

INTRODUCTION

PURPOSE AND ORIGIN OF THE REPORT

This report is part of an evaluation of the effectiveness of the records disposition and files management programs at the Department of Justice (DOJ) undertaken as a result of an agreement of August 26, 1978, between DOJ and the National Archives and Records Service (NARS). The first and second phases of this project, now complete with the issuance of this report, involved (1) an assessment of DOJ's records disposition and files management programs and (2) the development of a DOJ-wide plan for responding to the needs identified in the assessment. The third phase of the project involves DOJ implementation to the fullest extent possible, of program action plan items.

SCOPE AND CONDUCT OF THE STUDY

The study was conducted by staff members of the Records Disposition Division, Office of Federal Records Centers, NARS, with the assistance of the staff of the Records Management Group (RMG), Administrative Programs Management within DOJ's Office of Management and Finance, and the records management staffs of each of DOJ's six bureaus. The NARS staff enjoyed full cooperation from DOJ personnel in conducting the study. The records management staffs were particularly helpful in answering questions about the status of their programs and making necessary arrangements for examining DOJ records systems. NARS staff members in conducting the study devoted eight weeks to actual review of DOJ records disposition and files maintenance programs. One week was devoted to the programs of each of the six DOJ bureaus, and two weeks to the programs of DOJ's Offices, Boards, and Divisions (OBD). The review

Involved (1) analysis of data previously submitted by each component on its records disposition and files maintenance programs, (2) interviews with representatives of each records management staff, and (3) visits to operating units and inspection of their files stations and records systems. In OBD the visits involved 16 operating units (divisions, offices, etc.) and more than 25 different files stations. In the bureaus the visits involved from 4 to 1 operating units and from 9 to 25 files stations, depending on whether the bureau's records were maintained on a centralized or decentralized basis. Given the resources and time allotted for this study, it was not possible to inspect field office files stations and records systems, with the exception of conducting visits to offices of one U.S. Attorney and one U.S. Marshal in Baltimore, Maryland. Nonetheless, more than 100 records managers and files custodians were interviewed in the course of the study. The interviews and visits permitted an evaluation of DOJ records disposition and files maintenance programs not only in terms of their establishment and scope at an agency-wide level, but also in terms of their implementation and application in operating units.

FORMAT OF REPORT

Tab A and B outline the objectives and the program requirements of the Federal Property Management Regulations (FPMR) covering records disposition and files management. These FPMR program requirements are the standards DOJ records disposition and files management programs have been assessed out this report. The assessment, for example, determines whether a program contains such necessary elements as records disposition schedules and standardized files classification schemes. It also measures the extent which a program has been implemented throughout an agency.

Following this introduction is an overview of records disposition and files management on a DOJ-wide basis. The overview includes an action plan for establishing a DOJ-wide program for records disposition and files management activities. Appendices to the report numbered 1 through 7 contain evaluation of the records disposition and files management programs of OBD and the six DOJ bureaus, including recommendations for the improvement of each component's programs. A separate action plan for resolving deficiencies in the records disposition and files maintenance programs for OBD is furnished in Part C of Appendix I to this report.

11. DOJ MANAGEMENT OF RECORDS DISPOSITION AND FILES MAINTENANCE PROGRAMS

DOJ-WIDE PROGRAM NEEDS

At present there is no DOJ-wide program for records disposition and files maintenance activities throughout the Department. No DOJ-wide standards have been established, no DOJ-wide policy has been issued, and the only centrally monitored DOJ activity in the areas of records disposition and files maintenance is the annual collection of records holdings figures for submission to NARS on Standard Form 136. Given the lack of DOJ-wide policy and standards, it is not surprising that the effectiveness of records disposition and files maintenance programs throughout the Department varies greatly by component. Figures 1 and 2 chart, on a component by component basis, two primary indicators of program effectiveness: records disposition schedules and formal files maintenance standards. The charts clearly demonstrate that the programs of some components are in much better shape than others. Some components lack these basic program elements, while others have issued comprehensive files maintenance and records disposition manuals for use by their employees. One of the most serious results of the weakness of the DOJ records disposition program, the practice of destroying records without having obtained legal disposition authority from NARS, was discovered in OBD, FBI, and DEA. Detailed assessments of each component's programs appear in Appendices I-VII of this report.

Lack of DOJ-wide standards and policy is accompanied by lack of DOJ-wide oversight over records disposition and files maintenance programs. No Departmental effort is made to monitor the effectiveness of each component's programs or to insure their compliance with the FPMR requirements governing records disposition and files maintenance.

From the standpoint of effective management and accountability, there appears to be a clear need to establish (1) DOJ policy and standards in the areas of records disposition and files maintenance programs and (2) DOJ oversight over component programs. DOJ oversight would not have any direct involvement in program operations. Rather, such oversight would measure compliance with DOJ standards and the FPMR requirements. It could assist component programs by directing management attention to the need to devote additional resources to a program in order to resolve program deficiencies and to insure compliance with DOJ standards.

