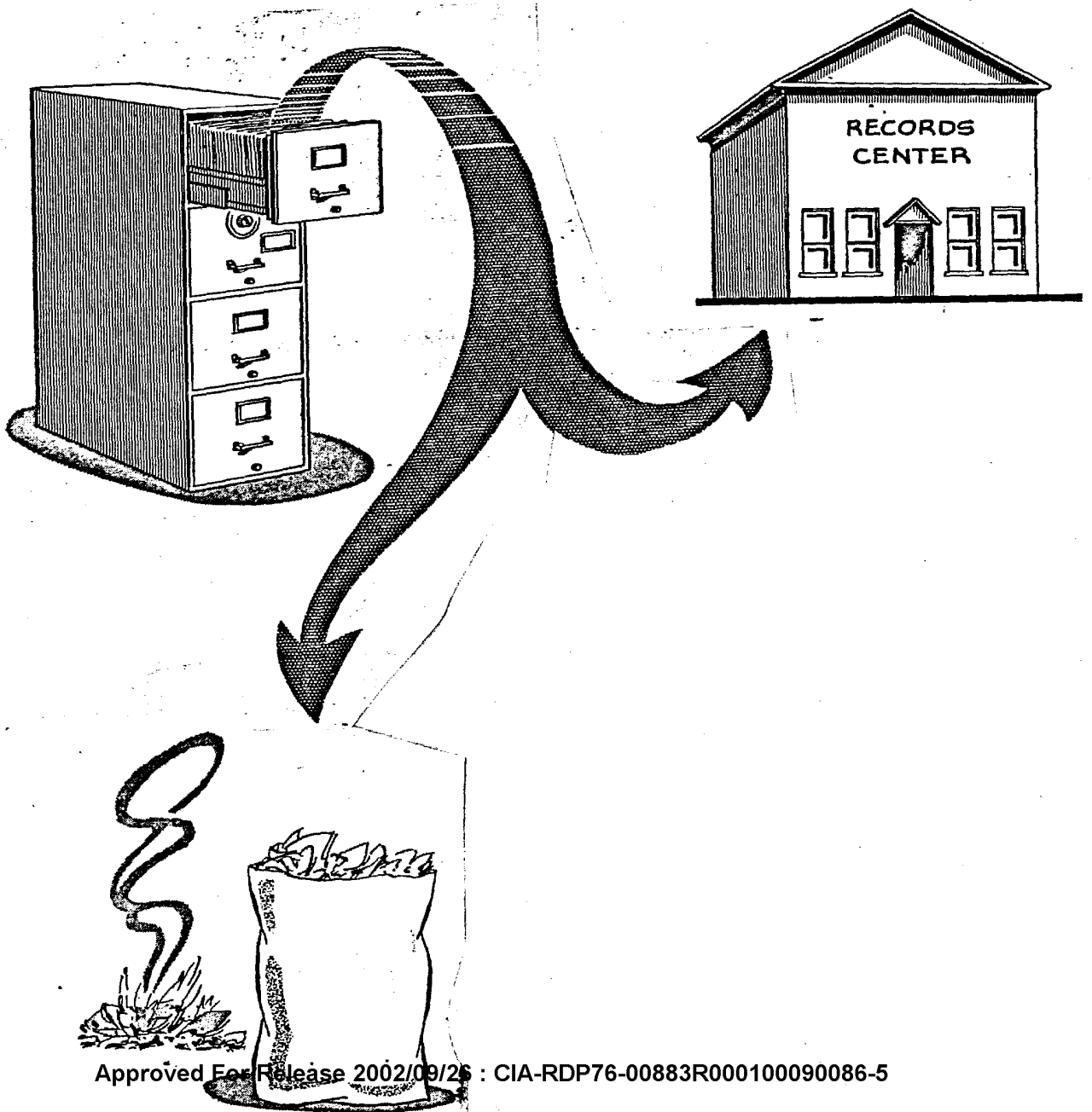


RECORDS DISPOSITION SURVEY AND SCHEDULING



RECORDS DISPOSITION SURVEY AND SCHEDULING

1. Definition - Records disposition is an organized program that provides for the systematic removal of inactive records from office space and their preservation or elimination in accordance with prescribed policies, procedures and legal authorities.
2. Objectives
 - a. The economical and systematic preservation and disposition of records according to Federal statutes and regulations and Agency policies.
 - b. Release office space and filing equipment no longer needed.
3. Method of Accomplishment
 - a. Conduct records disposition survey; obtain background information regarding the organizational structure, functions, and missions, and the flow of work within and between offices concerned.
 - b. Conduct the inventory and record on Form 138, Survey Work Sheet, data needed to determine retention and disposal dates.
 - c. Evaluate records for administrative, legal, fiscal, and historical values.
 - d. Develop records control schedules to provide for the disposition of record and nonrecord material by either permanent preservation, microfilming, destruction, or transfer to Archives and Records Center.
 - e. Obtain approval of schedules from operating officials and the Agency Records Administration Staff.
 - f. Maintain records control schedules up to date to reflect changes in organization.

- g. Conduct periodic follow-up to insure that the disposition of records is being effected in accordance with schedules.
- h. Distribute records control schedules to operating offices.

4. Procedure

- a. Conduct records disposition survey:
 - 1. obtain background information regarding organizational structure, functions, and missions.
 - a. Agency Regulations & Notices
 - b. office Regulations or Instructions and Notices.
 - c. Organization charts
 - d. Previous Studies
 - e. Discuss the records with the operating officials.
 - 2. Secure procedures for information regarding the flow of work within and between offices concerned.
- b. Conduct the inventory and record on Form 138, Survey Work Sheet, data needed to determine retention and disposal dates.
 - 1. Date: The date the inventory or survey is made.
 - 2. Directorate, Office, Division, Branch, and Section maintaining the files.
 - 3. Location of Files: Room number and Building.
 - 4. Name of File: Use title shown on Records Control Schedule, If not schedules, be descriptive in naming the file being reviewed.
