actively used as a basis for actions, plans, or decisions, and do these uses fully justify the cost required to prepare the report? Or asked another way—is full use being made of the information, or is it being gathered because "it's nice to know," or because some day there may be a use for it?

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ANSWERING THE NEED

<u>ESSENTIALS OF A GOOD REPORTING REQUIREMENT</u> – Let's assume you're sure a report is needed in its entirety. That's a good start; but there are many other aspects of reporting that must be considered. Check for these...

<u>Reporting Frequency</u> – The reporting frequency must be consistent with the frequency with which the information is used. More frequent reporting is not justifiable. Furthermore, the frequency between each report should be of such length that significant changes are reflected. Programs on which information is reported often decelerate rapidly. Unless changed, the reporting frequency soon becomes unrealistic. Then too, the opposite may occur—the pace of a program is stepped up, or situations begin to happen so frequently that they should be summarized, rather than reported separately. Check a series of reports. What frequency is needed now; what is the trend?

<u>Due Date</u> – The date a report is due in an office should, if possible, be one convenient to the reporting activity. End-of-month, end-of-quarter, and end-of-year reporting should be avoided if possible since reporting workloads are heaviest at these times. Moreover, due dates should be based on working days, not calendar days. Determine the number of times the preparing office was unable to meet the due date. Also, how many times did a due date disrupt office routine to the detriment of operations? Was overtime ever required to meet the date?

<u>Report Format</u>

A good report format should meet these criteria...

- Be simple in design, and standard for each preparing activity.

- Provide for transmitting the report without covering correspondence.

- Be arranged so that the report can be prepared from records normally maintained by the preparing activities, yet designed to permit the recipient to locate information readily and apply it to his needs.

One of the surest ways to meet these criteria is to require that the report be submitted on an Agency form. Consider these additional advantages...

- Reports submitted on forms can be readily identified thus speeding their routing, processing, filing, and ultimate disposition (from a records retirement standpoint).

- Instructions for preparing and submitting the report can be placed on the form for ready reference.

- 2 -

However, the fact that a report presently is being submitted on an Agency form does not exclude its format from a reappraisal. Requirements for information change. The format satisfactory yesterday may be inadequate today. For example...

- Is there sufficient space in each box for fill-in?

- Is the form printed on such heavy stock that the number of legible copies needed cannot be made at one typing?

- Are reports prepared in such volume that carbon interleaved snap-out sets would be advantageous?

- If copies are duplicated, do the masters (stencil, Ditto, multilith, etc.) contain the maximum amount of preprinted data?

Report Directive - Requirements for reports should be established by clear and complete <u>written</u> directives. Good directives mean good reporting! Consider these points...

PROVIDING A SINGLE SOURCE OF INSTRUCTIONS	Cancel all previous directives which required the report, incorporating necessary past instructions in the new directive as an aid to personnel preparing reports.
PURPOSE AND USE	State clearly the purposes or uses of the data being collected. The Office which prepares the report needs to know the purposes and uses to (1) assure that the data reported will accomplish the objectives intended, and (2) make more accurate decisions in doubtful cases.
REPORT TITLE	Indicate the correct title of the report for later identification. Titles should be descriptive of contents.
DUE DATE OF REPORT	Specify the date on which the report is to arrive at its destination. For situation reports, specify how soon the report must be received after occurrence of the event. Establish a due date for a recurring report which allows the reporting workload to be more evenly distributed by the offices preparing and receiving the report.

- 3 -

PERIOD OR SITUATION COVERED	Specify the period of time, 'as of' date, or precise situation to be covered by the report. If data from several different reports are to be correlated, assure that the periods covered in these reports are comparable.
FIRST SUBMISSION OF THE REPORT	Specify when the requirement becomes effective, such as the date that the first recurring report is to be received, or the first period to be covered.
TERMINATION OF REPORT	For a temporary report, specify exactly when it is to be discontinued.
PREPARING ACTIVITIES	State specifically the types of activities which are to prepare the report.
DISTRIBUTION	Specify the number of copies to be prepared. Specify where each copy is to be sent.
FORMAT (IF NO FORM IS PROVIDED)	Specify the format for the items to be reported to (1) help insure uniformity in data reported and (2) simplify the transcription, comparison, evaluation, or other use of the data when it is received.
USE OF FORM	Be sure the form includes information on where the report is to be forwarded, and from whom it is sent ('from' and 'to' information), in order to avoid use of separate transmittal correspondence. Request offices not to submit covering transmittal correspondence with reports prepared on forms.
	Specify where preparing offices are to secure supplies of the form, and the requisitioning procedure.
SOURCE OF DATA	Specify the source from which the information is to be obtained to (1) assist the preparing office in easy compilation, and (2) insure comparable data from all activities.

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PROCEDURES FOR COMPILING

Specify recommended procedures for obtaining and compiling the data. This will (1) aid preparing offices to use the best methods, and (2) insure accuracy and consistency of the report.

WORDING

Give clear instructions on each item to be reported. Use simple active or imperative verbs (as 'Enter the total cost...'). Give only one instruction in a single sentence. Keep the sentence concise. Be sure that the instructions can be interpreted in only one way.

Need for Copies – A positive as well as a negative approach must be taken in determining the need. For instance, assure that all who have an interest in the report are receiving sufficient copies. Also, do the recipients have any recommendations for improving the report. On the other hand, copies of reports are costly. They increase the volume of records our Agency must handle, store, and dispose of. They slow down report preparation procedures. One extra copy can double typing and proofreading time if that copy makes two typing runs necessary. Check to make sure that every copy provided is serving a useful purpose. Ask recipients...

✓ Do they wish to remain on distribution?

✓ Can they obtain similar data from another source?

✓ Is all the data utilized? If not, which can be eliminated?

Consider the cost of each copy. Count your copies; make your copies count!

PREPARING AND SUBMITTING REPORTS – Methods of preparing and submitting reports are almost as varied as there are types of reports. However, here are a few pointers having general application.

● Are files and other records arranged in such a manner that data can be readily extracted?

● Do fiscal and other accounting records contain control totals so that the accuracy of detailed data can be checked?

● Can fiscal and other accounting data be maintained on a cumulative basis to eliminate last minute workloads?

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● For historical, progress, and other documentary-type reporting, is a brief running account of significant events and accomplishments maintained to avoid trying to "think back" over the period?

● Do graphs and charts reflect cumulative data? This is, is information added to the same reproducible master each reporting period?

● Do reproduction masters (Ditto, multilith, stencil, etc.) contain the maximum amount of preprinted data?

● Can data be recorded for photographic reporting, e.g., maintained currently on flex-o-line strips, "menu boards," or production control boards?

● Can machine tabulation procedures be used?

● Are reports that are self explanatory forwarded without transmittal correspondence? Reports are considered self explanatory if submitted on forms containing spaces for 'To,' 'From,' and the signature of the signing official.

SUMMARY

I. Plan your analysis, keeping in mind those reports that are interrelated.

2. Determine management's basic needs for reports.

3. Assure that the following essentials of a good reporting requirement answer these needs...

   ✓ Realistic reporting frequency.

   ✓ Practical due date.

   ✓ Efficient format.

   ✓ Clear and complete written directive.

   ✓ Realistic requirements for copies.

4. Ensure that reports are prepared and submitted by the most efficient means.

   If these points are considered, you can be assured of...

   FEWER REPORTS, BETTER REPORTS, AT LESS COST!

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LETTEREX

WHAT IS IT?

LETTEREX IS TISSUE STATIONERY WITH A SHEET OF ONE-TIME CARBON PAPER ATTACHED. ITS USE SPEEDS TYPING OPERATIONS AND REDUCES CARBON SOILAGE OF HANDS, STATIONERY, AND CLOTHING. NEATER TYPING PRODUCTIONS REQUIRING LESS PREPARATION TIME ARE THE NATURAL RESULT.

HOW IS IT USED?

LETTEREX IS ASSEMBLED FOR TYPING IN THE SAME MANNER AS REGULAR STATIONERY; THAT IS, SIMPLY GATHER AS MANY SHEETS AS THERE ARE REQUIREMENTS FOR COPIES. ALINE THE BOND ORIGINAL AND LETTEREX AT THE TOP BEFORE INSERTING IN THE TYPEWRITER. WHEN READY TO REMOVE CARBONS, SIMPLY PULL FROM THE TOP, HOLDING THE ORIGINAL AND COPIES BY THE EXTREME LOWER MARGINS. DO NOT SALVAGE THE CARBONS--THE TIME SPENT WILL OFFSET TYPING SAVINGS.

