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ROUTING AND RECORD SHEET

SUBJECT: (Optional)

Assistance to the Deputy Director for Science and Technology

FROM:			EXTENSION	NO.
STAT				
				DATE 18 March 1969

TO: (Officer designation, room number, and building)	DATE RECEIVED	DATE FORWARDED	OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
1. Chief, Administrative Support Staff, DD/S&T				1 to 2. This is a rather ambitious program, and we are appreciative of the assistance [ ] can provid STAT I would like to see as much accomplished within three to six months as possible. I appreciate your STAT making [ ] available. STAT
2. CIA Records Administration Officer, 502 Magazine	26 MAR 1969			
3. STAT				
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9.				STAT
10.				STAT
11.				
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14.				STAT
15.				

Approved with thru AUG 1969 but keeping in touch with me on Pers. administration and Records Program activities

2 6 MAR 1969

DD/S&T 1061/69

1 3 MAR 1969

MEMORANDUM FOR: CIA Records Administration Officer

THROUGH   :   Chief, Administrative Support Staff, DD/S&T

SUBJECT   :   Assistance to the Deputy Director for
                   Science and Technology

    1.   A preliminary review of the DD/S&T records management program needs and discussions with DD/S&T personnel indicate that assistance in the following areas would be most advantageous to the DD/S&T.

    A.   Development and implementation of a formal Directorate-wide records management program through:

        1.   Preparation of directives and implementation of procedures.

        2.   Conducting inventories of DD/S&T component record holdings for the purpose of updating records control schedules and auditing schedules presently in effect.

        3.   Review, revise, and update component records control schedules.

        4.   Finalize the DD/S&T Records Retention Plan.

        5.   Review and update the DD/S&T Vital Records Program.

    B.   Development and installation of an automated document control and information capability in DD/S&T.

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SUBJECT: Assistance to the Deputy Director for Science
           and Technology

C.   Development and installation of micro-reduction
techniques to project reports, technical data, and other
project, program, or operational records including micro-
film, aperture cards, "microfiche," and other media.

D.   Development and installation of other records-
processing, maintenance, and disposition systems and
procedures as appropriate.

2.   The above tasks are essentially those indicated through
the assistance provided selected DD/S&T components in 1967 as
being essential to an overall formal Directorate records manage-
ment program and substantiated by the more recent assignment in
the Office of Special Projects.

3.   To accomplish the above tasks a minimum period of six-
months is required. Additional time may be necessary if over-   25X1
riding considerations are given somewhere down the road.

CONCUR:

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           DD/S&T/RMO

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MEMORANDUM FOR: CIA Records Administration Officer

SUBJECT: DDS&T Records Management Survey Report

1. PURPOSE

The purpose of this paper is to provide a report of the records management survey conducted in the Office of Special Activities, Office of Special Projects, and the Office of Research and Development of the DDS&T.

2. BACKGROUND

As early as December, 1966, the CIA Records Administration Officer was requested by the Executive Officer, DDS&T, to provide a management analyst for the review of the records management programs and practices in the Office of Special Activities; the Office of Special Projects; and the Office of Research and Development, DDS&T. Because of the year end holidays and vacation schedules, the first survey did not commence until the first week of January, 1967. The first survey was conducted in the Office of Special Activities, followed by the Office of Special Projects, and the Office of Research and Development. The Office of Research and Development survey was completed on 26 May 1967. All three surveys were conducted by [   ]

3. SURVEY METHODOLOGY

in each DDS&T component,
a. Prior to the survey, a meeting was held with designated personnel at which time the purpose of the survey, its objectives, and its projected benefits were explained and discussed. Also at these meetings, Record Survey Work Sheet, Form 138, was distributed to the groups with the request that the respresentative of each Office component return a completed form for each piece of safe file equipment in which substantive records were held. This

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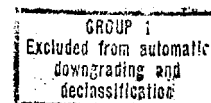
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survey form was to show for each safe:

    (1) The safe number.

    (2) The designation of the Office in which the safe resided.

    (3) The room number in which the safe could be found.

    (4) A description of the records kept in the safe by category, i.e., subject files, administrative files, project files, contract files, working papers, technical data files, etc., including a description of the types of papers and/or documents held in these files series.

    (5) File arrangement, i.e., subjective, alphabetical, numerical, chronological, etc.

    (6) Dates covered by the records.

    (7) Size of records, i. e., letter, legal, etc.

    (8) Type of equipment, and size.

    (9) Volume estimates.

    b. A safe by safe audit was conducted for each Record Survey/Work Sheet completed.

    c. At the time of the Record Survey Work Sheet audit, file systems, procedures, and problems were discussed with the record maintenance personnel in the respective components. Time was also taken to discuss records management philosophy, principles, and practices.

4. FINDINGS

Although the DDS&T Offices surveyed vary as to time of existence, as well as in functions and responsibilities, it was found that the records management requirements fell within the areas of program establishment and implementation; the creation, maintenance, and disposition functions; and in utilization of equipment and supplies. These areas are discussed in general as follows:

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a. Program Establishment and Implementation

(1) The Office of Special Activities was the only Office having

a designated Records Officer. However, this can be attributed to

the length of time OSA has been in existence, and that it originated

in the DDP which had component Records Officers within the overall

DDP records administration structure. The OSA, Records Officer

also had records administration background through experience in

several units of the [   ] DDP.   25X1

(2) Each Office lacked a body of records management directives and

procedures.

b. Records Creation

(1) Each Office required the decentralization of internal

correspondence control.

