22 DEC 1978

MEMORANDUM FOR: [_____] Deputy Director for   25X1
                Resource Management
25X1   [_____] Deputy Director for
                Collection Tasking

25X1   FROM: [_____]
                CIA Records Management Officer

        SUBJECT: Records Management Survey of the Resource
                         Management Staff and the Collection
                         Tasking Staff [_____]   25X1

        1.   Forwarded herewith is a copy of the formal report
on the records management survey of the Resource Management
Staff (RMS) and the Collection Tasking Staff (CTS) conducted
by the Records Administration Branch (RAB) during the period
14 August through 15 December 1978. [_____]   25X1

        2.   The initial request for a records management   25X1

[_____]

was made prior to the reorganization of the Intelligence
Community Staff into the Resource Management Staff and the
Collection Tasking Staff. It was to determine if Registry
functions were operating efficiently and effectively and if
they were adequate to accommodate the planned reorganization
including a potential move of the CTS from the Community
Headquarters Building to the Pentagon. This survey by the
RAB is most appropriate since the security of information
handling methods, records management practices, and mail
processing procedures stem from the responsibility of the
Deputy Director for Administration for supporting administra-
tively those Intelligence Community components under the
jurisdiction of the DCI. These methods, practices, and
procedures identically conform between the Staffs and with
those used by the Central Intelligence Agency. The survey
has been completed and we feel that, if implemented, the
recommendations contained herein will produce better control
and retrieval and will facilitate the implementation of the
personal accountability system soon to be invoked as an   25X1
Agency-wide and Community (RMS and CTS) security policy[____]   25X1

[_____]

                                 The attached report is Unclassified
                                 upon removal from this memorandum.

3. The surveyor has surfaced certain issues that cannot be solved within the jurisdiction of a records management survey. They are the very significant security issues surrounding the feasibility of the Joint Chiefs of Staff (JCS) Registry facilities at the Pentagon being used to handle the CTS mail and courier service. Although the RMS and CTS must comply with the security methods and procedures for mail handling of the Agency, and the fact that the surveyor is familiar with same, the surveyor is not trained to handle the inherent security problems encountered by the request to use the JCS Registry. This purely is a matter for the Office of Security and I strongly urge your approaching its Director, Mr. Gambino for assistance at your

25X1   earliest convenience.

4. Should your personnel require assistance in implementing the records management recommendations, or feel there are areas not significantly covered during this survey, representatives from this Staff are available to lend fur-

25X1   ther assistance.

5. We would appreciate having your comments regarding this survey by 31 January 1979. The Records Administration Branch will follow up on this report in six months to check on the progress being made to implement these recommendations and whether their implementation has provided the results you feel are needed.

25X1

Attachment:
  Records Management Survey
    of RMS and CTS

The attached report is Unclassified upon removal from this memorandum.

ROUTING AND RECORD SHEET

SUBJECT: (Optional) Records Management Survey of the Resource Management Staff and the Collection Tasking Staff (Formerly the IC Staff)

FROM: CIA Records Management Officer	EXTENSION	NO.
		DATE

STAT

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TO: (Officer designation, room number, and building)	DATE		OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
	RECEIVED	FORWARDED		
1. DD/DCI/RM BW09 CHB				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				Covering memorandum is CONFIDENTIAL. Report is unclassified when removed from covering memorandum.
15.				

Table of Contents

Survey of the Resource Management Staff (RMS) and
the Collection Tasking Staff (CTS)
(formerly Intelligence Community Staff (ICS)

Discussion

1.   At the verbal request of the Administrative
Officer of the ICS, the Records Administration Branch
(RAB), Information Systems Analysis Staff, DDA con-
ducted a records management survey in the Intelligence
Community Staff during the period August through Decem-
ber 1978.

2.   The survey was conducted throughout the reor-
ganization, re-titling of offices and officer positions,
the development of and re-writing of mission and func-
tions statements, internal physical moves and telephone
changes. In spite of these handicaps, the surveyor has
maintained evolutionary control of the situation. As of
the writing of this report, there are active changes
still being made. Should the existing situation be
changed between the writing and reading of this report,
please disregard those recommendations that may no
longer apply.

3.   The Intelligence Community Staff reorganization
took place effective 12 September 1978 and it became
the Resource Management Staff and the Collection Tasking
Staff. These Staffs are primarily located in the
Community Headquarters building, a six floor structure
with basement. The Registry is quartered in an approved
basement vault area. The COMIREX Office of CTS maintains
its own Registry separate and independent of the RM
Registry. Certain Staff components located outside the
Community Headquarters Building (CHB) depend on other
Agency offices to furnish registry services. The SORS
office at CIA Headquarters is serviced by the OCI
Registry. The EXSUBCOM office [   ] relies
on the NPIC Registry for service. The NITO has during
this survey requested that another Agency office's
Registry be assigned to service their needs. The CTS
anticipates moving their CHB-located offices to the
Pentagon. To date this service problem has not been
solved. This report deals with possible alternatives if
CTS is required to remain within the protection and
jurisdiction of Agency-furnished service. Should the
JCS-use alternative presented by the Deputy Director
for CT be considered, this report and its covering
memorandum urges the Staff to contact the Director of
Security at their earliest convenience. The significant
security issues encountered by such a recommendation
are purely a matter of security policy and cannot be
dealt with in this report.

25X1

4. The 27 April 1978 Notes from the Director (No. 24) shows the RMS and CTS structural relationships as Community entities and their umbilical ties to the Agency through the DCI and DDCI chain of command and the DDA in his responsibility for supporting administratively those of the DCI. It is through this tie that the security handling policy relating to classified information and records management practices and procedures emanate. Figure 1 shows the organizational structures of the RMS and the CTS and the current staffing numbers for each office. The function and mission statements are not included as attachments to this report since they are in the process of being re-written. The versions available during the survey were used to study the Staffs.

5. The survey was conducted through data gathered in on-the-spot observations, personal interviews of a representative cross-section of the Staffs, statistics acquired from actual counts of mail and examinations of processing transactions, and other time and motion studies. The interviews were conducted on a random basis through the selections made by the RM Executive Officer and the CT Administrative Officer. Their ideas and suggestions have been taken into consideration and incorporated into the recommendations of this survey report. See Figure 2 for Survey Coverage Chart.

6. The Administrative Officer was provided an interim summary based on the incomplete report of findings and recommendations without the benefit of a systematic analysis. This interim summary is being consolidated with other support matters relating to the CTS move to the Pentagon and related support problems anticipated during developmental planning. The comments furnished in the summary are further supported in this report with the statistical findings and analysis. The Administrative Officer was also furnished upon request a comprehensive listing of measures being taken within the Staffs for greater security of information handling in anticipation of the new personal accountability policy for classified information, the protection of existing information, and prevention of unauthorized access based on the need-to-know principle.

RESOURCE MANAGEMENT STAFF

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                    ┌─────────────────────┐
                    │     Office of       │
                    │ Deputy to the DCI   │
                    │        for          │
                    │ Resource Management │
                    │                  19 │
                    └─────────┬───────────┘
                              │         ┌─────────────────────┐
                              ├─────────┤  Administrative Staff │
                              │         │                   11 │
                              │         └─────────────────────┘
                              │
   ┌──────────┬───────────────┼───────────────┬──────────────┐
┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐ ┌──────────┐
│Community &│ │Information│ │ Program  │ │ Program  │ │  Policy  │
│Legislative│ │Resources │ │Assessment│ │ & Budget │ │ Guidance │
│Liaison    │ │Office     │ │Office    │ │Office    │ │Office    │
│Office  10 │ │       11 │ │       24 │ │       23 │ │        8 │
└──────────┘ └──────────┘ └──────────┘ └──────────┘ └──────────┘
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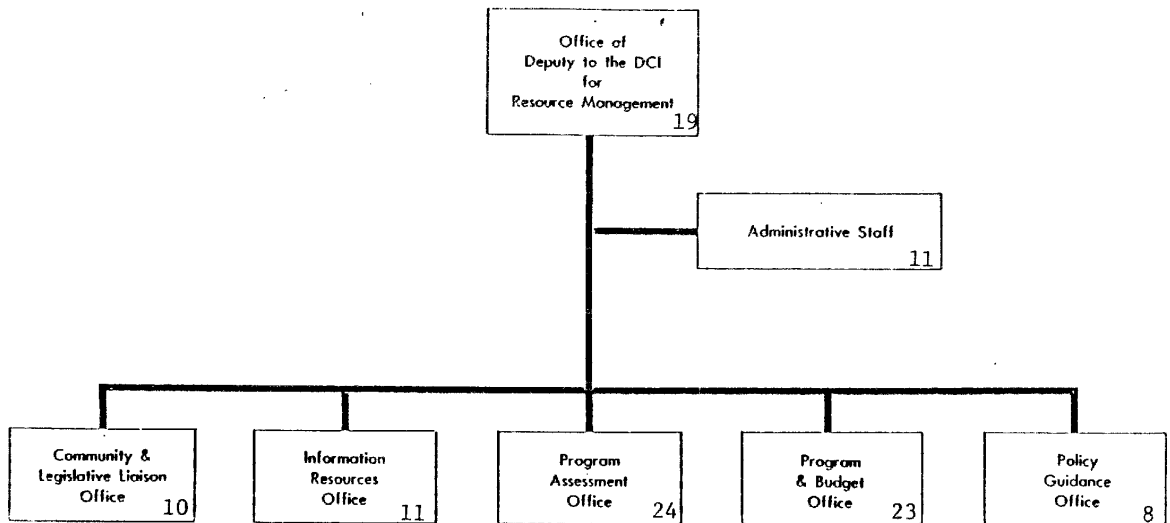
Figure 1 (Part 1)