 - 5. Custodian: Enter name of person responsible for the files.
 - 6. Description: Enter Records Schedule and item number. If new or non-scheduled series give description of type and use of records in the file.

7. Arrangement of Records Series: Alphabetic by subject, numerical by case number, chronological, etc.
 8. Dates: Enter years only of oldest and most recent documents in the file.
 9. Size: Check appropriate box and enter linear feet of records. (See table to convert linear to cubic feet of various records.) (Measurements should be as simple as possible; figures rounded to the nearest half-foot are adequate.)
 10. Equipment: Check appropriate box or enter under Other and describe in Remarks.
 11. Remarks: Use for safe numbers, details about equipment, or other notes and explanatory information.
- c. Evaluate records for Administrative, legal, fiscal, and historical values. In evaluating records one of the first things we want to do is to become familiar with the General Services Administration's General schedules. There are twenty (20) of these schedules and they cover a large segment of records. These schedules describe the records and show the authorized disposition authority.
- a. Four Bases for Evaluating Records
What is the worth of a particular file or a group of records:
How do we evaluate them.

In evaluating records you are placing them on a scale of future use. The weights on the scale represent the four types of conceivable values which records may have--legal value, which may involve long or short term rights of the Government or of private citizens, enforceable by the courts; administrative value, which involves program use to the agency in carrying on

the public business; historical value, which means the permanent records that will be needed in reconstructing the story of the agency-- its inception, programs, problems, and accomplishments, or that may contain other unique and valuable information; and finally fiscal value, involving recording the financial transactions of an agency, documenting its receipts, expenditures, and relationships with the General Accounting Office, Office of Management and Budget and the Treasury Department.

Not one of these potential values stands by itself. A record may possess more than one of them simultaneously. A contract file, for example, may be not only of legal value but may also have historical value; or, a file of administrative value to the agency which created it may also be of historical value, although this may not be evident while it is in use by the agency.