DOJ-WIDE ACTION PLAN

To meet the need for an effective DOJ-wide records disposition and files maintenance program the DOJ should take the following actions:

1. Forward to each Bureau a copy of the appropriate appendix of this report assessing its records disposition and files maintenance programs and require each Bureau to submit, within one month, a formal action plan and timetable for implementing the recommendations relating to its programs. Include an outline of the FPMR program requirements on which the assessment was based.
2. Issue a DOJ-wide directive(s) establishing records disposition and files maintenance program objectives, assigning responsibility for meeting these objectives to each DOJ component, instituting standards for determining the effectiveness of program operations, and designating an official responsible for coordination of the programs on a DOJ-wide basis.

3. Develop DOJ-wide instructions and guidance for records disposition and files maintenance programs. The instructions should govern such DOJ-wide matters as completion of records holding reports (Standard Form 136), submission of records disposition and records transfer requests (SF 115 and SF 258) to NARS, review of requests for records equipment and supplies.

4. Establish a program for periodically inspecting and evaluating records disposition and files maintenance programs in each DOJ component for conformance with FICRA and DOJ program standards. These on-site inspections will begin in Fiscal Year 1981.

NOTE: The Records Management Group has drafted a proposed directive on records disposition that has been forwarded to DOJ components for comment and clearance. Among the program items mentioned above, the directive will implement Items 2 and 3 to the extent of formally establishing a DOJ-wide record disposition program and providing DOJ components with needed guidance for this program.

STATUS OF RECORDS DISPOSITION SCHEDULES IN DOJ COMPONENTS

Agency has scheduled nearly all records for disposition via a comprehensive records schedule

Agency has scheduled most series of records for disposition

Agency has not scheduled a number of major series of records for disposition

Agency has not scheduled most series of records for disposition

DOJ Component

Agency	DOJ	DOE	DHS	DEP	DOH	DOA	USIS
Agency 1	✓	✓	✓	✓	✓	✓	✓
Agency 2	✓	✓	✓	✓	✓	✓	✓
Agency 3	✓	✓	✓	✓	✓	✓	✓
Agency 4	✓	✓	✓	✓	✓	✓	✓

Abbreviations:

- DOJ - Offices, Bureau, and Divisions
- FBI - Federal Bureau of Investigation
- INS - Immigration and Naturalization Service
- POP - Bureau of Prisons
- DOA - Drug Enforcement Administration
- LEA - Law Enforcement Assistance Administration
- USIS - U.S. Marshals Service

Figure 2

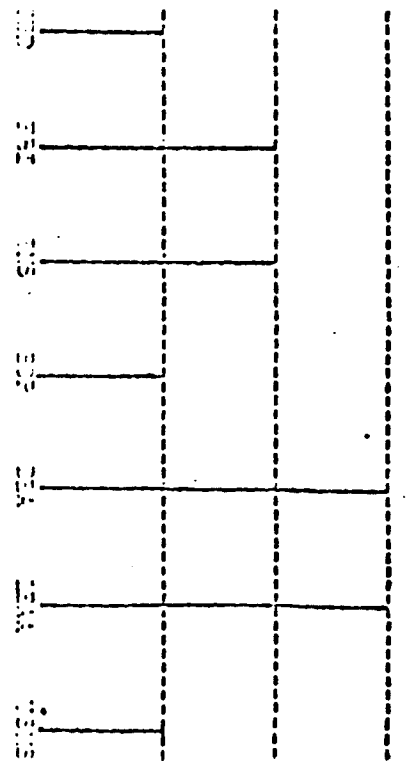
STATUS OF PERS WITNESSING SERVICES IN DOJ COMPONENTS

Agency has issued a comprehensive filing maintenance manual, including a reclassified classification and filing scheme for subject correspondence

Agency has established formal standards and procedures for classifying and filing mail of its records

Agency lacks formal standards and procedures for maintaining a number of major series of records

DOJ Component



Approvals:

- DOJ - Offices, Boards, and Divisions
- FBI - Federal Bureau of Investigation
- INS - Immigration and Naturalization Service
- EOP - Bureau of Prisons
- DEA - Drug Enforcement Administration
- EPA - Law Enforcement Assistance Administration
- IRS - U.S. Marshals Service

FPMR PROGRAM REQUIREMENTS

DEFINITION

A file is basically a paper or folder of papers, but the term is used to denote papers, photographs, maps, and other recorded information accumulated or maintained in filing equipment or other storage facilities and occupying office or storage space.

OBJECTIVES

Organize files so that needed records can be found rapidly, complete records are ensured, the selection and retention of records of archival value are facilitated, and the disposition of noncurrent records is accomplished promptly.

PROGRAM REQUIREMENTS

1. Establish standards and procedures for:
 - a. Classifying, indexing, and filing records.
 - b. Providing reference services.
 - c. Locating active files to facilitate use.
2. Review program periodically to determine adequacy and effectiveness in meeting requests.
3. Publish and make standards and instructions readily available.

PROGRAM IMPLEMENTATION

1. Standardize classification and filing schemes to:
 - a. Achieve uniformity and ease of maintaining and using records.
 - b. Facilitate records disposal.
 - c. Facilitate possible consolidation of identical types of files.
2. Formally authorize official file locations.
3. Standardize reference service procedures.
4. File accumulations of papers on a daily basis.
5. Standardize equipment and supplies used in filing and reference service operations.
6. Audit periodically.