WHAT STOCKS ARE AVAILABLE?

PRESENTLY LETTEREX IS STOCKED IN SINGLE SHEETS ONLY, IN WHITE, GREEN, AND YELLOW. SHOULD YOU CONSIDER IT PARTICULARLY ADVANTAGEOUS TO USE PREASSEMBLED SETS, CONSIDERATION WILL BE GIVEN TO PROCURING LETTEREX IN THIS FORM. CONTACT THE REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH, MANAGEMENT STAFF, EXTENSION 3742. A REPRESENTATIVE WILL BE PLEASED TO DISCUSS ANY OF YOUR CORRESPONDENCE PROBLEMS WITH YOU.

K

Exhibit K

CORRESPONDENCE
MANAGEMENT
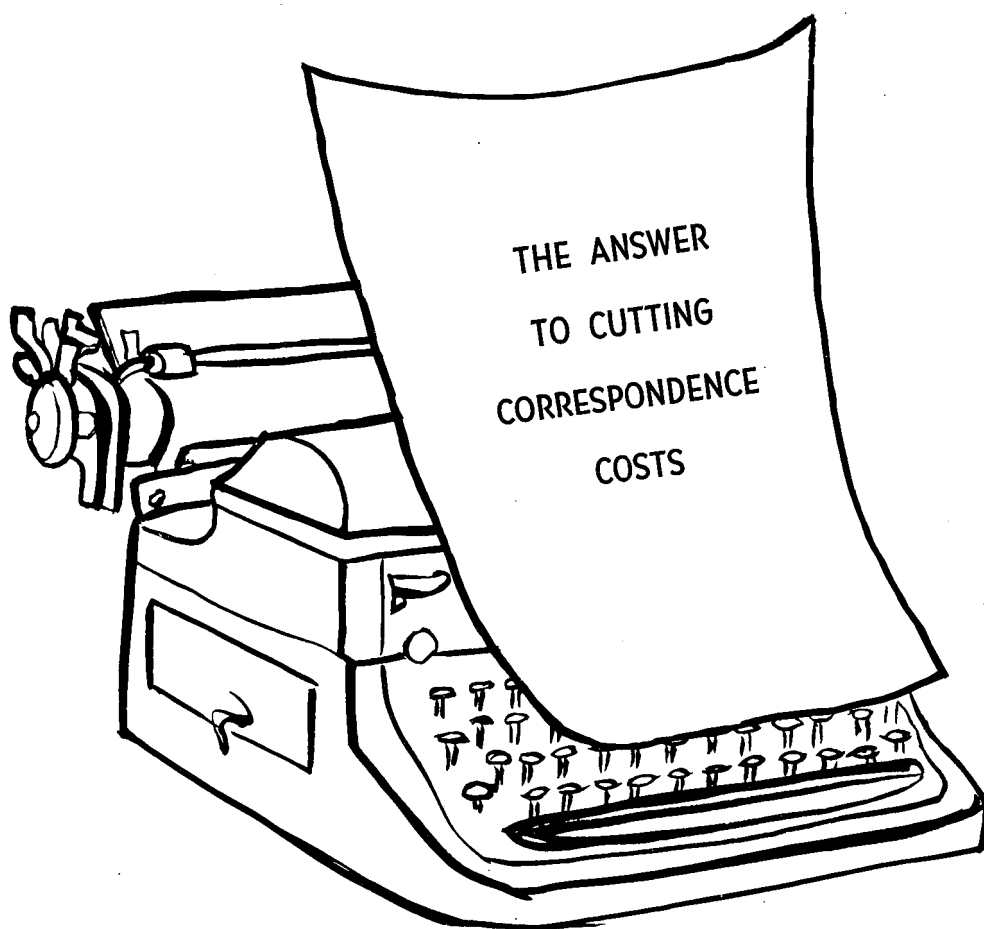
THE ANSWER

TO CUTTING

CORRESPONDENCE

COSTS

MANAGEMENT STAFF
RECORDS MANAGEMENT DIVISION
NOVEMBER 1954

L

CORRESPONDENCE MANAGEMENT

Is a continuing program to stream-
line and improve our correspondence
through. . . .

1. Efficient style standards,
   and procedures.

2. Substitutes for costly
   dictated or drafted
   correspondence

3. Effective writing techniques
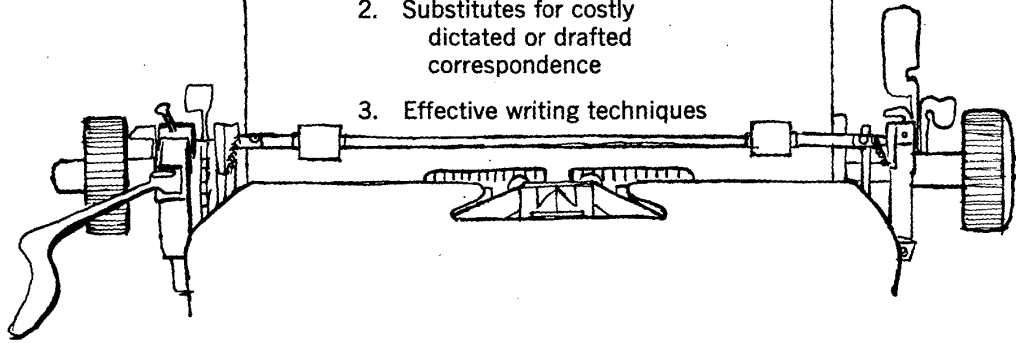
THE RESULTS...

▶ BETTER correspondence prepared by speedier, simpler, and more eco-
nomical means.

▶ LESS correspondence to manage, dispose of, and store.

CORRESPONDENCE MANAGEMENT IS A PREVENTIVE AND CORRECTIVE TOOL TO BE AP-
PLIED AT ONE OF THE MAIN ROOTS OF OUR RECORDS CREATION PROBLEM. THUS IT
IS A VITAL PART OF THE AGENCY'S RECORDS MANAGEMENT PROGRAM.

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HOW DOES CORRESPONDENCE MANAGEMENT MEET THE RECORDS CREATION PROBLEM?

The written word is expensive! Drafted or dictated correspondence costs from $1.50 to $2.00 per page. A glance at your reading files (and some simple multiplication) will quickly tell you that a major cost is involved.

BUT CORRESPONDENCE COSTS CAN BE CUT!

▶ Rewrites and retypes can be avoided.

▶ Routine dictated or drafted correspondence can be replaced by less expensive substitutes.

▶ The creation of nonessential copies can be prevented.

Here's how you can make correspondence management work for you.

1. ADHERE TO AGENCY STYLE STANDARDS AND CORRESPONDENCE HANDLING PROCEDURES.

   Uniformity is essential to efficient correspondence operations. It prevents confusion and misunderstanding and thus speeds work production. Faster training and increased utilization of personnel also result.

   Agency correspondence standards provide this uniformity. They were adopted from many tested systems and a consideration of Agency-wide preferences and needs. These standards will be revised when necessary. You can help! Your suggestions for their improvement will always be welcome.

2. STRIVE FOR A STREAMLINED EFFECTIVE WRITING STYLE. Here are a few tips.

   USE...

   > Short words--about 165 syllables to 100 words.
   > Short sentences, averaging 17 to 23 words.
   > Personal references whenever possible.
   > The ACTIVE rather than the passive voice.
   > A clear, concise, sinewy sentence structure.

   AVOID USING...

   > Annoying governmental jargon, trite phrases, and obsolete expressions.
   > Flowery or 'high hat' language.
   > Negative statements.
   > The overworked preposition.

- 2 -

APPLY...

The four "S's"--Simplicity, Sincerity, Shortness, and Strength.

Concise, clear writing has a far reaching effect. Less time is needed to read and understand it. Misinterpretations are avoided; good relations are maintained. We can't all be literary masters. We can strive, however, to rid our writing of the more common barriers to effective communication.

3. USE FORM LETTERS (OR MEMOS) AND PATTERN CORRESPONDENCE WHENEVER POSSIBLE. They eliminate...

UNNECESSARY
DICTATING

UNNECESSARY
TYPING

UNNECESSARY
REVIEWING

UNNECESSARY
FILING

They speed up operations and simplify training by standardizing repetitive procedures.