ADMINISTRATIVE VALUE

A record's administrative value is simply its value in carrying on the activities of the agency or the Government as a whole. Those pertaining to uncompleted actions are of administrative value to the agency, since the loss of them would impede the carrying on of its activities. Those of completed actions, on the other hand, may lose quickly their administrative value to the agency.

The period of time during which a record retains this value may be long or short, depending on the purpose it serves. Certain records, such as directives, orders, regulations, and legal opinions, have long term administrative value because they continue to prescribe and affect the activities of the agency.

The bulk of the records at the operating level have short term value because they are (a) either duplicated or adequately summarized in records retained by top management or other operating level records, or (b) controls on pending actions which are maintained only for operating convenience.

- (a) Records that are duplicated or summarized. Directive files retained among the top management records are usually duplicated in all offices and at all levels while they are needed administratively. When the appraiser knows a record set is maintained permanently, the other office sets should be retained only so long as they are actually used by the individual units.

Similar duplication is frequently found in correspondence, memoranda, and other papers where copies of the same documents are kept at different levels.

Copies of the same reports are frequently in a number of separate files; and when they are published or processed, there may be any number of sets of them. This is true of many scientific reports prepared by the Agency. Here again, after they are no longer of current administrative use a record copy in one designated place is usually enough for the agency.

FISCAL VALUE

Some records have a monetary value--that is, fiscal. They may be budget records, showing how expenditures were planned. They may be voucher of expenditure files of several kinds, documenting the purposes for which agency funds were spent; or they may be accounting records,

created by the agency to make sure its accounts balance, and that it is not spending beyond its appropriated limits.

Fiscal value of a record is really a type of administrative value. But it is so surrounded by special considerations that we will take it up separately. For one thing, the form and content of many of these fiscal records are prescribed by the various staff agencies involved, Bureau of the Budget, General Accounting Office, Treasury Department, General Services Administration, and others. In most instances, only the data on the forms differ from agency to agency.

Since the records look the same everywhere, and are largely created in accordance with the same staff agency directives, their worth, we have discovered, can be determined "across the board". That is, a voucher file in one agency normally should have the same values as a voucher file in another agency. In view of the sameness of value from agency to agency, GSA decided to step in and help agencies make decisions as to the values of their fiscal records. In fact, it has given the agencies, for their use if they wish to do so, tailor-made evaluations of their fiscal records, as well as of other types of administrative records. This GSA has done through the General Records Schedules. By using these schedules, agencies have at once been able to evaluate and properly schedule their fiscal records without a great deal of individual effort.

LEGAL VALUE

Records may have legal values to the Federal Government or to individual citizens, corporations, or even State and other Governments. As in the case of administrative values, the duration of the period during

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which this legal value exists varies with the kind of right or legal point that is involved. There are enduring legal values to the Government in laws and regulations and interpretations of them. Similarly, for the Government as well as others there are legal values to records establishing title to real estate and defining recapture rights or reservations set forth in land titles. On the other hand, the legal values to the Government of contracts and claims records diminish to the vanishing point very rapidly after final settlement of the contract or claim, and cease upon expiration of pertinent statutes of limitations.

Of legal value primarily to individuals are records of naturalization proceedings, of service in the armed forces, and similar records that retain their values throughout the life span of more than one generation. On the other hand, the legal value to individuals of patent records and many court decisions ceases to exist after the patent has expired or the court's order has been carried out. Often, of course, the legal values to the Federal Government and to the individual will expire simultaneously, as in the case of records relating to contracts and to claims by or against the Government.

In order to determine the legal value of a record, a certain amount of pertinent research must be done in the Federal statutes, in agency regulations, and in other provisions which have legal force and effect. Sometimes such research can be done by agency legal personnel, but regardless of who does it, it must be done! Evidence of entitlement to pension and old age and retirement, e.g., must obviously

be considered to have long time legal value, although here the legal value is important for the fiscal value subordinate to it. Other records with long time legal value are military service records, Selective Service registration and classification records, naturalization papers, copies of population census schedules, merchant marine service records, birth and death certificates (in the relatively few cases in which they are created by the Federal Government), homestead entry papers, and records pertaining to Indian rights. On the other hand, the average contract file ceases to have much legal value after the payments under it have been completed and audited by the General Accounting Office.

