

Next 11 Page(s) In Document Exempt

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Executive Registry
0-7046

13 October 1949

MEMORANDUM FOR: MANAGEMENT OFFICER
ATTENTION: Deputy Management Officer
FROM: Executive Assistant Director, OCD
SUBJECT: Proposed Administrative Instruction Regarding
Records Management

25X1A

1. The attached proposed Administrative Instruction has been developed by [redacted] of the CIA Library with the advice and consultation of [redacted]. In my opinion, they have covered all of the essential points. The program is well conceived.

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2. It would be appreciated if this Administrative Instruction could be issued at your earliest convenience so that this aspect of the recent Management Improvement Activities for CIA may be put into effect.

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DRAFT 7 October 1949

CENTRAL INTELLIGENCE AGENCY
Washington, D. C.

Proposed
ADMINISTRATIVE INSTRUCTION
NO.

25X1A

SUBJECT: Records Management

(This rescinds Administrative Instruction dated
13 July 1948)

1. Each agency of the Federal Government is required to maintain adequate controls over its records to insure that valuable records are preserved and useless records promptly disposed of as provided by law. Executive Order 9784 dated 25 September 1946 requires, among other things, that the head of each agency establish and maintain an active continuing program for the effective management and disposition of its records and for the maintenance of physical custody over and retention of only those records that are needed in the conduct of current business.
2. Records of CIA are defined to include all books, papers, maps, photographs, films, recordings or other documentary material regardless of physical form or characteristics made or received by any portion of CIA in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by CIA or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this Administrative Instruction. "Records" and "record material" may be used interchangeably.
3. There is ^{being} established a records management program for CIA which shall be a continuing, comprehensive, agency-wide plan for the development and implementation of policies and procedures for the efficient management of all files and filing equipment, and for the establish-

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ment of controls for the creation, arrangement, use, preservation and disposal of the agency's files. The program includes the following basic features:

- Will be conducted under direction of the Assistant Director, O&D in conjunction with the CIA Management Staff and*
- a. Centralized supervision and overall control of the program by a small agency records management staff which operates through records officers in each Office and Staff in implementing the program.
 - b. Inventories of all files and filing equipment to reveal the volume, types, filing arrangement, record character and retention periods for documents and to determine the quantity, value and effectiveness of use of filing equipment and space occupied by files.
 - c. Designation of offices of record at points of use to contain the record copies of documents.
 - d. Standardization of filing systems, filing equipment and procedures for the maintenance of files.
 - e. Development of disposal lists and disposal tables for all file series to provide for the systematic retirement of all files no longer required.
 - f. Records Management surveys to obtain basic data for recommending changes to promote efficient operations relating to records.
 - g. Training courses for records officers who will execute the records management program.
 - h. Selection of labor-saving devices to assist in reducing the costs of preparation and storage of records.
 - i. Establishment of a Records Center to receive from all parts of the agency and provide secure storage of semiactive records of value for a limited period and the CIA Archives for the storage of records of enduring value.
 - j. Development of microfilming projects for records which lend themselves to the process for the reduction of space required for storage, for assisting administrative processes in the use of these records,

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or for preserving copies of documents as a security measure.

k. Advise on other matters relating to records, including procedures for the downgrading of security classifications of documents.

4. The division of responsibilities for the Records Management Program is summarized as follows:

a. The CIA Records Administrator directs the Records Management Staff in formulating, defining and reviewing progress on the various phases of the Records Management Program, serves as the CIA Archivist and as the CIA Liaison to the National Archives and other agencies on records problems.

b. Each Office and Staff implements the Records Management Program throughout its offices. Each Office or Staff, ~~with concurrence of the CIA Records Administrator~~ designates a records officer to direct and supervise the taking of inventories of records and other phases of the Records Management Program in his Office or Staff.

c. Each Office and Staff destroys, in accordance with law and Agency regulations, "non-record" documents which are no longer required. The definition of "records" and criteria for determining which documents are not records or non-record materials are included in paragraph 2 of this Instruction.

d. Each Office and Staff transfers to the Records Center or to the CIA Archives semiactive or non-current documents no longer essential or necessary for retention in their physical custody.

e. The CIA Library Division, OCD, operates the Records Center for non-current documents which must be retained in the Agency for a limited period and the CIA Archives for records of enduring value. Documents received in either the Records Center or the CIA Archives are stored in a secure manner and under any necessary restrictions as to access approved jointly by the Office or Staff having custody, the Inspection and Security Staff and the CIA Records Administrator.

5. The Chief, Records Management Staff, CIA Library Division, OCD, is designated as the CIA Records Administrator.

FW the DCI.

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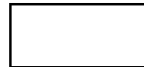
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Next 3 Page(s) In Document Exempt

25X1A


STANDARD FORM NO. 64

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Office Memorandum • UNITED STATES GOVERNMENT

25X1A

TO : 
Management Branch
FROM : Chief, Services Branch

DATE: 7 May 1948

SUBJECT: Proposed Administrative Instruction

The attached proposed Administrative Instruction, Subject, "Records Administration", is forwarded to you per our telephone conversation.

I understand that the Instruction is going to be completely revised in view of the transfer of Central Records to Reference Branch.

25X1A



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Next 16 Page(s) In Document Exempt

STANDARD FORM NO. 64

CONFIDENTIAL

ER-7520

Office Memorandum • UNITED STATES GOVERNMENT

TO : Executive for Administration & Management

DATE: 13 JAN 1948

FROM : Assistant Director for Collection & Dissemination

SUBJECT: Furnishing Information to Reference Center


1. Pursuant to our conversation of last week, this office has revised the draft submitted by your office concerning the processing of requests for intelligence material, and the new paper will be transmitted to you separately for consideration.