(2) Each Office requires standard correspondence preparation

and forwarding procedures.

(3) Blank forms were not found to be a major problem in any

Office, but there were no established procedures for their

management.

c. Maintenance

(1) Duplication of records was found to be a practice in all

Offices surveyed. Not that this is necessarily undesirable, but

it is a practice which should be given critical consideration

under a continuing records management program.

(2) There was found to be a state of doubt as to who was

responsible for what records, as the office of record, not

only for the maintenance of records, but also their disposition.

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(3) There is a tendency to designate the registries as central file repositories for the Office. This adds to duplication, and responsibility confusion.

(4) File systems were varied within each Office component, using a system of its own design, and generally by the senior secretary. This does not mean the systems were ~~dysfunctional~~ _impaired._ Quite to the contrary. Some were very adaptive and useful. All that is inferred is that standardization and simplifying procedures had not been applied as part of an overall program.

d. Disposition

Each Office was found to require current records control schedules. OSP and ORD did not have established channels and procedures for the final disposal, and retirement of papers. OSA had no formal records disposition directive, although it had an informal and known procedure.

e. Equipment and Supplies

(1) There is a practice within the Offices surveyed to provide two-drawer desk safes to officer and some administrative personnel. This practice increases costs in the procurement of office equipment, encourages the creation of paper, and provides a convenience for the development of individual record holdings, at the risk of denying the centralized official files of official records. It may also hinder accessability to papers which should reside in the official files.

(2) There was found to be an abundant use of expensive pressboard folders, rather than the less expensive kraft quality. Pressboard folders do provide durability and an extended use potential, provided they are salvaged and re-used when records are destroyed or retired.

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Their use requires the transfer of papers to the less expensive folders upon retirement of records to the Records Center in order to retain their salvage value, and conserve space. These folders also consume, in the aggregate, valuable file space on their own account over and above that which can be resaonably expected.

(3) A nominal control over equipment procurement exists through review of equipment requirements based upon requisitions, but there is a lack of records officer authority to limit or deny requests in favor of other measures, such as reduction of records, use of less expensive equipment, etc. This reverts to the lack of established programs and directive authorities.

(4) Despite the special restrictions placed upon the methods of controlling and filing records in the three DDS&T Offices surveyed, the use of newer types of file equipment such as: over-cabinet storage for unclassified forms, supplies, and convenience items; Conserv-A-File and Conserv-A-File V, as well as Full Space units in secure areas; Suspendex for files of charts, etc., would be worthwhile investigating further.

(5) Pitney-Bowes modular mail tables, and other types of registry and mail handling equipment would be advantageous to OSA and OSP. ORD is using Pitney-Bowes mail equipment.

5. ACCOMPLISHMENTS

During the course of the survey, a close relationship was maintained with the Executive Officer, OSA; Chief, Support Branch, Program Administration Division, OSP; and the Administrative Officer, ORD, as well as key personnel in the various Offices. Because of this relationship, records procedures, systems, and other related aspects were recommended and implemented without formal presentation. These were ad hoc adjustments made to current practices in full agreement with the Office concerned. These and other formalized

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accomplishments with respect to pertinent records management areas follow:

a. Program

All Offices were given a basic standardized directive for the establishment of a records management program.

b. Creation

(1) All Offices were given a directive for the control of documents and correspondence. Each Office was also provided a sample correspondence manual for adaptation as may be considered practicable.

(2) OSA was given a directive on Form Control.

(3) OSA was given a directive on the establishment of Director, OSA, Central Files.

c. Maintenance

(1) File systems were discussed with Office personnel during the course of the survey. Some systems were developed and implemented at the time, other systems were suggested and outlined for further consideration and implementation.

(2) Each Office was provided a directive, in one form or another, regarding records maintenance reponsibility and procedures.

d. Disposition

(1) Records Control Schedules were developed for each Office. This aspect of the survey was the most time-consuming, but it provides the more tangible evidence of survey results.

(2) Assistance was provided in the retirement of records to the Records Center.

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(3) The Records Center accessions from OSA were analyzed and

converted to conform with the control schedules developed during

the survey.

(4) Advice was also provided as to material destruction and

general holdings reduction.

(5) Each Office was provided a directive establishing channels,

and responsibility for records disposition.

e. Equipment and Supplies

Each Office was counseled as to types of equipment and supplies

available, and how each could be utilized.

6. GENERAL OBSERVATIONS

a. The personnel of the three Offices surveyed and assisted were found

to be concerned with their records problems and desirous of methods and tools

through which they can manage their papers. This provides the basis for a

successful program. Given continuing guidance and support, these personnel

will induce efficient records managment within their respective components.

But, they must have competent and continuing guidance and support.

b. An attempt has been made through the surveys and on-site assistance

to give these Offices the basics of a records management program. The ball

has now been tossed to the Offices for the formal establishment, implementation,

and effective administration of a continuing program.

7. APPRECIATION

hospitality
The ~~competence~~ and cooperation received from the OSA, OSP, and ORD

personnel was impressive and appreciated. If any value is to be derived

from the records management surveys of these three DDS&T Offices, the credit

is due to the competency with which personnel completed the initial survey

work sheets, and their willingness to pitch in wherever and whenever needed.