4. USE A LESS EXPENSIVE SUBSTITUTE FOR TYPEWRITTEN CORRESPONDENCE WHENEVER POSSIBLE.

Is a typed memo always necessary? If not, dash off a note by hand on Standard Form No. 64 (the blue half sheet Office Memorandum) or on a transmittal slip.

How about those transmittal memos you've been using? Are they all necessary? Perhaps a hand-filled "buck slip" will do. Or better still, consider revising the format of the material being transmitted to provide spaces for "To," "From," and "Signature," and eliminate the transmittal correspondence entirely.
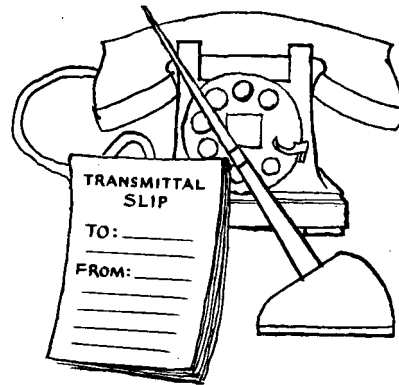
Does every instruction or decision have to be in writing? Let's handle more of our routine business by telephone, or personal contact if convenient.

- 3 -

5. BE SURE EVERY COPY IS NEEDED.
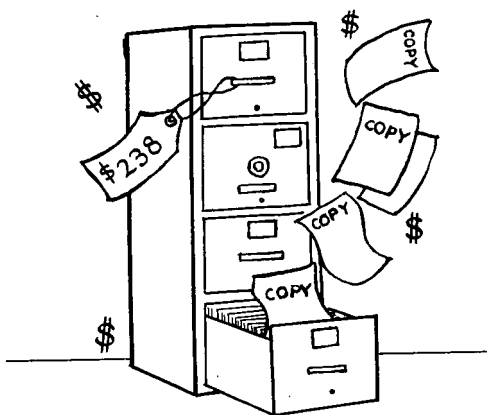
Copies are costly! They add to the volume of records the Agency must handle, store, and dispose of. They slow down typing operations. Often typing and proofreading time is doubled when that "one extra copy" makes two typings necessary. Put a price tag on each copy. Route a single one to several offices if time and circumstances permit.

COUNT YOUR COPIES; MAKE YOUR COPIES COUNT!

HOW IS CORRESPONDENCE MANAGEMENT ADMINISTERED?

It is proposed that correspondence management be administered throughout the Agency on a decentralized basis--that is, through area programs serving specific components. The Reports and Correspondence Management Branch, Management Staff, will provide staff guidance in planning and conducting these area programs.

Let's briefly see how an area program is conducted.

STEP 1 - PLAN YOUR FACT FINDING

You'll need to get facts by several means. Consider these methods in your plans...

▶ An inventory of unanswered correspondence.

▶ Employee interviews.

▶ Observations of the flow and handling of correspondence.

▶ Analyses of sample correspondence. Two sources are generally available--reading files or extra copies collected over a sampling period.

- 4 -

STEP 2 - GET ALL THE FACTS

You'll want answers to the following questions about your correspondence...

How does it flow to and from your office? What is the average time lapse between its receipt and the release of a reply or acknowledgement? What percentage is dictated or drafted? How much is of such a repetitive nature that form or pattern correspondence could be used? Upon review, what percentage is returned for rewrite or retype? To what extent is it below average in quality? How much could be replaced by informal notes or personal contact? Are unnecessary copies being prepared?

STEP 3 - ANALYZE AND IMPROVE

Look for ways to remove these barriers to the flow and production of correspondence...
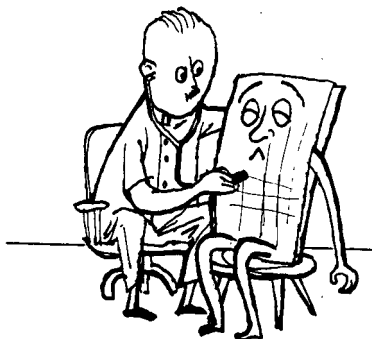
Nonessential control, review, and concurrences.

Undefined quality standards.

The preparation of nonessential copies.

Nonconformance with standard Agency styles and correspondence handling procedures.

Your analysis will also disclose how form letters (or memos.), pattern correspondence, and other cost-cutting substitutes for dictated correspondence can be used. With standards furnished by the Management Staff you will be able to determine writing faults and how to correct them. Plans for a continuing correspondence management program should also be laid.

Correspondence management, like a prescription, contains several remedial ingredients. A Staff member will be pleased to discuss correspondence management with you and recommend a program to meet your needs. Call extension 3742.

- 5 -

RESTRICTED
Security Information

NOTICE ███████████

█████████████

25X
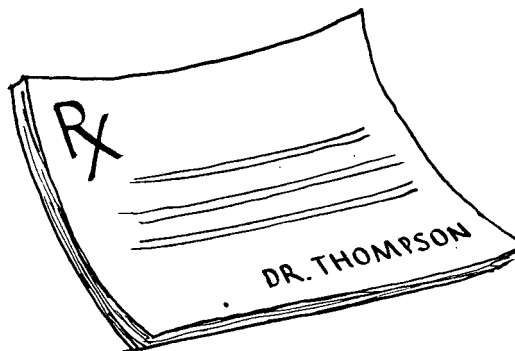
LOGISTICS
12 October 1953

SUPPLY

STANDARDIZATION OF FILING SUPPLIES

1.   Standardization of the specifications on supply items of general Agency usage will effect substantial economies in procurement and stock-keeping. Such standards have now been established for the following filing supplies:

Item	Stock No.
a. Card, guide, file, pressboard, angular metal tab, 1/3 cut with lower projection:	
(1) 1st position, legal	7530-005-4440
(2) 2nd position, legal	7530-005-4441
(3) 3rd position, legal	7530-005-4442
(4) 1st position, letter	7530-005-4433
(5) 2nd position, letter	7530-005-4434
(6) 3rd position, letter	7530-005-4435
b. Insert, metal tab for 1/3 cut guide cards	7510-005-4443
c. Folder, file, kraft, square cut, plain tab, reinforced, 11 point:	
(1) Legal-size	7510-005-4436
(2) Letter-size	7510-005-4437
d. Folder, file, kraft, square cut, plain tab reinforced, 11 point, with fasteners in 1st position:	
(1) Legal-size	7510-005-4438
(2) Letter-size	7510-005-4439

1

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M

Exhibit M

25X1A

RESTRICTED
Security Information

NOTICE
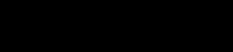
LOGISTICS
12 October 1953

Item   Stock No.

e. Folder, file, kraft, square cut,
    plain tab reinforced, 11 point,
    with fasteners in 1st and 3rd
    positions:

    (1) Legal-size   7510-005-4920

    (2) Letter-size   7510-005-4921

2. Offices should continue to requisition the file folders and
guides they are currently using. When present supply stocks are exhausted,
requisitions will be filled with the above standard items. Requisitions
thereafter should specify standard items.

3. Nonstandard items may be requisitioned only where special use
requirements exist. At such time as the Logistics Office notifies Agency
Offices that present supplies of nonstandard items are exhausted, requisi-
tions for nonstandard items shall be accompanied by written justification
to the Logistics Office concurred in by the Records Management and Distri-
bution Branch, General Services Office. Present usage of a specific type
of folder or guide is not of itself considered sufficient justification
for deviation from the established specifications.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE
Acting Deputy Director
(Administration)

DISTRIBUTION: AB

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Security Information

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LOGISTICS
13 November 1953

SUPPLY

PROCUREMENT OF LETTER- AND LEGAL-SIZE FILING CABINETS

1. Effective upon publication of this Notice, the following standards are established for the procurement of letter- and legal-size filing cabinets.

    a. Cabinets without locks. Procurement of correspondence type filing cabinets will be restricted to standard five-drawer legal- or letter-size cabinets. The cabinets established as standard are equipped with guide rods and have 24-inch drawers. Requisitions for legal-size cabinets will not be honored unless accompanied by a justification stating that an estimated 20 percent or more of the material to be filed therein is of legal size. If it is estimated that less than 20 percent of the material is of legal size, the justification should state the reason why letter-size cabinets cannot be used.

    b. Cabinets equipped with combination locks. Purchases will be limited to the standard four-drawer combination lock legal- or letter-size cabinets, depending upon the size of the record material to be filed. Requisitions for the legal-size cabinets will include a justification such as described in paragraph a. above. The cabinets will be of a standard and type to meet the security requirements of the Agency.