2. As was agreed upon at the above-mentioned conference, the following quoted paragraph which was in the original draft prepared by this office has been omitted from the present paper, but is now called to your attention for consideration as to the desirability of adopting it or a modification thereof as a separate CIA instruction.

3. The pertinent paragraph follows:

"In order to be of maximum service to all CIA and agency requesters, it is essential that the Reference Center have record of every piece of intelligence material or information which is on file or received in any part of CIA. Upon receipt of this memorandum each office will arrange to inventory all such intelligence material and information which has not been referred previously to the Reference Center and provide the Reference Center with complete identifying data thereto. Similar arrangements will be made to provide Reference Center with identifying data on any new material or information which may be received in CIA through means other than the OCD Reading Center procedures. When such materials are no longer of immediate reference value to the holder they will be forwarded to the Reference Center for file."

25X1A


 W. JOHNSON
 Captain, U. S. N.
 Assistant Director for
 Collection and Dissemination

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Safety program.

Admin instrs.

Records - (Central)

File Cabinet requests

Intelligence material

O.S.O. exemptions

O.S.O. Registry

I+S records (inspect & audit reports)

Services Branch.

Personnel Branch

B. + F. Branch.

Chrono file 30 Dec
14 Nov.

Admin instrs

STAT

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Approved For Release 2003/03/10 : CIA-RDP81-00728R000100020037-2

Approved For Release 2003/03/10 : CIA-RDP81-00728R000100020037-2

UNCLASSIFIED ~~RESTRICTED~~ CONFIDENTIAL ~~SECRET~~
 (SENDER WILL CIRCLE CLASSIFICATION TOP AND BOTTOM)

CENTRAL INTELLIGENCE AGENCY/
 OFFICIAL ROUTING SLIP

TO		INITIALS	DATE
1	Exec Director		
2			
3			
4			
5			
FROM		INITIALS	DATE
1	DEPUTY DIRECTOR	EJ	28 June
2			
3			

- | | | |
|--------------------------------------|---|------------------------------------|
| <input type="checkbox"/> APPROVAL | <input type="checkbox"/> INFORMATION | <input type="checkbox"/> SIGNATURE |
| <input type="checkbox"/> ACTION | <input type="checkbox"/> DIRECT REPLY | <input type="checkbox"/> RETURN |
| <input type="checkbox"/> COMMENT | <input type="checkbox"/> PREPARATION OF REPLY | <input type="checkbox"/> DISPATCH |
| <input type="checkbox"/> CONCURRENCE | <input type="checkbox"/> RECOMMENDATION | <input type="checkbox"/> FILE |

REMARKS: Reminding you of one of our conversations yesterday. It appears that many of our offices, including ICAPS, have original copies of incoming (over)

SECRET CONFIDENTIAL RESTRICTED UNCLASSIFIED

FORM NO. 30-4
 SEP 1947

correspondence in their own files. How about APM putting out a chit directing that offices examine their files and forward all original correspondence to Central Records File.

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Also - how about talking over with the abolition of Executive Registry Correspondence files.

EPD

STANDARD FORM NO. 64

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7826

Office Memorandum • UNITED STATES GOVERNMENT

TO : Exec for Adm & Mgmt
(Thru: Chief, Services Br.)
FROM : Chief, Central Records

DATE: 2 Jan 48

SUBJECT: Records Administration Program

1. The Records Administrator, Central Records Division should have the following responsibilities and authority:

a. Responsible for developing a uniform CIA file system, training employees in use of system, and inspecting filing practices to enforce uniformity.

b. Authority to designate offices of records to be responsible for the filing of record material.

c. Responsible for advising CIA offices on general records problems.

d. Authority to approve all requisitions for filing equipment. Disapproval of such requisitions would be based upon the determination by investigation that such an allocation of file material would violate central control of files.

e. Serve as CIA Archivist.

f. Serve as operational liaison between CIA and the National Archives and other agencies regarding transfer and destruction of records.



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Next 8 Page(s) In Document Exempt

STANDARD FORM NO. 64

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Office Memorandum • UNITED STATES GOVERNMENT

TO : Executive Director
FROM : Executive for A&M
SUBJECT: Records Administration

DATE: 13 July 1948

*AI [] sent to
Reproduction 14 July 48
me.*

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1. Attached directive is essential for central recording of and responsibility for maintenance of our records.

2. Exceptions indicated below have been presented by Office Chiefs:

a. OCD - Wants all material received sent to OCD immediately prior to any utilization. This would slow down use. Data for recording provided by paragraph 5a of directive is sufficient.

b. ORE - (1) Wants "records" defined as "non-current" records. This would defeat the whole intent of our directive.

(2) Objects to OCD setting standards for records maintenance. We must have one system under a central control.

(3) Objects to inclusion of paragraph 5 in the directive on the basis that it is a foreign subject. Actually it is a part of the overall records problem and should remain.

c. OO - (1) Requests definition of "CIA records." An appropriate rigid definition would take two pages. Term is OK as is and will not be abused by OCD.

[]

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(3) Makes other unimportant points which will take care of themselves as program is developed.

3. We have had a major need for a centralized records administration program since CIA was organized, and this is our first attempt to set it up. The Deputy Director has been pushing it for several weeks. Any "bugs" which show up will be corrected as they appear.

4. Recommend signature and return to me for publication.

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Enclosures
Stencil - []
Draft of []

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Next 3 Page(s) In Document Exempt

STANDARD FORM NO. 64

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ER 9574

404478

Office Memorandum • UNITED STATES GOVERNMENT

TO : Executive for Administration & Management DATE: JUN 17 1948
FROM : Assistant Director, Reports and Estimates
SUBJECT: Proposed Administrative Instruction re Records Administration

1. This office concurs in attached Administrative Instruction subject to the following provisions:

a. That the term "CIA records" (and related uses of the term or collateral references to the term) applies solely to "non-current records" for which the Archivist of the United States and the agency concerned have certain mutual responsibilities.