They deserve a: Well Done!

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MEMORANDUM FOR: Administrative Officer, Office of Research
                  And Development, DDS&T

SUBJECT: ORD Records Management Survey Report

    1.   Attached is a report of the records management survey conducted by Mr. [ ] of this Staff between the dates of 19 April and _____ May 1967. Recommendations as to the ORD program are contained on pages _ through _ of the report.

    2.   As noted by Mr. [ ] in his report, the best that can be expected from an initial records management survey is the determination of needs toward the establishment of a forward oriented records management program, and to supply suggested principles, tools, and procedures for the establishment, implementation, and administration of an aggressive and pro-gressive program. All the while, it is recognized that the success of the program is the responsibility of the office to which it pertains. Mr. [ ] has provided these basic needs in his report, and be assured that this Staff stands ready to further advise and assist the individual in whom you will place the responsibility for the ORD records management program.

    3.   Do not hesitate to call upon us for clarification and further explanation of any items in Mr. [ ] report. Also, I should like to voice my personal appreciation for the fine attitude, cooperation, and hospitality extended to Mr. [ ] during his stay in ORD. This type of reception and help not only makes our job easier, but also pleasurable. Benefits cannot help but enure to the Agency through such cooperation.

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GROUP 1
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downgrading and
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MEMORANDUM FOR: Administrative Officer, Office of Research
and Development, DDS&T

ORD

SUBJECT: ∧ Records Management Survey Report

1. PURPOSE

The purpose of this memorandum is to provide a report on the records management survey, and to set forth several observations as to steps which can be taken by ORD to further improve its records management practices, as well as forward suggested papers supporting these observations.

2. SURVEY METHODOLOGY

a. A meeting was held with ORD personnel at 1000 hours on 19 April 1967, at which time the purpose of the survey, as well as the objectives, and projected benefits were explained and discussed. Also at this meeting, Record Survey Sheet, Form 138, were distributed to the group with the request that each one return a completed form for each piece of safe file equipment in which substantive records are held. This form was to show for each safe:

    (1)   The safe number.
    (2)   The designation of the Office in whch the safe resided.
    (3)   The room number in which the safe could be found.
    (4)   A description of the records kept in the safe by category, i.e., subject files, administrative files, project files, contract files, working files, technical data files, etc., including a description of the types of papers and/or documents were held in these files series.
    (5)   File arrangement, i.e., subjective, alphabetical, chronological, numerical, etc.
    (6)   Dates covered by the records.
    (7)   Size of records.
    (8)   Type of equipment as to size.
    (9)   Number of drawers in the respective piece of equipment.

b. The survey formally began on 20 April 1967 with a complete survey of the procedures and records of the Registry Branch, Administrative Staff, in conjunction with the Chief of the Registry.

c. The survey was extended to the other ORD components at the time an audit was made of the Records Survey Work Sheets completed by the ORD personnel.

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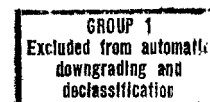
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d. At the time of the Records Survey Work Sheet audit, file systems, procedures, and problems were discussed with the secretarial personnel, who are responsibile for the records function in their respective offices. Time was also taken to discuss records management philosophy, principles, and practices.

3. FINDINGS

   a. General

   A sincere desire to maintain records at a mininimum, in good order, and under standardized procedures was found throughout the ORD personnel charged with the records management function. There was also found an intuitive awareness of the importance of records and of ways in which their effecient and effective management might be realized. This finding was highly encouraging, because without intelligence and motivation on the part of records managers, the best conceived program may fail of success. ORD has a basic ingredient to the implementation and administration of an effective records management program. Having been able to begin on this note of encouragement, the remaining findings will be devoted to areas in which attention or improvement may be directed toward the establishment of an effective ORD records management program. Many of these observations are obvious, and are not necessarily original with the writer.

   b. Program

   (1) Of primary importance to the establishment of a formal ORD records management program is the issuance of an ORD directive, establishing the program, and outlining responsibility for its administration.

   (2) ORD should appoint a Records Management Officer who would be responsible for the program within ORD. If possible, this responsibility should not be an additional duty, but full-time. The Records Management Officer should be situated at a high enough level in the organization to permit him to speak with authority as regards the program. He should be a knowledgeable individual with regard to administrative and managerial principles and practices because records management is no longer a file clerk function, but has professional status in the managerial arts and sciences.

   (3) There should also be a body of records management directives, and procedures issued for the guidance of all ORD personnel, supplementing and issued under the authority of the basic directive.

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(4)   Records management should be a continuing effort within ORD, and not something to be done only on a time available basis. It was ~~not~~ noticed that there existed an excess of time available in ORD.

c.   Creation

(1)   ORD could benefit from the decentralization of internal correspondence control.

(2)   It is understood that preliminary work has been started in the office of the Director, ORD, toward the development of a correspondence manual. This effort is commendable, and is encouraged. This is, however, a responsibility more properly placed with an ORD records management officer.

