

IG SURVEY
BY

STAT

MEMORANDUM FOR THE RECORD

DATE

15 MAR 1967

SUBJECT

IG SURVEY OF RECORDS PROGRAM

FILE NUMBER

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This report for the DDS by [redacted] of the Inspector General's Office was never officially completed - Only this draft was made.

The attached sections concerning the Records Management Program in the DDI - DDS - DDS+T and Overall were given to [redacted] the Agency Records Management Officer and each section was given to the Directorate concerned for whatever action they deemed appropriate.

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The section on the DDP was retained by [redacted]. He permitted [redacted] to read it but not to retain it. A copy was given to the DDP Records Mgt Officer for his information and action.

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Efforts to have [redacted] release it were of no avail. He said the 1965 survey had been overtaken by events and was outdated in March 1967.

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OFFICE AND TITLE

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MEMORANDUM FOR: Deputy Director for Support
SUBJECT : Agency-Wide Records Management Survey
REFERENCE : DDS Memorandum 65-1607, dated 7 April 1965

1. At your request (see reference) this office recently completed a comprehensive survey (Headquarters) of the records management (RM) function in the Agency. The survey covered the Office of the Director, the four Directorates, the central Records Administration Staff (RAS), and the Agency Records Center Because of the complex and far-reaching nature of the RM function in the Agency, the survey limited its fact finding to the interview of key personnel involved in this activity. In all, about 75 such persons in grades GS-7 to GS-15 were interviewed. With most of these people the RM function is only a part-time endeavor.

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2. Our summary findings and recommendations appear on page seven of this report. In some respects these will duplicate points already made in the five separate reports that have been prepared to cover our inquiry in each of the four Directorates and the Records Administration Staff. Because this report is based almost exclusively on personnel

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interviews (there was no inspection of files or analysis of specific records handling systems), our findings and recommendations are tentative.

General Observations

3. In the U.S. Government community CIA is considered a leader in the RM field. This distinction is based on positive RM achievements, particularly during the last ten years, when the Agency first established, then gradually improved its RM system so that today this system functions fairly effectively, despite certain obvious flaws. In this report we address ourselves primarily to these flaws, notwithstanding the fact that most of them stem from well known causal factors such as the low level of Agency interest in RM, the low working priority accorded to this function, lack of personnel, and the like.

4. The greatest single Agency failure with respect to the RM function stems from the tendency to regard this activity largely as an exercise in paper volume control. On this false notion have been built a number of other erroneous impressions such as the belief that the records function is a routine clerical task to be handled by low level clerical personnel; that the function rates low priority as against other Agency business; that it requires

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no special planning or direction; and that the problem in any case is not of major concern to operating officials. In our inspection we found a general lack of understanding among top level officials about the nature of records and their value in the Agency's working scheme. While most operating officials and senior officers in the Agency seem to profess an interest in good records, few translate this attitude into positive courses of action on which effective records systems can be built. The lack of real interest in good records on the part of the Agency's top management coupled with its failure to acknowledge the importance of the records function itself is probably our most significant inspection finding. We consider this finding important because it lies at the root of all records management problems. The general apathy and disinterest in records, which prevails in virtually every Agency component, becomes more and more pronounced as one ascends the managerial ladder.

5. Our next important finding has to do with the fundamental defect in the Agency's organization of the records management function. As presently constituted, this function is decentralized, that is, each Directorate and Office is itself responsible for the conduct of its own RM activity.

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This decentralization was accomplished in 1961 when the Agency's former Management Staff was dissolved and the Records Administration Staff (RAS) created in the Deputy Directorate of Support. The defect in this new organizational arrangement is discussed in Part II of this report which deals specifically with the present Records Administration Staff (RAS). The decentralization action is formalized in [] of 15 April 1964 (revised) which, despite certain manifest weaknesses, constitutes the only existing mandate for the Agency's widespread and very costly RM activities. [] provides no specific guidelines for the decentralized RM organization and as a result each Directorate has solved the problem in its own way, either by default or some form of loose RM organization that is neither orthodox nor effective. As an example, DDP runs its RM program out of its [] (automatic data processing unit) even though its records keeping function is and will continue to be primarily a manual operation. Needless to say, the RM function in DDP is very much machine oriented. Another flaw in the DDP setup is that the Agency's central Records Administration Staff has little to do with DDP's RM activity ostensibly because of the security problem. The contact is now largely confined to establishing

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effective Records Control Schedules and to forms and equipment problems. In DDI, DDS, and DD/S&T, the responsibility for the RM function has been decentralized to the point where it usually devolves on the individual components, some of which have virtual autonomy in the conduct of this activity. The effectiveness of the individual RM programs in these components varies in accordance with the abilities and degree of RM interest of the person in charge. In many of these components the GS grade and experience level of the RM officers is low. In others the general level of interest in RM is quite shallow, notably on the supervisory level. In almost every component, the records management officer (or records administration officer) has collateral duties, some of which have nothing to do with records.

25X1 6. We also found that the RM regulatory structure throughout the Agency is either weak or non-existent. As already stated, [] constitutes the basic Agency mandate for this activity. This regulation is too broadly phrased to provide any effective guidelines for RM work in the individual components. As an example, [] does not define either the status or the functions of the RAS. It fails to define the standing of RAS in terms of its staff or command responsibilities and thus leaves this

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25X1 important question in doubt. As a result the RAS staff has no compulsive power and its advice and counsel is often ignored. In most cases RAS has to "sell" its services. Some Agency components have translated the most important provisions of [] into an internal regulatory issuance which redefines the RM program in terms of the component itself and establishes some guidelines for its general conduct. This type of internal interpretation, however, has only been accomplished in a few of the components. Also, where it has been done, the interpretation is not uniform and conspicuous lacunae are evident. In the Office of Personnel, for example, an internal regulation (OPM 70-1-1, dated 19 March 1965) defines RM activity in terms of four major functions: records maintenance, records disposition, vital records administration, and forms administration. The regulation fails to pay heed to the full spectrum of RM activities as outlined in [] and thus by implication declares certain significant RM functions null and void.

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7. The weak regulatory structure plus the low priority generally ascribed to the Agency RM function is reflected in the personnel organization that now surrounds this activity. In this respect three significant weaknesses are

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evident: the disparity in the grade level of RM officers throughout the Agency in comparison with their working responsibilities; the dilution of the RM effort with other working assignments, some of which have higher priority; the assignment of the RM function to clerical personnel on the lowest Agency level, or to personnel with inadequate training or interest in the function; the failure to establish satisfactory inducements (such as an RM career structure) to RM officers with the result that most RM specialists find themselves low on the promotion ladder and with little other career prospect.

Recommendations

8. To correct the defects cited above, several organizational and RM policy changes should be made, and to this end

It is recommended that

(a) The Records Management function in the Agency be revitalized and interest in the program stimulated, especially on top management levels. This revitalization effort should spring from the highest possible Agency level, preferably from the Office of the DCI.

(b) Senior operating and administrative officials be made more acutely aware of the importance of the RM function

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and the need for their active participation.

(c) The Records Management function be redefined for the whole Agency, not only in terms of the broad spectrum of activity that it entails, but also with respect to practical and reasonably attainable goals. This redefinition should also be made on the highest possible Agency level in order to break through the inertia and lack of interest that presently characterizes some aspects of the RM endeavor.

(d) The records management function be reorganized as a pyramidal structure with the Records Administration Staff transferred from its present anomalous position in the Deputy Directorate for Support to the Office of the Director. In this organizational structure the Chief of the Records Administration Staff would be the de facto records authority for the Agency. This senior Records Administration Officer would be represented in each of the four Directorates by a senior Records Management Officer who in turn will be the officially appointed RMO for that component. The relationship between the chief Records Administration Officer in the Office of the Director and the senior RMO's in the individual Directorates should have a staff character. Jurisdiction over the Agency's Records Center

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also will be transferred to the Office of the Director with the Agency's senior Records Administration Officer continuing in charge of this installation.

(e) The regulatory structure governing the RM function in the Agency be revamped. This should begin with a revision of [] which is now obsolete. The revised [] should be used as a basis for individual internal instructions which will formalize the establishment of the program, define its goals, fix responsibility, establish working priorities, and provide for continuity and change in accordance with current and future developments and working priorities.

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(f) The personnel structure in the Agency's RM activity be surveyed to determine whether the complement is too large or too small for the job. The qualifications of individual RM officers should likewise be re-examined with a view to achieving the best possible staffing for the job. Present RM officers with little ability or interest in RM work should be given other assignments. Employees who are already performing well or who demonstrate good prospect for RM work should be carefully screened and, where necessary, further trained for their jobs.

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(g) The possibility of establishing a career program for RM personnel should be carefully studied.

9. None of the observations or recommendations above have addressed themselves specifically to the problem of automatic data processing (ADP) in the Agency. We deliberately have avoided this issue in our survey because it involves many complex records handling (also storage and disposition) considerations that are outside our competence. It should be underlined, however, that ADP impinges directly on virtually every RM problem in the Agency. In many components the existence of ADP systems side by side with hard copy records has created a variety of problems owing to duplication of records on a wide scale. When and to what extent hard copy records will yield to ADP files and thus permit destruction of the former is a question for which the Agency still has no ready answer. Some DDP area divisions see this duplication of records as a dilemma for which there is no solution. The Agency's top level direction will have to cope with this enormous paper accumulation problem in the very near future.

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Records Administration StaffIntroduction

1. This is the first section of what eventually will be a several part report covering our inspection of the records management (RM) function in the Agency. It deals primarily with the Records Administration Staff (RAS) which is the guiding, coordinating and advisory element in this activity. This part of the survey consisted of interviews of all personnel in RAS; an examination of pertinent Agency regulations and directives; and an inspection of the downtown Washington offices of RAS from which the bulk of its work is conducted. A one-day tour of the Records Center [redacted]

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[redacted] for which RAS is responsible, also constituted part of this survey. Because the work of RAS represents only one segment of the total Agency records management effort, the conclusions and recommendations in this report are tentative.

Organization and Functions

2. Until 1950 records management in the Agency was a fairly weak and disorganized effort. In this year the 81st Congress passed Public Law 754 (Federal Records Act) which required each government agency to establish an RM program to suit its own needs.

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[redacted] dated 15 April 1964 (revised), the Agency mandate for the RM function, has its roots in this legislation.