COLLECTION TASKING STAFF

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                    ┌─────────────────────┐
                    │  Office of Deputy to │
                    │     the DCI for      │
                    │  Collection Tasking  │
                    │                  10  │
                    └─────────┬───────────┘
                              │            ┌──────────────────────┐
                              ├────────────│  Collection Policy    │
                              │            │       Group           │
                              │            │                   3   │
                              │            └──────────────────────┘
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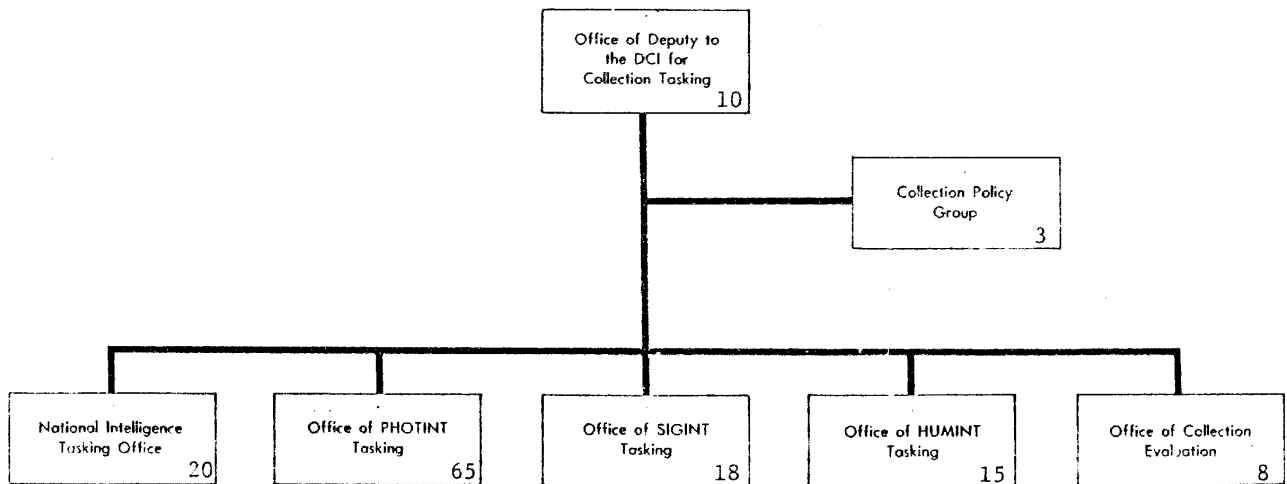| National Intelligence Tasking Office	Office of PHOTINT Tasking	Office of SIGINT Tasking	Office of HUMINT Tasking	Office of Collection Evaluation
20	65	18	15	8

Figure 1 (Part 2)

RECORDS MANAGEMENT SURVEY COVERAGE CHART

Below are the subjects covered during the RMS and CTS Records Management Survey.

ORGANIZATION, STAFFING, ENVIRONMENT, AND WORKING CONDITIONS

Organization Charts
Mission & Functions
  RMS and CTS

Registry Staffing
  Position Titles
  Supervisory Responsibilities
  Position descriptions
  Career Training of employees

Physical Location
  Remoteness to Customers

Floor Plan and Working Layout
  Counter Barrier for Access Control
  Structure - approved vault

Liaison Requirements
  Type of existing rapport with
    counterparts:
      -other agency registries
      -other agency officials,
        NSC officials, and
        Congressional Committee
        members through document
        delivery and receipt
        contacts

Environmental Conditions
  Unusual conditions relating to
    health:
      -clearing reproduction machine
        jams; exposure to carbon dust
        (toner), oil
      -minor amount of radiation from
        WASHFAX machine (within safe
        margin)

Working Conditions
  Constant state of high precedence
    and priority handling of mail
  Complex security compartmentation
  Work with highly educated and
    motivated professional intelligence
    personnel, engineers, administrators,
    financial and budgetary personnel
  Accuracy and good judgment is vital

RECORDS MANAGEMENT AND THE REGISTRY

Mail Management
  Categories of Mail Processed
    RMS - NFIB'S
      - SECOM
      - WASHFAX
      - ACTION
      - COLLATERAL
        TS
        Secret
        Confidential
        Unclassified
      - CODEWORD
        TS
        Secret
        Confidential
    CTS - SIGINT'S
      - CODEWORD
        TS
        Secret
        Confidential
      - COLLATERAL
        TS
        Secret
        Confidential
        Unclassified
    Special Processing
    Daily Journals

RECORDS MANAGEMENT AND THE REGISTRY
  (Continued)

Distribution
  Routing guides
  Reproduction of copies
  Current address lists and
    stick-on labels

Volume Count

Courier Service
  Internal - Route and Schedule
  External - w/Chauffer Escort
            - w/2 Staff Registry persons
            - w/2 Agency OL Couriers
  Agency Courier System
    Published Schedules
      - Agency System
      - WASHFAX Receiving Points

Files Maintenance And Use Management

  File System

  File Plans

  Filing Supplies

  Standards Used

  Reference Service,
    Charge out system
    External
    Internal

  Research & Copying Service

  Supplemental Distribution

  File Classification markings
    and log entries

  Information Service re external
    addresses, telephone numbers,
    & access authorization
    clearance status

Charts - Briefings for DCI
  Maintenance
  Reproduction
  Record Copy Preservation

Microphotography
  Promote usage
  Prepare material for filming
  Transmit to P&PD for filming
  Verify frame-by-frame
  Filing
  Check film for test samples

Equipment Management

  WASHFAX Servicing & Maintenance
  File Storage Equipment
  Microfilm Reader/Printers
  Office Furniture and furnishings
  Reproduction Machines - Service
    and Maintenance (minor)
    Meter Readings
  Post Office Scales
  Small Office Machines & Equipment
    Dater - electric
    Automatic number changer
    Rubber Stamp Orders
    Gummed Paper Tape Machine
    Automatic Stapler

RECORDS MANAGEMENT AND THE REGISTRY
  (Continued)

Disposition Management

  Records Control Schedules and
    amendments

  Records Retirements and Retrieval

  Official transfer of records control

  Annual Records Inventories of Holdings
    (Agency required for consolidated
    report to NARS)

  Destruction Processing of Controlled
    Document copies and Record Copies
    according to Records Schedule

  Vital Records Program
    Vital Records Schedule
    Office compliance
    Deposits to Agency Repository

  Agency-wide review of records stored
    at Agency Archives and Records
    Center and documentation of same

SECURITY CONTROL OF INFORMATION

  Responsibilities: (Chief, Registry)
    Codeword Control Officer

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  Top Secret (Collateral) Control Officer
  Authorized to check status of Staff
    EOD's, Departees, & current
    members, and external customers
    for active authorized clearance
    status (cancellation if departing)
    with personnel at control points
    Community-wide
  Security Briefings on administrative
    and secure handling of codeword
    material and markings/position of
    markings

  Measures taken or to be taken as
    surfaced in this report

FINDINGS AND RECOMMENDATIONS

1.   General

   a.   Advanced Adoption of Recommendations

        Certain recommendations made in this survey may
seem duplicative of correspondence and announcements
previously presented by the Chief, Registry in her
Records Management Officer (RMO) capacity and by the
Administrative Officer. It was necessary to share the
information of the survey to permit advance action on
activities happening simultaneously with the progress
of the survey. The recent stolen document case generated
the highest priority for action concerning the informa-
tion accountability practices in the Staffs and the
Agency. The Staffs began immediate adoption of potential
recommendations for this report in anticipation of the
forthcoming new burden of personal accountability of
classified information, periodic inventories of highly
sensitive and comprehensive documents, and began to
develop an automation system for document control.
This on-the-spot adoption of the recommendations does
not preclude them being entered in the report as direct
action resulting from the surveyor's efforts in this
exercise.

   b.   Duties and Responsibilities of the RMO and Registry
        personnel

        The Chief, Registry has been nominated to represent
the Staffs as the RMO which carries considerable
responsibility and duties (See Attachments A and B)
related thereto. Attachment A is the ISAS/RAB-produced
handbook of RMO Duties and Responsibilities. Attachment
B is the new procedures used to prepare, process, and
ship records being retired. These procedures must be
understood by members of the Staffs. There is an
Agency-wide program underway to review all records
presently stored in the Agency Archives and Records
Center. This review includes responsible custodians
(officers) physically examining their records, categorizing
them, and documenting them for automation input to the
ARCINS program by file title. This review is done with
the assistance of the RMO, not by her.