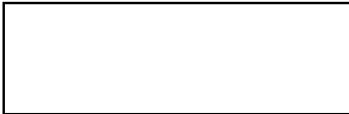
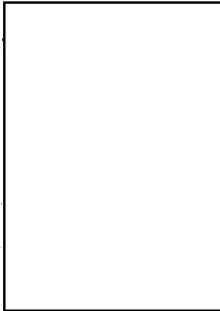
b. That each office of CIA will make its own determination of the "non-current record" status of its holdings.

c. That ORE be included in paragraph 7 as an excepted office where for security reasons, compliance with subject instruction is not possible.

d. That the last sentence in paragraph 4 be deleted.

2. It is recommended that the substance of paragraph 5 be deleted from this instruction and made the subject of another issuance on the grounds that it is unrelated to the "records problem".

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for

THEODORE BABBITT

Attachment:
Proposed Administrative
Instruction re Records
Administration

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Next 1 Page(s) In Document Exempt

25X1A

DRAFT - 20 May 1948

CENTRAL INTELLIGENCE AGENCY
Washington, D. C.

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ADMINISTRATIVE INSTRUCTION
NO.

Date: 25 June 48

SUBJECT: Records Administration

1. The Office of Collection and Dissemination will administer an agency-wide program for the recording, preservation and disposition of all CIA records and will provide guidance and assistance to all activities of CIA on record matters.
2. All negotiations with National Archives, Bureau of the Budget and other Federal and non-Federal agencies in connection with the transfer or other disposition of records will be conducted by OCD.
3. The Foreign Documents Branch, OO, will have primary responsibility for internal storage and recommendations for the disposition of foreign-language documents.
4. Offices and Staff Sections of CIA will maintain only those records needed for daily current reference. All other records will be disposed of in accordance with instructions from OCD. CIA activities will recommend to OCD disposition of records which may be of possible value to other organizations. Records retained in operating units will be maintained in accordance with instructions from OCD.
5. a. Offices and individuals of CIA receiving intelligence information other than through official collection and dissemination channels will at once provide OCD with one copy, or identifying data thereto which will be followed by a copy (except material on loan to CIA) when it has served the user's immediate purpose.

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b. The Foreign Documents Branch, OO, in the case of foreign-language



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6. The Office of Collection and Dissemination will recommend to the Executive for Administration and Management, specifications for record-keeping equipment and supplies and will advise on individual requisitions for record-keeping equipment to assure conformity with established record-keeping policy and procedures.

7. The Office of Special Operations and the Executive for Inspection and Security are excepted from the provisions of this Instruction where for security reasons compliance is not possible.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

LTS

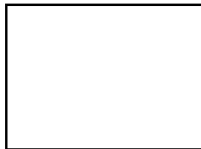
Asst. Director, OOD	_____	_____	_____
	Concurrence/Non-concurrence	Signature	Date
Asst. Director, OO	_____	_____	_____
	Concurrence/Non-concurrence	Signature	Date
Asst. Director, ORE	_____	_____	_____
	Concurrence/Non-concurrence	Signature	Date
Chf., Services Br., A&M	_____	_____	_____
	Concurrence/Non-concurrence	Signature	Date

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NOV 9 1949



C O N F I D E N T I A L

CENTRAL INTELLIGENCE AGENCY
Washington, D. C.

ADMINISTRATIVE INSTRUCTION
NO.

7 November 1949

25X1A

SUBJECT: Records Management

REFERENCE: Executive Order No. 9784, dated 25 September 1946.

25X1A

RESCISSION: Administrative Instruction No. dated 13 July 1948.

1. a. Records of CIA are defined to include all books, papers, maps, photographs, films, recordings or other documentary material regardless of physical form or characteristics, made or received by any portion of CIA in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by CIA or its legitimate successor as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations or other activities or because of the informational value of data contained therein.

b. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this Instruction. "Records" and "record material" may be used interchangeably.

2. There is hereby established a Records Management Program for CIA. The Assistant Director for Collection and Dissemination is charged with operational supervision of the Program through a CIA Records Officer designated by him and Records Officers designated by each Office and Staff Section.

3. The Program will cover, but not necessarily be restricted to:

a. Inventories of all files and filing equipment to determine the volume, types, filing arrangement, record character and retention periods for documents and the quantity, value and effectiveness of use of filing equipment and space occupied by files.

b. Designation of offices of record at points of use to contain the record copies of documents.

c. Standardization of filing systems, filing equipment and procedures for the maintenance of files.

C O N F I D E N T I A L

C O N F I D E N T I A L

d. Development of disposal lists and disposal tables for all file series to provide for the systematic retirement of all files no longer required by law or policy.

c. Records Management surveys to obtain data for recommending changes to promote efficient operations relating to records.

f. Training courses for Records Officers who will execute the Records Management Program.

g. Recommendations for labor-saving devices to assist in reducing the costs of preparation and storage of records.

h. Establishment of (a) a Records Center to provide secure storage of semi-active Agency records of value for a limited period, (b) the CIA Archives for the storage of Agency records of enduring value.

i. Development of microfilming projects for records which lend themselves to the process for the reduction of space required for storage, for assisting administrative processes in the use of these records, or for preserving copies of documents as a security measure.

j. Advice on other matters relating to records, including procedures for the downgrading of security classifications of documents.