(3)   Although multi-copy creation of internal correspondence is not of major consequence in ORD at the present time, ORD cannot be entirely absolved of the propensity to engage in this practice. There is some evidence of a tendency to distribute some types of internal correspondence throughout the organization, and while this practice is accepted as an effective means of communication, it should be held in check and under control.

d.   Maintenance

(1)   Duplication was found to exist in the substantive records of ORD. But here again, duplication is not necessarily undesirable, unless it is by and for its own sake. For example, there would seem to be ample justification for retaining a copy of a contract, and other relevant papers in a project file. The reverse would not be justified. Other duplication would be in copies of reports, correspondence, personnel data, etc.

(2)   The functional organization of ORD lends itself advantageously to the assignment of office of record responsibility. This should be done in the interest of creating single-source data banks.

(3)   Files systems were found to be reasonably logical and effective. There could be some standardization because the various ORD components hold comparable categories of substantive records.

(4)   A coordinate system for the filing and finding of research and technical reports would be worthy of further consideration and development.

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e. Disposition

ORD, as any other activity, requires an approved
means of disposing of its paper. While this can be seen
as the ultimate phase of a records management program,
it is perhaps the best documented through records control
schedules. The development of revised records control
schedules for ORD has received the primary emphasis in
the ORD records management survey.

f. Equipment and Supplies

Another obvious observation as to an area of concern
in the ORD records management program and records practices
is the more efficient utilization of equipment and space.
Invoking the provisions of the revised records control
schedules will aid considerably in the area of equipment
and space utilization. However, the propensity toward the
creation and maintenance of paper in such volume as to offset
any net disposition gains emphasizes the need for a contin-
uing effort toward maximum use of equipment and space.
Every effort should be made to utilize safe space for doc-
uments and materials which are classified and must be
secured. Other types of equipment should be used for the
storage of unclassified documents, forms, and supplies.

4. RECOMMENDATIONS

a. ORD should issue a directive establishing an ORD
records management program, and outlining responsibility
for its administration. A draft of a proposed directive
is attached as TAB A.

b. ORD should appoint a Records Management Officer,
preferably on a full-time basis, but at least one who
will have the interest and drive to administer an effective
program.

c. ORD should develop a body of records management
directives and procedures, covering all aspects of the
records management function for the guidance of ORD
personnel.

d. ORD should decentralize the control of internal corre-
spondence to the originating components, leaving the
Registry Branch, Administrative Staff, responsibile only
for the mail function, and the centralized control of Top
Secret and other sensitive document controls. A proposed
draft directive concerning the manner in which this could
be achieved is attached as TAB B.

e. The Registry Branch, Administrative Staff, should be
relieved the responsibility of filing any ORD substantitive
records.

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f. The Registry Branch, Administrative Staff, should be given the responsibility for the receipt and distribution of all material, except library documents, within ORD.

g. Each functional component of ORD be designated the office of record for the papers it receives as the action office or office of primary interest, and that the respective office be held responsibile for the maintenance and disposition of its official records in good order. A draft of a proposed directive, regarding the assignment of this responsibility, as well as the maintenance function in general is attached as TAB C.

h. Establish standardized file systems, insofar as possible within ORD. At least establish standard file categories. Proposed standard file categories are attached to the directive appended as TAB C.

i. A manual for the preparation of correspondence under standardized procedures should be prepared. In an effort to assist this effort, a copy of a correspondence manual prepared for another Agency component has been made available to the personnel in the office of the Director who are attempting to develop such a manual.

j. ORD should have developed, and maintain on a current basis, approved records control schedules. These have been developed, and will be submitted for review and approval of ORD separately.

k. ORD should issue a directive for the guidance of ORD personnel in the disposition of records. A draft of a proposed directive for this purpose is attached as TAB D.

l. Kraft quality folders should be used wherever possible for filing papers in place of the heavy duty, metal tabbed folders now being used throughout ORD. Pressboard folders, in the aggregate, consume valuable file space on their own account and reduce space utilization. Also they are quite expensive. They also require the transfer of records to less expensive folders upon retirement in order to conserve space in the Records Center.

m. Equipment such as over-cabinet storage should be used for unclassified forms, supplies, documents, coffee trays, and other convenience items. Secure areas, open-shelf filing, and other types of equipment should be used for purely storage purposes, thus freeing Registry Branch space for its activities.

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n. All requests for record-keeping equipment be given thorough evaluation as to justification, whether space cannot be made available through the retirement or destruction of materials, or whether the material cannot be stored in secure areas or less expensive equipment.

5. PROGRAM IMPLEMENTATION

a. Of necessity, the initial survey of a management fuction or process is limited to the personnel and time available, much as the administration of an _ad hoc_ program. The most that can be expected, then, from this records management survey is a pointing of the way in which a program may progress. When the initial broad brush survey is over, there remains the task of developing, implementing, and administering a program on a continuing long-range basis sensitive to the changes in the organizational structure, and its functions. Management is dynmaic, never static, and because of this characteristic, the records management of an organization cannot be fully prescribed in one rather limited review.

b. What remains for ORD is the establishment of an integrated records management program along the guidelines set forth above, as well as the implementation of the program on a current basis. To do this, it is reasonable to expect there will be a need for follow-up assistance from the Agency Records Administration Staff, or preferably, from a centrally established records management expertise in the executive offices of the DDS&T. It has not been possible to provide for all contingencies of the program at this time, but an effort has been made to provide some fundamental principles, tools, and ideas for the guidance of an integrated ORD repords management program.

