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Draft 6-16-55

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RECORDS MANAGEMENT

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1. GENERAL

This Regulation establishes basic policies and responsibilities for administering the Agency Records Management Program. Its requirements are in agreement with the Federal Records Act of 1950 (Public Law 754, 81st Congress) and other applicable statutes and regulations.

2. OBJECTIVE

Records Management is controlling and improving records from their creation or receipt to their disposition, with resultant economies in manpower, supplies, equipment, space, time and money.

3. POLICIES

The Agency Records Management Program shall be administered on a decentralized basis through area programs governed by the policies outlined under the respective program functions.

4. RESPONSIBILITIES

a. The Chief, Management Staff, is responsible for:

- (1) Directing and coordinating the Agency Records Management Program by providing basic plans, policies, and procedures, and staff guidance for their application to area programs.

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- (2) Conducting operational audits of area programs to promote their effectiveness.
 - (3) Providing, in collaborating with the Director of Training facilities (including instructional and training media) for the guidance, indoctrination and technical training in the program functions.
- b. The Deputy Director (Plans), (Intelligence), and (Support) or their designees are responsible for:
- (1) Establishing and maintaining area programs to meet the requirements of this Regulation.
 - (2) Rendering such reports as may be required.
 - (3) Designating in writing to the Chief, Management Staff the individuals who will have responsibility for maintaining area programs.

REPORTS MANAGEMENT

5. POLICIES

- a. Requirements for reports shall be in writing.
- b. Reporting requirements shall be approved by the Reports Control Authority of the component which originated the requirement.
- c. Approved requirements shall be assigned a reports control symbol by the approving Reports Control Authority.
- d. Reports approved in accordance with this regulations shall be reappraised at least annually.

6. RESPONSIBILITIES

- a. The Chief, Management Staff, is responsible for:

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- (1) Maintaining a record of recurring administrative or management reports submitted:
 - (a) On a Headquarters-wide basis.
 - (b) From or to field stations.
 - (c) From or to organizations outside the Agency.
 - (2) Publishing lists of reports included in paragraph (1) above.
- b. Reports Control Authorities shall provide the Management Staff with current lists of area reporting requirements and such supporting material as the Management Staff may require to carry out its Program responsibilities.

CORRESPONDENCE MANAGEMENT

7. POLICIES

- a. Congressional correspondence shall be answered or acknowledged within at least three working days from date of receipt. All other correspondence shall be answered or acknowledged within at least five working days from date of receipt.
- b. The standards of HB Correspondence Style and Procedures, shall be applied as extensively as possible.
- c. Form and pattern correspondence and correspondexes shall be used whenever practical.
- d. Handwritten notes or personal contacts should supplant correspondence whenever possible.
- e. The transmittal of self-explanatory forms, reports, and publications by nonessential correspondence shall be avoided.
- f. Provision shall be made whenever possible for indicating concurrences and approvals on basic documents.

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- g. The preparation of nonessential copies shall be avoided. Courtesy copies shall not be prepared except for members of Congress and officials of other Federal agencies.
8. RESPONSIBILITIES
- a. The Chief, Management Staff, is responsible for:
- (1) Developing and maintaining publications on Agency correspondence style and procedures.
 - (2) Reviewing and approving requests for nonstocked stenographic and typing equipment and supplies.
9. PROCEDURE

Requests for stenographic and typing equipment and supplies not available as stock items shall be submitted to the Logistic Office through the Records Management Staff with complete justifications for the nonstocked items.

FORMS MANAGEMENT

10. POLICIES
- a. All forms necessary for agency operations shall be procured or reproduced in accordance with this regulation.
 - b. Nonessential forms shall be eliminated.
 - c. Forms performing the same or related functions shall be consolidated.
 - d. Related forms, procedures and regulatory issuances shall be integrated.
 - e. Forms shall be systematically and periodically reviewed to control quality and quantity.