Many of the records needed to protect the rights of the Government, the agency, or the public fall within the housekeeping class and have a definite life span. Many program records likewise are needed only temporarily to protect Government or public rights. Statutes of limitations on claims, completion of audit, possibility of reopening of cases, and usefulness of the records for investigative or other purposes must be taken into account in establishing the time such records need to be retained. Where research values are present sampling or selective retention is frequently considered by the National Archives to be more desirable than retention of the mass.

HISTORICAL VALUE

Historical values result from the fact that the records tell a story or present a picture and can be used to reconstruct the activities of the agency, to obtain information accumulated by the agency in order to make studies of the past, or to furnish data on which to base new findings or conclusions.

To reconstruct the activities of the agency: The National Archives, which makes the final determination as to records having continuing research value, has consistently earmarked for retention those files which will enable a scholar or future administrator to reconstruct the history of the activities of the agency. Although agencies normally describe their accomplishments in published annual or other periodic reports, these are often so brief that they fail to give the complete story. Or they may consciously or unconsciously distort the picture by emphasis on some activities and omission of others. Records showing how the work of the agency was planned, directed, and carried out are usually needed to supplement or correct the bare outlines given in publications. These records, which give the history of the activities and functions of an agency, are needed by the agency itself to understand its own background, often by other agencies or the Congress, and finally by scholars and students of the future. They form a part of the archives of the nation which are essential to an understanding of our national development.

- b. To obtain information for studies of the past: All agencies accumulate information necessary to carry on their functions. Much of this may be of long time research value for purposes completely different from those for which it was collected. Pension records created in administering early pension laws are kept for their research values.
- c. To furnish data on which to base new findings: Records may be used to provide data for new findings and conclusions. Especially true of technical data which was assembled in the course of research of specialized scientific and other fields.

- d. Develop records control schedules to provide for the disposition of record and non-record material by either permanent preservation, destruction within office area, transfer to other component, transfer to the Agency Records Center, or transfer to the Agency Archives.

Instructions For Preparing Form No. 139 "Records Control Schedule"

- (1) Schedule No. A number will be assigned by the Records Administrative Branch upon approval of the Schedule.
- (2) Office, Division, Branch. Enter the specific organizational element to which the schedule pertains, such as, Office of Public Service, Special Services Division, Personnel Branch.
- (3) Concurrence. The signature and title of the Chief of the organizational element will be obtained after the schedule has been prepared and reviewed. The signature will be entered in the first page of that portion of the schedule covering the records for which he is responsible. When all signatures have been obtained the schedule should then be submitted to the Head of the Office or his designate for review and concurrence. His signature will be entered on the first page of the schedule which will indicate not only his approval for his immediate office or staff but for the entire schedule.
- (4) Item Number. Beginning with item number one, list and number each series, starting with the records of the Office Chief and continue consecutively through each organizational unit of the Office. The use of sub-item numbers is permissible when

subordinate file series are component parts of an overall file.

- (5) File Identification. The precise description of each series of records will be entered in this column. This descriptive data requires the utmost care in its preparation. In general, this data must be sufficient to accurately identify the records and enable a determination of propriety of the disposition prescribed for them. Specifically, each file identification will consist of five elements, namely: The title or name of the file; description of documents of which the file consists; a brief statement of the specific function or operation incident to which the files are maintained; a statement concerning the filing arrangement; and inclusive dates to the file.
- (6) Volume. Enter the volume in terms of cubic feet for each file series. Fractions of cubic feet will be expressed in tenths by use of the decimal point, e.g., 1.5, 20.3, etc. The volume for a file series measuring less than one-tenth foot will be entered as .1.
- (7) Disposition Instructions. Entries in this column will be made only after careful appraisal and evaluation of the records series. The column will consist of four elements and will be entered in the order given.
 - (a) Preface each instruction with the word "Permanent" or "Temporary" whichever is applicable.
 - (b) The second element consists of the phrase "Disposal not authorized" if the records are of permanent value.

