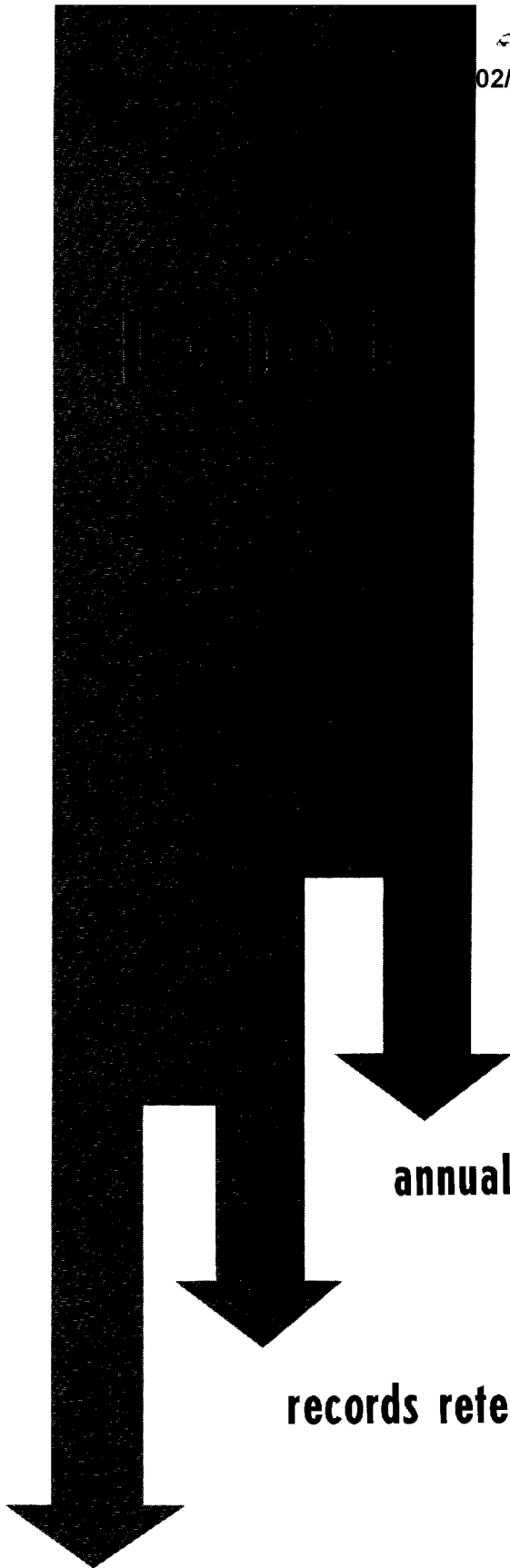


RECORDS REVIEW PROJECT



annual inventory

records retention plan

records control schedule update

RECORDS REVIEW PROJECT

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THE
RECORDS
INVENTORY

INVENTORY

A. SOME BASIC CONSIDERATIONS:

1. Objective. A records inventory survey is conducted for the primary purpose of collecting and recording factual information on each series of records. Sufficient and accurate data must be obtained on each records series for its proper evaluation and appraisal in terms of administrative, legal, fiscal, and historical value. The factual information obtained on each series and its evaluation stated in time elements, for its cut-off, retirement, and/or destruction, are essential for the preparation of Records Control Schedules.

2. Method of Collecting Data. The preferred method of collecting data for the survey is for the component Records Management Officer to take an inventory of all files maintained by his organization.

3. Coverage. For the initial preparation of Records Control Schedules and for the annual review of Schedules thereafter, a comprehensive survey must be made of records maintained in all organizational elements. This survey will cover all file series including both record and non-record materials. In addition, all space in filing equipment used for purposes other than for the housing of records will be recorded. This includes file space reserved for expansion, overnight storage, and equipment storage, and for housing other materials not included on the Records Control Schedule. This additional information, though not included on the Schedule is useful for detecting and controlling filing equipment utilization practices.

4. Preparation. Before beginning the survey there are three requirements necessary for an intelligent and practical approach to the problem: namely, proper authorization, background data, and assistance.

a. Proper Authorization. Authority for the survey should be obtained by the Records Management Officer from the Chief of the component concerned.

b. Background Data. Secure and study organizational charts, reports, regulations, administrative orders, directives, and controls regarding the activities, functions, and procedures of the organizational element.

c. Assistance. Secure the names of individuals to be consulted in each organizational unit. These individuals should be at such an organizational level that they can speak authoritatively on the administrative value or need

for the records.

