

ADMINISTRATIVE
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AGENCY REPORTS MANAGEMENT

PROGRAM OUTLINE

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APPENDICES:

- A. AN INTRODUCTION TO REPORTS MANAGEMENT
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 - B.1 - United States Department of Agriculture, Administrative Regulations: Chapter 8 - Reports Management.
 - B.2 - Sample Regulation: ABC Office Reports Management Survey.
 - B.3 - Sample Agency Regulation on Reports Management.
- C. REPORTS MANAGEMENT HANDBOOKS -
 - C.1 - Internal Revenue Service, dated November 11, 1966.
 - C.2 - United States Department of Agriculture, USDA Reports Management Handbook, P&O Handbook No. 1, June 1964.
 - C.3 - Federal Aviation Agency, FAA Reports Management Handbook, OA P 1340.1, 12/14/62.
 - C.4 - CIA, Operating an Area Reports Management Program, January 1956.

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INTRODUCTION

1. BACKGROUND

a. In order to operate, any organization needs a flow of information, because:

Information is vital to the success of any organization. Information provides the basis for management decision. It also provides knowledge and intelligence about the organization and its functions. It is a link in an operating procedure. In each case, specific types of data are required to meet the particular requirements . . .¹

and reports are the media for providing this information.¹ Also, the process of reporting permeates the entire organization, because:

At whatever point work is divided and delegated, the process of reporting begins. At whatever point policy is formulated or modified the process of reporting is imperative. Indeed, the field of reporting, broadly interpreted, is the field of communications ...(and)... the matter of communicating is a complex process. It is more than a "two-way" flow of information; it is a flow of information that runs in many directions simultaneously. All sorts of information must, of course, flow upward and downward within a given organization; but furthermore, and equally important in many cases, information must somehow be reported outward, across, and around. If relationships in large and complex establishments are not only lateral and vertical, but circular, then the lines of communication must follow these relationships ... It is in this broad context of relationships that the process of reporting ... must be understood.²

b. Unfortunately, organizations have permitted the reporting mechanism to become unrestrained and overloaded. As a result, the process impedes rather than strengthens the management information system. Because of this tendency, reports, in turn, have become objects of managerial control, and the volume and cost³ of reports production becomes the focus of a reports management program, when the program's primary purpose should be "... to

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assure that reports and reporting systems provide necessary information in the most effective manner available, and as efficiently and economically as possible."⁴ If managed properly, reports enable the Agency "...(1) to account upward and outward for its own performance and for the justification of its program; (2) to report upward and outward information concerning progress, future needs and plans, decisions being made, or which may be made; (3) to report upward for purposes of executive control; and (4) to inform downward in the organization concerning policies, program, organization, resources, procedures, and all other matters affecting the work in the enterprise."⁵

2. PROGRAM OUTLINE PURPOSE

The purpose of this paper is to outline an Agency Reports Management Program which meets the above requisites.

PROGRAM OBJECTIVES

3. GENERAL

As noted above, the primary purpose of a reports management program is "... to assure that reports and reporting systems provide necessary information in the most effective manner available, and as efficiently and economically as possible". The emphasis of the program is directed to the system as of first and foremost importance, and we find that:

Reports management encompasses the development of the most effective reports and reporting systems. As conditions or needs change, reports management must provide for improvement of reports or systems; it must also provide for the control of reporting requirements to insure minimum burden and maximum effectiveness of end results.⁶

Thus, development of reporting systems becomes the primary program objective, accomplished through a mechanism of report analysis and control. These aspects of the program, in turn, have sub-sets of purposes and objectives as noted below.

4. SYSTEM DEVELOPMENT AND CONTROL

The objectives of the system development and control aspects of the program are to:⁷

- a. Provide for a uniform, well defined flow of reliable information for use by each level of management to carry out Agency functions.

- b. Insure that all data available to management are used before imposing additional reports.
- c. Limit reports to those essential for management purposes.
- d. Insure that required reports are obtained at a minimum cost.

5. REPORTS ANALYSIS

Reports analysis is directed toward:⁸

- a. Elimination of reports no longer needed.
- b. Consolidation, simplification, and standardization of reports.
- c. Elimination of unnecessary items and copies.
- d. Use of economical methods of preparation.
- e. Elimination of nonessential distribution.
- f. Prevention of new reports which cannot be justified.