        In addition to her RMO duties, she serves as the
Chief, Registry. Attachment C contains the Job Descrip-
tions of the Registry personnel. Job descriptions are
not a normal part of a survey report. It is important

that they be attached to this survey to give Staff
members a better understanding of the duties and responsi-
bilities these people follow to produce the quality of
service being received.

c.   Major Issues and Causes

    (1) Registry Staffing to Service RMS and CTS-
        Major Issue

        The RMS Registry is expected to remain in the
CHB. The CTS Registry service is the major issue.
The RMS Administrative Officer is being asked to
find means to provide service for CTS with the
additional complication of CTS moving from CHB to
the Pentagon. Alternatives for service arrangements
have been presented in an interim summary of this
survey report. Briefly the alternatives presented
by the surveyor are:

        - RMS with the addition of two persons
           provide service to CTS (Most efficient
           and economical)

        - RMS and CTS maintain and manage their
           own registry services cutting the RMS
           Registry [ ] persons and creating   STAT
           a CTS Registry with [ ] 2   STAT
           new persons.(Least efficient and econom-
           ical)

        - The CTS has arrangements being made for
           their service to be handled by the JCS
           Registry in the Pentagon. This is an
           unprecedented course of action. This
           report strongly urges that the Staffs
           contact the Director of Security to
           handle the inherent security problems to
           be encountered with this action.

        The alternatives have not been accepted to
date. There is a problem to be resolved of where
the new positions and people will come from in
alternatives one and two. The first two alternatives
will not be discharged as possibilities until the
Director of Security has had the opportunity to
consider the significant security issues involved.

    (2) Courier Service-Major Issue

        The Staff's situation has been unique from

their initial move into the CHB. Their courier
service needs immediately outgrew the capability
of the Agency Courier Services provided by the
Office of Logistics. Their request for a dedicated
courier assigned to CHB was disapproved. The [____]   STAT
Registry personnel were required to provide
expeditious Community-wide courier service in
addition to their other complex duties. This is
without additional personnel. The service is ad
hoc, often concurrent, and requires two persons
(the courier and an escort due to the codeword).
The chauffer is used when possible as the escort.
These special services deplete the Registry of
adequate personnel to handle other mailroom
operations. It creates a crisis when the Registry
is not fully staffed or if more than one priority
document arrives for immediate and concurrent
action for processing and delivery. Courier
service is discussed in greater detail in paragraph
2d below.

(3)   Copy Reproduction Service-Major Issue

Upon the move to the CHB, the Registry person-
nel have also been required to absorb the burden
of making copies of documents for Community-wide
distribution from Standard Distribution Lists
provided by the originators. This service was
previously performed by the Printing and Photog-
raphy Division Plant located at Langley. This
added task includes the operation and minor
maintenance of a Xerox machine, reproducing the
copies, assembling, stapling, and control marking.

Twenty-two standard distribution lists
varying from 23 to 90 Community recipients set the
volume of reproduction needed. If you multiply
the recipient copies times the pages of the docu-
ment and add the processing [_____]   STAT
addressing, marking, [_____] receipts,   STAT
[_____]   STAT
[_____] you can readily see

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why one job can tie up one Registry person the
better part of a day; the whole Registry if the
priority is high enough; and may require overtime
if the job is received in the late afternoon. In
addition, two people are required to escort the
material to the recipients all over the Metropolitan
area. If the job is highest priority, deliveries
are made regardless of the hour of day, duty or
non-duty. The Registry is held open to receive
the undelivered returned mail.

(4) Controlled Document Copying Without Controlling
     Copies Being Made-Major Issue

     The Staffs have ten Xerox machines located on
various floors of the CHB. Copies of controlled
documents are seldom entered into the Registry
control system. The Registry is diligently con-
trolling copies received or disseminated by the
Registry with complicated and time-consuming
procedures. The Staff personnel are freely copying
these controlled documents without any further
control over the copies they are creating.

(5) Automation of the Registry-Major Issue

     The manual system for control in this Registry
has become too complex and voluminous to continue
as a manual system. The control process is expanding
considerably with the personal accountability
policy being implemented, the additional protection
being placed on highly classified and comprehensive
documents, and when the reproduced copies of
controlled documents are brought under control
within the Staffs.

(6) Unauthorized Access Prevention-Major Issue

     The Registry until recently had an open door
policy during duty hours because it was assumed
that they deal with responsible people. The
surveyor quickly changed this concept based on
certain unauthorized access situations and the
general layout of the Registry. The furniture
arrangement did not give full view of the door at
all times. Material in process was everywhere for
browsers to see and there were no physical barriers
to prevent their unauthorized access, either by
proper clearance or need-to-know principles.
Personnel leaving the Staffs or the Agency for
other assignments were requesting the Registry
personnel to ship their "personal papers and
belongings" to them intact without checking for
controlled documents, need-to-know information,
proper clearances upon leaving the Staffs, and
when the material was turned over to the Registry,
tried to get it back when it was obvious these
checks would be made. Both EOD's and departees
are now marking their boxes of material "EYES

-9-

ONLY" to prevent the Registry from making their authorized checks of the material passing into and out of the Staffs. The Registry personnel are in a real bind without proper guidance or backing from a supervisor to impound the boxes until the material can be checked, clearances checked, and controlled material processed.

The Registry prepares daily journals of action, incoming, outgoing, internal, and suspended documents. The journal is disseminated to all offices for their information. A master copy is kept in the Registry with the record copy of the documents thereon attached for copying upon request by journal recipients. The open door policy allowed anyone to come in, have access to the journal and attached documents, take what they wanted to copy, copy it and replace it. It was quickly discovered that the responsible people of the Staffs were taking the only record without copying it for lack of time to reproduce it and were not returning the record copy. The record copies were later found in the out mailboxes of the "borrowing" offices.

(7)   Favorable Interview Results

During the personnel interviews conducted with this survey, twelve offices represented by fourteen people had praise for the personnel of the Registry and the manner in which they conduct their business. Service outstanding; any problems are promptly acted upon and solved to the satisfaction of this office. Excellent job. Commended for handcarry courier service provided. No complaints on service provided. No major problems. Registry is doing a good job, the personnel are cooperative, and service is well done. Outside-CHB offices have no major problems, minor ones have been brought to Registry's attention.

(8)   Excessive Priority Needs

Through misunderstanding of the Registry's functions and intolerance for situations beyond the Registry's control, the Registry personnel have been conditioned into defensive behavior.

The recognized pressures and priorities of
the work are far above average, the demand for
stringent accuracy is acute, and the response or
turn-around time limits are critical. These con-
ditions are causing undesirable situations. The
Staffs should re-evaluate these conditions. Other
Agency offices have their crises but far from the
extent experienced by these Staffs. The surveyor
wonders if the situation has not been created from
within by not providing a means to stop the
propulsion when it gets out of hand. These
crises are generated among all the Staffs' offices
and go unnoticed until they descend to the Registry
level for processing at which time they become one
big concentrated problem that exists almost daily.

2. The Registry [   ]   STAT

a. Alternatives after CTS moves to the Pentagon

(1) RMS maintains the only Registry with CTS
support:

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- RMS has [ ] positions and will need a
minimum of two additional people and
positions to satisfy current and ex-
panding control processing, the new
tasks relating to personal account-
ability, and periodic inventories to
verify possession. The COMIREX has
no problems with mail service since
that office has never been a part of
the RMS and CTS Registry system. Their
mail is passed unopened directly to
them without control or processing.
THIS is their problem. The registry
services being performed by this office
should be merged into the RMS Registry.
The position used to process could be
transferred with the merger of the mail
function. Action is being taken by
AD/DCI/CT to look into this matter.

- CTS mail can be processed upon the
initial handling by RMS into the
automation system. The hardware is
already on order and software is being
reviewed for application by the ADP
representative assigned to RMS. The

CTS central file system will remain in the RMS Registry for better control, quick filing, and retrieval with the automation system recording each document and where it is filed.

- CTS will require Office of Logistics courier support for routine runs. CTS should apply for a "dedicated" courier. CTS will be asked to reproduce its own copies for distribution and send the copies to the RMS Registry for control processing, packaging, and Community- wide delivery providing the CTS dedicated courier is made available to assist. CTS's other alternative is to use the Langley Printing Plant and to use CTS personnel for deliveries.

- CTS will not have to provide supervisory personnel or have administrative support at the Pentagon for Registry functions.

- The CTS chauffer may still be asked for assistance as escort on courier runs.

- The two additional people in the RMS Registry will reduce crisis situations, keep routine processing operations moving, provide coverage full time to restrict unauthorized access in the vault area, overtime duties can be shared alternating employees less fre- quently, control processing and personal accountability can be expanded, and mail operations will operate at a normal level allowing the Chief time for her Records Management duties in both Staffs.

- CTS will need to designate one person and an alternate within each major CTS component to act as a mail receiving point for the couriers and to maintain a small manual receipt control account- ability system for the internal office.

(2) Separately maintained Registries:

- Each Registry will need 3 to 4 people to satisfy control processing needs which are expanding; limited access to the

Registry areas; courier service needs, and new tasks being added to tighten up on security of document personal accountability and periodic inventories to verify possession.