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3. defines the Records Administration Program in terms of six principal elements: (1) Reports Administration--the analysis, improvement, and control of administrative reporting; (2) Correspondence Administration--the application of improved standards and procedures for preparing and handling of correspondence; (3) Forms Administration--the analysis, design, and control of forms; (4) Records Maintenance--the establishment of standard procedures, systems, equipment and supplies for records maintenance; (5) Records Disposition--the economical and systematic disposition of Agency records including their preservation, retention, transfer, protection, and disposal according to approved schedules; and (6) Vital Records Administration--the timely selection of vital records and their prompt transfer to and secure maintenance in a designated Agency repository. While this program comprehends most Agency records activities, it is actually only a blueprint. In practice the Agency RM program is considerably narrower and in most components focusses on document storage (Records Maintenance), paper volume control (Records Disposition), and the management of forms (Forms Administration). There is a Vital Materials Program (Vital Records Administration) of sorts in the Agency but it suffers from lack of an adequate policy basis, especially criteria for document selection. Real interest in the program is also lacking. Similarly, there is little substantive interest in reports and correspondence

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administration, two important RM fields which are virtually ignored in the Agency. These voids in the RM program exist in spite of energetic RAS efforts aimed at stimulating interest in this activity. These efforts are continuous and take the form of various types of publicity, handbooks and guidelines covering every important aspect of the RM effort.

4. Originally the RM effort in the Agency was conducted by the Management Staff of DDS. In 1961 this Staff was liquidated and its RM function was decentralized. The objective of the decentralization was to shift the day to day responsibility for RM work to the individual directorates where it was felt the problems and needs were better understood. The decentralization was accompanied by a sizeable personnel reduction. From a previous strength [] the RM force was gradually reduced [] The reconstituted RM force then became the Records Administration Staff whose main responsibility was to assist the individual directorates and offices in organizing and maintaining their respective RM programs, to establish overall policy, and to provide guidance and RM expertise whenever and wherever it was needed. The Staff was and continues to be administratively responsible to the Deputy Director for Support.

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Problems

5. Since its inception in 1961, RAS has labored under certain organizational and functional disadvantages. Theoretically RAS is subordinate to the Deputy Director for Support. This organizational link, however, is very tenuous because in its day to day activities, RAS functions fairly independently. Its tie to DDS actually consists of little more than the routine submission of a monthly progress report. The DDS in no way responds to this report; nor does he disseminate any of its useful statistical or factual content. The organizational relationship between DDS and RAS is perhaps best illustrated in the fact that [redacted] dated 22 December 1964, which delineates the organization and functions of all components in DDS, makes no mention of RAS. The negative implications of this omission are fairly obvious.

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It is recommended that:

The Deputy Director for Support

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- a. Revise [redacted] so that it clearly defines the organizational link of the Records Management Staff with the Deputy Directorate for Support; and delineates the Staff's responsibilities and functions;
- b. Clarify the precise role of the Records Administration Officer in the Agency's overall records management function;
- c. Establish an improved system for maintaining close working contact between the Records Administration Officer and the DDS for

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purposes of providing this officer with the type of higher level guidance and support that he needs for effective performance of his work.

6. Having no firm organizational attachment and lacking any real direction from above, RAS functions in somewhat of a vacuum. Its operational mandate is only generally phrased Its doctrine is self-generated and the dimensions of its role in the Agency's paper management program is largely the product of its own interpretation. Under normal conditions this loose organizational and functional condition would seem conducive to a high degree of disorganization and waste. Fortunately in RAS it has worked in reverse. Despite its small size and physical isolation from the mainstream of the Agency's activity, and in the face of obstacles such as the pronounced Agency apathy toward records, RAS has consistently demonstrated a high degree of skill and resourcefulness in the Agency RM problem. Largely through its efforts CIA has come to be identified in government as a leader in the RM field. Within the Agency itself RAS is frequently called upon to act as trouble shooter in records problems and its RM expertise is readily available to any Agency component that needs it.

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7. But while the achievements of RAS are noteworthy and its work is rated highly, its labors receive little formal recognition. To begin with, RM work has very low priority in the Agency and the RM job in almost every component is held in fairly low repute. The

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problem is traceable in part to the lukewarm attitude of top level Agency management toward RM. There is at best only a perfunctory interest in records among higher level officers in the Agency. There is also the problem of the fragmentation of the RM effort that resulted from the 1961 decentralization. This shift in RM responsibility has created certain artificial barriers between RAS and some of its Agency customers. In some components RAS has only limited RM access: usually it must wait until its services are requested. In others, DDP for example, RAS is virtually excluded from the RM problem. To some extent RAS has overcome these barriers by aggressively keeping itself in the records forefront, maintaining pace with RM developments in other government agencies, adroitly selling its services to apathetic Agency customers, demonstrating its skills in a broad spectrum of RM problems, and proving in actual work situations that it can help save time, money, equipment and manpower in what is essentially a very expensive but highly neglected Agency activity. The ability of RAS to sell itself is commendable and certainly accounts for much of its RM progress. The selling process, however, should not be necessary and could be eliminated if RAS was backstopped with a clear statement of policy emanating from the highest Agency level and specifying

- a. where the records management effort stands in the scheme of working priorities in the Agency;
- b. the desired scope of the effort;

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- c. the number of people that should be committed to the effort;
- d. the staff and command relationships between RAS and other Agency components.

Answers to these fundamental questions are not simple but they are sorely needed. This absence of a clear policy for the RM function is in fact our most significant finding in the inspection of RAS. Some aspect of this shortcoming is at the hub of every RM problem in the Agency.

It is recommended that

The Deputy Director for Support request, on the DDCI level, a clarification of basic Agency policy for the records management function that would enable the Records Administration Staff to determine

- a. its organizational standing in terms of jurisdiction and staff and command relationships;
- b. the practical scope of its effort;
- c. the relationship of this effort to the now decentralized records management activity in the four Agency directorates and the various staffs and groupings in the Office of the Director.

Earlier in this paper it was brought out that the Agency RM effort has been focussed on paper volume control. This focus has been deliberate owing to the phenomenal growth of Agency records

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holdings during the past fifteen years. From 1960 to 1964 the rate of growth (in cubic feet) was as follows:

<u>Fiscal Year</u>	<u>Headquarters</u>	<u>Archives and Records Center</u>	<u>Total Holdings</u>
1960	188,565	59,491	248,056
1961	155,472	70,066	225,538
1962	163,837	78,046	241,883
1963	163,221	80,847	244,068
1964	193,274	82,452	275,726

The total holdings for 1964 (275,726 cubic feet) required the equivalent storage space of 34,465 four drawer safes. The growth has been steady since 1950 despite periodic records destruction drives. The trend is toward even greater increases with no satisfactory solution yet in sight.

8. The dimensions of the paper volume problem is also evident in the field of forms management. A recent (1965) inventory shows that there are about 2400 "active" forms in the Agency. In addition CIA uses some 200 additional forms printed by other agencies. Each year the total number of forms used by the Agency increases. In 1964 200 new forms were introduced (printed) while 100 forms were withdrawn either because they were obsolete, or because they duplicated forms already in use. The total Agency outlay in 1964 for the printing of forms alone was over \$250,000. The cost of using these forms is about 20 times their original printing cost.

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9. The Agency's forms management program has been moderately successful in that there is now greater control over the printing and issue of forms than ever before. This control, however, reaches only those forms that are well known and in constant use. It has little bearing on the multitude of lesser forms that come into being outside the forms management program. As an example the Agency is the creator and user of an inordinate number of so-called "bootleg" forms, the kind that are drawn up by individuals or offices on a limited volume basis, usually on readily available duplicating machines, to facilitate some special aspect of the work. The rough count of such bootleg forms now in use is 24,000. DDP's Records Integration Division alone uses about 500 such forms. The forms management program then, even with its impressive past record, has only begun to whittle at a problem that costs the Agency handsomely each year because of the steady proliferation of time-consuming and frequently costly paper.

10. The field of vital materials is another sizeable RM problem largely because it is so badly neglected. Each Agency directorate and office has a Vital Materials Program and some of the programs are considered by their sponsors to be fairly effective. Essentially the program consists of the systematic earmarking and retirement to the Agency's Records Center in Warrenton of those Agency records which are considered vital in case of national emergency when it might be necessary to relocate at some site outside of Headquarters. Many

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problems are inherent in such a program which by its nature is based on several imponderables. The problem boils down to establishing a hypothetical base or concept of such an emergency and then planning for it. Until now the establishment of such a base has been generally unsuccessful. Each Agency directorate has tried to solve the problem on the basis of its own interpretation and no two interpretations appear to be the same. Lacking a clear picture of what problems and factors will come into play when the emergency occurs, and not knowing when it might occur or who will be on hand to reconstitute the records, the attempts to develop an effective Vital Materials Program have been largely ineffectual. One of the key issues is deciding what criteria are to be used in the labeling of documents and materials as vital. In the absence of reliable criteria, most of the Agency's existing Vital Materials Programs have lost ground and in some cases are virtually of no use. There was a flurry of interest in the program during the 1962 Cuban crisis but since ^{THEN} the program has languished.

11. As the coordinator of the RM effort in the Agency, RAS is responsible for the control of paper volume in every Agency directorate and office. Such control is accomplished with a variety of proven records management devices. These include periodic surveys of records in the various components, analysis of paper handling procedures and systems, close consultation with personnel responsible for the handling of records, the organization of workshops and seminars aimed at developing records handling skills, Agency-wide drives aimed at

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divesting files of useless paper, and various long-term educational programs directed at keeping down paper volume and increasing paper handling efficiency. The backbone of the system is the Records Control Schedule, which is used by RAS to record the type and volume of paper holdings in every Agency component. This schedule establishes specific dates for retirement of infrequently used paper to the Records Center, periodic re-examination of files to determine their further usefulness, scheduled return for review purposes of specific records holdings to the owner component, and, where possible, disposition by archival storage or destruction. The built-in tickler aspect of the Records Control Schedule serves to keep every Agency component aware of the status of its records and acts as a reminder for various types of records action. Except for OSA and NPIC all paper holdings in the Agency are now accounted for by Records Control Schedules. Some of the schedules, notably those in DDP, are not very effective because they have been drawn up in very general terms, ostensibly to preserve their sensitive content. In these cases the schedule has less RM impact than when the individual categories of records are clearly identified. The success of the Records Control Schedule as a device to keep down paper volume has been amply demonstrated since it was first put into use. Since then 165,470 cubic feet of records have been retired to the Records Center of which 82,611 cubic feet were destroyed. The cumulative tangible dollar savings in this and related RM operations during the past ten years

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has been 15.7 million dollars.