4. Responsibilities for the Records Management Program are defined below:

a. The Management Officer will provide policy advice and general guidance to the entire program.

b. The CIA Records Officer will formulate, define, and review progress of the various phases of the Program, will serve as the CIA Archivist and as the CIA Liaison to the National Archives, Bureau of the Budget, and other agencies on records problems, through prescribed liaison control channels.

c. Each Office and Staff Section will implement the Program internally, and designate a Records Officer for this purpose.

d. Each Office and Staff Section will destroy, in accordance with law and Agency regulations, "non-record" documents which are no longer required. The definition of "records" and criteria for determining which documents are neither records nor record material are included in paragraph 1 above.

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e. Each Office and Staff Section will transfer to the CIA Records Center or Archives semi-active or non-current records no longer essential or necessary for retention in their physical custody.

f. The CIA Library, OCD, will operate the Records Center for non-current documents which must be retained in the Agency for a limited period, and will maintain records of enduring value in the CIA Archives. Documents received in either the Records Center or the CIA Archives will be stored in a secure manner and under any necessary restrictions as to access approved jointly by the Office or Staff Section having custody, the Inspection and Security Staff and the CIA Records Officer.

g. The Assistant Director for Collection and Dissemination will authorize the ultimate disposition of CIA records to the National Archives.

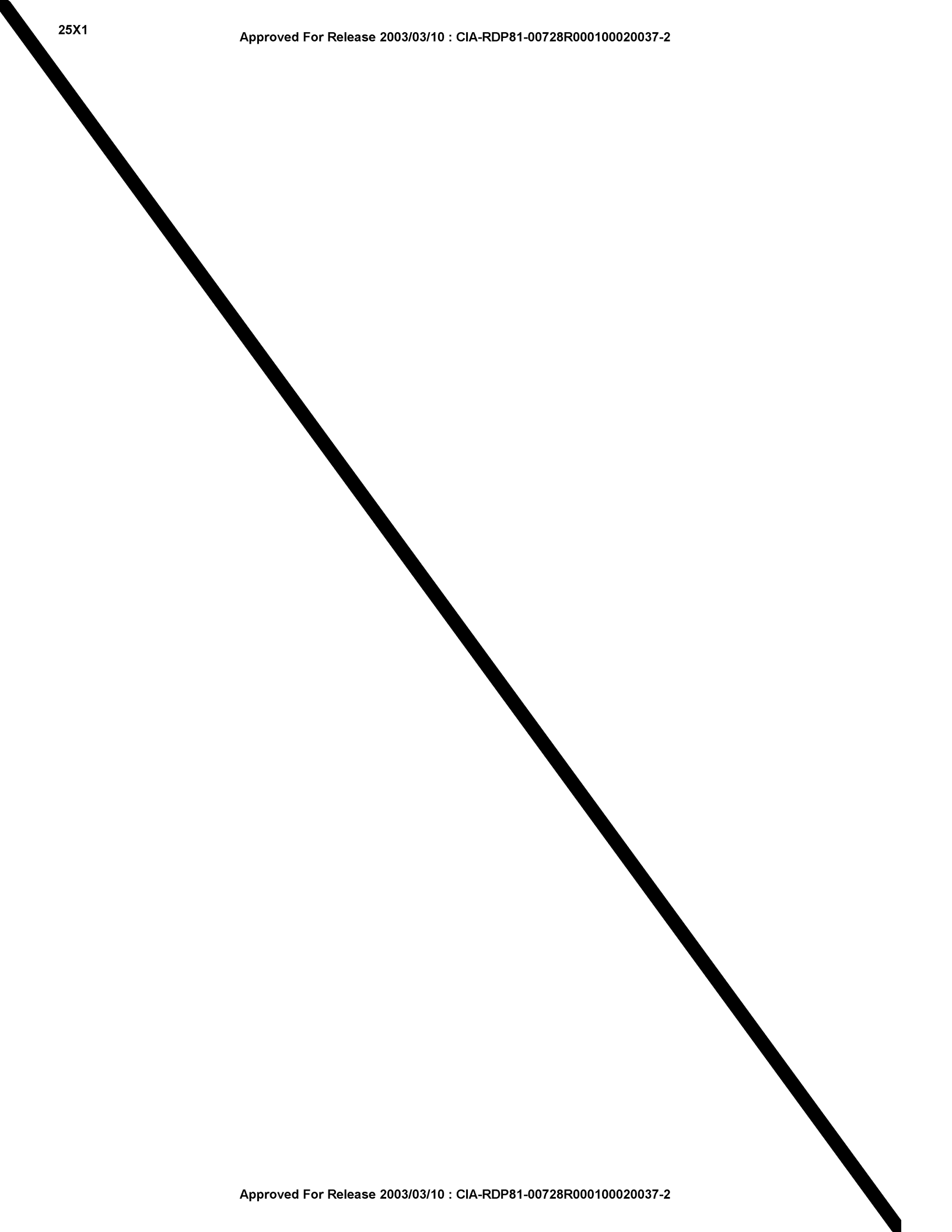
FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:



Captain, USN
Executive

25X1

DISTRIBUTION: A.



19 July 1948

MEMO:

STATINTL

In the application of Administrative Instruction [redacted]
recommendations as to disposition of OSO records will be made
to NEEC through GED.