- RMS is installing an automation system in the Registry. CTS will require duplicate hardware if it is to have interfacing communication with the data base to input and retrieve its controlled documents.

- CTS will require Office of Logistics courier service for routine runs but will have to apply for a dedicated courier or sacrifice its own officers and secretaries for high priority hand carry service.

- An independent Registry requires supervisory personnel over the element with direct support to its administrative needs.

- The CTS chauffer may be required to assist as escort on high priority hand carry service.

- Without dedicated CHB-Pentagon mail service, mail will have to move via the CIA Headquarters Central Mail Registry and wait for connecting courier runs. There will be late mail consistently.

(3) The third alternative re the use of the JCS Registry services is purely a matter for the Office of Security to handle. It will not be dealt with further in this Report. The RMS Administrative Officer has so been advised.

b. General Description of the Registry in CHB

(1) The main Registry is located in the basement of CHB with working hours from 0730 hours to 1830 hours. The COMIREX office maintains and manages registry functions separately from the RMS Registry.

-13-

(2) The central file system is maintained in the CHB Registry, however, certain offices maintain decentralized official file systems, either due to sensitivity or location outside the CHB. The RMS and CTS mail control systems and file systems have been physically separated within the RMS Registry in anticipation of the CTS move to the Pentagon.

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(3) The [____] Registry personnel have established their priorities for mailroom operations to the best of their ability given the influence of higher priority demands emanating from the various Staff offices. These people work very well together as a team, interchange duties when precedence overrules routine, and fill in for each other during absences using voluntary discipline.

(4) The Registry handles six levels of controlled classified codeword and collateral documents: Collateral-Secret & below, Collateral Top Secret, Certain Unclassified, the various levels of codeword at the three classification levels. The percentage of codeword handled is estimated at approximately 90%. Processing codeword is extremely cumbersome

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(5) A counter-top barrier has been requested and will be installed permanently for physical access control to prevent unauthorized entry into the vault area. Circumstances have warranted this action at the recommendation of the surveyor. A temporary barrier was erected immediately until the permanent construction can take place.

(6) The general floor plan layout of the RMS Registry is logical for work flow. There will be two new automation terminals installed in the center of the room due to

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first arriving in the ICS to do this survey, the Surveyor was confronted with the Registry vault area being badly cluttered and arranged due to the move into the CHB, other offices using the Registry as a dumping area for

excess in active records and oversized map case, etc. The Chief, Registry briefed the surveyor on plans she had for further cleanup, however the priority atmosphere of daily business gave little time for cleanup activities. The Surveyor went about her business of collecting data for the survey and interviewing Staff personnel. In a very short time and completely at the initiative of the Registry personnel, the vault area was cleared, furniture rearranged for full visual monitoring of the vault entryway, the new mail sorting equipment was delivered and in place, and excess furnishings were turned in. The area has been improved in appearance, material is no longer in view of browsers, and the working space for the automation terminals is ready when they arrive. Unfortunately, temporary situations exist where large shipments come and have to be stored. This clutter effect does not last long, but nothing can be done with the bulk until it is processed. It's an unavoidable temporary handicap that must be tolerated in Registry business.

(7) Registry has not been in the habit of publishing procedural changes when they affect their customers. This is partially the surveyor's fault. Certain changes were being tried and changed so fast during a shake-down period, there wasn't time to publish. Staff personnel were briefed on the new procedure as they came to the Registry. There still may be some quick changes, however, the Registry will publish procedural changes in Staff announcements with the assistance of the RMS Executive Officer for timely release. The Chief, Registry/RMO will prepare the changes in draft for the RMS Executive Officer's review prior to publication.

(8) A considerable volume of unopened mail is being processed through the Registry directly to the addressees. A related problem is the incoming and outgoing "personal belongings and personal papers" of EOD's and departees received in the Registry in sealed boxes and sometimes marked EYES ONLY.

RECOMMENDATION: The Registry should be given authority to open all mail unless specifically marked PERSONAL or EYES ONLY or TO BE OPENED ONLY BY ADDRESSEE. Boxes sealed or using EYES ONLY belonging to EOD's or departees should be impounded until they can be checked for controlled documents, proper clearance of the individual, and the documents can properly be processed through courier channels. This can afford the receiving Registry the opportunity of registering any controlled documents that may be approved for transfer. This action can be accomplished through the issuance of a Staff announcement and shown to EOD's upon their arrival.

(9)   The CTS Executive Officer assigns action on CTS incoming mail and sends it to the Registry to make necessary copies for distribution. The RMS Executive Officer receives a distribution copy of RMS mail about the same time the other RMS offices receive their distribution copies. She assigns action to one office by phone and assumes the other offices will not take action since they were not called by her. The Registry has the CTS action data needed for mail control. The Registry does not have the RMS action assignment data they need for entry in the Journal or the record. If the assigned action office takes action by phone or informally without documenting same, the Registry has a gap in the records and the Journal is published with no reference to the action office. This procedure in RMS is not compatible with the new automation system to be installed. The system will require action assignee for follow up.

RECOMMENDATION: The RMS Executive Officer should take steps to adopt procedures that will accommodate Registry needs for recording action assignments in preparation for the new automation system. This will also appear on the reproduced copies received by other Staff offices keeping them informed as to who has action in case they need to input to that action.

(10) Originating offices are expecting the Regis-
try to give specific types of special han-
dling without providing instructions or
markings on the documents. The Registry has
three methods for transmitting documents:
(1) Agency courier; (2) RMS Registry hand
carry; and (3) WASHFAX (electronic system).
The Registry selects the transmittal method
according to their existing priorities and
manpower. Although the WASHFAX system is
very fast the documents frequently do not get
to the end recipient on time. This is due to
handling practices after the document is
received in these Community agencies. The
RMS Registry is criticized by originating
offices for using the wrong method of
transmittal even when circumstances in the
Registry could not accommodate the use of
another method of transmittal.

RECOMMENDATION: Flags should be designed for
the originating offices to use when they
desire special handling such as: HAND CARRY
ONLY; WASHFAX ONLY; WASHFAX OR HAND CARRY;
DO NOT WAIT FOR SCHEDULED AGENCY COURIER-
IMMEDIATE HAND CARRY REQUESTED; PERSON-TO-
PERSON IMMEDIATE HAND CARRY; IMMEDIATE MORNING
DELIVERY (If it can wait until the next day.)
A Staff announcement should be published to
inform users of the new procedure and where
the supply of flags can be acquired. This
is a situation where a priority coordinator
could help the Registry.

(11) The DCI often notes his replying comments on
the original document he receives and returns
it to the sender. The Registry has been for-
warding this original with comments to the
Staff action office without making a record
copy for their files.

RECOMMENDATION: The Registry should copy and
file the original, sending the copy to the
Staff action office. This prevents loss of
record copies and saves the action office
from making the copies. Registry has been
advised of this in advance of this report.

(12) Reproduced copies of controlled documents for
Staff distribution are created in black and
white including the color-coded cover sheet.
When the Registry added the new Series con-
trol numbers to the cover sheet, they were

using a black pen. The copies are not easily identifiable when mixed in with the incoming mail. The Registry was asked to use a different color pen than black to note the Series control number and also to use the color-coded cover sheets since the black/white cover sheet does not serve the purpose intended. This problem was surfaced in an interview along with the fact that it had been solved some time ago.

RECOMMENDATION: This procedural change should be included in a Staff announcement.

(13) Two Agency Headquarters-based offices have asked that their mail from CHB not be held until there is enough to bulk mail. This was passed to the Registry and has already been put into effect. The bulk shipment did not apply to important mail, only notices and single sheets of insignificant mail.

(14) The organization of the Registry under the RMS Executive Officer is no longer appropriate given the split of the IC Staff into RMS and CTS. The Administrative Offices are organized to serve a dual purpose and service both Staffs. The Registry has this same dual purpose yet it is organized under the immediate office of the Deputy Director for RM.

RECOMMENDATION: Transfer the Registry under the supervision of the Administrative Staff for more equitable service to both CTS and RMS.

c.   Mail Volume Statistics

(1)   The following statistics for incoming mail
during one month are based on an actual count
of pieces of mail received. The annual
figures shown are projected estimates using
this monthly count.

CATEGORIES OF MAIL (Incoming only)	MONTHLY COUNT	ANNUAL PROJECTIONS
TOTAL PIECES HANDLED*	4,637	55,644
Total Controlled	1,983	23,796
Total Uncontrolled	1,638	19,656
EYES ONLY, Personal, Unopened Uncontrolled	676	8,112
COMIREX unopened, delivered direct	232	2,784
Codeword, Controlled by office not personal signature	173	2,076
Collateral, Controlled by office not personal signature	141	1,692
Actions, Controlled by office not personal signature	56	672
Returned receipts for outgoing mail	1,613	19,356

*This figure must be increased by the number of copies
made by the Registry to satisfy internal distribution
for offices with like interests. It can further be
increased by the number of copies made after the
initial distribution of items entered in the Journal.
Offices receiving the Journal frequently request copies
of items that interest them. A copy of any controlled
piece of mail must undergo the same control processing
as the original piece of mail entering the Registry.