6. APPRECIATION

The writer wishes to express his appreciation for the cooperation provided by all personnel in ORD in conducting the initial records inventory, and for their hospitality. Assisting ORD with its records management problems has been an enjoyable experience.

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RECORDS MANAGEMENT PROGRAM

A. GENERAL

The purpose of this regulation is to establish an Office of Research and Development records management program.

B. REFERENCES

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[   ] Section I, dated 15 April 1964; Subject: RECORDS.

C. SCOPE

The Office of Research and Development records management program includes all elements of the Agency program, as set forth in [   ] Section I, and applies to all documents originated in or received by the Office of Research and Development, pertaining to policy, administration, and operations.

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D. OBJECTIVES

The objectives of the Office of Research and Development records management program are:

1. Identification, maintenance, and preservation of documentation as to the administration and operation of the Office of Research and Development.

2. Promotion of record utility throuth the improvement and standardization of maintenance practices, systems, equipment, and procedures.

3. Disposal of non-record material and retirement of non-current records under established and approved records control schedules.

4. Identification of vital materials, and their movement to a repository for safekeeping.

E. DEFINITIONS

1. Record Material

The general definition of record material is found in [   ] Section I, paragraph 1, a. In addition, records may be current or non-current in nature. These are defined as follows:

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a. Current Material

Record material which is required in the the performance of day-to-day operations or administrative activities.

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b. <u>Non-Current Record Material</u>

Record material which is no longer required in the performance of day-to-day operations or administrative activities,but which must be made available for reference or for historical purposes.

2. <u>Non-Record Material</u>

Those records which are preserved solely for purposes of reference such as, but not limited to:

a. Reading file copies of correspondence.

b. Tickler, chronological, follow-up or suspense copies of correspondence.

c. Extra copies of printed or processed material of which official copies have been retained for purposes of record.

d. Letters of transmittal that do not add any information to that contained in the transmitted material.

e. Classified material, consisting of extra copies and duplicates, including shorthand notes, preliminary drafts, used carbon paper, and other material of similar nature.

3. <u>Disposal</u>

Disposal is used only in the sense of <u>destruction</u> in accordance with existing regulations. The main objective of disposal is to eliminate those records which have served the purposes for which they were created, and do not have a continuing or enduring value.

4. <u>Retirement</u>

Retirement is used in the sense of <u>archiving</u> or storing non-current historical records in an appropriate respository.

5. <u>Vital Materials</u>

Those specific items in the possession of the Office of Research and Development which are essential to the Agency on a continuing basis and which, in the event of destruction, would constitute an irreplaceable loss.

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F. **RESPONSIBILITY**

1. <u>Office of Research and Development Components</u>

Chiefs of the several organizational components of the Office of Research and Development are responsible for the implementation of the ORD records management program within their respective organizations. In the exercise of this responsibility, heads of ORD components will:

a. Ensure that personnel within their respective offices are familiar with ORD records management policies and procedures.

b. Hold to a minimum all files retained by the component, and dispose of documents no longer required under established records control schedules through the ORD Records Management Officer and the Registry Branch, Administrative Staff.

c. Select and have deposited regularly through the ORD Records Management Officer, those records or materials essential to the continued operation of the organization during a national emergency.

2. <u>Office of Research and Development Records Management</u>
   <u>Officer</u>

Responsibility for the development and administration of the ORD records management program is assigned to the ORD Records Management Officer, under the supervision of the Administrative Officer, ORD. In addition the ORD Records Management Officer is designated the Area Top Secret Control Officer, the Publications Control Officer, and other responsibilities commensurate with his duties as the ORD Records Management Officer. These duties include:

a. Development of ORD paperwork management policy.

b. Providing staff guidance to ORD components in all aspects of paperwork management.

c. Conducting studies, inventories, and inspections to determine requirements and effectiveness of ORD records management programs.

d. Developing systems and procedures for the creation, maintenance, and disposition of ORD records.

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e. Developing standards and centralized control
and approval for the procurement of equipment and
supplies pertaining to the ORD records managment
program.

f. Providing ORD with centralized forms management.

g. Preparation of directives, manuals, and other
materials necessary to the implementation of the
ORD paperwork management program.

h. Serving as the ORD representative on all boards,
committees, special study groups, task forces, etc.,
pertaining to records management.

G. PROCEDURES

    Procedures for the implementation of the Office of
Research and Development records management program are
contained in supplementary directives, handbooks, or other
issuances as appropriate.

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DOCUMENT AND CORRESPONDENCE CONTROL

A. GENERAL

The purpose of this regulation is to establish responsibility and procedures for the control of documents and correspondence within the Office of Research and Development.

B. RESPONSIBILITY

1. Office of Research and Development Components

Components of the Office of Research and Development are responsible for the control, maintenance, and disposition of all incoming and outgoing cables, dispatches, memoranda, and other documents pertaining to their respective missions and functions, with the exceptions noted under Registry Branch responsibilities. Each ORD component is also responsible for controlling correspondence it originates in accordance with the procedures outlined below.

2. Registry Branch, Administrative Staff

The Registry Branch, Administrative Staff, ORD, is responsible for:

a. Receipt, routing, and control of all incoming mail for all components of the Office of Research and Development.

b. Assignment of all Top Secret and other sensitive document control numbers.

c. Maintaining master centralized files of document controls, except for internally prepared correspondence.

d. Preparing and controlling all ORD outgoing mail.