2. Where feasible, the files of organizational units should be centralized and various series of files combined so as to permit the use of correspondence type filing cabinets without locks in vault areas instead of the expensive type of equipment with a combination lock. The approval of the Security Office is required for the establishment of a vault area.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE
Acting Deputy Director
(Administration)

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Exhibit N

CENTRAL INTELLIGENCE AGENCY

SECURITY DESK TRAYS PRESENTED FOR YOUR USE AS
A FEATURE OF THE AGENCY'S RECORDS MANAGEMENT PROGRAM

Security Desk Trays
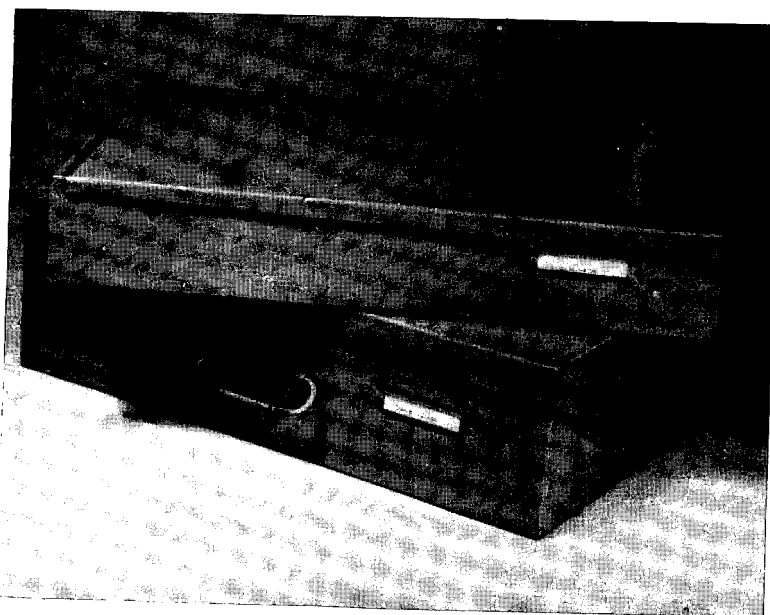
The security desk trays shown above, were developed by the Agency for the storage of your day-to-day working papers. They offer a number of advantages over the standard open-top trays and their general use throughout the Agency is recommended. Please review the advantages illustrated on the succeeding pages. Your Area Records Officer will be glad to discuss your problems and procurement and use of the boxes with you. Additional information may be obtained by calling the Records Services Division, GSO, Extension 3809.

Exhibit O

Daytime Use of Security Desk Trays by Secretaries,
Clerks, Analysts, Supervisors and Executives

Security desk trays are the same general size as the usual open-top desk trays but are available in both 2½" and 4" depths. The 4" box is provided for persons whose work requires the retention at hand of more material that can conveniently be packed in a regular desk tray when putting current work away for night storage.

The trays will be available in both gray and mahogany-toned steel. Both top and bottom are covered with a nylon padding to prevent marring and scratching desks. The top is removable and is easily put out of the way by placing under the tray when in use.

The top is equipped with a pick-resistant key lock for protection when the user is momentarily away from his desk. However, this does not eliminate the necessity for complying with existing security regulations concerning the guarding and handling of classified documents.

Consolidated Night Storage in Safe Cabinets
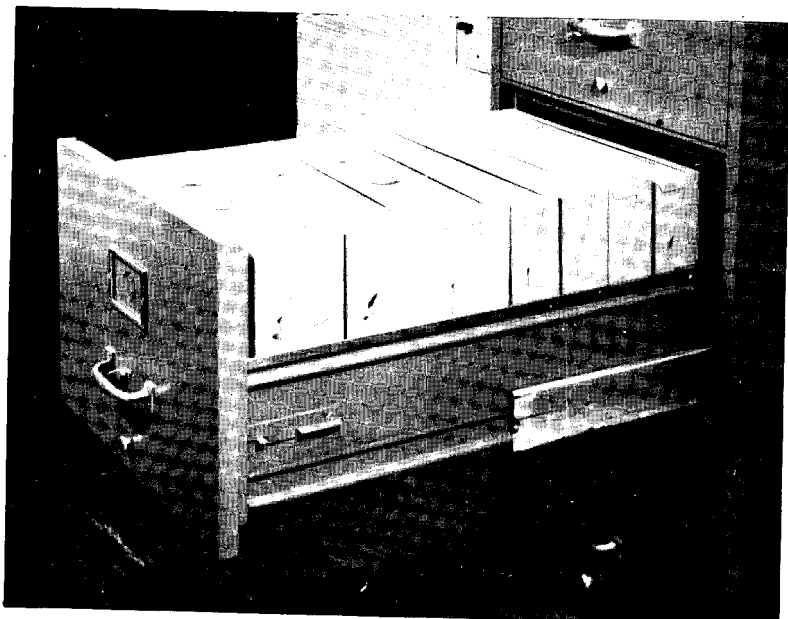
In offices where vaulted areas are not available, security desk trays permit the overnight storage of material for from 6 to 9 persons in a single safe drawer, dependent on the size boxes used. There is a name plate on the side for the ready identification of the individual users.

A considerable portion of the drawer space of all safe cabinets are used for overnight storage. An honest effort to reduce overnight storage requirements will afford considerable economies in the Agency's procurement of additional safes and will make your office more comfortable by reducing the space required for new safes or by permitting the transfer of unneeded safes.

Overnight Storage of Security Desk Trays in Vaulted Areas
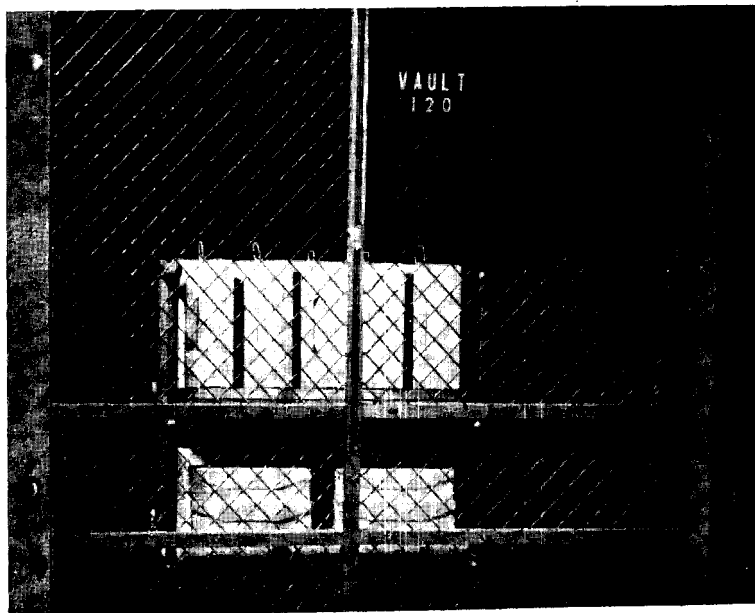
When vaulted areas are available or can be established, it is strongly recommended that they be used for the overnight storage of day-to-day work papers of nearby personnel. This will eliminate the uneconomical use of expensive safes and reduce security risk through the reduction of the number of locks that can be left open. The pick-resistant locks on the boxes are an assurance to the users that their material cannot be tampered with or examined by other persons having access to the vaulted areas after hours or during the users absence.

Background Briefing Outline for
Records Disposition

I. What to we mean by records disposition

    1. Definition of "disposition" in records work

        a. to retain

        b. to transfer

        c. to destroy

II. Why we need records disposition

    1. To control volume *1774-1860 -100,000 - 1960 24M*

    2. To cut maintenance and operating costs

    3. To insure preservation of records that should be retained.

    4. To provide for periodic destruction of records of temporary value.

III. Historical development and legal background of the Governments'
disposition program.

    1. 1789 - Act of Congress provides for "record keeping".

    2. 1889 - First records disposition Act.

    3. 1912 - Act ammended to provide review by Librarian of Congress.

    4. 1934 - National Archives Act. (list of records).

    5. 1943 - Records Disposal Act. (list and schedules).