(2) The outgoing mail count is based on the actual logs and cards maintained in the Registry for a one-year period. To illustrate volume we have included the number of basic documents in parenthesis after the number of copies reproduced which is determined from the Standard Distribution List used for the type of document being sent. At the present time, the Registry performs most of the reproduction of these basic documents prior to control processing. The following are the count statistics for outgoing mail. Figure 3 attached is the statistics on the Standard Distribution Lists used by the Registry. These lists are originated and updated by the originating offices of the basic documents.

CATEGORIES OF MAIL	NO. OF COPIES	NO OF BASIC DOCUMENTS	% of NO. CONTROLLED
RMS source:			
NFIB's	6,550	190	95%
SECOM	648	N/A	100%
WASHFAX	N/A	1,320 (4,440 pages)	100%
Other	N/A	64,000	60%
Daily Journal	262	4,454	N/A
*Destroyed Copies of Controlled Items		6,500	
CTS source:			
SIGINT's	4,500	40	100%
Other	N/A	800	95%
Destroyed Copies of Controlled Items		(Included in RMS figure)	

*Controlled Documents require reverse processing when being destroyed. It takes time to locate the original control card and marking it with the date the copy was destroyed and refiling the card. According to the Records Control Schedule authority, the destruction certificates must be retained for 5 years after copy of document is destroyed.

STANDARD DISTRIBUTION LIST STATISTICS

Office/Item	No.of Copies Distributed	No. of Addressees	Total Lists For Full or Limited Distribution
NFIB's *	35	31	
	28	27	2
SIGINT's	25	20	
	35	20	
	80	26	
(SI)	90	31	
(Collateral)	90	31	5
SECOM	18	18	1
IR&DC Agenda	42	42	
Minutes	28	28	2
IHC	19	19	1
COMIREX Agenda	58	25	
Minutes	69	28	
Documents	74	25	3
HRD (five different sub-committees)	15	15	
	15	15	
	15	15	
	15	15	
	15	15	5
NFIP	22	22	1

*Executive Secretary for NFIB reduced copies from 180 to 35 routine and 28 limited distribution upon assuming his duties.

SIGINT's Lists Used by OCI Registry in serving the SORS at Hqs.(Agency)

List	No. of Copies	No. of Addressees
B	26	17
T	29 (30th held as working cy)	17
B(Limited)	19	12 (Rarely Used)

To give a rough idea of what this kind of
volume would require in work time, if it took
1 minute to process each controlled copy, it
would take one person working 8 hours a day,
5 days a week, with no interruptions, approxi-
mately 32 weeks or 8 months to keep this kind
of volume under control. This is only the
outgoing mail. We are now talking of expanding
to a personal accountability system which
requires a receipt be made for the recipients'
signatures, the COMIREX registry merger, and
adding controls for all the xeroxed copies
that have been made without control.

RECOMMENDATION: The Standard Distribution
Lists be re-examined for the purpose of
cutting the number of recipients to only
those Community members who have a genuine
need-to-know.

The pre-printed labels developed for use in
processing controlled mail need a new source
of production. Previously the Printing and
Photography Division (P&PD) have taken the
Standard Distribution Lists and produced
peel-off labels in stock-supply amounts for
the Registry to store and use. The labels
require three cubic feet of storage space.
They are not accurate due to the lapse of
time between address changes being received
in the originating offices, being given to
the Registry, sent to P&PD for printing, and
returned for use by the Registry. (Unfortunately,
the printing of these labels does not hold
very high priority in the P&PD schedule.)
In the interim, the Registry is manually
writing the addresses on the inner and outer
envelope, and this adds time to the processing
action.

RECOMMENDATION: The surveyor and the ADP
representative discussed this matter and the
ADP rep has begun action to handle the label
printing within the Registry once the automa-
tion system is installed. The offices will
furnish the Registry current address infor-
mation, the Registry will input it into their
data bank, and supply labels as they are needed.
(This will cut the space storage needs considerably.)
The Registry will maintain a reasonable
supply of labels ready for use to cut output
time during the rush of processing the mail.

-22-

RECOMMENDATION: The reproducing of Staff-
produced documents based on Standard Distri-
bution Lists should be turned over to the
originating offices to help reduce the work-
load of the Registry. At one time that was
the procedure. The former Chief of the
Registry preferred that the Registry handle
the xeroxing due to machine breakdown caused
by the multitude of users. The multitudes
still use the machine for other things they
are copying and breakdown is not a major
factor. The training in the use of the
machine is better today and there should be
no problem transferring this copying task
back to the originators. This action is not
going to leave a void in the Registry's
business day. It will only be discontinued
to make room for the new and greater volume
tasks of personal accountability control,
control of previously uncontrolled copy
making, and added merger of COMIREX mail.

(3)   Attachment D has been developed to illustrate
the detail involved in the control processing
of specific categories of mail handled by the
Registry. Copies of these processing proce-
dures will be furnished to the Registry as a
written guide and desk aid for use in training
new personnel or when the team members routinely
substitute for each other. The guides will
be of use during any potential investigations
concerning the control methods used by the
Staffs for classified and sensitive documents.
They can also be used as a means to explain
duties in job audits, or to solve related
conflicts concerning mail handling.

      The categories covered under Attachment
D are as follows:

         NFIB's   (Documents produced relating to
                  the business of the National
                  Foreign Intelligence Board.)

SIGINT's (Documents relating to the
SIGINT Tasking activities.)

Collateral (Non-codeword)

PRC's (Documents relating to the
Policy Review Committee's
business.)

Daily Journal (Listing of mail items
of key and active
interest received or
released each day
relating to the busi-
ness of the Staffs)

Inactive Records Retirement Procedures

(These are new to the Agency and
are quite complicated compared to
previously used procedures. The RMO
is responsible for using these to
instruct the office custodians in
their responsibilities to their
inactive records. Refer to Attachment B
which serves the dual purpose of Job
Description of the RMO and the handling
procedures.)

d. Courier Services

(1) The next major issue that follows mail control
is the transmission of the mail to the custom-
ers. The Staffs' situation has been unique
from their initial move into the CHB. The

STAT ☐ Registry personnel were required to add
an expedite Community-wide courier service to
their duties. This was in addition to the
Office of Logistics-provided courier service
and was without additional personnel. It
primarily requires two persons (the courier
and an escort due to codeword). The chauffer
is used when possible as the escort. This
depletes the Registry of personnel to handle
other Registry operations. It creates a
crisis when more than one document arrives
for immediate control processing and delivery.
The delays created by these frequent disrup-
tions generate complaints against the Registry
personnel from those who do not understand
the problem or from those who are causing the
problem.

(2)   Attached hereto in Figure 4 are the statis-
tics on courier runs handled by the Registry
personnel throughout the Community. Figure 5
shows the statistics on the internal daily
mail runs within the CHB.

(3)   An individual interviewed discussed a need
for the courier schedule to be published. He
was not aware that the schedule has been
published and distributed to all Staff offices
and it is posted on the wall in the entry
hallway to the Registry for all to see.

RECOMMENDATION: New schedules are being
reissued in greater detail combined with
other related information. See Attachment F
(3 parts).

(4)   The surveyor canvassed the people interviewed
and the recommendation for self-service mail
pick up and delivery by office secretaries
was readily accepted throughout the Staffs
and will be implemented with a Staff announce-
ment. This is in anticipation of the personal
accountability system. Accuracy of mail
sorts can be checked upon pick up and only
signed for if it is correctly sorted. Any
discrepancies can be brought to the attention
of the Registry without further delay.

RECOMMENDATION: The Staffs should use the
statistical figures provided to re-apply for
a "dedicated" courier to be assigned to the
CHB for both Community Service and direct
service to the Pentagon after the CTS move
takes place. The OL Courier Branch has made
comments about the great number of calls they
get from the CHB for special couriers. They
were surprised when told the calls they get
are only 9% of the total run requirements of
the Staffs.

(5)   If a dedicated courier is not approved, the
Staffs can expect another drop in mail service
quality. This is emphasized for the benefit
of the CTS when it moves to the Pentagon.
They will have to sacrifice the time of their
officers and secretaries when their priorities
cannot be accommodated by OL or RMS courier
service as it exists today. This is a last
resort measure used by almost all offices in
the Agency when the priority is higher than
the service can afford. Another alternative
is if the priority demand is at the prerogative

of a Community customer and Agency courier
service cannot meet the time frame require-
ments for delivery, do not hesitate to ask
the customer to provide the pick up service.
We do the best we can. When they set stan-
dards we cannot live with, its time to ask
them to meet us halfway.

RECOMMENDATION: As a courier safety measure,
the Registry has adopted the recommendation
to maintain a roster and record all courier
runs made by RMS Registry personnel including
destination, time enroute, and return time.
This will establish a standard time period it
takes to complete various runs and when the
couriers can be expected to return. Abnor-
mally late returns can alert the Chief,
Registry to have action taken in case the
courier has encountered an emergency and is
unable to return. The spontaneous demonstra-
tions directed at Federal Agencies and other
unpredictable aggressive or accidental situa-
tions make couriers prime targets even when
traveling with an escort. They are not
equipped to defend themselves nor is there
any guarantee they can get to a telephone to
call in for help. It is, therefore, recom-
mended that action be taken to afford them
communications equipment while walking or
riding which will provide a means of distress
signal or a means of two-way communication
link with the Registry home base. They
should be instructed as to how to handle a
situation which may mean giving up their
carried items or their well-being.

