Development of the Archives and Records Management Programme

by

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I. INTRODUCTION

1. At the request of the Unesco National Commission for Malaysia, the Director-General of Unesco arranged for a Unesco staff mission financed under the Organization's Regular Programme for 1981-1983, to be carried out in Kuala Lumpur from 9 to 17 May 1981. The consultant was requested particularly to advise on:

   - the inadequacy of existing legislation and regulations for effective programme development;
   - the surveying and retention scheduling of agency records;
   - policies and procedures in the archival appraisal of agency records;
   - operational problems of the National Record Centre;
   - the long-term relationship between the Archives Administration and the Records Management components of the total programme.

2. The above terms of reference are quite broad, particularly those relating to overall programme development and future needs. During the course of the mission, the consultant was also requested to advise on a number of specialized matters, including the establishment of a Machine-Readable Records Unit, the establishment of a Vital Records Programme, and on activities involving assistance to agencies in the development of a government-wide and/or improved filing systems. To supplement the information provided on site, copies of relevant specialized publications, including technical studies, procedural manuals, and handbooks, as well as lists of and specifications for essential equipment, have been sent to the National Archives of Malaysia. No attempt has been made to include a detailed consideration of all of these highly specialized areas in this report. The report instead concentrates on the basic functions and activities involved in the programme of archives administration and records management, and on the relationship between these two closely-related programme areas. Additional technical information to supplement the discussions of surveying and scheduling agency records, and of records centre operations, is given in Appendices B and C.

3. To facilitate review and consideration of the report, a summary of major recommendations is provided in Chapter II, along with the numbers of paragraphs in which they are discussed in detail. Following a summary in Chapter III of the background and current status of the National Archives of Malaysia, the report in Chapter IV discusses and recommends specific actions with regard to legislation and regulations, on archival appraisal, and on operations of the Records Service Centre. Because of the essential role of traditional record centres in a Records Management Programme, Chapter V deals with practical operational policies and procedures for such record centres. To assist in planning long-term development, an overview of Records Management and Archives Administration functions and activities is provided in Chapter VI. Chapter VII provides a brief summary to conclude the report.

4. In conducting the mission and obtaining information for this report, the consultant benefitted from the invaluable assistance and generous hospitality of Mrs. Zakiah Hanum Nor and Mrs. Satinam Rijal, Director-General and Assistant Director-General (Records), respectively, of the National Archives of Malaysia. For background information and for an understanding of what had been accomplished to date, he has relied extensively upon reports and articles written by former Unesco consultants to Malaysia, Dr. F.R.J. Verhoeven and Mr. Michel Duchein, and by former Director-General of the National Archives of Malaysia, Dato' Alwi Jantan. The consultant also wishes to express his appreciation for the support received and for the courtesy of an interview to discuss his mission with officials of the ministry responsible for the National Archives, the Ministry of Housing and Local
Government, particularly Deputy Secretaries-General Mohammed Ali Yusoff and Encik Hussein. A list of government officials consulted and with whom discussions were held is provided in Appendix A. Their understanding and co-operation greatly facilitated the accomplishment of the objectives of the mission.

II. SUMMARY OF MAIN RECOMMENDATIONS

5. To promote the more effective development of the Archives and Records Management Programme of the Government of Malaysia it is recommended:

6. That the limited definition of public records in the National Archives Act, 1966 be amended by using more general language that will be broad enough to include all current and future products of information and data recording technologies (see paragraphs 36 and 37).

7. That the Act be amended, at the appropriate time, to extend the jurisdiction of the National Archives to the records of as many government agencies as possible, and that the names of those agencies specifically exempted from the Act be specified in the Act itself (see paragraph 38).

8. That the Act be amended to define all records as government property, and that, if lacking, appropriate provisions be made in the legal code prescribing penalties for the willful destruction, theft, mutilation, and alteration of public records (see paragraph 39).

9. That the Act be amended to give specific authorization to the Director of the National Archives to take custody, unless other disposal is directed by law, of all records of any public body upon the termination of its existence or functions (see paragraph 39).

10. That the Act be amended, or elaborated through circulars or similar official issuances, whichever is more appropriate, to be specifically authorize the National Archives to:

(a) repair and restore damaged archival materials;

(b) to publish, as well as to prepare, finding aids;

(c) to exhibit, and to loan for exhibit, archival materials;

(d) to reappraise archival holdings periodically, and to dispose of those that no longer justify retention;

(e) to make and to provide copies of public archives without itself being in breach of copyright;

(f) to adopt and use a unique seal in certifying copies of public archives in its custody (see paragraph 40).