FPMR PROGRAM REQUIREMENTS

ATTENTION

"Records" includes all documentary materials made or received in transaction of public business. Records disposition is a management function to ensure that permanently valuable records are preserved but that records no longer of current use are promptly destroyed or retired. Effective techniques for accomplishing these ends are the development of records control schedules; the retirement of records to Federal Archives and Records Centers; the microfilming of appropriate records; and the disposal of valueless records.

OBJECTIVES

- 1. Preserve records of permanent value.
- 2. Destroy records of temporary value as soon as they have served the purpose for which they were created.
- 3. Remove noncurrent records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.

PROGRAM REQUIREMENTS

- 1. Establish standards and procedures for ensuring that official records are not destroyed except in accordance with authorized schedules.
- 2. Conduct a complete inventory of the records in custody of the agency.
- 3. Designate permanent records having sufficient historical or other research values to warrant transfer to the National Archives for permanent preservation.
- 4. Formulate a policy as to the disposition of each type or series of records, state this policy in the form of records control schedules, and obtain approval for the schedule from the Archivist of the United States.
- 5. Publish and make available the schedules for application throughout the agency.
- 6. Submit to EARS within 30 days after the close of each fiscal year a summary of records holdings on Standard Form 136.

PROGRAM IMPLEMENTATION

- 1. Ensure that records control schedules are kept current and clearly identify and describe the records series to which they apply.
- 2. Eliminate unneeded non-record material as rapidly as possible and prevent the incorporation of such materials in the official files of the agency.
- 3. Ensure the timely application of records control schedules to provide for maximum economy of space, equipment, and personnel.

APPENDIX 2

EVALUATION OF
RECORDS DISPOSITION AND FILES MAINTENANCE PROGRAMS
FEDERAL BUREAU OF INVESTIGATION (FBI)

A. RECORDS DISPOSITION

1. Findings and Analysis

a. Records scheduling.

(1) Recent records scheduling actions. The Federal Bureau of Investigation (FBI) has been actively engaged in efforts to schedule its records for disposition in recent years. The focus of its efforts has been the Central Records System at headquarters and investigative files at field offices, the most voluminous series of FBI records. FBI has revised its disposition schedule for field offices investigative files and reduced the retention period for files relating to criminal matters. It has developed and submitted for NARS approval a records disposition schedule covering a major portion of its Central Records System. Given public and congressional interest in these records, the schedule in mid-1977 was referred to appropriate committees on the Senate and House of Representatives for review and possible comment. The committees have not yet taken action on the schedules despite repeated inquiries.

(2) Lack of records schedules. In addition to the Central Records System, other headquarters records require the development of disposition schedules. Schedules are needed, for example, for records relating to the Uniform Crime Reporting program and for financial reports maintained indefinitely by the Budget and Accounting Section, the latter of which date back to the creation of the FBI in 1924. In addition, the FBI has scheduled almost none of its machine-readable and audio-visual records for disposition.

b. Lack of inventories of holdings. The FBI does not maintain a complete records inventory.

c. Limited familiarity with records disposition requirements. The degree of acquaintance with records disposition procedures among FBI operating officials with responsibility for records varies greatly. On the one hand, at least one FBI unit has destroyed records without having secured legal authority from NARS for their disposal. The records include reports and data collected under the Uniform Crime Reporting (UCR) program. In the Voucher Unit, Administrative Services Division, memorandum (i.e., agency) copies of records of payment are maintained longer than the three-year period specified by the General Records Schedule (GRS). On the other hand, representatives of other headquarters units were fully acquainted with the disposition schedules or GRS provisions covering records in their custody.

d. Lack of program reviews. The FBI records management staff does not conduct regular reviews of the execution of records disposition and files maintenance programs in operating units. Some control over the execution of the programs in the field is exercised by the Records Management Division (RMD) through review of annual records holding reports and files equipment requests and by the Inspection Division, which can audit records management functions in behalf of RMD. RMD lacks even this degree of control, however, over execution of the programs in other headquarters divisions.

2. Recommendations:

a. Terminate unauthorized disposal of records. As a priority item requiring immediate attention, RMD should insure that the unauthorized disposal of records relating to the UCR program ceases. Given the volume of these records and the limited office space available for their storage, it is essential that immediate action be taken to schedule the records for disposition. Any such schedule should include not only the records that have been subject to disposal, but also all other unscheduled records, both textual and non-textual, relating to the program.

b. Establish a program and timetable for scheduling all FBI records. Such a program should move beyond the Central Records System and focus on unscheduled records held by other headquarters units. The program also can serve to reacquaint all FBI operating units with the legal requirements governing disposition of records. The program should be based on complete inventories of records holdings, and the schedules should cover non-textual as well as textual records.

c. Establish within RMD a program for periodic review of records disposition operations in FBI units. Such a program would have particular value at headquarters, as the Inspection Division can conduct such reviews for RMD at field offices.