B. HOW TO CONDUCT THE SURVEY:

Form No. 138, Records Survey Work Sheet, is the recommended form for recording the information collected during a records survey. Copies of these forms may be obtained from the Agency Records Administration Officer. In order to prepare comprehensive Records Control Schedules and to properly analyze and evaluate the results obtained it is essential that a Work Sheet be prepared for each records series as outlined below:

1. Date. Enter the current date of the survey.
2. Office, Division, Branch, and Section. Enter the organizational elements down to the unit maintaining the files.
3. Location. Enter building name or number and room number.
4. Name of File. The title selected for the file series should be descriptive, self-explanatory, and consistent with the terminology of the office using and maintaining the file. If applicable, it is best to assign the title by which the using office identifies the file series. In other words, the title selected should not be foreign to the user of the file. In addition, subject files will be identified by title in the following manner: "Office Subject File." "Division Subject File." or "Branch Subject File," whichever is applicable. Uniformity in use of names of files is desirable when the same type of file is maintained in two comparable organizational elements. For example: A file designated by title of "Mail Control File" in one division should be similarly named when found in a comparable organizational element.
5. Custodian. Enter name of the custodian or the person who is responsible for the files. Also enter the telephone extension so that problems arising later may be settled by telephone.
6. Description. This is the most important factor involved in conducting a records inventory survey. The Records Management Officer should obtain answers to questions such as these: What is the purpose or use of the record? Where does it originate and to what offices is it distributed? Which is the official file copy? How is the record filed? What is its relationship to other records? Such questions are obviously necessary for a competent appraisal of the records. The importance of accuracy and completeness in this detail

cannot be overemphasized if proper values are to be assigned to records. Therefore, each record series should contain a description including, but not necessarily limited to the following:

a. Record Categories. In making a records inventory meaningful as a tool for Records Control Schedule revision, as well as a medium for the development of other management information, records should be identified by category, and wherever possible be keyed to the existing Records Control Schedule. Therefore, categories of records should be identified as follows:

(1) Records series identified in existing Schedules. This is done by noting the Schedule number, and the Item number of the records series in the respective Schedule. Further description, as noted below, need be included only if found to differ from the description in the Schedule.

(2) Records series not covered by a Schedule. The description of these series should be written up in detail.

(3) Reference type materials which are not part of substantive files, nor covered by a Schedule, but occupy office space (library books, journals, other agency directives and manuals), etc.

(4) Other. Example: records stored for another office or individual. These should be identified and described.

b. Description of Documents. To eliminate any doubt as to identification of the file, a representative cross-section sampling of the types of documents making up a file series should be recorded. Note form numbers and titles and the presence of any correspondence, memoranda, cables, dispatches, reports, etc.

c. Function of the File. Give a brief statement of the specific operation or process that creates the file. This statement should reflect the use of the file and the purpose the file serves.

d. Frequency of Use. The activity of a file or the approximate number of references made to a file for a specific period as a determining factor for the establishment of cut-off dates and disposition procedures after cut-off.

e. Extra Copies Existing. If there are copies of these documents maintained at another file location, record that information here. Such entries might be: "Extra copies filed in Branch Subject File," "Extra copies filed in Reading File," etc. If, for instance, the file series being surveyed were the extra copies, with the official or record copy maintained elsewhere, a proper notation might be: "Record copies filed in Office Subject File," etc.

7. Arrangement. Indicate the filing arrangement of the record series. This should be recorded in brief statements such as: "Alphabetically by surname," "Alphabetically by subject," "Numerically by requisition number," etc.

8. Inclusive Dates. Enter the date (year only) of the oldest document in the series and the date (year only) of the most recent documents. If the file arrangement is such that this information is not readily apparent, a brief sampling of the material should reveal the most characteristic date coverage.

9. Size of Records. Check in appropriate squares the size of the records and enter the linear feet of records in the box provided.

10. Equipment Occupied by Records. Check in the appropriate square the type of filing equipment housing the records. Under "Other," enter the number of trays, shelves, etc., utilized. This information along with the above can be useful in controlling effective utilization of filing equipment.

11. Remarks. Show here the disposition action recommended. An official of the organizational unit responsible for the file should be consulted. The official should be one who has knowledge of the value of the file from an operating viewpoint and should be in a position of authority to determine retention periods based on the operating and administrative needs of the office. Information recorded here will consist of a cut-off procedure, retention time in office space after cut-off, and the overall retention period for the record series. The retention period, at this point of the survey, is based only on the administrative or operational value placed on the file by the users. This is a preliminary step in the overall evaluation process required in the appraisal of records. This space and the back of the sheet are also useful for recording ideas, conversations, comments, or

or other information pertaining to the records series not included elsewhere on the work sheet. Such bits of information often aid materially in the evaluation process or in spotting or solving a record problem.