PROGRAM SCOPE

6. GENERAL

The scope of the proposed Agency Reports Management Program involves three considerations: 1) magnitude of the reporting process; 2) types and definitions of reports to be covered by the program; and 3) elements of the program. The first two conditions will be discussed under the program plan; so, the program scope will be introduced here from a general philosophical, and elemental viewpoint. In general:

A manager has the right to require and to expect the organization to furnish that information necessary for effective performance of his mission. Reports management is one element of management used to control movement and use of information and to furnish effective reports and reporting systems.

Reports management covers the reports and reporting systems involved in a management information system. Many principles and techniques are applicable in an information system. Some principles relate to such functions as planning, giving direction, controlling operations, and evaluating performance. Some techniques relate to mechanization

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or automation, mathematical or statistical processes, specialized production control or progress measurement methods, mechanical or manual systems forms design, information storage and retrieval devices, and many other applications, according to the particular situation. The principles and techniques applicable to reports and reporting systems within the information network are those with which management is concerned, and which apply in supporting the needs of management.⁹

7. PROGRAM ELEMENTS

- The elements of a reports management program are: 1) control, and 2) analysis, or as described in the Navy Manual:

Reports management consists of two major elements: reports control and reports analysis. Through a reports control point located in the organization, the review and control of individual reports and report requirements can insure efficient response to management requirements. Through reports analysis studies, reports or reporting systems can be developed or improved. Such analyses are conducted as a part of management or system studies in the organization.¹⁰

8. PROGRAM COVERAGE

The proposed Reports Management Program will include only recurring administrative or managerial reports but will extend to the entire Agency. (Intelligence reporting is a specialized activity which, while subject to essentially the same control principles as managerial reports, are excluded from the proposed program.)

PROGRAM PLAN

9. BACKGROUND

a. While the extent of report production in the Agency is not now known precisely, empirically, at least, it can be said that the volume of report preparation and distribution is sizeable. Report production is also seen as a significant uncontrolled contributor to the problem of Agency records creation. So, there is no question but that a reports management program is needed.¹¹ Also, reports management is an established element of the Agency Records Administration Program in STAT

b. In the absence of a current operating Agency reports management program, it is necessary to institute a program ab origine. This requires three phases: 1) development; 2) implementation; and 3) administration. These program phases are discussed in detail below.

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10. PHASE I: PROGRAM DEVELOPMENT

a. This phase of the Agency Reports Management Program plan includes:

- (1) Development of background to the Agency reports production practices, magnitude, types, and other information of pertinence through:
 - (a) Review of regulatory requirements, including handbooks.
 - (b) Review records of official forms.
 - (c) An Agency reports inventory in conjunction with component Records Officers.¹²
- (2) Establishing the scope of the program and defining the activities covered by the program.
- (3) Establishing program authority and responsibility, which will utilize the decentralized structure of the records management program with overall CIA Records Administration Officer guidance, and Records Administration Branch analysis and control.¹³
- (4) Preparation of reports management directives, standards, and guides.¹⁴

b. This phase of the program may require a minimum of six (6) months.¹⁵

11. PHASE II: PROGRAM IMPLEMENTATION

a. The implementation phase of the reports management program would have been begun in the development phase, through the involvement of component Records Officers, and the reports inventory. It is also assumed that there would have been a preliminary records officer orientation outlining the requirements and procedures for the initial inventory. Also, there would have been records officer involvement in the coordination of proposed program issuances. This preliminary work having been accomplished, the formal implementation of the program would include:

- (1) Component records officer orientation, conducted through a series of meetings held for each Directorate. (Independent Office records officers would be combined in one meeting.)¹⁶

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- (2) Assistance from Records Administration Branch personnel as might be required by components in establishing an internal reports management program; or for other unforeseen reasons.
- (3) Development and issuance of a directory of all approved reports. This index and report register, or catalog, to be issued as machine listing and to contain the following basic information: ¹⁷
 - (a) Functional or subject classification.
 - (b) Report identification. (May consist of a symbol and number, or number only assigned in sequence.)
 - (c) Report title.
 - (d) Form number.
 - (e) Frequency.
 - (f) Regulation identification (or preparation requirement authority).
 - (g) Preparing Office.
 - (h) Distribution, and number of copies.
 - (i) Office of Record.
 - (j) Records disposition authority (this could be records control schedule citation of the office of record).
 - (k) Related or feeder reports, and cross references.
 - (l) Approval date.

b. This phase of the reports management program may require a minimum of another six (6) months following the program's development.