11. That the National Archives reconsider the advantages and disadvantages of maintaining in the basic Act a uniform closed period of 25 years for all public records, and consider adopting a flexible policy, established by regulation, and geared to the nature of the informational content of particular categories of records (see paragraphs 41 and 42).

12. That the National Archives seek amendment of its organic Act to include specific authorization to establish and maintain a government-wide programme of records management, and to establish and maintain record centres (see paragraph 43).
13. That the National Archives consider providing agencies with guidelines to assist them in helping to identify records of archival value (see paragraphs 45 to 48).

14. That the National Archives consider reconstituting its Advisory Board in such manner that it can share responsibility for decisions to authorize the destruction of non-current public records that lack archival value (see paragraphs 49 and 50).

15. That the National Archives take measures at the earliest possible date to relocate materials of archival value now located in the Records Service Centre to reduce the safety and fire hazard created by the overcrowded conditions, and to permit a resumption of normal operations for the remaining holdings of this facility (see paragraphs 51 and 52).

16. That the National Archives consider establishment within the Records Service Centre, because of its location and archival repository characteristics, of a Machine-Readable Archives Unit and/or a centralized microfilming facility, the latter with major responsibility for a Vital Records Programme (paragraphs 53 to 55).

17. That to assist in establishing one or both of these units, the National Archives request, under Unesco's Participation Programme, the advice of a consultant with extensive experience in the appropriate area (see paragraph 55).

18. That the National Archives initiate a government-wide survey of agency records holdings using forms specifically designed to gather all the data needed to develop (a) disposal lists; (b) transfer lists; (c) records schedules; and (d) inventories of records space and equipment (see paragraphs 58, 101 to 107, and Appendix B).

19. That in advising departmental records officers, and in updating its Records Management Manual intended for use by these officers, the National Archives consider revising its recommended practices regarding the criteria for opening new files (see paragraphs 59 to 60) and for cutting off files (see paragraph 61).

20. That the National Archives re-examine the implications of a records management programme that distinguishes only between current and non-current records. Recognition of the semi-current phase in the life cycle of records would provide justification for a true records centre programme, with the significant savings and cost avoidance in records maintenance costs and the increase in administrative efficiency that are the major benefits of such a programme (see paragraphs 62 to 64, Chapter V, and Appendix C).

III. BACKGROUND AND CURRENT STATUS OF THE ARCHIVES AND RECORDS MANAGEMENT PROGRAMME

21. Prior to achieving its independence in 1957, Malaysia had neither legislation nor regulations governing the overall management of its public records or ensuring the preservation of its archives. Nearly 50% of its records were estimated to have been destroyed during World War II, but it was not until 1948 that the Secretary of State for the Colonies issued a Circular-Dispatch directing a survey of the public records to determine the actual situation, and forwarded for that purpose a questionnaire prepared by the British Public Record Office.

22. The completed questionnaire was returned in 1951, and its findings led to the creation by the colonial administration in 1953 of a Committee on the Preservation and Destruction of Official Records. This Committee undertook a further study, and in its report submitted in 1956 it recommended that administrative machinery be established for the systematic review and disposal of public records under the
guidance of an archivist; that the State and Settlement Governments be invited to participate in a comprehensive records programme for the entire Federation; and that the British Public Record Office be requested to provide a senior officer to survey the public records and to make recommendations for legislation that would govern their administration.

23. The following year Mr. H.N. Blakiston, Assistant Keeper in the British Public Record Office, arrived in Malaysia for a two-month visit. During that period he examined the record depots, registries, strong rooms, and storerooms of 28 central government agencies. In his report, submitted to the colonial government in July 1957, he recommended the establishment of a federal archives service; the construction of an air-conditioned archival repository; and authorization for the head of the service to examine any public records held by any government department in order to make recommendations for their better keeping and to provide for systematic review of non-current records leading to their destruction or transfer. The immediate need that he emphasized, however, was for a salvage and rescue operation for valuable non-current records.

24. Malaysia achieved its independence on 31 August 1957 and within three months the government of the new nation had acted upon the recommendations of the Blakiston report. It appointed a senior member of the Civil Service to establish and serve as head (or Keeper) of a new department called the Public Record Office, which was included in the portfolio of the Prime Minister. Its first decade was a very different one for the new archival agency. Very few trained archivists were available in Malaysia - most of the professional training had to be obtained abroad - and the new department lacked adequate and permanent facilities. At the same time, independence was followed by a period of rapid growth of the government and, inevitably, in the volume of the public records; the annual accumulation of records more than doubled during this period. Nevertheless, a substantial quantity of records having historical value and interest was centralized by the new agency, and much essential work was accomplished in bringing these records under control and in ensuring their preservation.