FOR THE ASSISTANT DIRECTOR FOR SPECIAL OPERATIONS:

STATINTL

[redacted signature box]

Executive Secretary

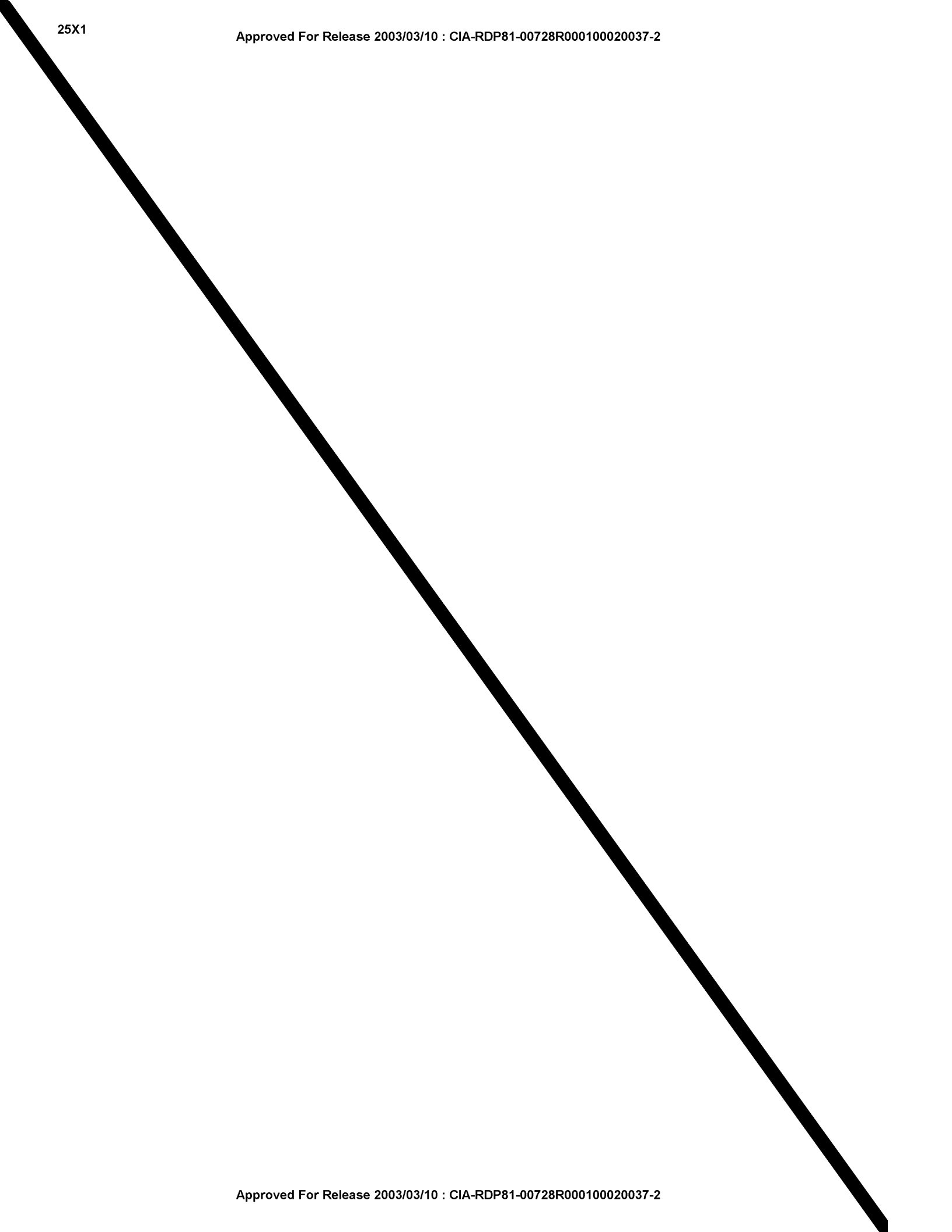
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SPECIAL FUNDS BRANCH
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C O N F I D E N T I A L

CENTRAL INTELLIGENCE AGENCY
Washington, D. C.

25X1A

ADMINISTRATIVE INSTRUCTION
NO.

7 November 1949

SUBJECT: Records Management

REFERENCE: Executive Order No. 9784, dated 25 September 1946.

25X1A

RESCISSION: Administrative Instruction dated 13 July 1948.

1. a. Records of CIA are defined to include all books, papers, maps, photographs, films, recordings or other documentary material regardless of physical form or characteristics, made or received by any portion of CIA in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by CIA or its legitimate successor as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations or other activities or because of the informational value of data contained therein.

b. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this Instruction. "Records" and "record material" may be used interchangeably.

2. There is hereby established a Records Management Program for CIA. The Assistant Director for Collection and Dissemination is charged with operational supervision of the Program through a CIA Records Officer designated by him and Records Officers designated by each Office and Staff Section.

3. The Program will cover, but not necessarily be restricted to:

a. Inventories of all files and filing equipment to determine the volume, types, filing arrangement, record character and retention periods for documents and the quantity, value and effectiveness of use of filing equipment and space occupied by files.

b. Designation of offices of record at points of use to contain the record copies of documents.

c. Standardization of filing systems, filing equipment and procedures for the maintenance of files.

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- d. Development of disposal lists and disposal tables for all file series to provide for the systematic retirement of all files no longer required by law or policy.
 - e. Records Management surveys to obtain data for recommending changes to promote efficient operations relating to records.
 - f. Training courses for Records Officers who will execute the Records Management Program.
 - g. Recommendations for labor-saving devices to assist in reducing the costs of preparation and storage of records.
 - h. Establishment of (a) a Records Center to provide secure storage of semi-active Agency records of value for a limited period, (b) the CIA Archives for the storage of Agency records of enduring value.
 - i. Development of microfilming projects for records which lend themselves to the process for the reduction of space required for storage, for assisting administrative processes in the use of these records, or for preserving copies of documents as a security measure.
 - j. Advice on other matters relating to records, including procedures for the downgrading of security classifications of documents.
4. Responsibilities for the Records Management Program are defined below:
- a. The Management Officer will provide policy advice and general guidance to the entire program.
 - b. The CIA Records Officer will formulate, define, and review progress of the various phases of the Program, will serve as the CIA Archivist and as the CIA Liaison to the National Archives, Bureau of the Budget, and other agencies on records problems, through prescribed liaison control channels.
 - c. Each Office and Staff Section will implement the Program internally, and designate a Records Officer for this purpose.
 - d. Each Office and Staff Section will destroy, in accordance with law and Agency regulations, "non-record" documents which are no longer required. The definition of "records" and criteria for determining which documents are neither records nor record material are included in paragraph 1 above.