IV. Establishing a records disposition program.

    1. The Records Officer - staff and line

    2. Records inventory

    3. Records scheduling (General schedules)

    4. Records Evaluation (National Archives)

    5. Records Center

V. Operating a records disposition program.

1. Destruction in the office - line.

2. Records Retirement (role of the Center) - line

3. Post Audit of schedules - staff.

4. Review of requisitions for file cabinets - staff.

5. Annual Disposition Report to Staff.

Suggested reading

1. Beers, Henry P., Historical Development of the Records Disposal Policy of the Federal Government, The American Archivist, 1944.

2. Records Disposal Act, 1943.

3. Disposition of Federal Records, National Archives Publication No. 50-3, GPO, 1949

4. Schellenberg, T. R. The Appraisal of Modern Public Records, National Archives Bulletin No. 8, 1956.

5. Federal Records Act of 1950.

6. Regulations of the General Services Administration, Title 3, Federal Records.

-2-

Background Briefing Outline for File Systems,
Equipment and Vital Materials

I. The Agency Filing System

1. Subject Numeric therory.

2. System simplifies reference

3. System cuts down on training time.

4. System permits breaking of files.

II. File Equipment.

1. Good utilization waawnrial *essential* in a good RM program

2. Review of requisitions.

3. Selling new ideas - shelf files- Vaulted areas- use of excess stock.

4. Assistance in setting up new installations.

III. Vital Materials

1. Definition of VM (vs. inactive records).

2. Deposit schedules.

3. The Vault operation.

Slide No. 1   Four Bases for Evaluating Records

What are records worth?   How do we evaluate them?

1.   Evaluation - placing records on a scale of future use.

2.   Values that records have

    1. legal

    2. admin.

    3. Historical

    4. Fiscal

3.   Not one of these values necessarily stands by itself.

    1. contract file

4.   Evaluation is important and not easy - much can be at stake.   There

    are no push button solutions.

5.   No records are <u>absolutely valueless.</u>

    a.   Bulk - cost of keeping vs. relative value.

        <u>OSS Files in NA</u>

        <u>Personnel Files</u>

        <u>Census Files</u> - (Helen Moore)

Start this presentation with <u>slide # 6</u> - to introduce permanent + temp records - this leads into <u>slide # 1</u> - How do we determine P & T records?

End presentation with <u>slide # 7</u>

<u>Slide No. 2</u> Administrative Value

1. Value in carrying on the work of the Agency.

2. Value may be long or short depending on purpose served.

    a. <u>Long term:</u> Regulations - Directives - legal opinions - leaves - titles

    b. Short term: Operating level records that are <u>duplicated</u> or <u>essentially duplicated</u> at a higher level.

3. Duplicated Records (Exact copies)

   (Where record copies are retained elsewhere)

    a. <u>Regulations</u>, N_otices, Handbooks.

      (destroy when superseded or obsolete)

    b. <u>Dispatches</u> - Cables - information copies - Chronos

    c. <u>Reports</u> - finished intelligence - ORR, OSI, etc.

    d. <u>Exception</u> - Two files of duplicates sometimes retained - area - subject. (Bob Hahn)

4. Essential Duplication - <u>essential</u> <u>similarity</u> <u>of</u> <u>content</u>

    a. <u>DD/P Support records</u> - essentially documented in parent component files.

    b. <u>Drafts and Manuscripts</u> of finished NIS. NA has agreed that we need retain only the finished product

5. Duplication goes beyond Agency.

    a. <u>State Department Reports</u> - record set retained by State - ours should be disposable.

    b. <u>Essential or partial duplication of information collected within intelligence community.</u>

6. Controls on pending actions - short term value.

    a. logs and tickler files.

Slide No. 3 "Fiscal Value"

1. This is a monetary value.

   a. Budget files - Expenditure files - general ledgers - Vouchers
      and other supporting papers.

2. Fiscal Value is a type of administrative value but such records are
surrounded by special considerations - evaluation to great extent has been
done for us by NARS.

   a. Form and content dictated

   b. Record keeping standardized-common to all Agencies

   c. Across the board disposition standards developed by NARS

   d. These standards are applied in Agency (Question: H. M.)

Slide No. 4   "Legal Value"

1. Records can have this value to the Government, individual citizens or corporations.

2. Duration of legal value varies with kind of legal point involved.

    a. Indefinite-enduring legal value in laws of U.S. and their interpretation.

    b. Real estate records - can have long term value.

    c. Contracts - value declines sharply after settlement-statutes of limitation.

    d. Personnel Folders - retirement rights of individuals (75 years)

    e. Military Service records - individual and Government rights involved for more than one generation.

3. Legal values must be determined

    a. In some cases records analysts may recognize this value from experience or personal knowledge

    b. Where any doubt exists consult the General Counsel.

Slide No. 5. "Historical Value"

1. Records tell a story that enables us:

    a. to reconstruct the activities of the Agency.

    b. to studye the past

    c. to furnish data for new findings.

2. The story they tell can be important to

    a. The Agency

    b. Other Agencies or Congress

    c. Scholars

3. Agency Application

    a. Reconstruct Activities

        (1) Historical Staff Studies on past organization, methods and

           value of product.

        (2) ORR Activities

           Regulations and internal directives spell out organization and mission

           To's show what kinds of people and how many were used to do the

           job.

           Correspondence files of the Office fill in details of how and

           why the job was done.

           Finished intelligence reports show what was done.

    b. Study the Past

        (1) Information gathered in carrying out an Agency function can

           have values completely different from those for which it was

           collected.

        (2) WPB files transferred to IR

        (3) Agency use of Mission to China WW II records in NA- microfilmed them.

        (4) Agency use of WW I State Department files in NA to secure a book
           on Manchuria.

    c. <u>Furnish Date or Information</u> for developing new findings

and conclusions.

    (1) Assessment and evaluation studies and statistics.

    (2) Special studies and research by Medical Staff.

    (3) Trade craft accumulated in operations - historical library.

4. What records are likely to have "Historical Value"?

    a. Both Top Management and Operating level records.

    b. In our Agency we can't assume that the higher the organization the

greater the historical value of its records.

<u>Cite</u>: Rescheduling of DD/S records

    c. The records analyst in evaluating records from a historical point

of view must <u>constantly</u> ask himself the question: <u>"Are these</u>

<u>records necessary to an understanding of the operations of the</u>

<u>Agency, or are they adequately incorporated or summarized in records</u>

<u>at a higher level:"</u> Do high level records tell why the action was

taken and how it was taken, or must they be supplemented by records

down the line?

Slide No. 6. "Sample Records Control Schedule"

1. When permanent and temporary records have been identified you
    are ready to publish your disposition plan.

    Problem:

    a. Give one example of records that may have historical
        value. Select records created in your own Office.

    b. Give reasons for your selection.

Slide No. 7   Disposal Plan Must Not List out of Date

(1) Schedules are not fixed and unchangeable

(2) Circumstances require periodic review of schedule.

HOW CAN WE IMPROVE OUR SCHEDULES AND DISPOSITION PROGRAM?

1. By <u>refining</u> your program and schedules.

2. By simplifying your ~~program~~ *schedule* in order to remove any "bugs".

3. By <u>applying</u> your ~~program~~. *schedule*.

<u>Card No. 1 - "Refine"</u>

1. Annual inventories of ~~new~~ *no* words and a personal audit of your program will reveal needed refinements.

<u>Card No. 2 - "Match Inventory and Schedule"</u>

<u>Card No. 3 - "Complete Schedule Coverage"</u>

1. Are all records covered by schedules?

2. Were some files <u>missed</u> on the <u>first inventory</u>?

3. Are some files no longer created?

4. Have new functions created new records?

<u>Card No. 4 - "Clarify Scheduled Items"</u>

1. Are <u>descriptions</u> clear

   a. <u>Title</u> <u>of</u> <u>File</u> - (Personnel Folders or Personnel Travel Folders)

   b. <u>One</u> <u>line</u> <u>descriptions</u> seldom adequate. (Chewing gum wrappers indicate range of flavors, color of wrappers and trade names represented.)

      <u>Case Files</u> - what kind?

      <u>A d min Files</u> - whose-what kind?

2. Are <u>disposal instructions</u> clear?

    a. Permanent and Tmeporary - Screen out and destroy temporary material. Transfer permanent material to Records Center.

    b. Retain or destroy.

    c. Case files - destroy after 2 years - 2 years after what?