(6) The originating Staff offices have not been
giving the Registry or Agency couriers the
information they need to call off a courier
run if recipients will not be there to receive
the mail. Staff offices have been demanding
the run be made even if the time limit cannot
be met just so they can say it has been
delivered. This is costing the Government
money when the documents do not get delivered
and have to be returned. Even though the
originators are fully aware that delivery is
impossible, it is the Registry personnel that
catch the flak when the promised delivery
does not materialize.

RECOMMENDATION: Top management in the Staffs should take action to have this practice discontinued with a Staff announcement requiring that originators inform the Registry or Agency Couriers of the exact amount of time a recipient will wait so a courier run can be called off if the time limits cannot be met. The recipient customers should be reminded of their responsibility to wait the agreed upon time before closing their doors. The announcement should include the need that exists for items to be delivered to the Registry in time for them to perform the required control processing. If the Registry is informed in plenty of time that a priority is coming, they can sometimes take steps to have part of the control processing already done when it arrives.

(7) One office interviewed has a problem regarding the NID's not being received at the expected time and day of the week. Perfect courier service is a non-existing commodity. Although the couriers leave the Agency Headquarters at the time scheduled, each run varies depending on the priorities established between the Agency and CHB. They service other Government agencies and are not dedicated to a direct Agency-CHB run. When the Staffs moved to CHB they knew mail service would be less than what they had received within the Agency Headquarters Building. When CTS moves to the Pentagon, they must be prepared for even less, especially if their mail is processed via CHB Registry.

RECOMMENDATION: The Staffs should apply for a dedicated OL courier to be assigned in the RMS Registry. If they are denied this service, they will have re-access their priorities and either reduce their pace or volunteer their officers and secretaries to perform their immediate hand carry needs.

(8) During the Budget exercise, hand carry tasks are frequent and have critical deadlines. On two occasions there have not been Government vehicles available nor the use of the chauffer to escort. Rather than delay the deliveries until a car became available, the Chief, Registry volunteered the use of her own privately owned vehicle. Once removed from the parking garage where she pays parking by the month, the return of the vehicle requires a separate payment for parking over and above the monthly payment. She has managed to work out an arrangement with the Administrative Officer to park in front of the CHB upon return from hand carry assignments which saves the additional parking fee. On one occasion had she not been permitted to park in front of the building, she would have not been reimbursed because the funds of the Staff were frozen.

RECOMMENDATION: This problem also emphasizes the need for the Staff to apply for a dedicated OL courier.

(Figure 4

STATISTICS ON COURIER RUNS MADE BY THE REGISTRY PERSONNEL

The following statistics were derived from real-life studies of the courier runs made by the RM and CT Registry personnel. The period covered was 14 August through 29 September 1978 or a total of 34 working days. This period is not considered the peak season.

No. of Runs	Remarks	Time Used			Converted into Days		
		Hrs.	Min.		Days	Hrs.	Min.
43	Total(RM/CT/Hqs couriers)in 34 days.	37			4	5	
26	One RM/CT courier (18 required the Chauffer as escort)	17	30		2	1	30
13	Two RM/CT couriers	13	15		1	5	15
4	Two Hqs couriers	6	15			6	15
42	For RM Staff needs	27	45		3	3	45
3	For CT Staff needs (Two overlapped RM runs)	2	30			2	30
37	During duty hours	27	30		3	3	30
6	After duty hours	7	30			7	30
13	Used Chauffer during duty hours	10	45		1	2	45
5	Used Chauffer after duty hours	4	30			4	30

PERCENTAGES BASED ON THE ABOVE LIVE DATA

61% of the runs required one RM/CT courier.
30% of the runs required two RM/CT couriers.
9% of the runs required two Hqs couriers.
42% of the runs required Chauffer as escort.
10% of the 34 working days was spent on courier runs with 7% using one RM/CT courier and 3% using two RM/CT couriers.
91% of the runs were highest priority and cannot wait for Hqs courier service.
Equivalent of 1 working day was spent on courier runs after duty hours using one RM/CT courier and Chauffer.

Figure 5

STATISTICS ON THE INTERNAL MAIL RUNS MADE DAILY IN CHB

The following statistics were derived from a real-life study. The surveyor escorted the Registry courier on her rounds in a time and motion fact gathering exercise to determine the average length of time the courier is required to be away from the Registry each day in the performance of this duty.

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The Registry person normally performing this function is [   ] however, in her absence or during her assignment to higher priority duties, the other members of the Registry alternate on this function, including the Chief of the Registry. These are existing and continuing practices until self-service is implemented.

4 deliveries are made to 18 stops on 6 floors servicing both Staffs.

The courier practices sorting ahead except for con-trolled items that must be reprocessed in the Registry.

The courier practices using the elevator with her cart to the 2nd and 5th floors, leaving the cart after delivering mail on those floors within an occupied office, and using the stairs down and up to the next floors 1 and 3 or 4 and 6 for deliveries except when mail is too heavy to carry. This practice is used to avoid the use of the elevators which have unreasonable delays in service in this building.

Deliveries average 45 minutes per run or 3 hours per day spent out of the Registry on mail deliveries within CHB.

Based on the above data and the proposed personal accountability security practices soon to be implemented the surveyor is recommending that the RMS and CTS implement self-service on their pick ups and deliveries to the Registry within CHB. With the coming personal account-ability practices, the Registry courier would spend the entire day getting signatures at the delivery points.

e. <u>The Daily Journal</u>

(1) A special feature of the service the Registry provides is the controversial Daily Journal. It was created by the Chief, Registry as a spontaneous gesture to provide better communications throughout the Staffs. It was meant to only include the brief data needed to identify the document entry for reference by offices reading the Journal. It originally included the text in brief but misinterpretation of text meaning caused this to be discontinued. Interviews and study of several copies of journals have surfaced the following controversaries.

(a) CTS receives distribution but contributes no entries.

(b) Certain CTS offices outside CHB are not on distribution for the Journal.

(c) It is the object for criticism based on personal preference of wording the identifying data.

(d) It is the object of unauthorized removal of documents that are attached to the record copy for use in offices instead of taking time to make a working copy.

(e) Some feel the need-to-know principle is not being followed and access to Journal reference items and the attached record copies of the items is too liberal.

(f) One officer feels it is not meaningful without the text briefs.

(g) The procedures for access to copying documents attached to the Journal have made a 360 degree circle during the surveyors visit. They went from liberal copies to any requester; through need-to-know, contact the originator; and when the latter became too cumbersome for the originating offices; back to the liberal copies to be issued by the Registry to any requester. Convenience overruled need-to-know.

(h) Documents requiring [   ]clearance are not   STAT
entered on the Journal.

(i) When copies of the Journal are requested
the Registry was failing to put the name
of the requester and a note "per your
request" so the copy would not get mixed
in with unprocessed mail once it arrives
in the requester's office.

RECOMMENDATIONS:

For (a): CTS should provide its permission
in writing to the Registry to make appropri-
ate entries of CTS mail into the Journal.
Written permission is for the Registry's
policy and procedures file.

For (b): CTS offices outside CHB will
receive copies of the Journal in the future.

For (c): The Journal is a quick reference
convenience document circulated only within
the Staffs. It does not necessarily need to
be so formal that it is scrutinized with
personal preference editing of identifying
data. Unless there is an error that com-
pletely changes the meaning causing document
identification difficulty, there should be a
lower tolerance level for perfection in this
document. When automation is implemented the
Journal will be produced as an output product.

For (d): The new access barrier will prevent
physical access to the Journal and its attached
documents. The new procedure for controlling
the recipients of copies made after the
Journal is published will be covered in a
Staff announcement.

For (e): A decision has been made by both
Staffs permitting the Registry to make copies
of Journal documents upon request with no
restrictions for need-to-know.

For (f): The text was discontinued due to
the misinterpretation of the text meaning.

For (g): The procedures will be published in
a uniform manner as they happen in Staff
announcements.

For (h): Clearance compartmentation over-
ruled the inclusion of ☐ documents as
Journal entries.   STAT

For (i): The Registry has been asked to add
the requester's name and indicate it is the
copy of the Journal asked for.

f.   Self-Discipline-RECOMMENDATIONS:

(1)   The lack of concern for the need-to-know
      principle when allowing carte blanc copying
      of compartmented codeword records leaves the
      surveyor with the impression that there is a
      need to completely overhaul the criteria used
      in determining what information will be
      designated for inclusion in the codeword
      channels. The strict criteria in the written
      procedures for handling and protecting code-
      word and what is actually happening have no
      similarity. We are wasting valuable manpower
      resources with some people trying to go by
      the book to protect the handling of codeword
      and others who grant themselves immunity
      waivers when the process is cumbersome or
      inconvenient. This double standard should be
      dealt with and either find ways to enforce
      the procedures or trim the volume of paper in
      the codeword channels to a controllable size.