B. FILES MAINTENANCE

1. Findings and Analysis.

Although no FBI wide guidance for classifying and filing records exists, procedures have been established and set forth for the maintenance of field office investigative files and the Central Records System at headquarters. FBI records are centralized to a great extent, and the Central Records System includes not only investigative records, but also records relating to a variety of administrative and facilitative subjects, the records being arranged numerically throughout. Individual documents within each file are serially numbered, and a supporting abstract system facilitates accountability of all documentation in a file. However, the numerical arrangement of the Central Records System precludes disposal of facilitative and administrative records without document by document screening of the

files. As a result, the GRS cannot and is not effectively applied to applicable records maintained under the Central Records System.

Despite the lack of FBI-wide guidance for classifying and filing records, application of the following sound files maintenance techniques to records outside the Central Records System was observed at headquarters: clear identification of contents of cabinets, establishment of periodic file breaks, and use of transitory correspondence files and technical reference files.

2. Recommendation

The FBI should consider removing administrative and facilitative records from the Central Records System and maintaining such records under a separate filing system better designed to facilitate their use and disposal. Budget records, for example, often are functionally filed by fiscal year and phase of the budget process and scheduled for disposition on the basis of the close of the fiscal year covered by the budget. Under this system individual documents can be retrieved by reference to an outline of file categories rather than by use of an alphabetical index to numbered files. Records can be destroyed by blocks rather than by document, and the costs of maintaining an abstract of these records can be avoided.

UNITED STATES GOVERNMENT

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION

Memorandum

- Assoc. Dir.
- Dep. AD Adm.
- Dep. AD Inv.
- Asst. Dir.:
- Adm. Servs.
- Crim. Inv.
- Ident.
- Intell.
- Laboratory
- Legal Coun.
- Plan. & Insp.
- Rec. Mgnt.
- Tech. Servs.
- Training
- Public Affs. Off.
- Telephone Rm.
- Director's Sec'y

TO : Mr. McDermott

DATE: 7/27/79

FROM : Mr. Bailey

SUBJECT: EVALUATION OF RECORDS DISPOSITION AND FILES
MAINTENANCE PROGRAMS AT THE DEPARTMENT OF
JUSTICE.

PURPOSE:

The purpose of this memorandum is to gain approval to forward to the Department our response and comments relative to recommendations proposed by the National Archives and Records Service (NARS) in their technical assistance report and our action plan and timetable for implementation of recommendations.

DETAILS:

By letter dated 6/27/79, Kevin D. Rooney, Assistant Attorney General for Administration at the Department, forwarded material related to the NARS assessment of records disposition and files maintenance programs of the components of the Department of Justice, including the FBI. This material is attached and is self-explanatory.

By way of background, Mr. Bassett memorandum to Mr. McDermott, dated 2/14/78, initially advised that NARS planned an evaluation of records and records management practices of components within the Justice Department. In connection with the evaluation, responses to questionnaires were prepared by appropriate divisions and forwarded to the Department.

ENCLOSURE

66-18966

CMG:kal

(19)

- | | |
|-----------------------------|-------------------------|
| 1 - Mr. McDermott | 1 - Mr. Andrews |
| 1 - Each Assistant Director | 1 - Mr. Bailey (Admin.) |
| 1 - Mr. Boynton | 1 - Miss Devine |
| 1 - Mr. Bruemmer | 1 - Mr. Steel |
| 1 - Miss Glock | |

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Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

FBI/DOJ

Memo Bailey to McDermott
RE: EVALUATION OF RECORDS DISPOSITION AND FILE
MAINTENANCE PROGRAMS AT THE DEPARTMENT OF
JUSTICE

On 5/25/78, Jay Solomon, former Administrator of General Services Administration, advised the Attorney General that the evaluation had been cancelled and that NARS would provide technical assistance if required. J.W. Awe memorandum to Mr. Bassett, dated 10/19/78, noted that the technical assistance visit would be conducted for a six-month period beginning 10/10/78. NARS and Office of Management and Finance analysts subsequently visited FBIHQ on 11/21-22/78 and met with personnel assigned to the Identification Division, Administrative Services Division, Records Management Division (RMD), and Technical Services Division. NARS' basic report and Appendix 2 are the result of the visit. Recommendations set forth in Appendix 2 have been evaluated and the responses appear in our Action Plan.

The Department is being advised of our concern in connection with the statement, without further clarification, that "the practice of destroying records without having obtained legal disposition authority from NARS was discovered in OBD, FBI, and DEA". The statement appears on page 4, Chapter II, of the basic report which was distributed to Departmental components. We are requesting a formal clarification of the records from NARS for distribution to previous recipients of the basic report. This matter was discussed with Thomas W. Wadlow, Director, Records Disposition Division, NARS, who suggested this procedure and assured that a report of this nature would not be subject to further distribution or release.

RECOMMENDATION:

1. That the attached letter and Action Plan be approved and forwarded to the Department.

AP
11
Laboratory
Public Affs. Off.

Memorandum to McDermott
RE: EVALUATION OF RECORDS DISPOSITION AND FILES
MAINTENANCE PROGRAMS AT THE DEPARTMENT OF
JUSTICE

2. That the Office of Equal Employment Opportunity Affairs, and the Budget and Accounting, Printing and Space Management, and Voucher and Payroll Sections of the Administrative Services Division and the Public Affairs Office provide the Records Systems Section, Records Branch, RMD, with knowledgeable representatives to assist RMD in records scheduling efforts.