25. A number of developments significant for the future of the agency also occurred during this initial period. The first was the transfer in 1961 of the Public Record Office from Kuala Lumpur to the Federal Building in the planned satellite town of Petaling Jaya. The new premises provided somewhat expanded facilities, but these were still essentially inadequate for fully developed archival activities. A second significant development was approval by Unesco of the Government request to send a senior Dutch archivist, Dr. F.R.J. Verhoeven, for a four-year period (1962 - 1966) to advise and assist in the development of the agency's programme. Then in 1965 the Public Record Office, recognizing the important role of Records Management in Modern Archives Administration, established a Records Service. To overcome possible fear and opposition by government agencies over "losing" their records, this Service permitted agencies to transfer both their semi-current and non-current records to the Public Record Office and to recall them whenever necessary. At this same time the Public Record Office was establishing basic preservation and reprographic facilities, and expanding its activities to include audio-visual records, the royal archives, the prime minister's archives and library, printed archives, private economic and business records, records of historical monuments, oral history, newspaper collections, and historical documentation in general. In view of these increased responsibilities, and to conform with international usage, in 1963 the Public Record Office was redesignated the National Archives of Malaysia.

26. Historically and necessarily, newly-established national archival agencies have requested, as a basic priority, the construction of a purpose-built archival repository. In Malaysia the construction of a new national archives
building was included in 1961 in the First Malaysia Plan (1966-1970), but no definitive choice of a location for such a building was made until 1966. In the interim plans were completed and construction began of an intermediate repository that was designated the Records Service Centre. Located also in Petaling Jaya, and relatively close to the government building housing the National Archives, the Centre was specifically designed to assist in the preservation of archival material in this tropical region. It would be a two-storey structure of steel, concrete and brick, in which the use of wood was reduced to the minimum. Its foundation was chemically treated to combat the threat of insect infestation, particularly by termites. Provision was made for continuous air conditioning and humidity control. To minimize direct sunlight, no windows were provided in the east and west walls, and the other two walls would have only small, well-insulated glass windows which would be equipped with sun-breakers and would be located high up in the walls. The repository would have fluorescent lighting throughout, which would be used only as needed in specific areas, and would be equipped with mobile steel shelving to permit maximum utilization of the available storage space. Eating and smoking were to be strictly prohibited in or near the repository, and provision was made for numerous chemical fire extinguishers to be located throughout the building.

27. In addition to the above special physical features, the Records Service Centre was also planned to accommodate archival activities not usually associated with records centres. Records transferred to the Centre were normally to be subjected to vacuum fumigation and individually dusted and cleaned. All metal clips and pins were to be removed, and the records were to be arranged at the document level, packed into specially-designed metal free-boxes, and the boxes then labelled and shelved. During this process records requiring repair or restoration were to be listed and priorities assigned for their transfer to the restoration laboratory for the necessary work.

28. The completion of the Records Service Centre in 1965 was followed by passage the following year of the first Malaysian National Archives Act: This 1966 Act, which is examined in greater detail later in the next chapter, specified that it was the duty of the Director of the National Archives "to examine any records in the custody of a public office and to advise such office as to the care and custody of such records". To assist in carrying out this responsibility, the National Archives requested each agency or department of the Government to appoint as its records officer an official of at least executive grade. This official would be responsible for the agency's records throughout their life cycle, from the time of their receipt or creation by the agency, through their maintenance and use for current business, until their eventual disposal, either by transfer to the National Archives or destruction as approved by the National Archives. To these agency records officers the National Archives then issued basic instructions regarding paper storage conditions, which were followed by periodic visits by staff members of the Records Service Centre to provide additional advice and assistance where necessary. Agency records officers were also provided with training (one-week courses twice each year), which included practical demonstrations at the National Archives.

29. Having made provision for a programme involving the current or active phase in the life cycle of records, the National Archives then tackled the problems involved in the disposal of public records that were no longer needed in offices to conduct current business. In the interests of administrative efficiency and economy, and to ensure the preservation of records of archival value, it established a programme providing for a review of all government records.