12. PHASE III: PROGRAM ADMINISTRATION

a. This phase of the Reports Management Program would be a continuing effort, once the program is developed and implemented, and would involve:

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- (1) Initiation of reporting requirements.
- (2) Establishment of reporting systems.
- (3) Review of proposed regulatory reporting requirements.
- (4) Development of forms or report formats.
- (5) Development of distribution patterns.
- (6) Placing reports under centralized control.
- (7) Other activities related to the reports management function as required.

b. As this phase of the program will become an integral and continuing activity of the Agency Records Management Program, it will have no specific time frame.

PROGRAM ORGANIZATION AND MANPOWER REQUIREMENTS

13. ORGANIZATION

a. CIA Records Administration Officer:¹⁸

The CIA Records Administration Officer would have overall Agency responsibility for the Reports Management Program through the Records Administration Branch, SSS/DDS, and under the authority of STAT and other supplementary regulations. This responsibility would include:

- (1) Administration of the Agency Program.
- (2) Analysis of inter-Directorate and inter-Agency reporting requirements, as defined in pertinent regulations.¹⁹
- (3) Control of the above reports, through approval authority; maintenance of background dossiers; and issuance of the reports catalog.
- (4) Providing Agency components with reports control program assistance.

b. Directorates and Independent Offices:²⁰

(1) Assuming a full-time Records Management Officer at the Directorate level, and one in each independent office, these individuals would administer an internal Directorate and independent office reports management program based upon the Agency program model. Under this organizational concept these RMO's would be responsible for:

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- (a) Providing analysis and control for all intra-Directorate or intra-Office reporting requirements.
- (b) Serve as the channel between the component Records Officer and the CIA Records Administration Officer.
- (c) Maintain a master Directorate or Office dossier and catalog of reports. (This catalog to be a product of the Records Administration Branch control system.)
- (d) Provide reports management assistance to Directorate or Office components.

(2) Directorate or Office component records officers would also provide reports analysis and control within the respective component, and furnish required data through channels to the CIA Records Administration Officer for the Agency reports catalog.

14. MANPOWER REQUIREMENTS

a. Records Administration Branch:

The development, implementation, and administration of an Agency reports management program, as outlined in this paper, will require the services of at least one qualified records management analyst in the Records Administration Branch, and as the program becomes more firmly established, additional personnel may be required either on a time available or full-time basis. These additional personnel needs can be determined better after the magnitude of the program is established. As a caveat, however, once the program is established, its administration must be maintained if benefits are to be realized.²¹

b. Agency Components:

Many of the component records officers have a part-time responsibility toward the records management program. As the Agency records management program moves toward an integrated total program, of which reports management is one element, the records officer responsibility should be full-time, and may eventually lead to additional personnel assistance.

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FOOTNOTE REFERENCES

- 1/ Department of the Navy, Reports Management Manual, AOINST 5213.29, Navy Department, Administrative Office, Washington, D. C., 27 August 1965, p. 1.
- 2/ Catheryn Seckler-Hudson, Organization and Management: Theory and Practice, The American University Press, Washington, D. C., 1955, pp. 218-219.
- 3/ As to cost considerations, Mr. Ronald F. O'Neil stated:

"A popular conception concerning the function of a Reports Evaluation Program - REP - is that it is conducted by a company to reduce the cost of record maintenance. This is an erroneous conclusion because its primary purpose is to produce a more meaningful report so that communication is improved between a company's departments and divisions."

Ronald F. O'Neil, "Evaluate Reports, Improve Communications", Information and Records Management, Information and Records Management, Inc., 41 East 28th St., New York, N.Y., Vol. 2, No. 4, April/May 1968, pp. 34-35.
- 4/ Department of the Navy, Reports Management Manual, op. cit.
- 5/ Catheryn Seckler-Hudson, op. cit., p. 220.
- 6/ Department of the Navy, Reports Management Manual, op. cit.
- 7/ Federal Aviation Agency, FAA Reports Management System, Handbook 1340.1, Federal Aviation Agency, Washington, D. C., May 25, 1967, p. 1.
- 8/ Mary Claire Griffin, Records Management: A Modern Tool for Business, Allyn and Bacon, Inc., Boston, 1964, pp. 31-32.
- 9/ Department of the Navy, Reports Management Manual, op. cit., p. 1. Ellipses replace the word "line" to broaden the concept of reports management application to all organizational components and levels.
- 10/ Ibid.
- 11/ In a memorandum from the Chief, Management Staff to the Deputy Director of Support dated 19 June 1957, Subject: Administrative/Support Workload at Small Stations and Bases, seventy-nine (79) support-type reports were required in Agency regulations. Thirty-eight (38) were required on logistics matters, twenty-eight (28) on finance, five (5) on personnel,