PLA

APPROVED:	DATE:	FOR:
Director	Director	Plan. & Exp.
Asst. Dir.	Asst. Dir.	
Dep. AD Inv.	Laboratory	<i>WUB</i>
		PUBLIC AFFS. OFF.

Assistant Attorney General
for Administration
Office of Management and Finance

July 27, 1979

Assistant Director
Records Management Division

FEDERAL GOVERNMENT

**EVALUATION OF RECORDS DISPOSITION AND FILES.
MAINTENANCE PROGRAMS AT THE DEPARTMENT OF
JUSTICE**

This is in response to your letter of June 27, 1979, with attachments, including the basic report prepared by the National Archives and Records Service (NARS) in conjunction with their technical assistance agreement.

There is attached herewith, as requested, the Action Plan for implementing the recommendations contained in Appendix 2 relating to the records program of the Federal Bureau of Investigation (FBI).

A matter of utmost concern has evolved from the contents of the basic report which was distributed to the Bureaus of the Department of Justice. Chapter II, page 4, alleged that the FBI was engaged in the illegal practice of destroying records without having obtained proper disposition authority from NARS.

The FBI is not destroying records illegally and a statement of this nature, without clarification, would place this Bureau in a most vulnerable position. Appendix 2 identified the records as Uniform Crime Reporting records and, with the exception of nontextual records, this material was scheduled for destruction in 1950. It is, therefore, requested that NARS retract this statement and formally notify the prior recipients of the basic report.

Enclosure

66-18966

DE-85

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- Assoc. Dir. _____
 - Dep. AD Adm. _____
 - Dep. AD Inv. _____
 - Asst. Dir. _____
 - Adm. Servs. _____
 - Crim. Inv. _____
 - Ident. _____
 - Intell. _____
 - Laboratory _____
 - Legal Coun. _____
 - Plan. & Insp. _____
 - Rec. Mgnt. _____
 - Tech. Servs. _____
 - Training _____
 - Public Affs. Off. _____
 - Telephone Rm. _____
 - Director's Sec'y _____
- 1 - Mr. McDermott
1 - Each Assistant Director
1 - Mr. Boynton
1 - Mr. Bruemmer
1 - Mr. Steel
- CMG:km
(21) (u) 3/8
- MAIL ROOM

- 1 - Miss Devine
- 1 - Mr. Andrews
- 1 - Mr. Bailey (Admin.)
- 1 - Miss Glock

Assistant Attorney General
for Administration
Office of Management and Finance

NOTE: Based on Bailey to McDermott memo, dated 7/27/79,
captioned as above which contains a copy of the NARS
report.

APPROVED:

Pat
Director _____
Asst. Dir. _____
Dep. AD Adm. _____
Dep. AD Inv. _____

Adm. Serv. _____
Crim. Inv. _____
Ident. _____
Intell. _____
Laboratory _____

Legal Coun. _____
Plan. & Insp. _____
Rec. Mgnt. *WHS*
Tech. Servs. _____
Training _____
Off. of Cong. & Public Affs. _____

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ACTION PLAN

**of the Federal Bureau of Investigation (FBI)
to implement recommendations by the
National Archives and Records Service (NARS)
to correct deficiencies in certain
FBI record maintenance and
disposition practices**

July, 1979

11-111-857

A. Background

Based on a review of FBI record maintenance and disposition practices and interviews with FBI personnel in operating units at FBI Headquarters, NARS detected certain deficiencies and provided an analysis of and recommendations to enhance these particular areas of records management.

B. Recommendations

1. Terminate unauthorized disposal of records relating to the Uniform Crime Reporting (UCR) program.
2. Establish a program and timetable for scheduling all FBI records.
3. Establish within the Records Management Division (RMD) a program for periodic review of records disposition operations in FBI units.
4. Consider removing administrative and facilitative records from the Central Records System and establishing a separate filing system to better facilitate the use and disposal of these records.

C. Action

1. In response to Recommendation B1, Disposal List (Job No. 345-181) approved December 21, 1944, provided for disposal of Uniform Crime Reports dated January, 1930, to December, 1941, and Disposal Schedule (Job No. 351-S114) approved December 11, 1950, granted continuing authority to dispose of Uniform Crime Reports. An amended Disposal Schedule will be prepared and submitted to NARS by August 15, 1979, to include non-textual and permanent records.

2. In response to Recommendation B2, RMD has established contact with Headquarters Divisions to implement the mandatory application of the General Records Schedules (GRS). RMD will, simultaneously, prepare appropriate schedules for unique and permanent records and for GRS items which authorize retention periods that are insufficient or exceed our needs. The program will be completed by December 14, 1979, including the submission of appropriate schedules to NARS.
3. In response to Recommendation B3, RMD will conduct a review of records disposition operations of Headquarters divisions in conjunction with the preparation of the Annual Summary of Records Holdings.
4. In response to Recommendation B4, consideration has been given to the separation of fiscal records from the Central Records System; however, the need to retrieve this information for multiple users and the efficiency which the current system provides would preclude experimentation with other filing arrangements.