-2-

C O N F I D E N T I A L

C O N F I D E N T I A L

e. Each Office and Staff Section will transfer to the CIA Records Center or Archives semi-active or non-current records no longer essential or necessary for retention in their physical custody.

f. The CIA Library, OCD, will operate the Records Center for non-current documents which must be retained in the Agency for a limited period, and will maintain records of enduring value in the CIA Archives. Documents received in either the Records Center or the CIA Archives will be stored in a secure manner and under any necessary restrictions as to access approved jointly by the Office or Staff Section having custody, the Inspection and Security Staff and the CIA Records Officer.

g. The Assistant Director for Collection and Dissemination will authorize the ultimate disposition of CIA records to the National Archives.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:



Captain, USN
Executive

DISTRIBUTION: A.

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PROPOSED
ADMINISTRATIVE INSTRUCTION

[REDACTED]

25X1A

SUBJECT: CIA Records Inventory

REF.: Administrative Instruction, [REDACTED] Subject: Records
Management, dated 7 Nov. 1949

1. This Administrative Instruction establishes a workable, uniform procedure for the inventorying of all files and filing equipment in the Offices, Staff Sections and Field Offices of the Central Intelligence Agency. The inventory will be used as the basis for establishment of retention periods and disposal tables for all agency records, and to provide guidance for establishment of standards for filing equipment and supplies.
2. Attachments A and B contain detailed procedural information for accomplishment of the inventory.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

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Attachment A
to Adm. Inst. 000

DEFINITIONS AND RESPONSIBILITIES

1. Purpose:

It is the purpose of this Administrative Instruction to establish a procedure for the taking of comprehensive inventories of records and filing equipment to facilitate the establishment of Records Retention and Disposal Schedules, to provide complete data on types, volume and arrangements of records, and to indicate the division of responsibility for the inventory phase of the agency records program.

2. Definitions:

- a. Records: The word records is defined as including all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal Law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein.
- b. Non-Records: Non-records or non-record materials are library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents.
- c. File Series: A file series is the major identifiable portion of an organized file which can be described, handled, used and disposed of as a unit. A filing unit may be all the papers in one folder, one binder, in one drawer or in a series of drawers. A file series or filing unit is not an individual paper interfiled with other kinds of papers, but is a whole file or part of a file, which requires a separate description by virtue of variations in arrangement of subject or subject content, retirement or disposal characteristics, significant volume, or peculiar physical form of the papers

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thems [redacted] files).

d. Microfilming: Microfilming is the process of photographing individual documents or files of papers on continuous small size film, so that the documents are too small to be read without magnification. Microfilming or microphotography offers a means of reducing the bulk of records by largely mechanical techniques and permits the making of enlarged prints economically and at a rapid rate.

3. Interpretation:

The following general principles serve as a guide in deciding whether material is record or non-record.

a. All file papers are presumed to be records. The mere fact that they were prepared, retained and filed indicates that they were originally regarded as records. This premise does not mean that they are records, but merely that they must be regarded as records until their non-record character is established. In other words, the burden of proof is on establishing the non-record character of material.

b. Papers which once have record character, always have record character. Values must not be confused with characteristics. If papers are records when they are filed, they remain records as long as they are in existence even though they may not have any retention values. For instance, changes in procedures quite often render obsolete the records prepared under the old procedures. Their obsolescence is a good reason for disposal but no reason at all for circumventing the legal procedures for disposal.

c. Nearly all non-records are determined on the basis of physical duplication. For example, if an organization has two files of purchase orders, filed in the same way, and containing identical information, one of these files is non-record. Following are qualifications to the physical duplication rule:

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(1) Generally, duplicates must have been retained for convenience of reference to justify non-record interpretation.

It is not enough to say that exact copies are retained by another agency, or by another branch or division. It depends upon the purpose for which the file exists and the use made of it.

(2) The fact that two files of exact duplicates in the same organization are filed differently may give record character to both of them. For instance, in the same organization, both a numeric and an alphabetic file of the same material may be records.

d. Duplication of essential content of files is not sufficient reason to construe files as non-record. While such duplication may be good reason for disposal, it does not mean the files are non-record.

4. Responsibilities for Implementation of Policy:

a. Each Office and Staff Section is responsible for inventorying all file series in its custody. The physical inventorying of all files and filing equipment is the responsibility of each Division, Branch and Section. The Records Officer designated for the Office or Staff Section is responsible for coordinating the work to insure that each file series and item of filing equipment is included, and serves as liaison between the CIA Records Officer and the Division, Branch and Section Chiefs.

b. Each Office and Staff Section identifies which of its documents are "records" or "non-records" in accordance with the definitions and rules for interpretation cited in preceding paragraphs of this Administrative Instruction. The Office or Staff Section makes recommendations of retention periods for each file series, both record and non-record. The Assistant Director for Collection and Dissemination makes recommendations for publication of retention and disposal tables in Agency regulations.