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11. RESPONSIBILITIES

a. The Chief, ~~Management~~ Staff is responsible for:

- (1) Reviewing, analyzing, recording and approving requests for the use, reproduction or procurement of all forms used by the Agency.
- (2) Registering and assigning identification to forms.
- (3) Establishing and applying design and specification standards to forms.
- (4) Furnishing technical assistance in designing forms.
- (5) Making surveys for the purpose of eliminating unnecessary forms.
- (6) Analyzing forms for essentiality, purpose, simplification, consolidation and standardization.
- (7) Maintaining Agency liaison on forms management matters with Federal and private organizations.
- (8) Making recommendations in connection with the procurement, storage and distribution of forms.
- (9) Publishing appropriate indexes to forms.

12. PROCEDURES

a. New and Revised Forms

- audit 3*
- (1) ~~Prior to requesting a new or revised form the requester shall review the current No. 30 listing all forms used by the Agency, or contact the Records Management Staff.~~
 - (2) If an existing form cannot be used, prepare and forward, through appropriate channels to the Records Management Staff the following:
 - (a) A rough draft of the proposed form.
 - (b) Form No. 30, Request for Approval of Form (in duplicate). ✓

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(c) Form 36-2 (to be redesignated Form No. 70) Reproduction Requisition (see par. 5a(1) R).

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(d) One copy, if applicable, of the coordinated, proposed Regulatory or intra-office issuance or procedural instruction, prescribing or implementing the form's use.

b. Reprinting and Overprinting Existing Forms

If an existing form is to be reprinted or overprinted, forward Reproduction Requisition, (Form 36-2) as provided above.

c. Forms Supply System

Supplies of forms should be obtained from Building Supply Rooms or if not stocked by Building Supply Rooms submit Form No. 88 in accordance with prescribed procedures.

FILE STANDARDS

13. POLICIES

- a. Similar records shall be maintained under uniform file systems and procedures adapted to the individual programs and types of material.
- b. File stations shall be realistically located so as to ensure adequate reference service.
- c. Related papers shall be maintained with official record copies of documents and filed by a system and at a file location that will assure proper documentation of the organization, functions, policies, procedures and essential transactions of the Agency.
- d. Establishment of duplicate files shall be avoided.
- e. The following standards have been established for the maintenance of letter and legal size records:
 - (1) Non-safe type cabinets - Procurement will be limited to 5 drawer cabinets without locks and equipped with guide rods.
 - (2) Safe Cabinets - Procurement will be limited to 2 and 4 drawer cabinets with guide rods and of a standard and type to meet

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the security requirements of the agency.

- (3) File folders - Square cut, plain tab reinforced, 11 point Kraft folders should be used, except as provided for in paragraph 4 below.
 - (4) Heavy duty file folders - Pressboard folders with metal tabs third cut, slot punched in first and third positions, and linen "W" type expansion gussets will be used for maintenance of records, subject to usage that would necessitate replacement of 11 point kraft folders during the active life of the records.
 - (5) File guides - Pressboard guides with angular metal tabs, 1/3 cut with lower projection will be used.
- f. Maximum utilization of file cabinets shall be obtained by:
- (1) Transferring inactive records to the Agency Records Center.
 - (2) Disposing of records in accordance with Record Control Schedules established through the Records Management Division, Management Staff.
 - (3) Removing office supplies, and other nonrecord material from filing cabinets.
 - (4) Using letter size cabinets when less than 20% of the material to be filed is of legal size.
 - (5) Centralizing files in vault areas, where feasible, to permit use of non-safe type cabinets.
 - (6) Using non-safe type cabinets for unclassified records.
- g. A report of filing equipment showing accretions and total in use by type will be made annually.

14. RESPONSIBILITIES

- a. The Chief of Management Staff is responsible for:
- (1) Developing standards for Agency file procedures, systems, equipment and supplies.
 - (2) Reviewing and approving requests for nonstandard file equipment and supplies.
 - (3) Maintaining Agency liaison on file standards with other Federal and private organizations.

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- b. The Director of Logistics is responsible for restricting the procurement and issuance of filing equipment and supplies in accordance with the requirements of this regulation.