Records of temporary value will cite a disposal standard, e.g., "Destroy after 3 years," "Destroy 2 years after audit," "Destroy upon separation of employee," etc.

(c) By application of cut-off procedures give complete instructions for the cut-off and retirement and/or destruction of the files. These instructions may be indicated as "Cut-off at end of each calendar year; hold for one year then transfer to the Records Center," "Place in noncurrent file upon liquidation of obligation; hold for one fiscal year then transfer to the Records Center."

(d) To comply with the provisions of E.O. 11652 all documents must be reviewed for declassification before 30 years when they will be automatically declassified in accordance with that Executive Order. The following may be added to the disposition instructions for all items that are to be retained beyond 30 years:

"To be reviewed for declassification 29 years from date of document except those documents not exempt under E.O. 11652 will be reviewed earlier under the provisions of that Order."

(e) To provide for the flow of records from the Records Center to the Agency Archives include the following statement in the dispositions instructions for those records having permanent value:

"Permanent. Disposal not authorized. Cut off files at the end of each year (_years); retain for _____ years then transfer to the Records Center to be held for _____ years then transferred to the Agency Archives."

(f) Whenever possible, cite the disposal authority after the disposition instruction. This may be obtained from the General Records Schedules or from special authorities previously obtained from National Archives and Records Service.

(8) Obtain concurrences of the person responsible for the branch, division, or office whose records are covered. See attachment B(1) for sample of a Records Control Schedule.

e. After all concurrences have been received within the office the Records Management Officer must develop a Records Disposition authority concurrence cover sheet showing preparation by: (component) Records Management Officer; concurrence by: (Directorate) Records Management Officer; Reviewed by: Records Administration Branch; Approved by: (Agency) Records Administration Officer; and then the date of approval. See attachment B for sample.

At any time during the coordinating it is possible any part of the schedule may have to be justified or changed.

Send original and 1 copy forward to RAB through D/RMO.

f. Distribution of the Records Control Schedule after approval.

Original - RAB	1 copy - RMO
1 copy - D/RMO	1 copy - Operating offices
1 copy - Records Center	
1 copy - Archives	

- g. Maintain records control schedules up to date to reflect changes in organization. In addition to the overall revision of a whole schedule, one item may be added, deleted or changed by memo or by typing or retyping a page of the schedule. If in doubt call the Directorate Records Management Officer.
- h. Conduct periodic follow-up to ensure that the disposition of records is being effected in accordance with schedules.

SECRET

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RECORDS SURVEY WORK SHEET		DATE	(1)
OFFICE, DIVISION, BRANCH, SECTION		LOCATION	(3)
NAME OF FILE	(4)	CUSTODIAN	(5)

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

(6)

I-N-S-T-R-U-C-T-I-O-N-S

1. Date: The date the inventory or survey is made.
2. Directorate, Office, Division, Branch, and Section maintaining the files.
3. Location of Files: Room number and Building.
4. Name of File: Use title shown or Records Control Schedule. If not scheduled, be descriptive in naming the file being reviewed.
5. Custodian: Enter name of person responsible for the files.
6. Description: Enter Records Schedule and item number. If new or non-scheduled series give description of type and use of records in the file.
7. Arrangement of Records Series: Alphabetic by subject, numerical by case number, chronological, etc.
8. Dates: Enter years only of oldest and most recent documents in the file.
9. Size: Check appropriate box and enter linear feet of records. (See table to convert linear to cubic feet of various records.) (Measurements should be as simple as possible; figures rounded to the nearest half-foot are adequate.)
10. Equipment: Check appropriate box or enter under Other and describe in Remarks.
11. Remarks: Use for safe numbers, details about equipment, or other notes and explanatory information.