Mr. Bailey

6/14/79

P. L. Andrews

ARCHIVAL AUTHORIZATION FOR
DESTRUCTION OF BUREAU RECORDS

PURPOSE:

The purpose of this memorandum is to gain approval to forward our disposal schedule to the National Archives and Records Service (NARS) to obtain proper coverage for disposition of "Uniform Crime Reporting" (UCR) records.

DETAILS:

Based on i. A. Zolbe memorandum to you, dated 8/2/79, established retention periods for UCR records and recommendation to submit an appropriate disposal schedule to NARS were approved. The amended schedule will broaden the previous authority, granted on 12/11/50 (Job No. 351-S114), to encompass records created or received in connection with the UCR Program.

It has been noted that the following publications other than "Crime in the United States" are printed and disseminated by the UCR Program and should be included in this schedule:

The "Assaults on Federal Officers" has been published annually since 1972. The manuscript for this publication is camera-ready copy; therefore, it is destroyed as soon as the publication is printed. Since documents used to gather information for this publication are copies of reports maintained elsewhere at FBI, at the Treasury, and at the Postal Services, they are destroyed after the publication has been disseminated.

Enclosure

66-19087

- 1 - Mr. Andrews
 - 1 - Mr. Zolbe
 - 1 - Mr. Bailey (Admin.)
 - ① - Miss Glock
- CHG:evp (5)

CONTINUED OVER

Memorandum to Mr. Bailey
ARCHIVAL AUTHORIZATION FOR
DESTRUCTION OF BUREAU RECORDS

The "Bomb Summary," an annual publication, was first published in 1972. The manuscript for this publication is in the form of camera-ready copy; therefore, it is destroyed after the publication has been printed. The documents used to collect bomb data is form FD-436. These documents are kept for the current and previous years; a total of three cubic feet.

"Law Enforcement Officers Files" has been published annually since 1972. Manuscript for this publication is camera-ready copy and is destroyed after it is published. Documents for the data presented in this publication are kept indefinitely. Currently, ten cubic feet of documents are on hand. A limited number of the three aforementioned publications are kept for each year.

The "UCI Handbook" is published to aid contributors to this Program in the preparation of reports. The Handbook is revised and reprinted whenever significant changes in definitions become effective. Manuscript for each edition is maintained until a subsequent edition is printed. A limited number of copies of each edition are maintained. Manuscript for the Handbook requires less than one cubic foot of file space.

The "Manual of Police Records" (MPR) is published by the UCR Program to aid police departments in establishing record systems. The MPR is revised only as significant progress is made in the field of police records. Manuscript is maintained for the most recent issue of the MPR. A limited number of editions of the MPR is kept on file. The storage of the MPR and the manuscript requires less than one cubic foot of file space.

In order to secure authorization for appropriate disposition of this material, the correct number of copies of Standard Form 115 have been completed and are attached herewith for submission to NARS.

RECOMMENDATION:

That this memorandum be approved and attached copies of Standard Form 115 be returned to the Records Branch for subsequent referral to NARS.

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

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AC 1-65-79-28

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE WASHINGTON, DC 20408

DATE RECEIVED

1. NAME (AGENCY OR ESTABLISHMENT)
Department of Justice

NOTIFICATION TO AGENCY

2. MAJOR SUPERVISOR
Federal Bureau of Investigation

3. MINOR SUPERVISOR
Records Management Division

4. NAME OF OFFICER WITH WHOM TO CORRECT

5. TELEPHONE

Paul L. Andrews

4185

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records that the records proposed for disposal in this Request of 7 pages are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal

B Request for disposal after a specified period of time or request for permanent retention

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
8/13/79	<i>Paul L. Andrews</i>	Section Chief
7. ITEM NO.	8. DESCRIPTION OF ITEM (with title, file dates or file number, if possible)	9. SAMPLE OR JOB NO.
1.	<p>UNIFORM CRIME REPORTING (UCR) RECORDS</p> <p>The annual publication of the Federal Bureau of Investigation (FBI), "Crime in the United States," and the quarterly UCR reports (preliminary release) are compiled through the use of reports from which statistical data submitted by law enforcement agencies by city, county, and state are assembled. The UCR Program has been in effect since 1930, at which time the FBI was authorized by Congress to serve as the national clearinghouse for statistical information on crime. This schedule will broaden the disposal schedule (Job No. 351-S114), approved 12/11/50, to encompass all records created or received in conjunction with the UCR program.</p> <p>A. "Crime in the United States." Annual publication which incorporates all facets of crime offenses received from law enforcement agencies by narrative and charts. Crime trends and rates by locality; urban, suburban, and rural arrest trends by age,</p>	