12. The Agency's Records Center [redacted] is an above ground records storage facility with temperature and humidity control and a capacity for 103,380 cubic feet of records. Its holdings in FY 1965 were 82,859 cubic feet. The effectiveness of the Records Center stems from the fact that it provides a rapid document retrieval system which makes it possible for every component in the Agency to store any records at the Center for short or long periods of time with the possibility of being able to retrieve them on short notice. A headquarters customer, for example, can obtain retrieval service in a matter of four or five hours if the request is filed early in the day, and overnight if the document is asked for late in the day. In case of urgency, records can be delivered up to headquarters in as little as two hours after the request is placed. The Records Center is also a repository for Vital Materials. In this respect the Center does little more than provide a records safe deposit box for its Agency customer. The Center is manned

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[redacted] The storage facilities of the Records Center were occupied at 80 percent of full capacity in mid-1965. The 20 percent space reserve has been maintained through vigorous and persistent efforts on the part of the Records Administration Staff to hold down a steady increase in record holdings by accelerated document destruction programs based on Records Control Schedules.

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13. As already mentioned, the main problem confronting the Records Administration Staff, as well as records officers in other Agency components, is the low regard in which the RM function is held. RM officers offer several explanations for this. Some state that the specialized nature of the Agency's work places premium on individuals with a high degree of technical ability, and that this type of professional generally shows little inclination toward paper work. Another view is that many senior officers see the Agency as a unique government organization with a special mission and therefore considerable working autonomy; it should be able to handle its paper problems in any way it pleases. There is also the opinion that inside and outside pressures on the Agency to produce more and better intelligence have forced it to gear every possible resource to projects that yield tangible results. In the face of such pressures top level management tends to support only those programs that contribute directly to the achievement of primary goals.

Recent personnel cuts and the imposition of a personnel ceiling also have had a deleterious effect on RM work. These developments have given rise to defensive slogans such as "lack of time" and "lack of people" which hamstring any records improvement effort. In some respects top level management in the Agency has itself nurtured these negative attitudes. When the decision was made recently to reduce the average salary in the Agency to bring it in line with

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with government averages, the effort was focussed on lowering the grade level of records personnel. The Salary and Wage Division's recent arbitrary cuts in the slot structure for records officers in DDP is a case in point. It will also be recalled that the 701 Program in 1962 resulted in a large number of casualties among records management officers. A good example of the lukewarm attitude of the Agency's direction towards the RM function was the Agency's recent failure to nominate a candidate for the annual inter-Agency records management award. Although the Medical Staff proposed an Agency candidate for this award, no action was taken on the proposal nor any explanation given for not following through on the nomination.

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RECORDS MANAGEMENT - DDII. INTRODUCTION

1. The problem of records management (RM) in the DDI varies from office to office. Some of the DDI components, such as the Office of National Estimates and the Office of Current Intelligence, do not engage in the type of work that brings with it serious problems in records management. Other components, notably the Office of Basic Intelligence (OBI), the Office of Research and Reports (ORR), the Office of Central Reference (OCR), and National Photographic Intelligence Center (NPIC), are constantly involved with records management problems.* Occasionally, because of re-organizations, many records problems are transferred from one office to another. This recently happened ^{with} the Office of Basic Intelligence acquired the former ORR Geographic Research Area with its approximately 20,000 cubic feet of records. Rather than considering in detail these special problems of the separate offices, this report is concerned with the more general, across-the-board problems of the DDI complex in creating, maintaining and disposing of its records.

2. It should be noted that there are various special reference systems, such as OCR's intellofax, which are intended to reduce the

*As of June 1965 the DDI records at Headquarters totaled 128,609 cubic feet. OCR held almost half of this and NPIC was second with about 35,000 cubic feet.

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need for analysts to have extensive reference files of their own.* However, these systems, although subject to continuing improvement, have not been developed to the point where they now substantially reduce the need for private reference files. For purposes of this report they are considered instruments of records management representing a hope and potential for future records reduction.

3. CIA complies with the provisions of the Federal Records Act of 1950, Public Law 754, and the resulting regulations of GSA.

Although our intelligence operations exempt us from complying with some Federal laws and regulations, our records problems are similar to those in other agencies. Consequently, we adopt basic standards, guides, and procedures of GSA and modify these, where necessary, to suit our needs.

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4. last revised 15 April 1964, provides for a continuing Agency records administration program to control and improve records from their creation or receipt to their disposition and prescribes policies and responsibilities for effectively carrying out the Program. It delineates the duties of the CIA Records Administration Officer. It defines the Records Administration Program in terms of: (1) the analysis, improvement, and control of administrative reporting; (2) the application of improved standards and procedures

*The Intellofax system is designed to provide access to documents by subject and area and is built around special machine techniques. Bibliographic entries are printed on punched cards, then processed and filed by subject through mechanical facilities. Upon request the system locates pertinent entries, arranges them in proper sequence, and produces for retention a series of cards each one of which contains bibliographic information.

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for preparing and handling correspondence; (3) the analysis, design, and control of forms; (4) the establishment of standard procedures, systems, equipment and supplies for records maintenance; (5) the economical and systematic disposition of Agency records including their preservation, retention, transfer, protection, and disposal according to approved schedules; and (6) the timely selection of vital records and their prompt transfer to and secure maintenance in an Agency repository.

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5. The DDI has no counterpart to [redacted]

However,

offices in the Directorate with difficult RM problems, issue their own regulations. These provide detailed instructions for implementing the Records Program. An example of this is Office Regulation 70-2 issued by the Office of Research and Reports. This regulation supplements [redacted] and sets forth policy and procedures to be followed by ORR personnel in requesting new forms and reprints or revisions of existing forms. This regulation refers to those forms and form letters which are initiated by or are for the primary use of ORR.

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II. ORGANIZATION AND HISTORY OF DDI RECORDS MANAGEMENT

6. When the Agency's records management function was assigned in 1961 to the immediate Office of the Deputy Director (Support), one important result of this was the decentralization of the Program. The effectiveness of the Program since then has varied substantially.

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Some of this has depended upon the Area Record Officer's (ARO)* initiative and ability while some of the most marked improvements in records performance have resulted from the periodic stimuli that top management has given the Program. The amount of time AR Officers have spent on the DDI Program has varied from 100% in NPIC to about 65% in ORR, under 10% in the Office of the DDI, and about 2% in OBI before its acquisition of the Geographic Area. Such wide differences appear to have reflected the magnitude of the records problems involved.

7. All DDI offices, except NPIC, have part-time AR Officers. Those in the Agency who devote their entire time to RM problems, are GS-13s, the part-time are GS-12s. Consequently, a number of officers in the latter group are anxious to change jobs because of the grade limitations that they believe accompany a part-time RM responsibility. There never has been any statement clarifying the status of a part-time ARO.

8. The criteria that determine the assignment of a full-time AR Officer to a DDI component may also seem vague and inconsistent. A case in point is OCR that has almost half the DDI holdings but is without a full-time AR Officer. NPIC, on the other hand, with substantially less material, does have a full-time AR Officer. Such an arrangement, however, is by no means indefensible or unexplainable.

*Records officers in the DDI are generally known as ARO's but the Office of Personnel has designated them as Record Administration Officers (RAO's).

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9. The records management problem in the Office of Central Reference is quite different from that of other Agency components. It is by definition the central repository for both the Agency and the community of a wide range of intelligence reference material. This material is both from open and classified sources, some of which requires special handling. A large volume of records held by OCR is to meet the reference requirements of other components. As a result its holdings, when judged by the cubic-foot standards employed in describing the records of other organizations, seem large. Compared with the Library of Congress this volume must appear small, but the number of separate items in OCR is high according to any comparable standard of measurement. In the Documents Division, for example, 900,000 different documents were received last year in 18,000,000 copies. The task was further complicated by the fact that whereas 10,000,000 copies were collateral 8,000,000 needed special handling.

10. All of OCR's files do not lend themselves to the volume controls applicable to other offices. In fact, the existence of its reference capability is supposed to make possible the reduction of the private holdings. The problem that OCR faces in the management of its referenced holdings is primarily that of qualitative controls. The office has a program of soliciting other components concerning the eligibility of old material for retirement or destruction. It is also engaged in an extensive and far-reaching operation known as the

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CHIVE System* that is designed to bring about an eventual consolidation of existing multiple files in different divisions through a single microfilm, document system. It is believed that eventually CHIVE will be able to provide better statistical information on file activity and document use than anything now available. This will be of substantial assistance in deciding which files or documents should be selected for retirement. This should be the most important development ever made in CIA in the field of records management.

11. The selecting out problem has been with the OCR since its beginning. The person who selects the current books is also enjoined to weed out the obsolete whenever the opportunity arises. The more significant documents are indexed but about 50% are not considered worthy of indexing. All of this activity is for the expert in his particular OCR area. The ARO is not usually suited ^{by} ~~for~~/training for making such selections. Once the decision is made, however, to select certain items out of OCR the ARO should see to it that the decision is carried out.

12. In ~~the~~ OCR ~~past~~ ^{its} individual registers have established selection criteria, some more formalized than others. An attempt to summarize these criteria for compatibility, or to establish common criteria to be used by all registers, was not deemed necessary. With

*The proposed CHIVE System is an attempt to integrate several (but not all) of the activities of OCR into one system, applying advanced information processing techniques and management tools to achieve a significant increase in processing effectiveness.

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the coming of CHIVE a generally agreed upon set of selection criteria will be essential. However, this determination will be made by dozens of experts and not by an RM officer.

13. There are, however, other activities in OCR that call for the continual assistance of the ARO. OCR officers acknowledge that in the Graphic Register, Biographic Register, and Foreign Installation Branch* there is an opportunity for a more energetic purging of files. Recent photography of specific subject matter frequently permits the elimination of outdated material. More recent pictures of persons on whom there is old material permits retirement of the outdated material. Biographic data are also frequently corrected by a periodic review of the dossiers. Incorrect or obsolete material is regularly extracted from installation target folders as prepared in FIB. A full-time ARO, however, is probably not needed for this so much as continuous attention from top management in the operating divisions. OCR has always held a leading position in the intelligence community in seeking improvement in the rapid handling of large quantities of information.