FILING ARRANGEMENT				INCLUSIVE DATES			
(7)				(8)			
SIZE OF RECORDS	LEGAL	LETTER	OTHER (Specify)			LINEAR FEET	
	3" X 5"	5" X 8"					
EQUIPMENT OCCUPIED BY RECORDS	SAFE	CABINET	OTHER (Specify)			NO. OF DRAWERS	
	LEGAL	LETTER					

REMARKS

(11)

CONVERSION TABLE ONE CUBIC FOOT EQUALS

10 LIN ft	3 x 5 CARDS
6 LIN FT	4 x 6 AND TAB CARDS
4 LIN FT	5 x 8 CARDS
1 LIN FT	LETTER OR LEGAL FILES
1/2 DRAWER	MAP CABINET
7 REELS (Computer)	MAGNETIC TAPES
20 REELS (Audio)	MAGNETIC TAPES
2 DISC PACKS	MAGNETIC DISCS
84 REELS	MICROFILM 16mm
54 REELS	MICROFILM 35mm
172 REELS	MTST 5" TAPES

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S A M P L E

RECORDS DISPOSITION AUTHORITY

In accordance with Federal Statutes and Records Disposition Authorizations granted by the U. S. Congress the attached Records Control Schedule # 00-00 for the Office of _____, is approved and implementation of the disposition instructions contained therein is authorized.

Preparation:

Review:

(Component) Records Officer

Records Administration Branch

CONCURRENCE:

APPROVED:

(Directorate) Records Management Officer

(Agency) Records Administration Officer

Date

RECORDS CONTROL SCHEDULE		SCHEDULE NO. 34-73	
OFFICE, DIVISION, BRANCH		CONCURRENCE	
Office of XXX, Services Division		SIGNATURE	
		TITLE Chief, SD/XXX DATE 10 October 1973	
ITEM NO.	FILES IDENTIFICATION (TITLE, DESCRIPTION, ARRANGEMENT, AND INCLUSIVE DATES)	VOLUME (CUBIC FT.)	DISPOSITION INSTRUCTIONS
1	DIVISION SUBJECT FILES These are the correspondence and report files of the division responsible for reproduction, printing, and distribution matters. The files accumulate in the general administration of daily activities. Included are documents relating to personnel, training, workloads, production, security, and other related subjects. The official files are maintained in the Administration Branch. Filed according to Agency Subject Filing System. 1972-to date	2.5	Temporary. Destroy after 2 years. Cut off at end of each calendar year; transfer to the Records Center 1 year thereafter. (GRS 13-2)
2.	REPRODUCTION REQUISITION FILE a. Reproduction requisition (pink copy), Work Ticket, work order, delivery ticket, control card, and related documents accumulated in the course of processing and controlling a job until completed. Filed by job number. (Current) b. Suspense copies of requisitions.	5.0	Temporary. Destroy after 1 year. Cut off at end of each fiscal year, retain for one year then destroy. (GRS 13-3a)
3.	REFERENCE PUBLICATIONS Copies of Agency publications, commercial brochures, catalogues, and publications of other Government agencies collected and maintained for reference purposes. Included are Agency Regulations, Agency Handbooks, Army Regulations, trade journals, magazines, etc. Filed categorically by source	.1 7.2	Temporary. Destroy when jobs completed. (non record) Temporary. Screen periodically and destroy when superseded or no longer needed for reference purposes. (non record)