The Registry Branch will not be responsible for maintaining chronological copies of documents, other than cables, or for the assignment and control of intra-Office of Research and Development memoranda, or correspondence numbers.

C. PROCEDURES

1. Correspondence Numbering System

Each Office of Research and Development component is assigned a symbol (listed below) which is to be used in identifying correspondence it originates and is signed by the respective official in charge. Correspondence prepared for the signature of the Director, ORD, or an officer in the executive office of the Director, will be identified under the Director's numbering system. In identifying correspondence prepared within ORD, the symbols set forth below will be used followed by the year and the number assigned in consecutive order, beginning with a new series

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on 1 January each year. Example: ORD-67-0001. The following symbols are those assigned to the components of ORD.

    a. Director,and his executive office: ORD
    b. Administrative Staff: SDM
    c. Analysis Division: XDM
    d. Audio Physics Division: ADM
    e. Biological Sciences Division: BDM
    f. Medical and Behavioral Sciences Division: MDM
    g. Optics Division: ODM
    h. Physics and Chemistry Division: PDM
    i. Radio Physics Division: RDM
    j. Identification and control of incoming documents: ORD-D

2. Correspondence Control

    Each component will establish a centralized control point for the issuance of correspondence control numbers. This control may be maintained on Document Control, Form 238, on log sheets, or in a log book. A chronological file may be maintained as a checking mechanism as to the actual use of the correspondence numbers assigned.

3. Forwarding of Correspondence

    All copies of correspondence, with any attachments, are to be sent to the Registry Branch for the preparation of envelopes, registration, preparation of courier receipts, and any other processing required to place the correspondence in the mail. The Registry Branch will note the appropriate control numbers on the official (yellow copy), as well as other copies to be returned to the originator for filing.

4. Filing of Official (Yellow Copy)

    The originator of correspondence will ~~have filed~~ *be responsible for filing* the official (yellow copy) record copy of correspondence in the pertinent substantive file of the component"s central record holdings.

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RECORDS MAINTENANCE

A. GENERAL

The purpose of this regulation is to set forth policy, and guidelines for the maintenance of the official records of the Office of Research and Development.

B. POLICY

a. Systems under which records are maintained throughout the Office of Research and Development will be standardized to the extent possible in accordance with the attached file system guides.

b. Each component of the Office of Research and Development will be considered the office of record for papers and documents received in or produced by the Office of Research and Development, pertaining to the respective missions and functions of the various components.

c. Duplication of records is to be avoided wherever possible, and although of possible justification, will be held to a minimum.

d. Officer personnel are to have the privilege of maintaining personnel files to the extent that these personnel files are working files only and of pertinence to individual assignments. These files are not to be maintained at the expense of the official records of the Office of Research and Development, and once they assume such a relationship will be integrated into the official files of the respective component.

e. The original copy of incoming correspondence, and the yellow copy of outgoing correspondence, as well as one copy of contracts, reports, documents, and other papers received in multiple copies will be designated the record copy and be maintained in the official ORD files.

C. MAINTENANCE GUIDELINES

a. Systems

The Office of Research and Development file system will be subjective, with each major subject being given a numeric designation. Each major subject may be further refined with each breakdown being given a secondary and tertiary number as required. Systems outlines are shown in the attached guides.

b. Document Filing

Each document filed in an official ORD file will have the

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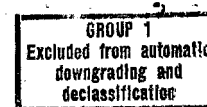
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numerical designation of the respective file placed in the
lower right-hand margin of the document. This will facilitate
re-filing should the document be withdrawn from the file.

c. Finding Media

Each ORD component is to maintain an index to the subjects
contained in its file system as both an aid in the determination
of where a document is to be filed, as well as an aid in finding
documents pertaining to a particular subject. Documents which
are subjected to control and accountability may have the file
number noted on the Document Control, Form 238.

d. Equipment

Kraft file folders are to be used in preference to the more
costly pressboard folders. The use of kraft folders also permits
the direct transfer of records to boxes for retirement to the
Records Center. Pressboard folders should not be used for the
retirement of records because of their cost and the fact that
they are lost to further use.

e. Volume

All files in ORD are to be held to a minimum through the
continued practice of destroying extra copies, and disposing of
other records in accordance with approved records control sched-
ules. This makes for more efficient use of manpower, and permits
economy of space and equipment.

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FILE SYSTEMS

## EXECUTIVE OFFICE of the DIRECTOR, ORD

1. ACCOMPLISHMENTS

    1.1 History
    1.2 Milestones

2. ADMINISTRATION

    2.1 Budget
    2.2 Logistics
    2.3 Personnel
    2.4 Security
    2.5 Support
    2.6 Training
    2.7 Travel

3. BRIEFINGS *

4. CONTRACTS *

5. COMMITTEES, PANELS, and BOARDS *

6. COORDINATIONS *

7. MEETINGS **

8. ORGANIZATION

    8.1 Mission
    8.2 Procedures

9. PROGRAMS ***

10. PROJECTS ***

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* Files would be maintained under these categories in strict
  alphabetical order.
** Files would be maintained under this category generally where
    the meeting was one-time and not of an established committee.
*** These would replace the general category of "Subject Files."