14. RAS and OCR have worked together effectively within a restricted area. In 1964 a files campaign, largely the result of working on forms and files management, brought about the destruction of 1,383 cubic feet material, retired 304 cubic feet of material to

*The most important services performed by FIB are compiling city and town dossiers and contributing to mapping and targeting efforts.

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Records Center and 17 safes and file cabinets. There is no intention of denigrating such an effort by adding the reminder that such a quantity of records represents only a minuscule part of the total office holdings. However, ^{the role} RAS in this limited area of OCR is an important one and the Records Staff is continually giving valuable advice to OCR on records management equipment and methods.

15. In summary, we do not believe that a full-time Records Officer is competent to make much of a dent in the larger part of OCR reference holdings. An ARO, however, still has an important part to play in a few of the restricted areas of OCR as previously described. The development of CHIVE will push the present OCR systems into obsolescence and require at some future date a reappraisal of the OCR records problem.

16. This inspection has ascertained that the DDI decentralized system of records management is generally satisfactory. Yet, it has also revealed that as a result of the absence of central responsibility there are certain deficiencies. We have no desire to upset a system that is basically sound, but also believe that its defects can be remedied by a minor adjustment of existing practices and regulations. The defects are in detail rather than general function. They are found in absence of established qualifications for the offices' records management officers limits set for their promotions and standards to be followed in their work. Each office, for example,

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is responsible for establishing its own minimum training requirements. Consequently, some of the DDI officers have had considerable GSA and academic training, some have had little or none. If the Chief of the DDI Administration assumed a responsibility for requiring adequate training for the records management officers of the various offices, and established certain standards that could be followed in the conduct of their work, this would tend to remedy the defects we have noted above. Not least of the advantages might be that of increasing the prestige of the ARO's and giving them the feeling that their work is appreciated by the DDI as well as the individual office for which they work.

It is recommended that:

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the Deputy Director (Intelligence) assign to the Chief of DDI Administration the responsibility for requiring adequate training for the ARO's and clarify other standards designed to improve the morale and prestige of ARO's.

17. Experience has proved the importance of top management's participation in the Records Program. In 1960, in anticipation of the Agency's move to McLean, the DDI, in order to adjust to the Headquarters space requirements issued a strongly-worded notice urging all personnel to destroy obsolete or superfluous paper. A substantial reduction in the volume of headquarters material followed, and an all-time record for an annual retirement to the Center* was established in 1960 when almost 18,000 cubic feet of records were sent there.

*The total amount of Agency records at the Center is about 84,509 cubic feet.

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18. More recently, in January 1965, the President directed that all agencies conduct a critical re-examination of their records disposal programs with the primary objectives of retiring inactive records and reducing to the minimum the retention period for all records. This was re-inforced for the Agency by a DDS notice; in the DDI an additional one was issued by the Assistant Deputy Director (Intelligence). The President's directive contributed heavily to the favorable statistics for FY 1965 when 14,361 cubic feet of records were received at the Records Center in comparison with 13,955 cubic feet destroyed. This small percentage of growth was unprecedented. In 1960, for example, 17,817 cubic feet of records were received at the Center and only 5,846 cubic feet were destroyed.

19. Aided by such a stimulus from top management, all DDI offices, with the exception of NPIC, have been reasonably well satisfied with their efforts to keep down their records holdings to manageable proportions. In April 1965 NPIC brought in a full-time professional records officer. Although NPIC had had a number of separate actions undertaken by divisions and staffs to reduce or eliminate inactive records, these actions were without benefit of an NPIC records control schedule.* We believe that NPIC's disposal record will become as satisfactory as that in other DDI offices. Such a prediction is

*Control schedules include: (1) Description of records and how filed; (2) volume - number of cubic feet; (3) disposition - whether to destroy in office, retire to records center and destroy later, or keep there permanently.

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based partly upon the competence of the RM Officer in NPIC, and partly upon the strong backing that Records Management is getting from the NPIC Director.

IVY RELATIONS OF RECORDS ADMINISTRATION STAFF WITH DDI

20. The Records Administration Staff (RAS) has been able to work effectively and harmoniously with DDI officials. One result of this has been that even though the DDI material held in the Agency Records Center continues to grow, its rate of growth has been substantially reduced. DDI officials and the RAS recognize, however, that the problem of records growth is never permanently solved but must be constantly worked on. Fiscal Year 1965 was a year of remarkably small growth at the Records Center but it should be remembered that the influence of the President's directive was one of the major factors in the destruction of inactive records.

21. The heavy emphasis on the destruction of records has led many to believe that this constitutes the entire Records Management Program. At least equally important is the problem of what records should be created. Some have rated it the number one problem, especially since it is now so easy to make multiple copies. Discrimination in deciding on what should be included in the records is putting the main emphasis where it belongs. It is obvious that without the creation of records no problems of maintenance and disposition could exist.

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22. The most common ways for creating records are through correspondence, forms, and reports. RAS has consistently exerted a restraining influence on the proliferation of reports by asking such questions as: Are the reports necessary? Are they doing the job for which they were intended? Is it all worth the cost? Is it supplying the information that is necessary and useful? Are any of the reports duplicative? Are the approximate 12 million pieces of paper created annually from reports necessary?

23. Forms management develops guides and standards to control the creation of forms; eliminates unnecessary forms, copies and items on forms; standardizes forms, sizes, papers and other physical aspects; consolidates forms; coordinates forms design and control with systems and procedures; improves functional efficiency and appearance of forms; and develops detailed specifications for construction of forms.

24. The importance and nature of forms management can better be understood by looking at an actual and recent survey that involved a member of RAS cooperating with the ORR Administrative Staff. As always in the DDI the Records Officer in ORR acted in an advisory or staff capacity in discussing the forms and procedures with each ORR branch and staff. The ARO frequently overcame the objections of analysts to the destruction of certain forms and came up with agreements that resulted in new ones. Some specific results of this survey are as follows:

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25. About 100 unofficial or so-called bootleg forms* were replaced with 23 official Agency forms. Some of these were already in existence but their availability was not known to ORR. Twenty-nine official forms, which initially had been developed exclusively for ORR use, were abolished and removed from the Agency forms system as requirements no longer existed for such forms. Over 100,000 copies of six of these obsolete forms were removed from storage and destroyed. During the survey 254 bootleg forms out of a 392 total were found to be in use. Some were justified because of limited application while many others were permanently eliminated.

26. These new forms were needed not only to bring about the prevention of some records and the destruction of others but because they oftentimes offered: (a) overall improvement in design of forms; (b) information rearranged to fit the need of users; (c) professional appearance; (d) easier readability; (e) items arranged in more logical sequence; (f) and caption headings that were more accurate in indentifying their usage.

27. For better correspondence management RAS develops guides and standards for writing and typing letters; reviews operating procedures for use of form and guide letters; applies mechanized methods to expedite processing time; eliminates unnecessary copies to reduce

*Bootleg forms are devised by individuals usually unacquainted with the rules for superior forms. Consequently they are poorly designed and cannot be used except for experimental purposes or a limited number of projects.

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space and equipment; and simplifies procedures and thereby reduces correspondence volume and cost.

28. There are solid reasons for hoping that the CIA Records Center can satisfy the storage needs of the Agency for many years to come. Not only have there been substantial reductions in the growth of CIA records, but GSA is building a new Records Center at Suitland, Maryland, to house 4 million cubic feet of records. When completed it is now believed that approximately 25,000 cubic feet of Agency-produced intelligence can be stored in Suitland. Moreover, the existence and use of such a common central storage may help in encouraging the destruction of multiple copies.

29. The DDI complex with the advice of RAS has taken advantage of some of the more notable advances in filing systems. One of these in the Graphic Register is a power machine that is used for filing photographs. Another, known as a Conservaa-File V, has been recently installed in the Office of the DDI. It consists of a series of cradle-type filing units that results in an increase of filing capacity beyond anything heretofore possible. It is an engineered filing system of such flexibility that it will meet the specific needs of any filing installation. It almost doubles the previous capacity of the filing area.

30. The DDI decentralization of authority in records management, with the ultimate authority resting with the Director of each office,

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has on the whole brought satisfactory results. It has produced, however, a need for certain DDI directives establishing uniform standards in minimum training requirements and RM promotion policies. Although the recent reduction in records growth has been substantial, the extent of it has owed a great deal to the prodding of top management starting with the Presidency. RAS has been actively engaged in providing guidelines for records management and has had the cooperation of DDI officials. Thus the authority and prestige of top management combined with the professional guidance of RAS and cooperation of DDI have produced in recent days a commendable record of achievement.

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V. VITAL RECORDS PROGRAM IN THE DDI

31. The Vital Records Program is designed to make possible the continuation of DDI work in the event of a serious emergency such as a nuclear attack on the United States. Records considered vital in the DDI are those that are regarded as essential for the use of any surviving group in order for them to carry on the DDI mission and functions. The effort allocated to selection and maintenance of vital materials must be balanced against estimated future needs, the likely degree of destruction of headquarters records, and the estimated availability of personnel capable of exploiting the materials.

32. The conscientious efforts in DDI to maintain the Vital Records Program seem somewhat removed from the likely realities of any future emergency. An example of this is the absence of a hardened site for containing the DDI vital records. Thus the most important element in avoiding the destruction of Agency records is missing. Consequently, the Vital Records Program takes on an appearance of unreality with all Agency directorates being victims of a lack of established standards for procedures needed in a future emergency.

33. Several years ago each DDI office had a roster of personnel who were to be relocated during or before an emergency. They had no

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day of briefing on the files at the Vital Materials Repository plus two days of practice retrieval from the files emphasizing those with which they did not work in their normal daily assignments. Moreover, members of the Records Center staff participated in the training exercises in order to increase the effectiveness of their support in an emergency. No such preparations are now being made for possible future developments even though DDI offices are generally current in preparing Vital Records Deposit Schedules and transferring records to the repository.

34. Despite the lack of a hardened site, a future nuclear attack would not be likely to destroy all our records no matter what happened to the Records Center. This is partly because there has been a deliberate dispersion of some vital records in distant locations. Several years ago the Vital Materials Officer of OOR developed a file of selected finished intelligence and placed one set at 25X1
 a hardened site. A dispersion of other published material results from the routine dissemination practices of the Agency. This includes NIS's and daily FBIS summaries that go to every part of the country.