Request for Records Disposition Authority - Continuation

PAGE NO
2 of 7

7 ITEM NO.	8 DESCRIPTION OF ITEM With Inclusive Dates or Retention Periods	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>sex and race; and law enforcement employees assaulted or killed by population group. 14 cubic feet.</p> <p><u>DISPOSITION:</u> Past issues are available through the U.S. Government Printing Office. A limited number of issues will be retained indefinitely for reference purposes.</p>		
	<p>B. <u>The Quarterly UCR reports (preliminary release).</u></p> <p>Published quarterly to provide crime trends in the U. S., regions, counties and cities and crime counts within cities with 100,000 or more inhabitants. Since the releases are followed by the annual publication, lengthy retention periods are unnecessary.</p> <p><u>DISPOSITION:</u> Destroy with exception of current and previous year.</p>		
	<p>C. <u>"Crime in the United States" manuscript.</u></p> <p>Prepared by UCR in handwritten copy, typed copy, and data processing printouts with proof/edit symbols. Manuscript is used by the Government Printing Office to compile the annual publication and returned. 5 cubic feet.</p> <p><u>DISPOSITION:</u> Retain 5 years after publication of annual and destroy.</p>		
	<p>D. <u>UCR handbook</u></p> <p>Published to aid contributors to the UCR Program in the preparation of Uniform Crime Reports. Publication is revised and reprinted whenever significant changes in definitions became effective. Related records include the manuscript. Less than 1 cubic foot.</p>		

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ACTION TAKEN

DISPOSITION of handbook: Limited number retained indefinitely for reference value.

DISPOSITION of manuscript: Retained until subsequent edition is printed.

E. The Return A reports.

Contains the number of offenses reported to local law enforcement, the number later proved to be unfounded, the number of actual offenses, the number of offenses cleared by arrest and the number of offenses cleared wherein persons under 18 years of age were involved. Actual offense and clearance data are entered into the FBI Data Processing (DP) System and printed onto quarterly and yearly record cards. Offense data are printed in quarterly releases and the annual publication. The clearance data are reported in the annual publication. 56 cubic feet.

DISPOSITION of Return A reports:
Retain 18 months and destroy.

DISPOSITION of record cards: Microfilm after 30 months and destroy.

F. Supplementary Homicide Reports (SHR)

Used to collect data concerning murder victims and offenders, weapon used, relationship of victim to offender, motives, justifiable/unfounded homicides and manslaughters by negligence. Data regarding murders is recorded in the FBI/DP system and reported in the annual publication. 28 cubic feet.

DISPOSITION: Hardcopy material is destroyed after 18 months; data is stored on magnetic tape indefinitely.

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ITEM NO.8 DESCRIPTION OF ITEM
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JOB NO.10
ACTION TAKENG. Supplement to Return A reports.

Used to collect more detailed information regarding the number of actual offenses reported on the Return A which include the value of property stolen and recovered. Age, Sex, and Race (ASR) of Persons Arrested reports collect detailed arrest statistics concerning persons arrested by local law enforcement agencies. The Law Enforcement Officers Killed or Assaulted (LEOKA) reports collect the number of local police officers killed or assaulted. The data detail the type of weapon used in the assault, the type of assignment the officer was on at the time of assault, the type of activity in which the officer was engaged and whether the officer was injured. The data collected in Return A, ASR, and LEOKA are entered into the FBI/DP system and printed in the annual publication. Summary record cards are printed annually for each agency's report. 386 cubic feet.

DISPOSITION of reports: Destroy hard-copy material after 18 months.

DISPOSITION of summary record cards: Microfilm and destroy after 30 months.

H. The Law Enforcement Employees report.

Used to collect the number of full-time law enforcement employees by male/female, sworn officers, and civilians. The data are entered into the FBI/DP system and printed in the annual publication. 8 cubic feet.

DISPOSITION: Destroy after 2 years; data for each agency are stored indefinitely on magnetic tape.

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I. Population Source Data.

Used to estimate the population of local and county agencies on an annual basis. Estimates are entered into the FBI/DP system. 17.5 cubic feet.

DISPOSITION of source data: Retain for 3 years and destroy.

DISPOSITION of populations ascribed to contributing agency:
 Microfilm after 30 months and destroy in conjunction with disposition of Return A.

J. Correspondence.

Correspondence with local law enforcement agencies concerning uniform crime reports and records. Material dated from 1930 and is valuable for reference purposes. 56 cubic feet.

DISPOSITION: Retain indefinitely.

K. "Assaults On Federal Officers" publication.

Annual publication initiated in 1972 provides an analysis of the assaults on certain officers and officials of the United States Government to illustrate the hazards facing personnel involved in the enforcement of our laws, the protection of officials, and the prosecution and confinement of law violators. Through the study, agencies may adopt procedures to reduce the frequency of potentially dangerous situations and become more alert to their existence. Information is obtained through reports of investigations conducted by the FBI, the Department of the Treasury, and the United States postal service.

DISPOSITION of annual publication:
 Retain indefinitely for reference value.

Four copies (including original) to be submitted to the National Archives

STANDARD FORM 115-A
 Revised July 1974
 Prescribed by General Services Administration
 FPMR (41 CFR) 101-11.4

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DISPOSITION of manuscript: Camera-ready copy destroyed after publication is printed.

DISPOSITION of source documents: Destroy upon distribution of publication. Source documents are copies of reports maintained at FBI, Treasury and Postal Services.

L. "Bomb Summary" publication.

Annual publication first published in 1972 to provide meaningful information on bombing crimes. Information is gathered from FBI field offices and, in the absence of a Federal violation, dependence is placed with the public safety agencies which advise the FBI when such attacks occur. Backup data include the manuscript and Form FD-436 which is used to collect bomb data. 3 cubic feet.