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four (4) on security, and one (1) each on travel, training, services, and general support matters. Also, in 1956 it was reported that in the DDS area over 100,000 man hours were spent yearly in preparing 226 reports. (Memorandum from the Acting Deputy Director for Support to all DDS components, dated 24 August 1956, Subject: Reports Management)

- 12/ This inventory could fulfill two purposes: 1) provide a basis for determining the scope of the program; and 2) serve as the initial inventory for preliminary control.
- 13/ It is assumed that there will be four hierarchical levels of control; 1) internal component; 2) intra-Directorate; 3) inter-Directorate; and 4) inter-Agency. Also, reports will be classified as to whether a respective level prepares reports on its own or external requirements. Component records officers would manage internal component reports, Directorate records management officers would manage intra-Directorate reports, and the CIA Records Administration Officer would manage inter-Directorate and inter-Agency reports. All reports, however, would be contained in a master Agency index. STAT
- 14/ It is proposed that the Agency Reports Management Program be established by a directive issued in the Agency regulations system based upon . This directive would give the records management system strength and support throughout the Agency as well as provide a sound basis upon which records officers could establish and administer reports management programs. In addition to the directive, there should be a manual issuance establishing reports management standards, and outlining the program's operating and administrative procedures. These documents would also provide a framework for the issuance of formal guides and notices essential to the program's continuing administration. Sample documents are attached as APPENDICES.
- 15/ The establishment of an Agency Reports Management Program will require a great deal of initial preparation and coordination. It is estimated, therefore, that a minimum of six (6) months will be required for the development of the program. The implementation of the program may require another six (6) months. The administration of the program will then become a continuing responsibility of the Agency records management system.
- 16/ The National Archives and Records Service conducts a reports management workshop. This workshop is presented in five (5) one-half ($\frac{1}{2}$) day sessions. This workshop would be of value to all Agency records officers, and as part of the orientation program. NARS indicated it may be receptive to a request that it present this orientation; therefore, it is suggested that NARS be requested to present this workshop over a period of the required class time continuously in Agency quarters. This orientation could be held in the reports management development phase, but it would be more appropriate to hold as the kick-off to PHASE II. Should NARS not provide this instruction, the Records Administration Branch would have to prepare and conduct the orientation workshop.

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- 17/ This catalog would be issued through the Records Administration Branch on a regular basis, say semi-annually. There would be a formal approval request procedure from which machine input would be prepared. Also, the various data elements may or may not follow in the order shown, because this paper is intended only to show the basic elements required. There may be other elements such as security classification, etc., which may be required.
- 18/ Discussions with reports managers in several government agencies have revealed a more aggressive approach to reports management, emphasizing a primary function of providing needed reporting, rather than the more negative control approach. This new orientation is one of a systems concept, using analysis of data generated throughout the organization, generally through automatic data processing. The location of the Agency reports management responsibility in the DDS/Support Services Staff in juxtaposition with the development of support information processing systems has already given the program a basis for the implementation of this concept in the Agency Reports Management Program. The CIA Records Administration Officer, or staff designee, should be a participating member of the SIPS team.
- 19/ This responsibility would include any requirements falling within the Federal Reports Act of 1942 (Public Law 831, 77th Congress); Executive Order 10033; Bureau of the Budget Circular A-39, A-40, and A-46; and the Administrative Procedure Act (Public Law 404, 79th Congress) except where specific responsibility under any of these documents is assigned to another Agency component.
- 20/ This organization establishes the levels of responsibility mentioned previously. The CIA Records Administration Officer would hold ultimate responsibility because all components would be required to submit reports information to the CIA RAO for final review and approval for issuance in the reports catalog. This approval would be somewhat pro forma for intra-component and Directorate reports.
- 21/ The Veterans Administration has what is known as the Reports and Statistics Service. This organization reportedly has thirty-five (35) professionals involved in designing reporting systems. Others provide statistical services. Significantly, this Service has the least number in control and record-keeping function. This results, generally, from the control having been designed into the system.