Card No. 5 - Plan File Breaks

1. The <u>file break</u> or <u>cut off</u> is one of the <u>most important</u> aids to records disposition.

2. <u>File break</u> means - <u>stop filing</u> on a <u>given date</u> or upon occurance of a <u>specified event</u> in an established file - and begin a new file.

    a. Chrono File - easy to break.

    b. Subject File - break annually.

    c. Personnel Files, Contract Files, Project Files - remove to inactive file after occurance of a specified event. (Question: Bill Vaughn or Source files.)

    d. <u>Files not broken are not manageable.</u>

    e. File breaks should be shown in your records control schedule. Temporary - Destroy after 2 years. <u>Break files annually</u>; hold 1 year, then destroy.

Card No. 6 - "Determine Transfer Date"

1. Schedule indicates period of time to elapse before transferring to records center.

2. Study <u>growth</u> of files - try to schedule transfers of no less than 1 cubic foot.

Card No. 7 - "Simplify"

1. Faults and weaknesses appear in the best of schedules with the *~*
   passage of time. *Are instructions adequate and easy to interpret.*
2. Sometimes we knowingly include a weakness in order to get schedule
   completed. "Temporary - Retain in Office indefinitely. (Destroy
   after death of Miss Grimsly.)

Card No. 8 - "Reduce Retain Items"

1. Retain items means permanent items. (forever)

2. GOV. 26%   CIA 16%

3. Permanent tag is easy way out of a difficult decision in starting
   a disposition program.

4. Question retained items - are they worth keeping more than 500
   years?

Card No. 9 - Shorten Retention Periods"

1. Uncertainty results in longer retention periods than may be necessary.

2. *Laws* tell us how long we must keep some records.

3. Where administrative needs alone determine retention periods -
   reexamine.

Card No. 10 - "Avoid Screening"

1. For these reasons:

    a. Costly - $3.50 per cu. ft. ($1.00 cu. ft.)

    b. Dosen't get done - hence records accumulate.

2. Screening may be justified if:

    a. 60% of files can be destroyed.

    b. It prevents permanent retention of large percentage of *low grade*
       records.

3. <u>Prevent screening</u> by installing a good file system.

<u>Card No. 11 - "Separate Temporary and Permanent!"</u>

1. <u>Separation</u> avoids screening.

 a. Personnel Folders - left side.

 b. Subject Files in ORR - blue tab for permanent material.

 c. TVA - Army

<u>Card No. 12 - Uneeded Filing</u>

1. Drop in <u>wastebasket</u> as well as "<u>file</u>" box.

 a. Notices to employees.

 b. Extra copies of memos, cables, dispatches used only for informational purposes.

<u>Card No. 13 - "Apply"</u>

1. Disposition program is worthless unless schedules are applied.

<u>Card No. 14 - "Eliminate Nonrecord Material"</u>

1. Purge main files of:

 a. Stacks of internal or external issuances being held because some one may want one.

 b. Rough notes, drafts and other working papers that belong in an individuals working files.

 c. Unused copies of Hand-Books or other publications.

 d. "Personal" files of memos and other _items_ accumulated by individuals.

Card No. 15 - "USE Disposal Authority Promptly"

1. Set a time for disposal action in offices - January, June or both.

2. Try to set a time when activity is slack.

3. Disposal Tickler File - basic tool for control. - *More of this later*

Card No. 16 - "Transfer to Records Center"

1. Transfers - made this a part of your annual or semi-annual file cleanup.

2. Details on transfers will be covered later in the Center.

Card No. 17 - "Review Equipment Purchases"

1. Can reveal situations where schedule is not being applied.

2. Control of equipment and space utilization is the money measure of

Card No. 18 - "Keep Schedule Handy"

1. People responsible for keeping files should have a copy of their schedule.

2. Don't hide schedule in some administrative officers files.

41.

Hand out Worksheet No. 1

The Problem

Whether unneeded papers are being filed and maintained.

Discussion

Abraham Lincoln said he liked the question mark because it "had a hook in it." The answers to the questions on Why and When should be red flags indicating that something is wrong. No real need for the file can be revealed. The work that goes into filing is not rewarded by much use of the file.

The Additional Facts show that this file merely duplicates in part records which are well organized and maintained elsewhere in the division. It is a reference or convenience file of non-records.

Preferred Solution

Dispose of file immediately as non-record.
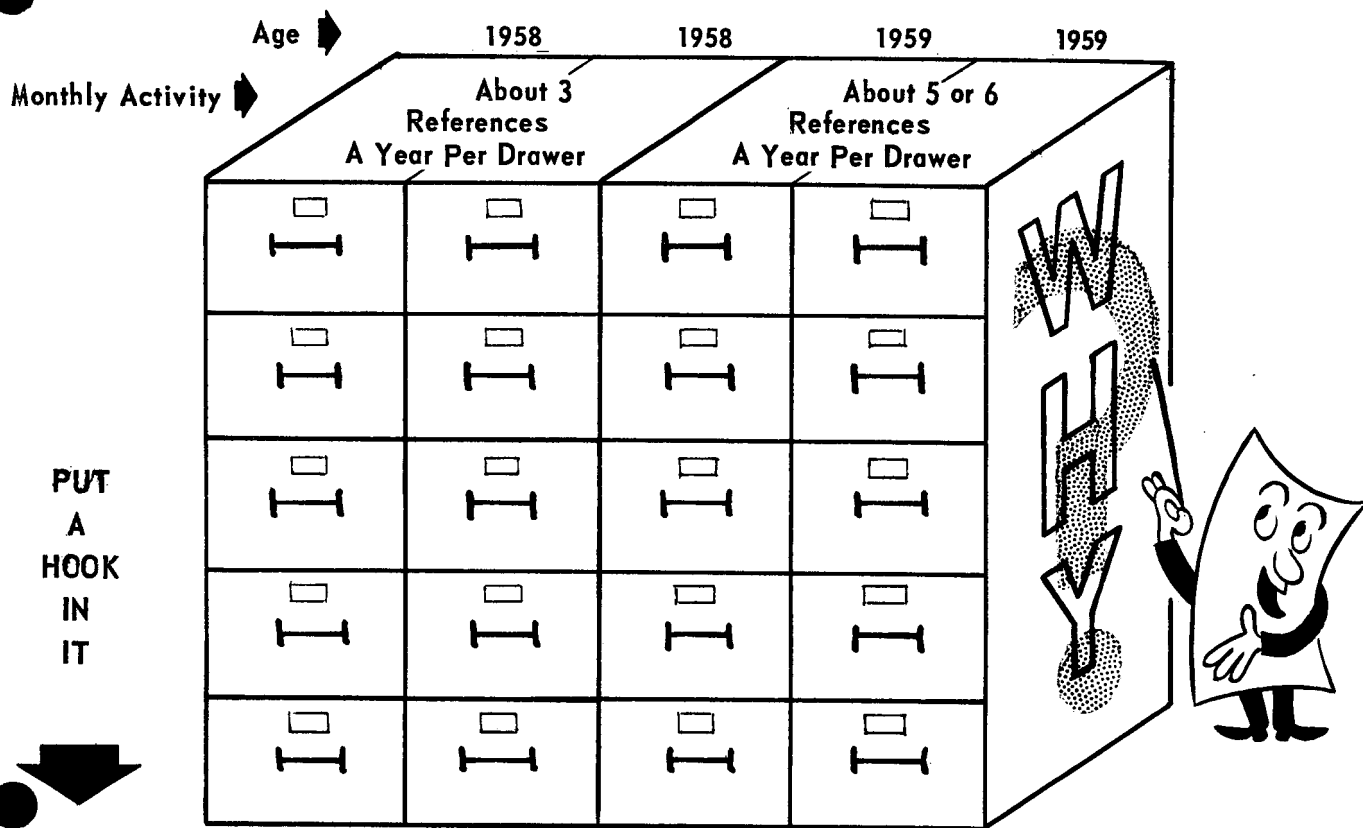
Discontinue file.

Return cabinets to stock.

Results

Cabinets, floor space, paper, and filing time saved.

Number of file copies reduced and valuable secretarial time released for other work.