DISPOSITION of annual publication: Retain indefinitely for reference value.

DISPOSITION of manuscript: Camera-ready copy destroyed after publication is printed.

DISPOSITION of Form FD-436: Retain indefinitely for reference value.

M. "Law Enforcement Officers Killed" publication.

Published annually since 1972 to alert law enforcement personnel to types of potentially dangerous situations to aid in the prevention of further line-of-duty deaths. Nearly 15,000 law enforcement agencies contribute monthly to the UCR program and supply preliminary data concerning law enforcement officers killed. FBI field offices report

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incidents occurring within their jurisdictions and Legal Attache offices provide data on the death of US law enforcement officers on duty abroad. Related records include manuscript and source documents. 10 cubic feet.

DISPOSITION of annual publication:

Retain indefinitely for reference value.

DISPOSITION of manuscript: Camera-ready copy destroyed after publication is printed.

DISPOSITION of source documents:

Retain indefinitely for reference value.

N. Manual of Police Records.

A concise outline of basic record procedures to provide a guide to law enforcement administrators who are establishing a police records system for the first time or as reference to law enforcement officials seeking to improve on existing recordkeeping tasks. The Manual provides an outline on the records pertinent to complaints, investigations, arrests, dispositions, and closely related matters. Revisions are made only as significant progress is made in the field of police records. Related record is the manuscript. Less than 1 cubic foot.

DISPOSITION of publication: Retain indefinitely for reference value.

DISPOSITION of manuscript: Retained for the most recent issue.

Mr. Bailey

9/14/79

P. L. Andrews

**EVALUATION OF RECORDS DISPOSITION
AND FILES MAINTENANCE PROGRAMS AT
THE DEPARTMENT OF JUSTICE**

PURPOSE:

The purpose of this memorandum is to provide the revised page to the report of the Technical Assistance Visit conducted by the National Archives and Records Service (NARS) to clarify the type of records which have been destroyed by the FBI without proper authorization.

DETAILS:

As the result of discussions with representatives from the Administrative Programs Management Staff of the Department and the Records Disposition Division of NARS, on 8/30/79, a revised page to the basic NARS report has been prepared and issued by NARS to prior recipients to clarify that record material destroyed by the FBI without proper authorization related to Uniform Crime Reporting records.

A copy to NARS's transmittal letter and revised pages are attached.

Enclosure
66-18966

1 - Mr. Andrews
1 - Mr. Bailey (Admin.)
1 - Mr. Zolbe
1 - Miss Glock

CMG:kal
(5)

CONTINUED OVER

Memo Andrews to Bailey
RE: EVALUATION OF RECORDS DISPOSITION
AND FILES MAINTENANCE PROGRAMS AT
THE DEPARTMENT OF JUSTICE

RECOMMENDATION:

None. For record purposes.



General
Services
Administration

National Archives
and
Records Service Washington, DC 20408

10/9/79

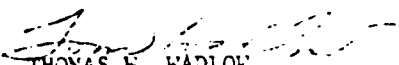
August 31, 1979

Mr. Vincent A. Lobisco
Assistant Director
Records Management Group
Administrative Programs Management Staff
Office of Management and Finance
Department of Justice
Washington, DC 20530

Dear Vince:

In accordance with the understanding reached at our meeting of August 30, 1979, with representatives of the FBI's Records Management Division, I enclose a revised page 4 of our evaluation report of June 1979, covering Department of Justice records disposition and files maintenance programs. As you will note, the revised page complies with the Records Management Division's request that we specify the FBI program area in which an unauthorized disposal of records was discovered.

Please feel free to contact me if any further questions arise regarding the evaluation report.


THOMAS W. WADLOW
Acting Assistant Archivist
for Federal Records Centers

Enclosure

II. DOJ MANAGEMENT OF RECORDS DISPOSITION AND FILES MAINTENANCE PROGRAMS

DOJ-WIDE PROGRAM NEEDS

At present there is no DOJ-wide program for records disposition and files maintenance activities throughout the Department. No DOJ-wide standards have been established, no DOJ-wide policy has been issued, and the only centrally monitored DOJ activity in the areas of records disposition and files maintenance is the annual collection of records holdings figures for submission to NARS on Standard Form 136. Given the lack of DOJ-wide policy and standards, it is not surprising that the effectiveness of records disposition and files maintenance programs throughout the Department varies greatly by component. Figures 1 and 2 chart, on a component by component basis, two primary indicators of program effectiveness: records disposition schedules and formal files maintenance standards. The charts clearly demonstrate that the programs of some components are in much better shape than others. Some components lack these basic program elements, while others have issued comprehensive files maintenance and records disposition manuals for use by their employees. One of the most serious results of the weakness of the DOJ records disposition program, the practice of destroying records without having obtained legal disposition authority from NARS, was discovered in OMB and TEA, as well as in the FBI's Uniform Crime Reporting program area. Detailed assessments of each component's programs appear in Appendices I-VII of this report.

Lack of DOJ-wide standards and policy is accompanied by lack of DOJ-wide oversight over records disposition and files maintenance programs. No Departmental effort is made to monitor the effectiveness of each component's

programs or to insure their compliance with the FPMR requirements governing records disposition and files maintenance.