THE RECORDS RETENTION PLAN

WHY -----

WHAT -----

HOW -----

WHY -----

- Required by law (Federal Records Act of 1950)
- Assures
 - Documentation of an Agency's stewardship of its public trust and responsibilities
 - Accounting owed by public officials to the people
 - Consistency and continuity of governmental actions
- Provides information as to the structure, missions, and functions of an organization
- Provides historical research information
- Basic to comprehensive record disposition program development

WHAT -----

- Records containing evidence as to the organization and functioning of the governmental body that produced the records
 - Formal policy and procedural issuances with related documentation concerning their origin and development
 - Organization charts, functional statements, and directories
 - Narrative and statistical reports on program accomplishment at the divisional and higher organizational levels
 - Publicity and informational material
 - Records on executive direction: laws, executive orders; court decisions; legal opinions; legislative history; agenda, minutes, transcripts, and supporting papers of meetings; studies, surveys, audits, and inspections; documents reflecting relations with the White House, the Executive Office of the President, and the Congress on substantive matters; and budgetary documentation
 - Records showing program accomplishment
 - Records containing information about persons, corporate bodies, things, problems, conditions, programs, projects, and the like with which the organization dealt
 - Publications
- Research information
 - Papers containing direct reference to trends or developments in political, social, economic or other fields, particularly if they contain, unpublished statistical or financial data covering a long period or wide area
 - Papers relating to the more important aspects of scientific or technical research and development

HOW -----

- Analyze functions and activities of the organization
- Identify various types and classes of records accumulating in connection with each function
- Determine to what extent each function should be documented
- Identify the types and classes of records that should be preserved for administrative history and general research
- Prepare the formal records retention plan which governs the selective retention of records of continuing value and which, with records control schedules, provides for the orderly disposal of an organization's records

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Excerpts from
THE FEDERAL RECORDS ACT OF 1950
(Public Law 754 - 81st Congress)

"RECORDS MANAGEMENT; THE ADMINISTRATOR

"Sec. 505. (a) The Administrator shall make provisions for the economical and efficient management of records of Federal agencies (1) by analyzing, developing, promoting, and coordinating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value, and (2) by promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating, maintaining, storing, and servicing records.

"(b) The Administrator shall establish standards for the selective retention of records of continuing value, and assist Federal agencies in applying such standards to records in their custody; and he shall notify the head of any Federal agency of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of such agency that shall come to his attention, and assist the head of such agency in initiating action through the Attorney General for the recovery of such records as shall have been unlawfully removed and for such other redress as may be provided by law.

"(c) The Administrator is authorized to inspect or survey personally or by deputy the records of any Federal agency, as well as to make surveys of records management and records disposal practices in such agencies, and shall be given the full cooperation of officials and employees of agencies in such inspections and surveys: *Provided*, That records, the use of which is restricted by or pursuant to law or for reasons of national security or the public interest, shall be inspected or surveyed in accordance with regulations promulgated by the Administrator, subject to the approval of the head of the custodial agency.

"(d) The Administrator is authorized to establish, maintain, and operate records centers for the storage, processing, and servicing of records for Federal agencies pending their deposit with the National Archives of the United States or their disposition in any other manner authorized by law; and to establish, maintain, and operate centralized microfilming services for Federal agencies.

"(e) Subject to applicable provisions of law, the Administrator shall promulgate regulations governing the transfer of records from the custody of one executive agency to that of another.

"(f) The Administrator may empower any Federal agency, upon the submission of evidence of need therefor, to retain records for a longer period than that specified in disposal schedules approved by Congress, and, in accordance with regulations promulgated by him, may withdraw disposal authorizations covering records listed in disposal schedules approved by Congress.

"RECORDS MANAGEMENT; AGENCY HEADS

"SEC. 506. (a) The head of each Federal agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

"(b) The head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such program shall, among other things, provide for (1) effective controls over the creation, maintenance, and use of records in the conduct of current business; (2) cooperation with the Administrator in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with the provisions of this title and the regulations issued thereunder.

"(c) Whenever the head of a Federal agency determines that substantial economies or increased operating efficiency can be effected thereby, he shall provide for the storage, processing, and servicing of records that are appropriate therefor in a records center maintained and operated by the Administrator or, when approved by the Administrator, in such a center maintained and operated by the head of such Federal agency.

"(d) Any official of the Government who is authorized to certify to facts on the basis of records in his custody, is hereby authorized to certify to facts on the basis of records that have been transferred by him or his predecessors to the Administrator.