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ATTACHMENT C

Below is an example of the arrangement to be used by individuals submitting the pre-inventory lists of file series and units of filing equipment to the Records Officers:

<u>DATE PREPARED</u>	<u>DIVISION</u>	Industrial Register
10 Feb. 1950		
<u>PREPARED BY</u>	<u>BRANCH</u>	Index
Mary A. Smith		
<u>TEL. EXT.</u>	<u>SECTION</u>	Coding and Files
3456		
	<u>UNIT</u>	None

<u>FILE SERIES</u>	<u>FILING EQUIPMENT</u>		
	<u>NO. OF PIECES</u>	<u>SIZE</u>	<u>TYPE</u>
1. Administrative Correspondence	1	4 drawer letter	metal, with combo. lock
2. Requests for Supplies and Equipment	1	4 drawer letter	metal, with bar or key lock
3. Requirements Directives	4	4 drawer cap	metal, with combo. lock

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Attachment B

INVENTORYING PROCEDURES

1. Scope of Inventory:

All Offices and Staff Sections, including Field Offices, are included in the inventorying procedure. The task requires a simple analysis of each file series. It is necessary to make a complete inventory of all file series and file equipment at one time.

2. Preparation for the Inventory:

- a. Records Officers designated for each Office and Staff Section direct the inventorying of files throughout each Office or Staff Section. The CIA Records Officer will call meetings of Records Officers to explain the results to be sought in the inventory and provide necessary information as to procedures to be followed.
- b. As the first step, each Records Officer must prepare a list of names of all personnel in his area who will take portions of the inventory. Next, he must call these persons together to explain the aims and procedures for the inventory. The CIA Records Officer is available to assist in this orientation. At these meetings the persons who will take the inventory are provided with necessary instructions and forms to complete the inventory.
- c. Within three working days following the orientation meeting, these persons will submit to the Records Officer in his area typed, double-spaced lists in duplicate of the various file series to be included in the inventory, and showing the total number of units of filing equipment of all types in use. The original lists will be forwarded to the CIA Records Officer. The carbon copies are retained by the Records Officers for use in insuring that all of the file series are inventoried. The lists will be helpful in planning the order in which files are to be inventoried. On these pre-inventory lists the following information should be shown: (1) Date prepared, (2) Name of Division, Branch, Section and Unit reporting, (3) Name or title of each file

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physical inventory, and (5) the total number of items of filing equipment of each type in use, listing the equipment by sizes and types as requested in Items 14A and 14B of the Files Inventory Report, Form No. 60-74. Reporting on the Files Inventory Report in the actual inventory of filing equipment relates only to equipment required for the particular file series inventoried, whereas reporting on the pre-inventory lists reveals the total number of units of equipment in use without regard to the contents.

3. Taking the Inventory:

- a. Upon receipt of the pre-inventory lists the Records Officers for each Office and Staff Section must prepare for the next step, completion of the Files Inventory Report, Form 60-74. The physical inventorying of records and filing equipment should begin with the file series of largest volume and greatest importance. The Records Officers will assist those actually making the inventory to insure that the inventory is complete and accurate.
- b. All file series are to be inventoried, whether records or non-record materials, with the exception only of library books, magazines, journals, newspapers or other library materials. Shelving or bookcases used for housing such library materials, or for storage of supplies, etc are not to be inventoried. However, if library or supply items are kept in filing cabinets of any type, the cabinets are to be inventoried on Forms 60-74, indicating under Item 2, very briefly the nature of the contents.
- c. A separate Files Inventory Report is to be prepared for each file series. A copy of Form 60-74 may be used as a work-sheet to be retained by the person taking the inventory.
- d. The information collected is then transcribed from the work-sheet onto other copies of Form 60-74, Files Inventory Report, making an original and two carbon copies. All typed copies are given to the Records Officer for

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the Office or Staff. The Records Officer retains one copy of each Report and forwards the original and the other carbon copy to the CIA Records Officer. Forms 60-74 must be completed with care as the information will be used for many valuable purposes.

4. Completion of Files Inventory Report, Form 60-74:

The following paragraphs give specific instructions for completing each item on the Files Inventory Report. The CIA Records Officer or the Records Officer for each Office or Staff Section will give further explanation of requirements if necessary:

Item 1 - Form No. Show the CIA Form number. If the form has no identifying number, leave this space blank. If the form is a Standard form used by all agencies of the Federal Government, write the letter "S" before the form number. If the form is a Department of the Army, Civil Service Commission or other agency form, write the accepted abbreviation for the agency before the form number. If the file series is made up of a principal form and one or more supporting or subsidiary forms, show only the principal form here; show the supporting forms under Item 7, "Description of Record".

Item 2 - Title or Name of File. Show the title of the form, or the name of the report, or the name by which the file is identified. The name of the record ought to indicate the function which it serves or provide a clear description of its contents. For example, Purchase Order, Receiving Copy; or Request for Intelligence Information.

Item 3 - Organization Code. Show the code number for the Office, Division, Branch, or Field Activity reporting, using the Organization Code number from the list, Attachment C to this CIA Regulation. If your unit is not included in this list of Organizational Codes, leave this Item blank or contact the CIA Records Officer for designation of a code.

Item 4 - Organization. Show organizational names, not just letters representing Divisions, Branches, Sections, Units, and Field Activities. An exception

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not be used. In such cases, the authorized abbreviations will be shown in this item. However, the Records Officer for the Office or Staff Section must insure that identification of these organizational units are preserved and are available for reference if necessary.

Item 5 - Locations. Give the locations, city and buildings where the records are filed. Include locations where portions of file series are stored.

Item 6A - Prepared By. Give initials of individuals preparing the Files Inventory Report forms. The lists made by the Records Officers of individuals designated to take the inventories will be preserved to identify these persons.

Item 6B - Date. Show date the form is prepared.

Item 6C - Approved By. Show initials of Records Officer authenticating completeness and accuracy of Form.

Item 7 - Description of Record or File. Enter a brief but adequate description of the file, telling its purpose and listing all forms, different types of reports or other papers included. If the file consists of records which warrant special protection, such as vital records, state this fact and suggest whether security copies of the records should be made for storage in an area removed from the record copies. Occasionally, it may be necessary to continue the description on an attached sheet of paper, 5 x 8 inches in size.