15. PROCEDURES

- a. File Guides and Folders (11 point kraft) - Available from Building Supply Offices without requisition.
- b. Heavy Duty Folders - Submit Form No. 88, Requisition and Shipping Instructions for Supplies and Equipment bearing the following certification signed by the person responsible for the Area Records Management Program:

"These folders are needed because the frequent reference requirements of the file would necessitate replacement of the standard 11 point kraft folders during the active life of the records."

- c. Letter and Legal Size Filing Cabinet - Submit Form No. 88, Requisition and Shipping Instructions for Supplies and Equipment bearing the following certification signed by the person responsible for the Area Records Management Program:

"This certifies that this office has complied with the utilization provisions of Section 13, paragraph b (3) of Regulation

- d. Reports - The Deputy Director (Plans), Deputy Director (Intelligence), and the Deputy Director (Support) or their designees will maintain file equipment records from which a report will be prepared and submitted to the Records Management Staff not later than the 15th of August each year. Form No. _____, Annual Inventory of Filing Equipment will be used in making the report which will show by type of equipment:

- (1) Number of pieces on hand at beginning of the fiscal year.
- (2) Number of pieces received during the fiscal year.
- (3) Number of pieces released during the fiscal year.
- (4) Number of pieces in use as of the end of the fiscal year.

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RECORDS SYSTEMS

16. POLICIES

Efficiency and economy in the conduct of Agency record operations will be promoted through the application of appropriate record systems, practices, and devices pertaining to filing, processing of mail, reproduction of records, posting and recording operations, and communications.

17. RESPONSIBILITIES

a. The Chief, Management Staff, is responsible for:

- (1) Conducting studies of recognized records systems in order to determine possible applications in the Agency and, in collaboration with other appropriate technicians act as record systems advisor in connection with the selection, installation and utilization of such systems.
- (2) Promote record systems applications through the development and dissemination of guides illustrating techniques and devices for solving record problems.
- (3) Conducting surveys of record problems in collaboration with appropriate representatives of affected Agency components in order to recommend more efficient systems and devices.

b. The Deputy Director (Intelligence), the Deputy Director (Support), and the Deputy Director (Plans) or their designees, are responsible for continuing reviews of record operations to assure performance in the most efficient and economical manner, and for requesting technical assistance from the Chief, Management Staff, in the study of problem areas.

RECORDS DISPOSITION

18. POLICIES

a. No record shall be destroyed or removed from Agency custody except in accordance with this regulation.

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- b. Records of permanent value shall be identified and preserved as the official archives of the Agency.
- c. Noncurrent records shall be scheduled for removal from office space and filing equipment to economical Records Center storage.
- d. Records of temporary value shall be identified and scheduled for legal destruction according to their retention values.
- e. An Agency Records Center shall be maintained for the storage, processing, and servicing of noncurrent Agency records, including top secret material.

19. RESPONSIBILITIES

- a. The Chief, Management Staff is responsible for:
 - (1) Reviewing and approving records control schedules governing the disposition of records accumulated by the organizational elements of the Agency.
 - (2) Reviewing all recommendations for the destruction of records and obtaining necessary legal authority for their destruction.
 - (3) Serving as the CIA Records Officer and Archivist.
 - (4) Liaison with the National Archives and Records Service on all records disposition matters, and with other agencies in all inter-Agency transfers of records in which this Agency is an interested party.
 - (5) Technical supervision of the Records Center.
- b. The Deputy Director (Plans), Deputy Director (Intelligence), and the Deputy Director (Support) or their designees are responsible for:
 - (1) Preparing records control schedules covering all records in their areas.
 - (2) Implementing the approved records control schedules.
 - (3) Initiating the retirement of noncurrent records to the Records Center.
 - (4) Reviewing and maintaining records control schedules on a current basis.
 - (5) Submitting an annual report of disposition activities.

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c. The Chief, Records Center is responsible for:

- (1) Storing and protecting inactive records and providing reference service.
- (2) Destroying records in accordance with approved schedules.
- (3) Preserving records with permanent or long retention value.

20. PROCEDURES

a. Records Control Schedules.