35. There is some question, however, that emergency conditions would allow for carrying on the DDI mission and functions even if the Records Center were not destroyed. This is because the accumulation of records in the past few years has not been accompanied by any practice exercise designed to acquaint the analyst with the location

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of vital materials and system of filing. Consequently, the substantial increase in vital records has made the collection too cumbersome for efficient use.

36. The Vital Records Program needs help beyond anything possible from RAS or Records Center. As presently constituted, it is unrealistic because of: (a) lack of a hardened site; (b) a failure in recent years to engage in practice exercises; (c) the accumulation of records has made the collection unwieldy to use; (d) the almost total lack of recent planning in providing the appropriate personnel in case of an emergency.

37. The Vital Records Program is a necessary part of Records Management planning. Consequently, it is not logical in the DDI for Vital Records problems to be handled by those who are not involved in other RAS matters. All AR Officers in the DDI should be conscious of whatever developing problems there are at the Vital Records area.

It is recommended that:

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a. All AR Officers who are associated with the Records Administration Staff Program in the DDI be also assigned the responsibility for the Vital Records Program of their DDI component;

b. All AR Officers in the DDI be instructed to conduct periodic reviews of vital records at the Center in order to keep the materials to efficient and useable proportions, and

c. The Agency consider the more extensive use of hardened sites now available or the construction of an Agency site.

DDS

Feb. 1966

DRAFTRecords Management - DDSIntroduction

1. This report sets forth the results of a recent inspection survey of the records management (RM) function in the Deputy Directorate for Support (DDS). The survey was based chiefly on interviews of DDS officers who hold key records positions in the several DDS components. There are eight such officers and they are assigned to the Offices of the Deputy Director for Support, Logistics, Personnel, Security, Training, Medical, Finance and Communications. The seven records specialists in the Records Administration Staff of DDS also were interviewed for purposes of this survey, and our findings with respect to this staff are covered in a separate report.

2. In this survey we made no attempt to inspect DDS files or to look into specific document handling procedures and systems that control the flow of paper in and out of the individual DDS components. We also made no effort to assess the impact of DDS paper on other Agency components even though this problem has considerable bearing on the RM picture in all the components affected. We felt that these problems were fairly involved and would require more time than we originally allotted to this survey. In the interest of saving time we also set aside the question of

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how the Agency's rapidly developing automatic data processing (ADP) systems will affect present and future DDS paper holdings. This is a special problem with many still unforeseen implications, especially in light of the fact that the DDS entry into the ADP field is only fairly recent. Despite these omissions in the survey, ^{we} still encountered a sufficient number of first line RM problems in DDS to give substance to our inquiry. These problems concern RM policy, the personnel and regulatory structure, prevailing RM attitudes, particularly on the top DDS level, and certain RM weaknesses and shortcomings that are applicable to the individual DDS components. Because of the circumscribed nature of this survey and the fact that it really is a preliminary IG probe into the RM function on an Agency-wide basis, our conclusions and recommendations are tentative.

Records Management Policy

3. In DDS, as in other parts of the Agency, the RM function has its policy foundation in [] dated 15 April 1964 (revised). This Agency regulation is in turn based on the Federal Records Act of 1950 (Public Law 754) which requires every government agency to establish and maintain an RM program to suit its own needs. [] primarily serves the purpose of formally establishing the RM function

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in terms of broad areas of activity and establishes policies for the accomplishment of certain RM objectives. It also delineates the Agency-wide staff responsibilities of the CIA Records Administration Officer in terms of the RM guidance, assistance, and coordination that he is expected to provide. While the provisions of [] serve a very useful purpose, they can be construed only as general RM guidance. When the document was first drawn up, it was probably expected that as the RM function became more and more decentralized, every lesser Agency component would set up its own detailed RM instruction patterned on

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STAT [] Whatever the original intent might have been, it is certain that very few components in DDS have taken the trouble to elaborate on [] As it now stands

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STAT [] is not adequate to the RM regulatory task in DDS, or for that matter, in any other Directorate. One specific

STAT weakness in [] is that it does not define either the status or the organizational relationship of the central Records Administration Staff to DDS or to other parts of the Agency with which this Staff does business. We now have in DDS what amounts to several independent RM units, each practically run by itself, and obtaining guidance from the Records Administration Staff only on a sporadic, unorganized

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basis. The net result is that the RM activity in DDS is a highly diffused effort with no real focal point of authority, direction or coordination. There is no senior records administration officer within the DDS structure to whom individual RM officers can turn for day to day guidance on routine issues. The need for a clearer outline of the RM function, in terms of a comprehensive and detailed regulatory issuance that reaches into every DDS component, is obvious.

General Problems and Considerations

4. We found a variety of RM problems in virtually every DDS component. In many respects these problems parallel RM difficulties now being experienced elsewhere in the Agency. Central among these difficulties is what we would describe simply as a general disinterest in records. The attitude is most prevalent on the highest supervisory levels. Many supervisors defend this negative view in terms of working priorities, that is, the need to take first things first and to focus on those tasks that seem most worthy of their best effort. In the minds of most DDS supervisors, RM work is a very low priority function. Whether or not it is justified, this view more than any other seriously depresses the RM function. In fact, it lies at the base of most RM weaknesses and fail-

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ings in ~~terms~~ of the RM effort now being conducted within the individual DDS components.

Office of Security

5. As the producer and keeper of a very large volume of DDS records (13,246 cubic feet on 30 June 1965), the Office of Security (OS) has a sizeable RM problem. These holdings represent an increase of 2,767 cubic feet (27%) over fiscal year 1964 and mark the second consecutive year when the overall OS growth exceeded 2000 cubic feet. Next to DPIC this paper volume increase was the largest in the Agency. By actual count, the Office of Security has more than twice the volume of records in any DDS component. The Office of Logistics is next in line with holdings of 5,316 cubic feet (30 June 1965).

6. The RM organization in OS is not presently geared to handle this enormous records task. Prior to 29 March 1965 OS had a full time RM officer to handle this work. This GS-13 officer spent most of the last year working on a systems analysis (ADP) project in DDS and the likelihood of his returning to his old job is fairly remote. In August 1965 the responsibility for the RM effort in OS was transferred to the Chief of the Records Security Division. This senior officer, who is probably competent in most other respects, has had no previous experience in RM

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work and has delegated most of the tasks to a subordinate officer,¹¹ GS-¹² records clerk. This last officer also has collateral working responsibilities in the Security Records Division and spends only a fraction of his time on pure RM work. These last two RM appointments also have had the effect of transferring the RM responsibility out of the Executive Office of the Office of Security and placing it in the Security Records Division, that is, on a considerably lower authority level in the OS structure. In our view this organizational change tends further depress the RM function in OS.

7. Among the principal weaknesses in the RM effort in OS is the tendency to keep records for inordinately long periods. Until recently, for example, the retention period for OS case files was 125 years. A few months ago it was decided to reduce this holding period to 50 years. The Records Control Schedules for OS were originally prepared in 1954 and although some were revised in the last 11 years, many are still out of date.

8. While the Office of Security makes a conscientious attempt to keep its forms problem under control, it is still struggling with problems such as maintaining an up to date inventory of forms and controlling the proliferation of "bootleg" forms. It is our understanding that

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recently the Office of Security has taken it upon itself to approve the reprinting of forms, thereby removing this responsibility from the central Records Administration Staff where it previously has been vested. Unless there are overriding security or other reasons for placing this authority for approval of reprint of forms in the Office of Security, it should be returned to the central Records Administration Staff.

9. It has already been mentioned that the present RM officer in OS has had no previous training in the records field. In recent months the central Records Administration Staff has proposed RM training courses and workshops for records officers in OS in order to improve their knowledge and skills in this field. Until now there has been no response in OS to any of these proposals.

Office of Finance

10. While the Office of Finance (OF) is not the holder of a large volume of records (3,529 cubic feet on 30 June 1965), its overall paper accumulations are increasing at a rapid rate. The increase since 1964, for example, is 17 per cent. At the Records Center the rate of increase is 468 cubic feet per year. Contributing directly to this comparatively large rise in records holdings is the fact that the retirement of OF records is hampered by an administrative ^{AND} legal problem having to do with the audit of records.

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Since 1961, no vouchered funds records in OF have been audited by the General Accounting Office. This means that these records cannot be scheduled for destruction in accordance with established Records Control Schedules. In addition, the confidential funds records in OF, which represent even a larger volume of paper, have never been audited by the General Accounting Office. In their unaudited condition these records are being retained as permanent Agency files. These two categories of finance records are accumulating rapidly in the Records Center and presently they amount to approximately 6,000 cubic feet. The authority for the disposition of these unaudited records hinges on the receipt of a legal decision from the Office of the General Counsel on whether the records can or should be destroyed. That decision has been pending for over five years. There have been extensive Agency hearings on this subject, but it appears the problem will not be resolved in the very near future.

11. The RM responsibility in the OF is being handled by a well trained and experienced GS-12 officer who functions alone in this job. The RM function is separated from the OF registry. Despite the productive efforts of this officer and the fact that she spends most of her time

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on the RM job, most of her work is focussed on paper volume control. The forms management program in OF lacks organization and strength and there are at least 100 "bootleg" forms to contend with. Little can be done about the latter problem because the Office of Finance openly encourages the creation and use of bootleg forms if they are needed. The most notable RM progress in OF has been in the field of vital materials. This is because the program has been supervised closely, there is considerable OF interest in it, and the working relationship between the Office of Finance and the Records Center is excellent. 25X1

12. On the whole the RM function has not yet come into its own in OF where, as in other DDS components, the RM officer is still looked upon with some suspicion. There is conspicuous resistance to RM improvements in most OF units and the RM officer has yet to enjoy full access and cooperation from OF employees on pure records questions. This condition could probably be remedied with a small measure of genuine support for the program from the top level direction. Until such support goes beyond the verbal stage and is translated into positive courses of action that reach into the full spectrum of RM activity, this function will continue to hobble along in OF at a slow pace.

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13. Efforts are now being made to improve the overall records situation in OF by introduction of automatic data processing (ADP). These efforts hold high promise for the future but at present this innovation itself is a producer of a high volume of paper. In fact sizeable ADP paper accumulations now stand side by side with hard copy records and there are no plans in the offing for the destruction of the latter. As indicated above, in this survey we have not addressed ourselves specifically to the ADP problem in DDS even though it is of considerable dimension and has deep implications for the DDS RM future.