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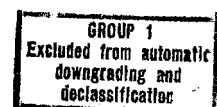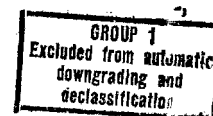
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FILE SYSTEMS

ADMINISTRATIVE STAFF *

1. ACCOUNTING

2. APPROPRIATIONS (BUDGET)

3. AUTHORIZATIONS

4. BUILDINGS AND GROUNDS

5. COMMUNICATIONS

6. CONTRACTS

7. EQUIPMENT AND SUPPLIES

8. FORMS

9. MEDICAL

10. ORGANIZATION AND MANAGEMENT

11. PERSONNEL

12. PRINTING AND REPRODUCTION

13. PUBLIC RELATIONS

14. RECORDS

15. SECURITY

16. TRAINING

17. TRAVEL

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* See the detailed file system breakdown in the file guide maintained by the Administrative Staff.

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GROUP 1
Excluded from automatic
downgrading and
declassification

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FILE SYSTEMS

DIVISIONS

1. ADMINISTRATION

    1.1 Budget and Finance
    1.2 Personnel
    1.3 Reports
    1.4 Security
    1.5 Services
    1.6 Supplies and Equipment
    1.7 Training
    1.8 Travel

2. ORGANIZATION

    2.1 Development
    2.2 Plans
    2.3 Policy
    2.4 Procedures

3. COMMITTEES, PANELS, AND BOARDS *

4. CONTRACTS **

5. COMPANIES ***

6. PROJECTS ****

7. TECHNICAL DATA AND STUDIES *****

*   File alphabetically by committee, board, or panel title.
    If desired, agenda, minutes, repots, membership lists, etc.
   in separate folders or multiple-section folders.

**   Contracts may be filed by contract number, or alphabetically
    by contractor. It may be desired to keep a cross-reference
    by number or name, according to the filing method.

***   Companies may be filed alphabetically rather than attempt
    to assign numerical designations, such as: 5.1, 5.2, etc.

**** It may be desired to partition these files according to the
    types of records, i. e. reports, correspondence, etc. but
    filed by project name alphabetically.

*****   These files would consist of studies, charts, etc., and
    could be broken into subject areas; i. e., animal, etc,
    and arranged under the primary number code, or given a
    secondary numerical breakdown, such as: 7.1, 7.2, etc.

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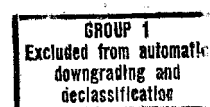
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RECORDS DISPOSITION

A. GENERAL

The purpose of this regulation; is to establish responsibility and outline procedures for the archiving of Office of Research and Development non-current record material.

B. SCOPE

The provisions of this regulation include the identification, control, deposit, maintenance, and recall from the Records Center of all Office of Research and Development records.

C. DEFINITIONS

  1. Records Control Schedule

A Records Control Schedule is a written plan identifying records series of each organizational unit, or the office as a whole, which should be preserved, destroyed, or retired prior to disposal. (See Records Control Schedule 91-67-0 and 91-67-1 attached to this regulation as EXHIBIT A.)

  2. Records Retirement Request

A Records Retirement Request is a request to retire scheduled material to the Records Center. It also provides for restrictions to be imposed on the use of retired records. (See Records Retirement Request, Form 140 attached to this regulation as EXHIBIT B.)

  3. Records Shelf List

A Records Shelf List is an accession list of retired records which provides the Records Center and the depositor with an inventory of file titles deposited. (See Records Shelf List, Form 140a attached to this regulation as EXHIBIT C.)

D. RESPONSIBILITIES

  1. Office of Research and Development Components

- In the exercise of their responsibility for the disposition and archiving of Office of Research and Development records, heads of ORD components will:

    a. Have prepared and maintain a current Records Control Schedule in conjunction with the ORD, RMO.

    b. Submit appropriate records on a timely basis to the ORD, RMO in accordance with current authorized Records Control Schedules.

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| GROUP 1 |
| Excluded from automatic |
| downgrading and |
| declassification |
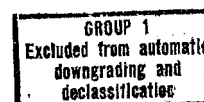
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2. <u>Office of Research and Development Records Management Officer</u>

The Office of Research and Development Records Management Officer is responsible for monitoring the archives program and for:

a. Preparing Records Control Schedules in conjunction with ORD components, providing for approval, and maintaining a central file of all ORD records control schedules.

b. Maintaining a secure storage area for material in process for deposit in the Records Center.

c. Preparing Records Retirement Requests and Records Shelf Lists for all ORD files, and for packaging and arranging transportation of material to the Records Center.

d. Recalling records from the Records Center at the request of ORD components.

e. Providing research and analysis service in records retired to the Records Center.

E. <u>PROCEDURES</u>

1. <u>Record Preparation</u>

a. Records to be retired will be:

(1) Placed in a soft, Kraft folder wherever practicable.

(2) Labeled with adequate description, including the inclusive dates of the documents.

(3) Identified with a strip of green card stock attached to each TOP SECRET document which should be retained in the file for continuity.

(4) Forwarded to the ORD, RMO, referencing the item number of the Records Control Schedule which is the authorization to archive the records.

(5) Forwarded through the Registry Branch when they are TOP SECRET for transfer of control.

b. <u>ORD, RMO</u>

The ORD, RMO will:

(1) Prepare a Records Retirement Request and obtain a deposit job number from the Records Center.