- (1) Preparation. The Deputy Director (Plans), Deputy Director (Intelligence), and the Deputy Director (Support) or their designees will prepare and maintain on a current basis, records control schedules covering all files of each area program, both record and nonrecord. These schedules will be prepared on Form 139, Records Control Schedule, and 139a, Records Control Schedule-Continuation Sheet, in three copies, one of which will be signed by the Chief of the primary organizational unit concerned. The three copies of the schedule will be submitted to the Records Management Staff for review and approval.
- (2) Review and approval. The Records Management Staff will review and approve the schedules and obtain necessary legal authority for all disposal actions. After approval the schedules will be returned to the originator for implementation.
- (3) Application. Except in emergencies, the approved records control schedules shall be the sole authority for the disposal of records of the Agency, which will be accomplished in accordance with Regulation
- (4) Annual review. To keep the schedules current an annual review will be made as time permits during the year. However, it is recommended that it be done toward the end of the fiscal year so that preparation of the annual statistical report will be simplified and more accurate. The revised schedules will be submitted to the Records Management Staff in the same manner as the initial schedules.

b. Retirement of Records.

All arrangements for the retirement of noncurrent records to the Records Center will be made with the Records Management Staff.

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c. Reference Service.

To obtain reference service on retired records, Form 490 Records Center Service Request will be prepared and forwarded to the Records Center.

d. Reports.

Volume data on records disposition activities of the area programs shall be collected, compiled and reported to the Records Management Staff by the Deputy Director (Plans), the Deputy Director (Intelligence), and the Deputy Director (Support) or their designees. The report will be submitted not later than the fifteenth of August each year and will consist of the following information expressed in linear feet.

- (1) Records on hand at the beginning of the fiscal year.
- (2) Records destroyed in current files area during the fiscal year.
- (3) Records retired to the Records Center during the fiscal year.
- (4) Records on hand at the end of the fiscal year.

The Chief, Records Center, will submit a monthly report to the Records Management Staff containing the following data expressed in cubic feet.

- (1) Records on hand at the beginning of the month.
- (2) Records received during the month.
- (3) Records destroyed during the month.
- (4) Records on hand at the end of the month.
- (5) Number of references received and processed during the month.

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VITAL MATERIALS

21. POLICIES

- a. A repository will be maintained to safeguard vital materials of the agency i.e. those specific records, which are essential on a continuing basis and which in the event of destruction, would constitute a serious or irreplaceable loss.
- b. An area wide appraisal of vital material requirements shall be made at least annually to assure the addition or elimination of record series based on current conditions and emergency objectives.
- c. Offices of origin shall be responsible for depositing material vital to the emergency operations of their own or other offices. Duplication of such deposits by using offices will be avoided.
- d. Records classified as vital materials or copies of such records shall be transferred to the Repository in a secure manner and on a timely basis.
- e. Records in the Repository will be maintained in a manner consistent with the requirements for their emergency use.

22. RESPONSIBILITIES

- a. The Chief, Management Staff, is responsible for:
 - (1) Developing and maintaining publications covering guides and procedures for the selection, reproduction, transfer, maintenance, use and inventorying and accounting for vital materials.
 - (2) Coordinating trips to the Repository to effect the deposit and withdrawal of Vital Materials and the visit of authorized personnel.
 - (3) Technical supervision of the repository.
- b. The Deputy Director Plans, Deputy Director Intelligence and Deputy Director Support or their designees are responsible for:
 - (1) Periodic program appraisals;

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- (2) Selection and timely transfer of vital materials to the Repository; and
 - (3) Providing adequate instructions for maintenance of vital materials at the Repository.
- c. The custodian of the Repository is responsible for storing and maintaining Vital Materials.

23. PROCEDURES

a. Depositing Vital Materials

- (1) Records selected for deposit as vital materials will be forwarded through the regular courier service addressed as follows:

Vital Materials Repository

Records transferred in this manner, will be described on Form 620, Vital Materials Transfer Slip. The white copies of this four part form will be retained by the sending offices; the yellow and blue copies will be enclosed in the packages to serve as document receipts; and the pink copy will be forwarded to the Records Management Staff.