"(e) The head of each Federal agency shall establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator. Such safeguards shall include making it known to all officials and employees of the agency (1) that no records in the custody of the agency are to be alienated or destroyed except in accordance with the provisions of the Act approved July 7, 1943 (57 Stat. 380-383), as amended July 6, 1945 (59 Stat. 434); and (2) the penalties provided by law for the unlawful removal or destruction of records.

"(f) The head of each Federal agency shall notify the Administrator of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency of which he is the head that shall come to his attention, and with the assistance of the Administrator shall initiate action through the Attorney General for the recovery of records he knows or has reason to believe have been unlawfully removed from his agency, or from any other Federal agency whose records have been transferred to his legal custody.

"(g) Nothing in this title shall be construed as limiting the authority of the Comptroller General of the United States with respect to prescribing accounting systems, forms, and procedures, or lessening the responsibility of collecting and disbursing officers for rendition of their accounts for settlement by the General Accounting Office.

This Notice Expires 1 August 1968

ORGANIZATION

14 July 1967

INFORMATION REQUIREMENTS ADVISORY GROUP

1. Effective 1 July 1967, the Information Requirements Advisory Group (IRAG) was established to facilitate common action among the intelligence-producing components of the Agency and the Information Requirements Staff (IRS) on information requirements and to assist Agency Operating Officials, as appropriate, in developing consistent CIA positions on information gaps, priorities, and requirements policies. Its members are: The Assistant Deputy Director for Intelligence (Chairman); a representative of the Deputy Director for Plans; the Chief, Information Requirements Staff; and the Deputy Director (or his representative) of FMSAC, OBI, OCI, OER, ONE, OSI, and OSR. Representatives of collection and processing activities may be asked by the chairman to participate in meetings of the Group as appropriate.

2. The general and continuing responsibilities of the IRAG are:

a. To review problems arising out of the information requirements process, both as they relate to the collector-producer relationship and as they involve the responsibilities of office directors and division chiefs;

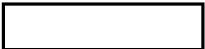
b. To recommend specific actions or develop programs and procedures to resolve the problems; and

c. To assist in developing guidance to collectors, including evaluating reported information, with the objective of achieving the efficient use of collection resources relative to the needs of producers for intelligence information.

3. The initial and specific responsibilities of the IRAG are to undertake the planning and to propose the actions necessary to implement various recommendations contained in the IG Survey. These are:

a. To devise practical measures to assist the directors of the member offices and their substantive division chiefs in carrying out their responsibilities for control, validation, and recording of requirements; for communication on needs with collectors; and for periodic audit of office and division performance in the field of information requirements (Recommendations Nos. 24 and 25);

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14 July 1967

ORGANIZATION

b. To undertake the preparation of collection guides as needed on selected intelligence problems (Recommendation No. 13);

c. To reassess the Current Intelligence Reporting List (CIRL) and recommend appropriate action (Recommendation Nos. 10, 11, and 12); and

d. To develop measures facilitating communication and exchange of information between CIA analysts and CIA collectors (Recommendation No. 7).

If the IRAG concludes that a recommendation of the survey is not feasible, practical, or desirable, the chairman will so advise the Deputy Director for Intelligence and the Deputy Director for Science and Technology.

4. Meetings of the IRAG will be held at the initiative of the chairman or upon the request of any member. Special meetings may be called between the chairman and selected members on topics of concern only to one or a few offices which are not of general interest to the IRAG as a whole. The Information Requirements Staff will provide necessary secretariat assistance.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

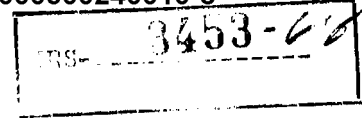
R. L. BANNERMAN
Deputy Director
for Support

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13 September 1968

MEMORANDUM

SUBJECT : CIA Collection Requirements Stored
in the CIA Records Center

1. The collection requirements now being held in the CIA Records Center are of three general types, each type reflecting the collection system to which it is directed: signals intercept, photography, human source. The requirements are ad-hoc in nature, having been written almost entirely to extract whatever information is available from a source or collection opportunity that has already been developed. Either singly or in whole the requirements do not present a complete picture of CIA's substantive interests at a given time, and they can not in any sense be construed as the programming device that has set the collection system in motion. The requirements have some historical value in that they demonstrate the evolution of format and processing system that has taken place over the years; and in this sense it is desirable that enough requirements be retained in the Center to illustrate each format and system that the Agency has used. A very small number of samples will suit this purpose; and the remaining requirements, which constitute the great bulk of the present holding, can be destroyed.

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