ITEM NO.	FILES IDENTIFICATION	VOLUME	DISPOSITION INSTRUCTIONS
4	<p style="text-align: center;">Approved For Release 2002/09/26 : CIA-RDP76-00883R000100090086-5</p> <p>COMMUNICATION CONTROL RECORDS</p> <p>They reflect the receipt, internal routing and disposition of communications handled by the Office.</p> <p>a. Signed Document Receipts returned by recipients for complete material. (Current)</p> <p>b. Courier Receipts Office copy of courier receipts.</p> <p>c. Secret and Below Logs Used to record communications received and dispatched by the office.</p> <p>d. Top Secret Logs Logs maintained to indicate accountability for Top Secret documents within the office</p>	<p style="text-align: center;">00883R000100090086-5</p> <p>.2</p> <p>.3</p> <p>.5</p> <p>.1</p>	<p>Temporary. Destroy after 2 years. Cut off at end of each calendar year, hold for two years then destroy. (GRS-18-3)</p> <p>Temporary. Destroy after 3 months (non record)</p> <p>Temporary. Destroy after 1 year. Cut off at end of each calendar year, retain for one year then destroy. (GRS-12-6a)</p> <p>Temporary. Destroy 10 years after documents have been transferred, destroyed or downgraded. (GRS-18-6)</p>
5.	<p>COMMITTEE FILES</p> <p>These files contain material relating to various Agency or Inter-Agency committees such as the XYZ committee for which this office provides the chairman and the secretariat.</p> <p>a. The correspondence, memoranda, minutes, agenda, reports, and project material reflecting activities of the committee. Files are maintained by the secretariat and filed by subject and chronologically.</p> <p>b. Committee members files used as working copies and for general reference. Files maintained by individual members.</p>	<p>11.0</p> <p>5.0</p>	<p>Permanent. Disposal not authorized. Cut off at end of each calendar year; retain in current files area for one year then transfer to the Records Center. (GRS 19-2a)</p> <p>Temporary. Destroy when obsolete or no longer needed for reference purposes. (GRS 19-2b)</p>

GLOSSARY OF RECORDS DISPOSITION TERMS

Administrative Value	A value of records to the agency that created them in carrying on its business.
Archives	The permanently valuable records created or received by a governmental body for its official purposes and made a part of its official documentation.
Disposal	Removal of records by destruction or transfer.
Disposal List	A document authorizing the disposal of a group of records no longer needed. This is a one-time authorization and permits disposal only of the precise records described.
File Break	A cut-off point in a file, usually based on a calendar or fiscal year date. Such breaks are often made to coincide with scheduled periods for destruction or transfer to a records center.
File Copy	A copy of a document in an official agency file.
Fiscal Value	A value of records for fiscal purposes, such as for financial collection, disbursement, budgeting, accounting, and related activities.
General Records Schedules	Schedules issued by the General Services Administration covering records common to several or all agencies. Included in such records are the so-called "housekeeping" records.
Historical Value	A value of records for historical and similar research purposes.
Housekeeping or Administrative Records	Records pertaining to the running of an agency such as those relating to personnel, fiscal, and supply functions.
Legal Value	A value of records for legal purposes and pertaining to the rights and obligations of the Government and of individuals.
Non-record Material	Papers or published materials which are not recognized by the agency as records as defined by the Records Disposal Act of 1943.

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Permanent Records Records considered to be so valuable or unique in documenting the history of an agency or for other reasons that they are to be preserved as part of the Agency Archives for possible later transfer to the National Archives.

Program Records Records pertaining to activities or functions peculiar to an individual office or agency.

Reading File An extra copy file of outgoing correspondence, usually arranged chronologically. Also called "day file."

Record Copy That copy of a document which is regarded by the agency as the most important or the key official copy.

Records Control Schedule A document listing all files of an agency, office, or function; showing the records to be retained and those to be destroyed; and providing when the various files should be transferred from office to center-type space. The schedule provides for periodic transfer and disposal and may be used repeatedly.

Records Disposition That area of records management concerned with planning the future of the records. Decisions are made as to whether the records should be retained permanently or for limited periods of time and when they should be moved from office to center-type space. These decisions are recorded in the Records Control Schedule.

Retention Period The stated period a record should be kept.

Schedule A listing of records that have accumulated in an agency or that may in future accumulate, together with instructions as to their retention or eventual destruction. A schedule provides for periodic disposal and may be used repeatedly.

Screening A procedure by which selected disposable papers are physically separated from papers which are to be retained for a longer period or permanently.

Temporary Records Records which are disposable as valueless after stated periods of time.