(2)   It has been past experience that the Chief,
      Registry receives instructions from different
      offices which sometimes countermand orders
      received from others. An announcement should
      be published to instruct Staff members that
      procedural changes or arrangements will be
      made in writing through proper channels.

(3)   The Chief, Registry has been confronted with
      hostile reactions from secretaries being sent
      by ☐ officers to pick up ☐ materi-
      al the secretary is not cleared to handle.
      The Chief, Registry has refused the secretary
      access but immediately volunteered to accom-
      pany her and hand carry the document herself
      since she is cleared. This matter should
      be covered in an announcement. This kind of
      reference request takes only a phone call to
      the Registry and a member of the Registry can
      respond by hand carrying the document to the
      ☐ recipient.

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(4) The offices' mail receiving requirements should be furnished to the Registry as an aid in routing mail. This policy is already partially in effect and Chief, Registry periodically visits the Staff offices to determine if requirements are current and if the service from the Registry is adequate. This is a prime time for offices to air any problems they may be encountering but they rarely take this opportunity.

(5) Originating offices expect the Registry to furnish omitted portions of mailing addresses. This is not a Registry responsibility. It is up to the originator to furnish a complete and accurate address on all outgoing mail prior to sending it to the Registry. The Registry may misinterpret the intentions of the originator and send the document to the wrong address. The Registry may not have current address information. Originators are in the best position to know their customers and their addresses.

(6) (a) When prepared by offices, Destruction Certificates are not always complete nor do they capture all copies of controlled documents. When controlled documents are copied the copies are not processed under control with Series numbers. These "bootleg" copies are often destroyed without entry onto the Destruction Certificate because they have no distinguishing control number to use. This has been generated by the lack of discipline in controlling copies made on the Xerox machines. The requirement has always been an official procedure. The Staffs have waived compliance for convenience. Copies are being made, used, and destroyed without any record of their existence. This should be remedied with the new security procedures on personal accountability and appropriate emphasis for compliance from top management.

(b) The Front Office has been given the identifying marking entered on circulated copies of documents telling them the Registry has the record copy. They have been asked to destroy the copies in their office and complete the Destruction Certificate. This will eliminate the unnecessary handling and transferring of duplicate copies back to the Registry and avoiding any possible loss in transit.

(7) Officers are making arrangements for hand carries without allowing their secretaries to proof the documents for errors. It's late-found errors that create some of the crises for recalling and reprocessing documents that have already been hand carried throughout the community.

(8) Internal mail movement within one office is slow. There is a need to route mail to the next person to be returned later if recipient is too busy to read mail or is on leave, or attending a meeting. The redesign of the routing slips used in offices should remedy this by providing blanks below the pre-printed names. The Secretary or Officer can cross off their name and fill in a lower blank for later return.

(9) The DCI/ER or ExO often assigns the wrong action within the two Staffs. They seem confused re the roles of each Staff. This is a problem for the two Executive Officers to handle. Perhaps a briefing once the function and mission statement is published would be appropriate. The transition of ICS to RMS and CTS have been very confusing internally and externally.

(10) The survey has surfaced a strong need for the coordination within each Staff and between the two Staffs to solve the precedence of priority problem the Registry has had to deal with. The Registry personnel have coped to the best of their patients and ability with the priority handling needs of every office. This is a disorderly atmosphere to work in. The Registry is expected to accept it as a way of life. There is a definite need for management to look into the problem and re-examine their priorities. This problem has become so out of hand that priority has become a routine pace. The routine activities must be dealt with on overtime because there is not enough time during the working day to effectively handle routine matters. Certain routine duties such as the retirement of records has become so much more complicated with reviews, screening, and preparation and documentation, that they simply cannot be done accurately in the priority atmosphere that now exists. The Records Management Officer cannot devote adequate time to her duties as RMO because her time is spent on priority mail handling services including pushing the cart around the building to deliver the mail to offices. The Registry personnel have established a sense of sorting out their priorities and are rotating according to the needs they have prioritized. This scheduled handling is frequently disrupted with ad hoc higher priorities levied without any warning or advanced planning.

RECOMMENDATION: This problem should be high on the list of those items for attention since it deals directly with the manner in which Registry Personnel do their jobs under circumstances they have no control over. The situation needs a priority coordinator to work with the Registry personnel.

g.   Supplemental Distribution

The Supplemental Distribution facility at the
Agency Records Center was discussed with offices that
have a problem of storage for extra copies of documents
held as supplemental to the initial distribution. This
available service was unknown to most offices. The
Registry is used as a storage facility by most offices
creating problems of space in the Registry. The Registry
is also being used to store 7 volumes, 13 copies each,
3-inch notebook binder Congressional Justification
Books for the House and Senate Select Appropriations
Committees. The 91 binders use 23 feet of shelf space
and have been maintained for a year without reference.

RECOMMENDATION: It is proposed these notebooks be sent
to the Agency Records Center Supplemental Distribution
facility and that the appropriate Committees be noti-
fied of the change. The change will delay their re-
trieval to approximately one day through the Agency
courier systems to CHB via Agency Headquarters mail
rooms. Since they have not been used in the past year,
one day delay seems minimal to the retrieval urgency.

h.   Microfilm Applications

(1)   Offices were asked if they had collections
that may fit the application for microfilming.
Many were already using this media actively.
Others had applications they thought were
appropriate. The surveyor referred the
latter offices to Micrographics Program
Branch for assistance.

(2)   The Registry is taking action with the RMS
Executive Officer for enforcing destruction
of paper copies of verified microfiched
records to eliminate storage in the Registry
area and unauthorized accessibility to the
paper media.

i.   Records Management Program and Automation in
the Registry

(1)   The Records Management Program and the auto-
mation of the Registry are two closely tied
activities. Automating the Registry will
provide many benefits. Document location,
retrieval, and accountability are its primary
features. File systems by file title, library
reference materials available within the
Registry, address label making, followup

dunning lists on overdue action items, and
more reliable document identification data
are some of the benefits also.

(2)   The ADP representative has been observing the
pilot program for an automated registry in
the DDS&T Front Office Registry. This soft-
ware package will be used with adaptions as
needed to fit the Staffs' needs.

(3)   The RMO has been meeting with the offices of
the Staffs to determine what file systems
exist and if they are official or non-official
in supplement to the centralized file system
maintained in the Registry. She is explaining
to the offices how their official files will
fit into the overall file plan which is a map
of what files exist and where they are located.
When automated, this will provide a better
control over files and related charge-out
service. The file system is patterned after
the Agency's Subject-Numberic System. The
file systems were examined and recommendations
were made. The file plans they are submitting
are being classified and marked according to
the subject matter included on each page
which includes file titles. The overall file
plan will require distribution by compartmen-
tation according to the page or file title
compartmentation prescribed by the custodian
office for the files. Previously file plans
have been treated on an informal unclassified
basis with some very revealing information in
the file titles listed. This is being changed.
When surveyed regarding how long documents or
files should be charged out, most offices
felt 30 days was adequate before dunning for
return begins. Dunning will be automatically
surfaced by the system.

(4)   See Figure 6 for Statistics of Data Item
Entry information. This study points out the
repetitive information now being gathered and
entered into the manual control records. It
includes specific documents (NFIB's and
SIGINT's), other codeword, and collateral
material currently being controlled by the
Registry. According to a recent survey taken
in the Staffs' Registry by the Office of
Security, it was determined that there are 18
different forms (and possibly more in the
outlying offices) being used for controlling

mail, each for different levels of classi-
fication or compartmentation or routine mail
processing. Each require different data be
entered from the document being controlled or
the related mail movement.

(5) The Figure 7 shows the number of items that
are repetitively used in a manual control
system. The figures indicate the number of
times each piece of data is used for each
copy of each document. To acquire the statis-
tics in Figure 6, these repetitive entries
were used with five specific categories of
documents for which exact copy and Standard
Distribution List factors were known. With
automation, the number of times each data
item is input will be reduced to once for
each copy of each document. The forms needed
to control the documents will be reduced to
one menu, which will substitute as the con-
trol record and a receipt. The menu is a
format generated by the machine with the data
entries organized in a logical manner. The
menu may also be substituted for the destruc-
tion certificate with a signature of the per-
son destroying the document and the signature
of the witness. For every copy of every form
discontinued there is an Agency-established
savings of $40 per page plus printing costs.
The forms cannot be obsoleted since other
Registries and offices will continue to use
them in other existing manual systems. It
would be impossible to calculate savings on
official forms no longer used by RMS with the
automation of the system since the $40-figure
includes obsoletion. A savings can be cal-
culated for the specialty bootleg type forms
designed and used only by RMS. The NFIB and
SIGINT receipt forms are an example.

((FIGURE 6

STATISTICS ON AUTOMATED DATA ENTRIES USED TO CONTROL DOCUMENTS

The following illustrates how a 52% savings can be accomplished in automating the entries for controlled documents versus maintaining a manual control system. Excluding the vast number of miscellaneous codeword and collateral documents and the applicable distribution copies for each, five individual categories of documents were selected for this study. These selections were used due to known standard distribution lists, number of copies required by each, and annual number of times these documents are received for identical control processing.