PREVENT UNNEEDED FILING

Age ▶

Monthly Activity ▶

	1958	1958	1959	1959
	About 3 References A Year Per Drawer		About 5 or 6 References A Year Per Drawer	

PUT
A
HOOK
IN
IT

WHY

?	**WHAT**	are these records?	A DIVISIONAL central correspondence file.
	WHERE	are they located?	In the division director's office.
	WHO	uses these records?	The division director and his secretary.
	HOW	are they used?	To check for previous correspondence when nothing can be found in the SECTIONAL files.
	WHY	are they used?	Sectional files are 6 doors down the corridor.
	WHEN	are they used?	Constantly for filing, infrequently for reference.

ADDITIONAL FACTS: EACH SECTION of the division MAINTAINS A CASE FILE reflecting the official actions of the section. These case files are the key records of the division. They include in them all correspondence, memoranda and reports of the sections. They are filed within year by case number. They are indexed by name and subject.

PLAN YOUR IMPROVEMENT. Indicate on the file cabinets above what should be done with these records. Give reasons for decision below.

43.

Hand out Worksheet No. 2

The Problem

To decide what records in the agency procurement office should be

1. destroyed
2. transferred out
3. kept in the office

Discussion — *Assume we are in Fiscal year '59*

Decisions should follow schedule instructions, if there is one. In this case the records are covered by an agency schedule (Item 7, Work-sheet No. 4). This schedule item is identical to General Records Schedule 3, which provides for the disposal of these records 4 years after the fiscal year in which final payment is made.

Monthly reference figures on top of cabinets show yearly needs for the records.

Records for FY 1954 are no longer used or needed.

Records for FY 1955 and 1956 are seldom used.

Records for FY 1957, 1958, and 1959 are used frequently.

Preferred Solution

FY 1954 - Destroy records

FY 1955 and 1956 - Transfer records to Federal Records Center. (Center can handle one reference per file drawer per month.)

FY 1957 - Transfer records to Federal Records Center at end of current fiscal year.

FY 1958 and 1959 - Keep in the office.

1st, 2nd, and 3rd cabinets - Return to stock.

4th cabinet - Keep in office to start FY 1960 file.

Results

One half of the cabinets removed and still room for next year's file.

No. 2 *44.*

USE DISPOSAL AUTHORITY PROMPTLY —
TRANSFER TO RECORDS CENTERS

Age ➤	FY 1954	FY 1955	FY 1956	FY 1957	FY 1958	FY 1959
Monthly Ref. ➤	No References	One Reference Monthly	Three References Monthly	Fifteen References Monthly	Forty References Monthly	Eighty References Monthly

CONTRACTS

Under $1,000 for supplies, office equipment and services.

Include Invitation to Bid, Statement of Award, Amendments and related papers.

ADDITIONAL FACTS: Records are filed in the agency procurement office. They are used by contract technicians in developing contracts and handling contract problems. Records are not needed 4 years after the fiscal year in which final payment is made. Final payment is made in the year as shown above for each of the file cabinets.

Note on each file cabinet your decision on which records you would DESTROY, TRANSFER, or KEEP IN THE OFFICE as of now.

45.

The Problem

To reorganize a file so that records can be moved out of it quickly and easily without impeding current use of the file.

Discussion

File appears to be needlessly disorganized and disarranged. The <u>Additional Facts</u> show the active files can be grouped into definite categories.

Preferred Solution

Transfer <u>Inactive</u> closed case files to the Federal Records Center thus eliminating one cabinet.

Look over your <u>Active</u> file to see if it can be broken into groups or series to make transfers and disposal easier.

Break file into

    Precedent Rulings. These will be needed in the office for a long time.

    Case File. Can be transferred shortly after the case is closed.

    Administrative File. Of current usefulness only. Can be destroyed in a year or so.

Results

A mixed file is subdivided into 3 groups or series thus making it easier and quicker to use the records as well as to schedule them for transfer and disposal.

Age ➤   (Overall 1946 Through 1959)

MIXED RECORDS

Active	Active	Active	Active
Active	Active	Active	Active
Active	Active	Inactive	Inactive
Active	Inactive	Inactive	Inactive
Empty	Old Shoes	Coke Bottles	Empty
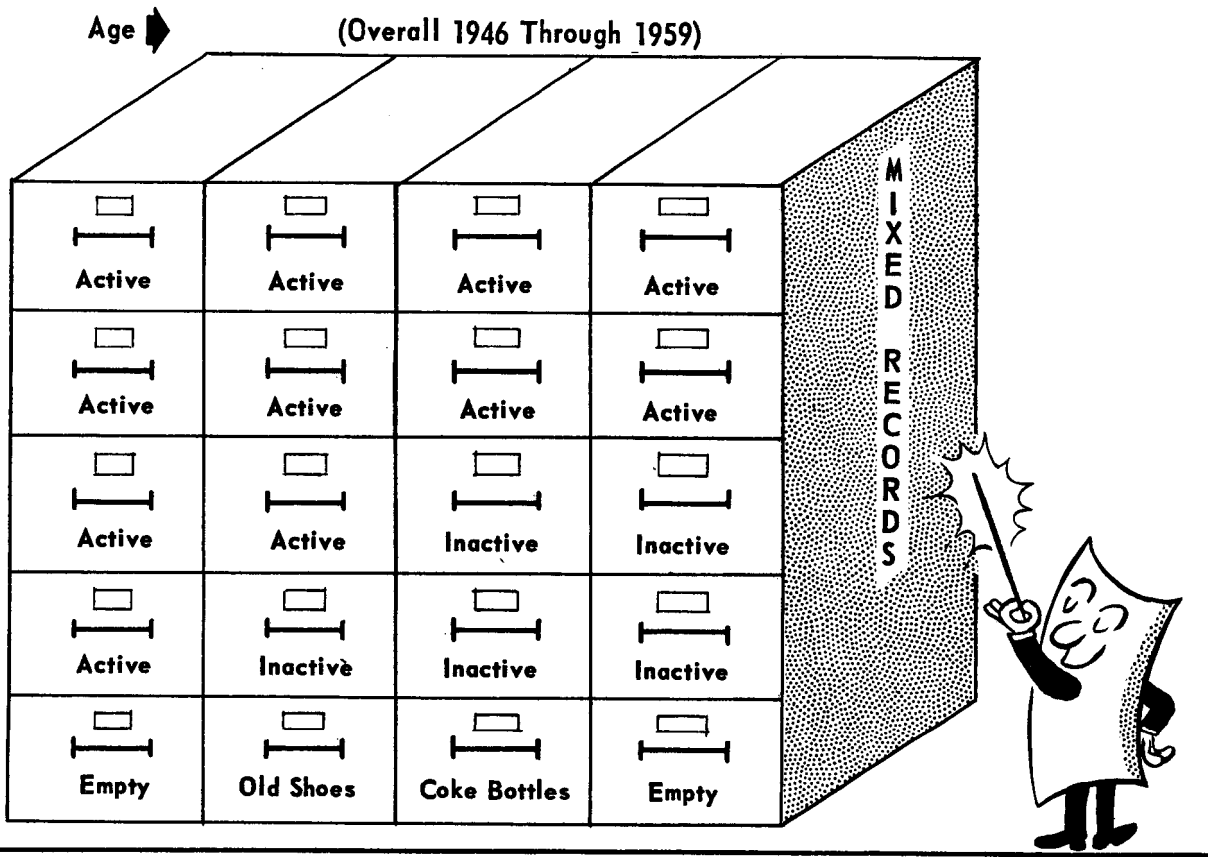
ADDITIONAL FACTS:
This office is responsible for the approval of equipment of all types used in agency projects.

1. Drawers marked "INACTIVE" contain closed case files only.

2. Drawers marked "ACTIVE" contain material which could be grouped into the following classes. The folders are filed alphabetically by subject without any grouping.

 a. Copies of Personnel Records
 b. Budget Papers (Worksheets and copies of estimates used for convenience)
 c. Copies of Reports (including statistical, narrative and work progress reports)
 d. Precedent Rulings (from the General Counsel's Office settling legal questions about the projects and the use of equipment)
 e. Correspondence, etc. (used for reference, containing catalogues and prices lists from manufacturers)
 f. Case Files (cases not yet closed)

WHAT WOULD YOU DO FIRST -

WRITE YOUR DECISIONS ON THE FILE CABINETS AND NOTE BELOW THE IMMEDIATE BENEFITS

YOU HAVE ACHIEVED.

47.ₐ

Hand out Worksheet No. 4

The Problem

To add to an agency's schedule, an item covering a file that is presently unscheduled.