Office of Training

13. With its total accumulation of 5,229 cubic feet on 30 June 1965, the Office of Training (OTR) shows an increase of 14 percent over its 1964 records holdings. This is in spite of the fact that 1,401 cubic feet of records have been destroyed by OTR during fiscal year 1965. While the RM effort in OTR cannot be considered aggressive, it has shown some results in a fairly limited field. Gains are being made in the control of paper volume and to a considerable extent in the forms management field. In the area of vital materials, however, there is now almost no activity. Records Control Schedules now exist for all OTR records. The Schedules are up to date and are being followed

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fairly closely by the RM officer. During recent months RM progress has been hampered by the fact that OTR's RM officer was assigned to a joint ADP project in DDS on a full time basis. His RM responsibilities have been assigned temporarily to a GS-6 clerk who has little experience in this field.

Office of Logistics

15. Of all DDS components, the Office of Logistics (OL) probably ranks lowest in RM organization and general achievement. Its RM program suffers primarily from lack of interest at all levels. Most senior officers in OL lack real understanding of the RM function and therefore give it little support. RM work in OL is also at the lowest rung of working priorities. The RM officer in this component, a GS-10 officer who spends most of her time in pure registry functions, has no clear picture of her responsibilities because these are nowhere spelled out. Throughout OL, the Records Control Schedules are badly out of date; some go back to 1956 and no effort is being made to make them current. Nor does OL have an up to date inventory of its official forms of which there are about 400. There are about twice as many "bootleg" forms. The Vital Materials Program in OL is virtually ignored.

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16. In OL the RM function is seen mainly as a problem of controlling paper volume. On 30 June 1965 this volume amounted to 5,316 cubic feet, a decrease of 855 cubic feet (14%) over fiscal year 1964. It is significant that during fiscal year 1965 OL destroyed 3,677 cubic feet of records which represents almost one-half of the total volume destroyed by all Headquarters offices in the DDS area.

17. The volume of paper in the Agency is considerably influenced by the presence in many Headquarters offices of duplicating machines on the order of Xerox, Smith-Corona, Thermofax, and others. Some of these machines produce copies of documents at high speed and as such contribute enormously to total Agency paper accumulations. Our efforts to obtain^a/count of these machines in Headquarters produced this rough estimate: 55 Xerox units, 38 Smith-Corona, 5 Copytron, 3 A.B. Dick, and 221 Thermofax. The Office of Logistics, which supplied these figures, believes there are probably twice as many units as the current inventory shows. The purchase of Xerox machines and other high speed duplicating equipment for the entire Agency is handled by the Printing Services Division of OL. In general their procurement is not handled in relation to the RM function. Their use is also relatively unsupervised and the costs

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that accumulate from the indiscriminate employ of such equipment, even if measured only from the standpoint of extra, unneeded copies, is enormous. This problem has substantial bearing on the RM effort in every part of the Agency. It deserves further study.

Medical Staff

18. With total holdings of 491 cubic feet on 30 June 1965, the Medical Staff (MS) is among the smallest components in DDS in terms of paper volume problems on which most RM activity in MS is focussed. The Records Control Schedule device is fully utilized for this purpose even though some of the Schedules need updating. The MS has a fairly active forms management program but is doing little in the field of vital materials. On the whole, the RM effort in this component is modest with the RM officer devoting only a small fraction of his working time to this activity.

Office of Personnel

19. On 30 June 1965 the Office of Personnel (OP) held 3,163 cubic feet of records, a decrease of about 4 percent from the previous year. There is in progress in OP an active program for the disposition of old records on the basis of Records Control Schedules which are being followed fairly closely. On the other hand there is no real forms

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management in OP, an especially difficult problem owing to the proliferation of "bootleg" forms. There is no up to date forms inventory in OP. This effort, like the Vital Materials program, suffers from lack of work input. The RM officer for OP, a GS-10 with little experience in RM work in relation to the size of her responsibilities, spends about half of her time on records tasks. She is hampered not only by lack of time but the fact that she ordinarily obtains little support from her supervisors in the RM function. Presently much of this function is being handled in OP by employees in low GS grades.

Office of Communications

20. A relatively active RM program covering all RM phases is now being conducted by the Office of Communications (OC). A notable achievement in fiscal year 1965 was the destruction of 1,404 cubic feet of old records, an increase of 127% over the previous year. OC's records holdings on 30 June 1965 amounted to 4,261 cubic feet. Most of these records are covered by current Records Control Schedules which are followed closely. Recently OC began developing a reports management program through which it hopes to achieve sizeable savings in time and paper volume. The RM officer in OC, a GS-14 with long experience in records, is energetic and enthusiastic about his work. His positive

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achievements in the RM field during the past year have established OC as the leader in this field for all of DDS.

Records Administration Staff

21. A separate report has been prepared on the organization, activities, and problems of the Agency's central Records Administration Staff (RAS). We nevertheless feel some observations on RAS are pertinent here, because this seven-man unit falls within the organizational jurisdiction of DDS, even though in practice this link is somewhat tenuous. This jurisdiction is normally exercised through the Executive Officer in DDS.

22. Technically speaking, the DDS Executive Officer is the channel through which the Agency's senior records administration officer (the chief of RAS) receives his basis policy guidance and instruction in all RM matters. In practice, however, this is not the case, because RAS not only functions independently, but also has proved itself to be self-sufficient. For the past several years RAS has maintained its organizational connection with DDS largely on the basis of a quarterly report covering its activities. The submission of this report has been on a pro forma basis because no response to the report ordinarily issues from DDS nor is any expected. This weak RAS link

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with what ostensibly is its parent organization has existed for a long time but its negative effect on RAS has been minimal, except possibly on its morale. The real defect in the arrangement is that it deprives the Agency of a true focal point for RM activity and at a sufficiently high level so that its salutary impact can be felt. Here the question of whether or not RAS really belongs in DDS should perhaps be raised. In this survey we came upon arguments pro and con with a strong case often made in favor of transferring RAS to the Office of the Director on the level of the Cable Secretariat.

Conclusions and Recommendations

23. In discussing the RM problems and shortcomings within DDS, as we have done above, we have nowhere made any specific recommendations for correction. In most cases the action needed is fairly obvious and we leave to the various component supervisors the decision as to when or where corrective steps should be taken. There are, however, several basic RM weaknesses in DDS which we think ought to be singled out because they cross organizational lines. To correct these weaknesses

It is recommended that

The Deputy Director for Support

(a) Revitalize the records management (RM) function

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by impressing his Office heads, Division Chiefs and other senior officers with the importance of the RM effort in their work, pointing out the present RM flaws and shortcomings and organizing a long range plan of action which would strengthen the RM organization, broaden the scope of its activity, and eliminate its more glaring defects.

(b) Formally define the RM function in DDS in keeping with particular emphasis on establishing the bounds of this activity, identifying its goals in terms of attainable objectives and establishing responsibility for the effort on all DDS levels.

(c) Revamp the RM organization so that incumbent RM officers are the most competent personnel available, are sufficiently trained for their assignments, and obtain the necessary high level support to do their jobs effectively,

(d) Improve the RM relationship with other Agency components for purposes of achieving a cross-fertilization of ideas in the records field.

(e) Strengthen the DDS link with the Records Administration Staff in order to take fuller advantage of the qualified guidance and direction that is readily available in this Staff in the RM field.

(f) Take appropriate steps to expand the RM knowledge of key personnel in DDS in order to broaden their RM perspectives and to help dispel erroneous impressions about the value of this activity and its place in the Agency working scheme.

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(g) Consider seriously the establishment of a career service for RM specialists to give them better job prospect and thus encourage them to remain in the RM field.

DDS&F

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Records Management - DD/S&T

Introduction

1. The Directorate for Science and Technology (DD/S&T) is a relatively new organization still saddled with many of the problems incident to change. DD/S&T is also in a state of rapid expansion. This is emphatically reflected in the enormous recent increase in the volume of its records. In mid-1964 the total records holdings of DD/S&T was 7,120 cubic feet. On 30 June 1965 these holdings increased to 7,925 cubic feet and the trend is toward even further increases. One factor in this records volume increase is the expansion of the DD/S&T function and addition of several new offices. The more recent organizational additions to DD/S&T include the Office of Computer Services (OCS) and the Office of Special Projects (OSP). Both of these new components are creators of a large volume of paper. Because of rapid growth and preoccupation with current operations and projects, most DD/S&T components have not yet really come to grips with the bulk of their RM problems. OSI is the possible exception.

Organization and Functions

2. There is no formal RM organization in DD/S&T. Rather, the organization consists of four individual RM officers, one each for OSI, OSA and OCS, and one with com-

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bined responsibility for OEL, ORD, OSP and FMSAC. The grade level of these officers ranges from GS-8 to GS-12. Only the OSI officer can be considered a full-time RM officer and in this component the records situation is understandably good. By contrast, in OCS where the responsibility is also vested in a GS-12 officer, there is virtually no RM activity. OCS has yet to tackle such basic RM problems as preparing its initial Records Control Schedules, which make possible an orderly storage and disposition of records at the Agency's Records Center in Warrenton. In other DD/S&T components such as OSA, the RM officer, a GS-11, spends less than 20 percent of his time on RM work, this because of the press of other duties. A part of the records problem in OSA stems from the fact that this component is usually headed by a military officer on detail to the Agency and whose normal tour lasts approximately three years before he is again rotated. The limited Agency tenure of these military officers precludes the development of any real interest in records problems. In OEL, ORD, OSP and FMSAC, the RM function also has been relegated to the sidelines ostensibly because of higher working priorities. The one GS-10 officer who is charged with the combined RM task in OEL, ORD, OSP and FMSAC is spread very thinly over the records problem. He is also

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hampered in his work because his RM efforts receive virtually no support from his supervisors.

3. In DD/S&T most RM officers conduct their activity under the supervision of the Chief of Support of their individual components. Organizationally this is probably a satisfactory arrangement but in terms of the RM function it is less than desirable because ordinarily little RM guidance issues from this quarter. While most RM officers in DD/S&T maintain some contact with the Agency's central Records Administration Staff, this relationship too is fairly tenuous. RAS tries to provide guidance and direction to DD/S&T RM officers, usually with problems involving records storage and disposition, forms management, and the Vital Materials Program. Such assistance, however, is given only on a request basis and usually without any specific plan. The reason for this is that the services of RAS, although available to each DD/S&T component for the asking, still must be "sold." OCS, for example, has been approached several times by RAS with offers of help in setting up files and preparing up-to-date Records Control Schedules. Until now OCS has not taken advantage of these offers.