CATEGORY OF DOCUMENT	NO. RECEIVED ANNUALLY	NO. VARIED STANDARD DIST. LIST	PROCESSING ACTION REQUIRED FOR EACH COPY
NFIB	190	2	Reproduction
			Assembled
SIGINT	40	5	Stapled
			Marked
SECOM	648	1	Receipted
			Controlled
IR&DC	24	2	Addressed
			Double Packaged
HRD	24	1	Mailed or Hand Carried

–5 Categories have 11 varying Standard Distribution Lists requiring a total of 546 reproduced copies.

–Manual data items from each category varies from 28 to 35 or 36 items per document.

–Manual control requires 19,297 entry items be hand written on various control forms for the categories annually.

–10,043 of these entries are repetitive and can be eliminated with automation.

–Automation will require 9,254 data entries annually for these categories or 52% savings.

Other factors that will reduce the data entries for additional savings are:

    –Review and reduce Standard Distribution Lists to core Community recipients on a genuine need-to-know basis.

    –Re-evaluate the codeword channel information to include only that information that needs to be controlled within the channel.

((FIGURE 7

REPETITIVE DATA USED IN CONTROLLING DOCUMENTS

The following indicates the number of times the data item is manually entered on the various forms used in the manual document control system. The forms include specially designed receipts for NFIB or SIGINT documents, card control, log sheet, and destruction certificate. For one copy of one document:

REPETITIVE DATA	NFIB or SIGINT	OTHER CODEWORD	COLLATERAL
Control Number *	4	3	4
Document Number **	3	1	3
Subject/Description	2	3	4
Source (From)	2	2	4
Date of Document	2	3	4
Date Received	2	2	4
Date Forwarded	3	1	2
No. of Copies	1	1	1
No. of Pages	0	0	3
Copy Numbers	3	2	3
Addressee/Recipient*****	3	2	2
Attachments	2	1	3
Security Classification	4	3	4
File Classification	****	1	2
Receipt Number ***	1	0	0
Receipt Numbers Inclusive	1	0	0
Date of Destruction	1	1	2
Name of Destroyer*****	1	1	1
Name of Witness *****	1	1	1

* Includes compartmentation category code.
** Used in addition to control number.
*** Receipt numbers are assigned from a master RMS originated listing.
**** Documents returned to originator for filing record copy.
***** Signatures must be acquired and retained 5 years per Records Control Schedules. Names will be input.

(6)   The Records Management Officer was furnished with copies of the applicable Federal Regulations, a handbook published by RAB on the Duties and Responsibilities of an RMO, the current approved Records Control Schedule applicable to RMS and CTS record holdings, and the new record retirement procedures. These are all tools of her trade as the RMO for the Staffs. She should be made available for training and encouraged to apply for training when appropriate courses are available. She is not going to learn to handle her RMO duties confined to the priority service requirements of the Registry. All personnel in the Registry should be made available for the automation training as the program develops.

(7)   The Forms management program within the Staffs needs attention. The large number of bootleg forms found, their poor design, and like forms designed in different formats need to be analyzed for discontinuance, consolidation, or redesign. The forms gathered by the surveyor are going to undergo such an analysis by the surveyor and the Agency Forms Management Officer as a separate exercise from this survey. The exercise will take considerable time and have little bearing on the survey. The results of the forms analysis will be implemented through the cooperation of the RMS/CT/RMO. The automation system will eliminate the need to analyze many of the forms currently being used. They will simply be discontinued and the stock supplies destroyed.

(8)   Specialty records storage equipment is already in place. New mail sorting equipment has been purchased and is now installed. In outlying offices where they are located in vaulted areas, arrangements have already been made to purchase conserv-a-file shelving to replace safes. Until the decision is made regarding the service for the CTS at the Pentagon, their ordering equipment is in a pending status.

(9)   The following is a list of other office
      equipment available within the Staffs in CHB.

Xerox reproduction machines (One 9400)	10
Mag card typewriters	28
Lexitron (word-processing)	7
Microfiche reader-printer	1
Electric Time Stamper	1
Electric Stapler	1
WASHFAX (electronic transmitter)	1
Automatic Numberer	1
Paper Tape Machine	1

The general opinion was that members of the
Staffs are satisfied with the equipment they
have, its in working condition, and service
repairs have not been a problem. The RMO was
advised that should there be any problems
with the word processing equipment or when
the Staffs are ready to replace what they
have, they should contact the Word Processing
representative from ISAS for assistance and
guidance. They were just getting into some
micrographics activities and are already in
touch with the Micrographics representative
of ISAS concerning these and other new programs.

The surveyor was told of certain environmental
conditions that exist for the Registry per-
sonnel in regard to safety and health in
performing minor repair or routine services
to the reproduction machine and the WASHFAX.
The hazards involve clearing reproduction
machine jams and exposure to carbon dust
(toner) and oil. There is a minor amount of
radiation from the WASHFAX machine which they
have been told is within a safe margin. There
have been no casualties as a result of these
conditions to the knowledge of the Registry
personnel.

Briefing charts are a problem for storage.
They get damaged due to size and lack of
proper space. One office during an interview
admitted they destroyed the old charts used
in briefings after the data was updated for
new briefings. When informed of their
responsibility under the Records Control

Schedule to preserve these as record copies, they admitted that the bulky charts are reduced by color-photography and included in the briefing books which are preserved as permanent records. They were told the bulky charts could be destroyed as duplicates when they were declared obsolete.

(10) During the interviews, the surveyor asked about the implementation of an official Form 4002 which is designed to record action taken by phone or informally. Attachment E is a sample with procedures on how it can be used. This form is especially useful when taking action on incoming correspondence. This makes a record copy of the action taken, or action referred, for the Registry to close out any suspense they hold and suspense being held in the Registry of the originating office.

RECOMMENDATION: Form 4002 be implemented in the Staffs.

(11) There is not a comprehensive or meaningful program in this Agency on Correspondence Management. The RAB is developing an Agency-wide Correspondence Handbook of procedures. The surveyor reviewed a sampling of correspondence prepared within the Staffs for comparison with some of the standards in GSA correspondence preparation manuals. The following are some of those comparisons:

ITEMS COMPARED	STANDARD AVERAGES ACCEPTABLE	STAFF AVERAGES
Number of pages per memo	2	1 or less
Lines per paragraph	7	6
Number of words per sentence	21	22
Use of 3-syllable words per sentence	10%	5 or 23%

The 3-or-more syllable words appear to be the only area for concern. The individual memoranda revealed more.

The acceptable standard averages serve as a
guide only. All letters cannot be limited to
them. Certain reviewed letters were 3 to 5
pages each, with sentences up to 80 words
each, and the percentage of 3-or-more sylla-
ble words ranged from 25 to 44%. Other
letters were simple, brief, and to the point.
The latter group was largely responsible for
making the statistics look good. The Presi-
dent has asked for brevity and simple lan-
guage in Federal regulations and correspon-
dence. Originators using these guides can
save their own time, their readers' time, and
get the job done faster. They can reduce the
volume of records. Most of the Staffs'
correspondence is filed in the Subject-
numberic File System. This file system has
permanent retention under the approved
Records Control Schedule.

RECOMMENDATION: Periodically remind origi-
nators to practice the art of writing simply,
briefly, to the point, and in a human mode
rather than the third person where appro-
priate.

(12) When the COMIREX offices merged from DDI
Directorate to the ICS, there was a problem
with the existing Records Control Schedules.
Items in the DDI Schedule that apply to
COMIREX should have been transferred to the
ICS Schedule. During the interviews, the
surveyor was told the DDI Schedule did not
cover COMIREX that COMIREX has never had a
Schedule and the DDI/RMO would not permit
COMIREX to retire any of its records holdings
to the Agency Records Center until it took
time to write a schedule. The Agency Records
Center is under instruction that no records
will be transferred unless covered by a valid
Records Control Schedule. The surveyor is
also responsible for the preparation of
Schedules for the Independent Offices (in-
cluding ICS) with the Direct participation of
those offices, their records custodians, and
their RMO. The surveyor inherited the
COMIREX problem when the office was trans-
ferred before the DDI/RMO received a prepared
schedule to submit to the U.S. Archivist
for approval. It is now the Surveyor's
responsibility to follow up on this problem

and the COMIREX office and RMS/RMO has been
so informed. It will be scheduled into the
workload of the surveyor as soon as possible
since certain COMIREX offices have records
that need to be retired.

Although the Staffs are now separated, they
will still operate with the same single
Records Control Schedule under the direction
and guidance of the RMO.

A

TABLE OF CONTENTS

RECORDS ADMINISTRATION PROGRAM

SURVEY REPORT

OF THE

RESOURCE MANAGEMENT STAFF

AND

COLLECTION TASKING STAFF

(formerly The Intelligence Community Staff)

PREPARED BY

Records Administration Branch

Information Systems Analysis Staff

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MANAGEMENT
HANDBOOK

DUTIES AND
RESPONSIBILITIES

INFORMATION SYSTEMS ANALYSIS STAFF
RECORDS ADMINISTRATION BRANCH

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TABLE OF CONTENTS

Next 101 Page(s) In Document Exempt