Discussion

On Worksheet No. 4, following the model of items 3, 4, and 7, write schedule item for the Administrative Files, which are not covered. Give:

THE TITLE OF THE FILE, followed by a brief description of the records.

Find out how long the records are needed and then give instructions on retention or disposal. If transfer to a Federal Records Center should be involved, so indicate.

From Worksheet No. 3 and the discussion we have learned that the Administrative File, made up of copies of records filed elsewhere, is used for no longer than 2 years.

Preferred Solution

The new item (No. 5) should read:

5. ADMINISTRATIVE FILE, including copies of personnel records and budget papers maintained for convenience of reference, copies of reports, including work progress, statistical, and narrative, which are prepared in the office and forwarded to higher levels; catalogues, correspondence with manufacturers, price lists, and similar materials.

DISPOSE after 2 years.

Results

You have written schedule items, which when authorized, will allow you to move records out of office space and dispose of them regularly without delay or uncertainty.

Note: If you have written for the Administrative File, "Dispose after 2 years," as do many schedules, see if by what you do on the next Worksheet this can be made even clearer.

48

No. 4

COMPLETE SCHEDULE
COVERAGE

7. **CONTRACTS OF LESS THAN $1,000 FOR SUPPLIES AND SERVICES,** including office equipment supply contracts, and service contracts for public utilities, factual data reports, credit reports, etc. Include Invitation to Bid, Statement of Award, contract amendments and related correspondence.

> **DISPOSE** 4 years after close of fiscal year in which final payment is made.

> **TRANSFER** to a Federal Records Center 2 years after the close of the fiscal year in which final payment is made.

3. **PRECEDENT RULINGS ON THE USE OF EQUIPMENT IN AGENCY PROJECTS.** Includes correspondence leading to request for decision and the decision received from the General Counsel's office.

> **RETAIN.**

These are records of continuing value representing legal interpretations and authority for technical decisions.

4. **PROJECT CASE FILES,** including requests from project supervisors for approval of equipment, technical review data and correspondence with manufacturers, the Bureau of Standards and project supervisors, copies of approvals or disapprovals and related records.

> **DISPOSE** 3 years after the close of case.

> **TRANSFER** to Federal Records Center 1 year after close of case.

5.

49.

Hand out Worksheet No. 5

The Problem

To "break" records so that it is easy to:

1. Apply a schedule and
2. Plan for future accumulations of records

Discussion

Define file breaking for class, and remind it of what was said about breaking files in flannelboard presentation.

Preferred Solution

1st Cabinet - Place Precedent Rulings in top drawer. Leave next drawer for expansion. This leaves plenty of room for some years to come.

Place Project Cases in drawers 3 and 4. Leave drawer 5 for inactive folders.

2nd Cabinet - Break Administrative File into yearly segments. Place 1959 folders in top drawer, 1958 in 2nd drawer, 1957 in 3rd drawer (these can be destroyed at the end of the fiscal year), 1956 and earlier can be destroyed now.

Rubbers and coke bottles can still go in the bottom 2 drawers.

3rd Cabinet - Return to stock.

Item 5 (Worksheet No. 4) can now be changed to read: "Break file each year and dispose of file when 2 years old."

Results of Worksheets 3 and 5

Cabinets reduced from 4 to 2 with room left for expansion. Files broken so that like things are together in 3 series and old papers are not intermingled with new ones.

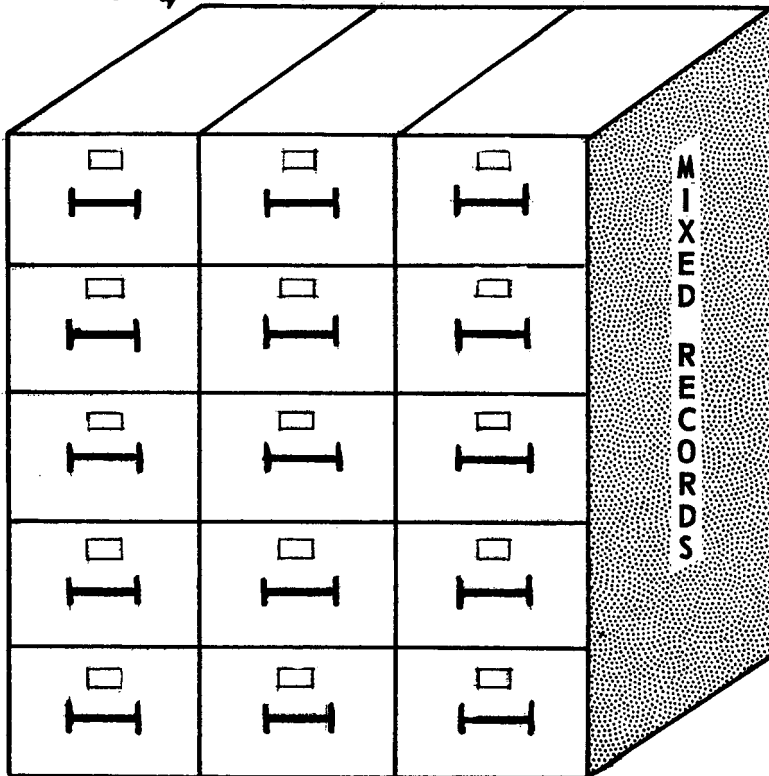9 cu. ft. destroyed in the office, over 1/4th of the previous total.

A transfer of 7-1/2 cu. ft. to the FRC, another 1/4th of the original total.
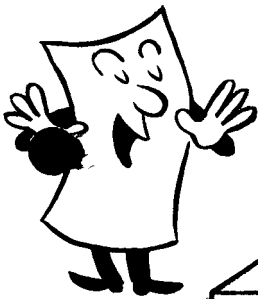
PLAN FILE BREAKS
Avoid Screening
Age ➤   (overall 1946 through 1959)

M I X E D   R E C O R D S

(Refer to Worksheet
No. 3. These are
the records remaining
in the Files after the
Inactive Records were
transferred, and 1
file cabinet returned
to stock)

THESE ARE THE FACTS:

We have three cabinets of records which contain the general subject file marked " ACTIVE" in Example
No. 3.

We have separated the file folders into three groups as they were scheduled:

1. **PRECEDENT RULINGS** (1 drawer)
3. **ADMINISTRATIVE FILES** (8 drawers)

2. **PROJECT CASE FILES** (2 drawers - active)
    There are four empty drawers.

The **PRECEDENT RULING FILES** contain material from **1946** through **1959**. Additions to this file are
infrequent - not more than two inches of file space a year.

The **PROJECT CASE FILES** are dated **1958** and **1959**. They accumulate at the rate of one drawer per
year and become inactive at about the same rate.

The **ADMINISTRATIVE FILES** contain material from **1950** through **1959**. They grow at the rate of one
file drawer per year. They consist of folders under various headings, most of which include within a
single folder material on the subject for several years. For EXAMPLE, any one of the many Work
Progress Report folders would contain material for the entire eight year period.

SIMPLIFY THE FILES. Note on each file drawer the type of file and the year or years of the material
should contain. Note advantages here.

> Slide No. 16 - "YOUR IMPROVEMENT STEPS"

This was announced as a <u>work</u>shop. Part of that work has already come in
solving certain problems. The main work will come, however, in your
carrying out a commitment to improve the disposition of the records now
under your custody.

You are here in the first place because you are the custodian of a body
of files in your agency. The files may be small in volume, only a filing
cabinet or two. Or, the files may be numerous, requiring a good many
filing cabinets to hold them.

Our slide shows us the most probable ways open to us in improving the
disposition of the records under our control. It will be in one or more
of the following eight ways:

     1. Shorten retention period
     2. Schedule unscheduled records
     3. Prevent unneeded filing
     4. Reduce retain items
     5. Eliminate nonrecord material
     6. Break files
     7. Initiate center transfer
     8. Clarify schedule

> Hand out - "RECORDS DISPOSITION IMPROVEMENT REPORT"

At this time let me pass around a copy of the blank form on which you will
report the records disposition improvement, or improvements, you will make
in the next two weeks. This report is mandatory--it is your price of admis-
sion to this workshop.

Note on this form that you agree to bring your files into line with what you
have learned today. You do this by making those improvements which need to
be made. If there are too many improvements called for, you agree to make
at least ~~Approved For Release 2001/08/28 : CIA-RDP74-00390R000100020001-4~~ in detail.