Examples of entries under Item 7:

Administrative Correspondence File including original copies of letters received, copies of letters sent and various supporting papers, fastened into heavy pressboard folders.

Requests for Supplies and Equipment including carbons of Forms 36-7 and memoranda approving or requesting action on purchases.

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for Intelligence Information, Forms 60-101, Collection Directive form letters, logs of items received and related correspondence.

Item 8 - Size of Record. Check the proper box to show the size of the principal papers in file.

Item 9 - Kind of Copy. Check the proper space to indicate the kind of copies of the principle papers included in the file. If file includes different kinds of copies, check the space marked "mixed".

Item 10 - Quantity of Records. Compress the papers in the file drawer or on shelves and measure the thickness with a ruler. Show the number of linear feet now in file. Show lesser quantities as fractions of linear feet. Show also the number of filing drawers or shelves now required for the file.

Item 11 - Filing Arrangement. Show how the file is arranged, as alphabetically by name of correspondent; or geographically by country and city; or numerically by Purchase Order numbers; or subjectively by codes selected from the CIA Filing Manual, or from the CIA Library Intelligence Subject Code (ISC).

Item 12 - Dates Included. Show the span of the file series from the earliest dates to the most recent. If the series is still accumulating write "To Date" for the most recent date.

Item 13 - Annual Rate of Growth. Show the number of linear feet of growth per year. Show lesser quantities as fractions of linear feet. If the file is closed write the word "none" in this space.

Item 14 - Description of Filing Equipment. Show in the proper space from 14A through 14G the full description of equipment in use for the file. If more than one type of equipment is used for portions of the file, show the other types on the second line under 14H Remarks.

14A - Size: Check the proper box which describes the size of equipment containing the file series.

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[redacted] of equipment containing the file series.

14C - Kind: Check the proper box to indicate the construction of the equipment.

14D - Number of Units: Show the number of filing cabinets or shelf sections of each type in use.

14E - Drawers per Unit: Show the number of drawers in each unit of equipment. If the item is a visible filing cabinet, show the number of panels, or if shelving, show the number of shelves per section.

14F - Rows per Drawer: Show the number of rows per drawer if more than one. For instance, 3 x 5 card cabinets often provide for two rows of cards per drawer.

14G - Depth per Unit: Show the depth of the filing drawer in inches. If shelving is used, show the length of the shelf.

14H - Remarks: Use this space for additional entries if the file series is housed in more than one type of filing equipment, or if other notation need be made.

APPRAISAL OF RECORDS:

The items numbered 15 through 23 concern the value of the file series and recommended period of retention. The specific items are listed below:

Item 15 - Official Authorization for Establishing or Maintaining the File. If a specific authorizing directive requires the preparation and maintenance of records comprising the file series, make reference to the directive here. Most files series are established as a natural product of the operations of the creating organization and no definite requirement for the file series exists. If there is no authorizing directive leave this item blank.

Item 16 - Security Classification. Check the highest security classification included in the file series. If more than one security classification is included, check also in the space marked "mixed". Specify under the heading of "Special" any unusual Security Classification identifications.

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Item 17 - Records Value. Check the appropriate box to show the reason for retention of the file series, whether the documents have administrative, fiscal, historical, legal, research, or merely reference value. If none of these applies, check the space marked "other". In describing a series which consists of vital records, the Records Value would be stated as Administrative, Historical, Research, etc.

Item 18 - Record Character. Check the box to show whether the file series is Record or Non-record, as defined in Paragraphs 2a and 2b of Attachment A to CIA Regulation , and as discussed further in Paragraphs 3a through 3d of the same Attachment. If the record character remains in doubt, check in the box marked "undetermined".

Item 19 - Vital Records. Check the proper box to indicate whether the file series has been designated as Vital Records, is under consideration for designation, has been determined not to include Vital Records or its status is undetermined.

Item 20 - Extent of File Duplication. Check the appropriate box to indicate duplication of the file services. Fill in the location of files of exact copies if known.

Item 21 - Frequency of Use. Check the proper box to show the relative activity of the file series. Activity is based on the number of references per month required under normal operating conditions, or the number of additions which must be made to the file series monthly. Inactive files may be either those on which actions have been completed or a backlog of work on which active work has not yet been undertaken. In either case, inactive files may be suitable for storage in the Records Center. Semi-active files are not used daily by the collecting office, and are usually suitable for transfer to the Records Center, provided that the number and complexity of searches will permit transfer.

Item 22 - Recommended Disposition. Show, to the best of your ability by checking the proper box, what disposition of the file series is recommended. Fill in

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7

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the recommending when they should be transferred to storage or destroyed. Transfer or destruction dates shown under this item do not authorize transfers to storage nor destruction of records but will aid in the scheduling of transfers and in establishing retention periods as provided by law.

Item 22 - Recommending Officials. Enter here the names of officials recommending the transfer and retention periods under Item 22.

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3 February 1950

MEMORANDUM

TO : All Records Officers, CIA

FROM : Chief, Records Management Branch, OCD


SUBJECT: Proposed Administrative Instruction Concerning the CIA
Records Inventory

1. It is requested that an expression of concurrence with the proposed Administrative Instruction, attached, be furnished by each Records Officer. The proposed Administrative Instruction, together with the attachments thereto, should be reviewed by you with special attention to your responsibilities as the designated Records Officer for your Office or Staff Section.

2. This concurrence may be shown by signing, in the space provided on this sheet below, and by returning one copy within five (5) working days to the Records Management Branch, OCD, Room 11A7, Que Building.

3. In the event there are special considerations which will affect the taking of this inventory, a memorandum to that effect may be attached.

STATINTL



Signature

copy sent as requested

*13 Feb 50
BHW*

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