Regulatory Structure

4. Like all Agency components, for RM purposes DD/S&T

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falls within the regulatory purview of [] (revised 15 April 1964). This document serves the purpose of prescribing a general pattern of RM organization and responsibility in the four Agency Directorates. Within individual DD/S&T components, however, there are no supplementary regulations that would expand [] in order to put this broad RM blueprint into better working perspective. Lack of such supplementary regulations has made for some confusion. The individual RM officer is not well aware of the place of RM function in DD/S&T and the exact area of working responsibility that it involves. Without any clear cut instructions on the scope and objectives of their work, depending on their individual inclinations. The negative effect of this loose regulatory arrangement on the entire RM function in DD/S&T cannot be overemphasized.

Other Problems

5. We indicated above that most RM activity in DD/S&T is focussed on paper volume control. We should add that frequently this concentration of activity is at the expense of other RM tasks such as forms management, the Vital Materials Program, and correspondence and reports management, all of which fall within the normal bounds of RM responsibility as defined [] There is little need to comment on the shortcomings in DD/S&T in these

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areas of activity. Proper forms management, for example, ordinarily begins with a comprehensive inventory of forms in use, both regular and "bootleg." In most of DD/S&T such an inventory does not exist. Similarly in the area of vital materials, few RM officers in DD/S&T are aware of the exact nature of their vital documents holdings at the Records Center [redacted]

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Many of these holdings are long standing accumulations whose removal [redacted]

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was accomplished on the basis of criteria that are no longer valid. Also, there is no clear view in DD/S&T on what these vital materials criteria should now be; there is also doubt in some Agency quarters on whether the concept of an above ground relocation site on the order of

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[redacted] itself reasonable. In sum we believe that the Vital Materials Program in most DD/S&T components is both outdated and somewhat neglected. Forms management fares slightly better but correspondence and reports management as such hardly seem to exist.

6. The direction of DD/S&T is well aware of most of the RM shortcomings cited above. They know too that the majority of these defects can be attributed to rapid organizational growth, higher working priorities, lack of personnel, and other related problems that now face virtually every operating component in the Agency. It would

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be unreasonable in this report to disregard the negative RM effect of these factors. It also would be foolish for us blindly to assert a higher priority for RM work just because there is an obvious job to be done. In our view it would serve a far better purpose merely to catalogue, in terms of specific recommendations, those RM weaknesses in DD/S&T which are fairly basic and which we think can be corrected with a minimum of effort.

Recommendations

It is recommended that

The Deputy Director for Science and Technology

(a) Revitalize the records management (RM) function by impressing his Office heads, Division Chiefs and other senior officers with the importance of the RM effort in their work, pointing out the present RM flaws and shortcomings, and organizing a long range plan of action which would strengthen the RM organization, broaden the scope of its activity, and eliminate its more glaring defects.

(b) Formally define the RM function in DD/S&T in keeping with particular emphasis on establishing the bounds of this activity, identifying its goals in terms of attainable objectives, establishing responsibility for the effort on all DD/S&T levels.

(c) Revamp the RM organization so that incumbent RM

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officers are the most competent personnel available, are sufficiently trained for their assignments, and obtain the necessary high level support to do their jobs effectively.

(d) Improve the RM relationship with other Agency components, particularly with the Records Administration Staff (RAS), for purposes of achieving a cross-fertilization of ideas and to take advantage of the qualified guidance and direction that is readily available in RAS in this highly specialized field.

(e) Take appropriate steps to expand the RM knowledge of key personnel in DD/S&T in order to broaden their RM perspectives and to help dispel erroneous impressions about the value of this activity and its place in the Agency working scheme.

These recommendations are deliberately couched in broad terms to permit DD/S&T to tackle its RM problem in ways that seem most appropriate to its specific problem. What we are saying in these recommendations is that the proper stage for good RM work in DD/S&T has yet to be set; and until this organizational, regulatory and support platform is put together, the present disjointed and sporadic activity that characterizes the present RM effort in DD/S&T will be of little avail.

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Records Administration Staff

Introduction

1. This is the first section of what eventually will be a several part report covering our inspection of the records management (RM) function in the Agency. It deals primarily with the Records Administration Staff (RAS) which is the guiding, coordinating and advisory element in this activity. This part of the survey consisted of interviews of all personnel in RAS; an examination of pertinent Agency regulations and directives; and an inspection of the downtown Washington offices of RAS from which the bulk of its work is conducted. A one-day tour of the Records Center [redacted]

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[redacted] for which RAS is responsible, also constituted part of this survey. Because the work of RAS represents only one segment of the total Agency records management effort, the conclusions and recommendations in this report are tentative.

Organization and Functions

2. Until 1950 records management in the Agency was a fairly weak and disorganized effort. In this year the 81st Congress passed Public Law 754 (Federal Records Act) which required each government agency to establish an RM program to suit its own needs.

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[redacted] dated 15 April 1964 (revised), the Agency mandate for the RM function, has its roots in this legislation.

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3. defines the Records Administration Program in terms of six principal elements: (1) Reports Administration--the analysis, improvement, and control of administrative reporting; (2) Correspondence Administration--the application of improved standards and procedures for preparing and handling of correspondence; (3) Forms Administration--the analysis, design, and control of forms; (4) Records Maintenance--the establishment of standard procedures, systems, equipment and supplies for records maintenance; (5) Records Disposition--the economical and systematic disposition of Agency records including their preservation, retention, transfer, protection, and disposal according to approved schedules; and (6) Vital Records Administration--the timely selection of vital records and their prompt transfer to and secure maintenance in a designated Agency repository. While this program comprehends most Agency records activities, it is actually only a blueprint. In practice the Agency RM program is considerably narrower and in most components focusses on document storage (Records Maintenance), paper volume control (Records Disposition), and the management of forms (Forms Administration). There is a Vital Materials Program (Vital Records Administration) of sorts in the Agency but it suffers from lack of an adequate policy basis, especially criteria for document selection. Real interest in the program is also lacking. Similarly, there is little substantive interest in reports and correspondence

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administration, two important RM fields which are virtually ignored in the Agency. These voids in the RM program exist in spite of energetic RAS efforts aimed at stimulating interest in this activity. These efforts are continuous and take the form of various types of publicity, handbooks and guidelines covering every important aspect of the RM effort.

4. Originally the RM effort in the Agency was conducted by the Management Staff of DDS. In 1961 this Staff was liquidated and its RM function was decentralized. The objective of the decentralization was to shift the day to day responsibility for RM work to the individual directorates where it was felt the problems and needs were better understood. The decentralization was accompanied by a sizeable personnel reduction. From a previous strength [] the RM force was gradually reduced []. The reconstituted RM force then became the Records Administration Staff whose main responsibility was to assist the individual directorates and offices in organizing and maintaining their respective RM programs, to establish overall policy, and to provide guidance and RM expertise whenever and wherever it was needed. The Staff was and continues to be administratively responsible to the Deputy Director for Support.

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Problems

5. Since its inception in 1961, RAS has labored under certain organizational and functional disadvantages. Theoretically RAS is subordinate to the Deputy Director for Support. This organizational link, however, is very tenuous because in its day to day activities, RAS functions fairly independently. Its tie to DDS actually consists of little more than the routine submission of a monthly progress report. The DDS in no way responds to this report; nor does he disseminate any of its useful statistical or factual content. The organizational relationship between DDS and RAS is perhaps best illustrated in the fact that [] dated 22 December 1964, which delineates the organization and functions of all components in DDS, makes no mention of RAS. The negative implications of this omission are fairly obvious.

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It is recommended that:

The Deputy Director for Support

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- a. Revise [] so that it clearly defines the organizational link of the Records Management Staff with the Deputy Directorate for Support; and delineates the Staff's responsibilities and functions;
 - b. Clarify the precise role of the Records Administration Officer in the Agency's overall records management function;
 - c. Establish an improved system for maintaining close working contact between the Records Administration Officer and the DDS for

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purposes of providing this officer with the type of higher level guidance and support that he needs for effective performance of his work.

6. Having no firm organizational attachment and lacking any real direction from above, RAS functions in somewhat of a vacuum. Its operational mandate is only generally phrased Its doctrine is self-generated and the dimensions of its role in the Agency's paper management program is largely the product of its own interpretation. Under normal conditions this loose organizational and functional condition would seem conducive to a high degree of disorganization and waste. Fortunately in RAS it has worked in reverse. Despite its small size and physical isolation from the mainstream of the Agency's activity, and in the face of obstacles such as the pronounced Agency apathy toward records, RAS has consistently demonstrated a high degree of skill and resourcefulness in the Agency RM problem. Largely through its efforts CIA has come to be identified in government as a leader in the RM field. Within the Agency itself RAS is frequently called upon to act as trouble shooter in records problems and its RM expertise is readily available to any Agency component that needs it.

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7. But while the achievements of RAS are noteworthy and its work is rated highly, its labors receive little formal recognition. To begin with, RM work has very low priority in the Agency and the RM job in almost every component is held in fairly low repute. The

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problem is traceable in part to the lukewarm attitude of top level Agency management toward RM. There is at best only a perfunctory interest in records among higher level officers in the Agency. There is also the problem of the fragmentation of the RM effort that resulted from the 1961 decentralization. This shift in RM responsibility has created certain artificial barriers between RAS and some of its Agency customers. In some components RAS has only limited RM access: usually it must wait until its services are requested. In others, DDP for example, RAS is virtually excluded from the RM problem. To some extent RAS has overcome these barriers by aggressively keeping itself in the records forefront, maintaining pace with RM developments in other government agencies, adroitly selling its services to apathetic Agency customers, demonstrating its skills in a broad spectrum of RM problems, and proving in actual work situations that it can help save time, money, equipment and manpower in what is essentially a very expensive but highly neglected Agency activity. The ability of RAS to sell itself is commendable and certainly accounts for much of its RM progress. The selling process, however, should not be necessary and could be eliminated if RAS was backstopped with a clear statement of policy emanating from the highest Agency level and specifying

- a. where the records management effort stands in the scheme of working priorities in the Agency;
- b. the desired scope of the effort;

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- c. the number of people that should be committed to the effort;
- d. the staff and command relationships between RAS and other Agency components.