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(2)   Pack and number the folders and prepare the Records Shelf List covering the retirement.

(3)   Prepare the archives boxes with appropriate labels and banding. (See procedures for the banding and preparation of archives boxes for sensitive material attached to this regulation as EXHIBIT D.)

(4)   Forward the deposit to the Records Center and obtain receipted copies of the shelf list for the depositor.

(5)   Maintain a master file of all receipted shelf lists.

2. Recall of Records

a.   ORD components wishing to recall material from retirement either on a temporary or on a permanent basis will verbally request the ORD, RMO to bring back the material and cite the job number, box number, and folder number, taken from the shelf list.   If this information is not available to the requestor, the ORD, RMO will obtain it from his master shelf list.   An indication of when the records are needed will assist the ORD, RMO to determine whether routine, priority, emergency, or after-hours service will be requested of the Records Center.

b.   Material on temporary loan from the Records Center may be retained no more than four (4) weeks unless the ORD, RMO is notified and a definite extension period is granted.

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Next 2 Page(s) In Document Denied

S-E-C-R-E-T

PART III *(TO BE COMPLETED BY THE RECORDS CENTER)*													
REFERENCE ACTIVITY													
YEAR	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL

STORAGE LOCATION

JOB NO.	AREA	ROW	SPACE

FOLD HERE

DISPOSAL ACTIVITY

OFFICE	DIVISION	BRANCH	SECTION	DISPOSAL DATE

AUTHORITY FOR DISPOSAL

SCHEDULE NO. *(or List)*	PAGE	ITEM

REMARKS

RECEIPT PROCESSING

| CUBIC FEET	NO. OF CONTAINERS	TYPE OF CONTAINERS	DATE RECEIVED	RECEIVED BY

S-E-C-R-E-T

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SECRET

25 January 1965

PROCEDURES FOR HANDLING RD, B, T, K, AND/OR C RECORDS

ACCESSIONING:

1. The five copies of Form 140 received for assign-
ment of Accessioning Job Number will show the regular
security classification of records to be transferred, and
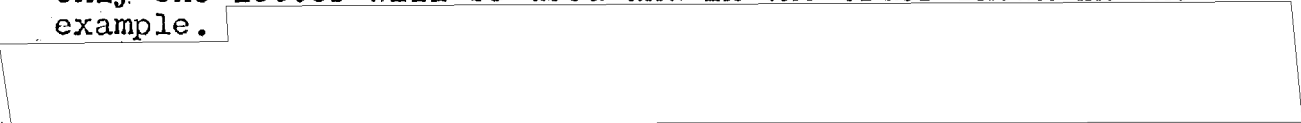in addition, the special category(s) of records involved.

2. After determining that the records offered are
eligible for retirement, the Job Number reflecting the
special category will be assigned. Example:
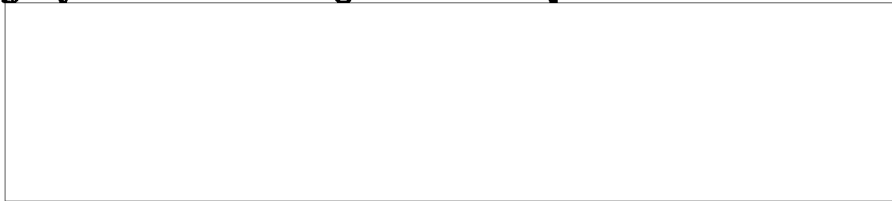
25X1

ILLEGIB

If the records involved have more than one special category,
only one letter will be used and in the order shown in the
example.

3. When received in the A&RC, the box(s) containing
the special category(s) of records will be encircled with
the appropriate color tape as follows:

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It is possible for the box to contain any combination or
all of the special categories of records, in which case
the color tape will have been placed around the box for
each category contained.

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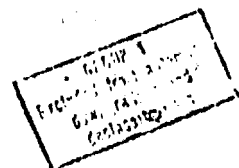
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REFERENCE:

1. The requestor in completing the request form (Form 490) will have used the address of the Control Center for his Area.

2. Reference Personnel will assure that all documents containing RD, B, T, and/or C classifications are sent thru appropriate control systems.

3. When dispatching these documents, this procedure will apply:

    a. The original of the request form will serve as a document receipt.

    b. The documents along with the document receipt (Form 490 with request for signature) will be wrapped and sealed with 3 inch gummed tape.

    c. The package will be inscribed with the name and address of the requestor, the address of the Control Center, and the courier receipt number.

    d. Three copies of a courier Receipt (Form 240) will be affixed to the package.

    e. Place a band of the appropriate color tape(s) completely around the package.

    f. Obtain signature of courier on second copy of courier receipt.

    g. Place a carbon copy of the request form on the suspense board pending return of the signed original. A follow-up will be made on all document receipts outstanding at the expiration of one week.

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DISPOSITION:

1. Existing procedures for disposing of records in accordance with the disposition instructions in the Records Control Schedule will be observed.

2. In addition to the above the following special procedures will apply when special categories are involved:

a. The records will be matched with the corresponding manifest to assure all documents listed are being accounted for.

b. A member of the Archives & Records Center Disposition function will witness the destruction by burning.

c. In addition to the certification of destruction made on the Form 140, a copy of the manifest will be reproduced and forwarded to the transferring office control center via the Office, Records Management Officer.

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