- (2) Arrangements for the transfer of materials requiring special handling will be made with the Records Management Staff.

b. Accounting for Vital Materials

- (1) At the end of each calendar quarter a listing, showing all deposits and all withdrawals made during this period, will be forwarded to each area representative for use as an accounting statement of vital materials activity.
- (2) In addition to the listing of deposits and withdrawals for the quarter ending the calendar year, a complete listing of all vital materials currently on deposit will be forwarded to responsible officials for use in reappraising the area program in the light of current conditions and emergency requirements.

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- (3) An availability register will be prepared monthly showing all deposited material with the safe and drawer location in the repository. This listing will be maintained at the repository for the use of responsible officials in event of an emergency.

MICROFILM

24. POLICIES

- a. Limit the use of microfilming techniques to those applications in which the costs and benefits to be derived compare favorably with the costs and benefits of alternative methods.
- b. Centralize filming, film processing, film enlarging operations and film viewing whenever practicable.
- c. Release all excess equipment and materials.

25. RESPONSIBILITIES

- a. The Chief, Management Staff, is responsible for:
 - (1) Reviewing and concurring in all requisitions for microfilming equipment, supplies and services to ensure validity of purpose, proper selection of equipment and maximum equipment utilization.
 - (2) Authorizing the establishment of local facilities to perform microfilming services.
 - (3) Developing and issuing operating standards for improving film quality and increasing production.
 - (4) Conducting studies of microphotographic materials and processes to determine their possible application in the Agency.
 - (5) Developing and issuing guides for use in determining when to apply microfilming techniques and for selecting appropriate equipment.

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- (6) Conducting periodic inspections of microfilming operations to observe operating methods, production quality, utilization and condition of equipment, and making appropriate recommendations related thereto.
 - (7) Conducting Agency-financed research in the development of microfilming equipment and materials for special applications.
 - (8) Serving as advisor to all components contemplating the use of microfilming techniques.
- b. The Deputy Director (Intelligence), the Deputy Director (Plans), and the Deputy Director (Support) or their designees, are responsible for:
- (1) Initiating requisitions for microfilming equipment, supplies and services.
 - (2) Ensuring that microfilming operations conducted under their jurisdiction are performed in accordance with the requirements of this Regulation.
 - (3) Assuring the use of authorized local facilities only for the purpose of performing operations concurred in by the Management Staff.
- c. The Chief of Logistics is responsible for the acquisition, transfer and disposal of microfilming equipment and supplies and for performing microfilming services when requested by a Deputy Director or his designee and concurred in by the Chief of the Management Staff.

26. PROCEDURES

- a. Requisitions for microfilming equipment, supplies and services shall be forwarded to the Chief of Logistics through the Chief of the Management Staff accompanied by a detailed memorandum of justification. The justification shall be signed by the Deputy Director concerned or his designee and shall contain, as a minimum a description of the work to be performed and a statement explaining the purpose of applying microfilming techniques and what benefits are expected from the application.

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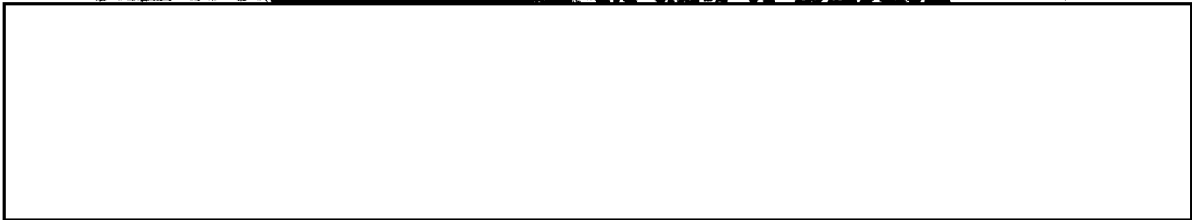
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Requisitions covering continuing services or additional supplies for a project shall be concurred in by the Management Staff shall be forwarded to the Chief of Logistics. ILLEGIB



- c. Microfilming service requests to be performed by established local facilities shall be justified in the same manner and forwarded through the Chief, Management Staff for review and concurrence.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE
Deputy Director
(Support)

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