Answers to these fundamental questions are not simple but they are sorely needed. This absence of a clear policy for the RM function is in fact our most significant finding in the inspection of RAS. Some aspect of this shortcoming is at the hub of every RM problem in the Agency.

It is recommended that

The Deputy Director for Support request, on the DDCI level, a clarification of basic Agency policy for the records management function that would enable the Records Administration Staff to determine

- a. its organizational standing in terms of jurisdiction and staff and command relationships;
- b. the practical scope of its effort;
- c. the relationship of this effort to the now decentralized records management activity in the four Agency directorates and the various staffs and groupings in the Office of the Director.

Earlier in this paper it was brought out that the Agency RM effort has been focussed on paper volume control. This focus has been deliberate owing to the phenomenal growth of Agency records

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holdings during the past fifteen years. From 1960 to 1964 the rate of growth (in cubic feet) was as follows:

<u>Fiscal Year</u>	<u>Headquarters</u>	<u>Archives and Records Center</u>	<u>Total Holdings</u>
1960	188,565	59,491	248,056
1961	155,472	70,066	225,538
1962	163,837	78,046	241,883
1963	163,221	80,847	244,068
1964	193,274	82,452	275,726

The total holdings for 1964 (275,726 cubic feet) required the equivalent storage space of 34,465 four drawer safes. The growth has been steady since 1950 despite periodic records destruction drives. The trend is toward even greater increases with no satisfactory solution yet in sight.

8. The dimensions of the paper volume problem is also evident in the field of forms management. A recent (1965) inventory shows that there are about 2400 "active" forms in the Agency. In addition CIA uses some 200 additional forms printed by other agencies. Each year the total number of forms used by the Agency increases. In 1964 200 new forms were introduced (printed) while 100 forms were withdrawn either because they were obsolete, or because they duplicated forms already in use. The total Agency outlay in 1964 for the printing of forms alone was over \$250,000. The cost of using these forms is about 20 times their original printing cost.

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9. The Agency's forms management program has been moderately successful in that there is now greater control over the printing and issue of forms than ever before. This control, however, reaches only those forms that are well known and in constant use. It has little bearing on the multitude of lesser forms that come into being outside the forms management program. As an example the Agency is the creator and user of an inordinate number of so-called "bootleg" forms, the kind that are drawn up by individuals or offices on a limited volume basis, usually on readily available duplicating machines, to facilitate some special aspect of the work. The rough count of such bootleg forms now in use is 24,000. DDP's Records Integration Division alone uses about 500 such forms. The forms management program then, even with its impressive past record, has only begun to whittle at a problem that costs the Agency handsomely each year because of the steady proliferation of time-consuming and frequently costly paper.

10. The field of vital materials is another sizeable RM problem largely because it is so badly neglected. Each Agency directorate and office has a Vital Materials Program and some of the programs are considered by their sponsors to be fairly effective. Essentially the program consists of the systematic earmarking and retirement to the Agency's Records Center in Warrenton of those Agency records which are considered vital in case of national emergency when it might be necessary to relocate at some site outside of Headquarters. Many

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problems are inherent in such a program which by its nature is based on several imponderables. The problem boils down to establishing a hypothetical base or concept of such an emergency and then planning for it. Until now the establishment of such a base has been generally unsuccessful. Each Agency directorate has tried to solve the problem on the basis of its own interpretation and no two interpretations appear to be the same. Lacking a clear picture of what problems and factors will come into play when the emergency occurs, and not knowing when it might occur or who will be on hand to reconstitute the records, the attempts to develop an effective Vital Materials Program have been largely ineffectual. One of the key issues is deciding what criteria are to be used in the labeling of documents and materials as vital. In the absence of reliable criteria, most of the Agency's existing Vital Materials Programs have lost ground and in some cases are virtually of no use. There was a flurry of interest in the program during the 1962 Cuban crisis but since ^{THEN} the program has languished.

11. As the coordinator of the RM effort in the Agency, RAS is responsible for the control of paper volume in every Agency directorate and office. Such control is accomplished with a variety of proven records management devices. These include periodic surveys of records in the various components, analysis of paper handling procedures and systems, close consultation with personnel responsible for the handling of records, the organization of workshops and seminars aimed at developing records handling skills, Agency-wide drives aimed at

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divesting files of useless paper, and various long-term educational programs directed at keeping down paper volume and increasing paper handling efficiency. The backbone of the system is the Records Control Schedule, which is used by RAS to record the type and volume of paper holdings in every Agency component. This schedule establishes specific dates for retirement of infrequently used paper to the Records Center, periodic re-examination of files to determine their further usefulness, scheduled return for review purposes of specific records holdings to the owner component, and, where possible, disposition by archival storage or destruction. The built-in tickler aspect of the Records Control Schedule serves to keep every Agency component aware of the status of its records and acts as a reminder for various types of records action. Except for OSA and NPIC all paper holdings in the Agency are now accounted for by Records Control Schedules. Some of the schedules, notably those in DDP, are not very effective because they have been drawn up in very general terms, ostensibly to preserve their sensitive content. In these cases the schedule has less RM impact than when the individual categories of records are clearly identified. The success of the Records Control Schedule as a device to keep down paper volume has been amply demonstrated since it was first put into use. Since then 165,470 cubic feet of records have been retired to the Records Center of which 82,611 cubic feet were destroyed. The cumulative tangible dollar savings in this and related RM operations during the past ten years

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has been 15.7 million dollars.

12. The Agency's Records Center [redacted] is an above ground records storage facility with temperature and humidity control and a capacity for 103,380 cubic feet of records. Its holdings in FY 1965 were 82,859 cubic feet. The effectiveness of the Records Center stems from the fact that it provides a rapid document retrieval system which makes it possible for every component in the Agency to store any records at the Center for short or long periods of time with the possibility of being able to retrieve them on short notice. A headquarters customer, for example, can obtain retrieval service in a matter of four or five hours if the request is filed early in the day, and overnight if the document is asked for late in the day. In case of urgency, records can be delivered up to headquarters in as little as two hours after the request is placed. The Records Center is also a repository for Vital Materials. In this respect the Center does little more than provide a records safe deposit box for its Agency customer. The Center is manned by [redacted] The storage facilities of the Records Center were occupied at 80 percent of full capacity in mid-1965. The 20 percent space reserve has been maintained through vigorous and persistent efforts on the part of the Records Administration Staff to hold down a steady increase in record holdings by accelerated document destruction programs based on Records Control Schedules.

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13. As already mentioned, the main problem confronting the Records Administration Staff, as well as records officers in other Agency components, is the low regard in which the RM function is held. RM officers offer several explanations for this. Some state that the specialized nature of the Agency's work places premium on individuals with a high degree of technical ability, and that this type of professional generally shows little inclination toward paper work. Another view is that many senior officers see the Agency as a unique government organization with a special mission and therefore considerable working autonomy; it should be able to handle its paper problems in any way it pleases. There is also the opinion that inside and outside pressures on the Agency to produce more and better intelligence have forced it to gear every possible resource to projects that yield tangible results. In the face of such pressures top level management tends to support only those programs that contribute directly to the achievement of primary goals.

Recent personnel cuts and the imposition of a personnel ceiling also have had a deleterious effect on RM work. These developments have given rise to defensive slogans such as "lack of time" and "lack of people" which hamstring any records improvement effort. In some respects top level management in the Agency has itself nurtured these negative attitudes. When the decision was made recently to reduce the average salary in the Agency to bring it in line with

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with government averages, the effort was focussed on lowering the grade level of records personnel. The Salary and Wage Division's recent arbitrary cuts in the slot structure for records officers in DDP is a case in point. It will also be recalled that the 701 Program in 1962 resulted in a large number of casualties among records management officers. A good example of the lukewarm attitude of the Agency's direction towards the RM function was the Agency's recent failure to nominate a candidate for the annual inter-Agency records management award. Although the Medical Staff proposed an Agency candidate for this award, no action was taken on the proposal nor any explanation given for not following through on the nomination.

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SUGGESTED RESPONSIBILITIES OF AN AREA RECORDS OFFICER

Under the Administrative direction of a senior officer of a major organizational area of the agency, and the technical direction of the Records Management Staff, the so called Records Management Officer (RMO) or Area Records Officer (ARO) is directly responsible for conformance to Agency regulations relating to records administration and acts as liaison officer with the Records Management Staff on all matters involving Agency policy, clearance, and review. Such Records Officer is directly responsible for carrying out within his component area a Records Management Program encompassing the following:

I. Records Creation

- A. Creation of necessary records to provide adequate documentation including the :
 - 1. Designation of official record copies of correspondence and documents.
 - 2. The control and limitation on the number of copies of documents created.
- B. Correspondence management, including instructions for preparation and utilization of form letters and pattern paragraphs.
- C. Forms management, including control and design of forms for maximum use and adequacy of the form records as well as limitation of the number of forms and number of copies of the forms. Determine at the time a form is created, the ultimate disposition of the form record.
- D. Reports management, including adequate reporting, elimination of unessential copies of reports, elimination of obsolete reports, and unessential filing of reports.

II. Records Maintenance

- A. Determine proper organization of records to provide maximum utilization and security, including the establishment of:
 - 1. Centralized record facilities and/or
 - 2. Decentralized record facilities.

- B. Established and maintain a uniform system for classifying and filing records.
- C. Develop standards and control the methods and procedures used in processing and filing all records, either centralized or decentralized.
- D. Provide finding media to insure that efficient reference service is available and furnished.
- E. Maintain a current master inventory of accumulated records of the office, including their types, locations, and volume.
- F. Periodically survey and inspect records activities.
- G. Establish control procedures for receiving, recording, and routing incoming communications.
- H. Establish control procedures for clearance and dispatch of outgoing communications.
- I. Provide for the identification and orderly deposit of Vital Materials.
- J. Control the use of filing equipment and supplies.

III. Records Disposition

- A. Provide for the storage, preservation, protection, and servicing of semi-active or inactive records.
- B. Evaluate records for administrative, legal, research, or other use.
- C. Periodically survey records in order to remove inactive ones and plan for their retirement or disposal.
- D. Develop office records retention and disposal schedules.
- E. Secure any necessary clearance for the proposed disposal of records.
- F. Develop and submit, to the Records Management Staff lists and schedules requesting authority from the National Archives and Congress for the disposal of records.
- G. Develop and execute procedures for the disposal of records in accordance with established practices and authority granted.

- H. Insure the proper application of disposal authority.
- I. Maintain adequate data to furnish information and reports on records disposal.