30. The initial plan, patterned after the British practice, was for a joint review by the National Archives and a particular agency of all of the agency's records that were more than 5 years old, to determine which could immediately be destroyed.
Those that survived this review were to be transferred to the Records Service Centre where they would be subject to a second joint review after another 15 years. The small percentage that survived this second review were to be preserved permanently for reference and research as the archives of the government, and were to be opened to the public for use after they were 25 years old. By 1969 the first review had been moved up to provide for an annual review of all records more than 3 years old. Those that could not be destroyed immediately, or that were not then to be transferred to the Records Service Centre, were to be retained by the agency for a longer, but unspecified period. This revision in the initial plan introduced for the first time the concept of scheduling. An educational campaign was undertaken to gain the acceptance of this programme and the co-operation of the agencies in its implementation, and within a relatively short period the programme was achieving economies in storage space and equipment, and in the improvement of the conditions under which records still in agency custody were being maintained.

31. It should be noted however, that the long delay in the construction of an adequate National Archives Building had forced the agency into using the Records Service Centre as an archival repository, rather than as a true records centre, since semi-current records, which constitute the basic rationale for a record centre, were not being transferred to the Records Service Centre because of lack of space, and were instead being retained by the agency. The Records Service Centre, which went into operation in 1965, provided a total storage capacity of some 16,800 linear feet of shelving. In one single year, 1969 for example, more than 4,600 linear feet of records were transferred to the Centre from various governmental agencies, and by 1971 the Centre could accept no further transfers for lack of space.

32. During this period of rapid expansion the National Archives, as previously indicated, had assumed responsibility - through necessity and by default - for a wide range of activities extending far beyond traditional public records. As early as 1961 it had also been assigned responsibility for administering the 1950 Preservation of Books Ordinance. Then in 1966, at the request of the Government, it established a National Library Service, to serve as a nucleus of a future National Library. This Service administered the 1966 Preservation of Books Act, and served as the depository for the two copies of all publications in Malaysia that were required to be deposited under this act. It was responsible for publishing a quarterly catalogue of these deposits, and of transforming this catalogue into a current national bibliography. These library responsibilities of the National Archives continued until the National Library was formally established in 1971. Nor were the needs of government agencies located outside of Kuala Lumpur neglected during this period. In 1970 the National Archives began establishing a series of branch offices. By 1981 there were five branch offices embracing all parts of the country, and emphasizing chiefly records management activities. This rapid expansion and growth of the National Archives was reflected in the rapid increase in the size of its staff. The original 1957 staff of 3 had increased to 35 by 1965, and by 1981 the National Archives had a total professional, technical, and administrative staff of more than 250 persons.

33. By 1981 the most serious problem facing the National Archives was the lack of adequate storage facilities for its holdings. The construction of a purpose built National Archival Building, as has been noted, was included in 1961 in the First Malaysia Plan, but a site for the building was not selected until 1966. Difficulties in the acquisition of the site were not resolved until 1971, and funds for construction of the building were then included in the Second Malaysia Plan (1971-1975). Construction did not begin, however, until July 1977. The building was to have been completed by the end of 1979, and although construction has fallen behind schedule, it should be ready for occupancy by late 1981. The availability of this new facility should have a significant positive impact on all of the
programmes and activities of the National Archives. Some of the implications of this development, and measures recommended to assist in making necessary adjustments, are detailed in the next several chapters of this report.

IV. CURRENT PROBLEMS AND RECOMMENDED SOLUTIONS

Legislation and regulations

34. Prior to passage of the National Archives Act, 1966, the authorities, duties, and responsibilities of the Public Record Office (and later National Archives) had been partially defined in a series of General Circular Memoranda. The most important of these were General Circular Memorandum No. 12 of 1961, prohibiting the destruction of any "files or other public records" without prior consultation with and the approval of the Keeper of Public Records (except for Treasury account books and records, which were subject to other regulations); No. 3 of 1962, which related to Printed Reports and Printed Records, except those of a Secret or Confidential nature; and No. 10 of 1964, which repeated the provisions of No. 12 of 1961 and provided advice to departments on the care and maintenance of their records.

35. The National Archives Act, 1966, established the National Archives on a permanent basis, defined its duties and responsibilities, and made provision for its administration and operations in the areas of both archives administration and records management. The act was supplemented by General Circular Memorandum No. 20 of 1966, which specified that all public records of concerned agencies dated before 31 December 1941 were to be transferred to the National Archives and established a procedure for the transfer. A formal amendment was made to the act in 1971, and by General Circular No. 23 of 1972 all of the above circular letters were cancelled and the following policies and procedures were established. In accordance with the 1966 act and the 1971 amendment, all government departments and statutory bodies (except State agencies in Sabah and Sarawak) were required to transfer to the National Archives all records more than twenty years old that the Director-General of the National Archives judged to be sufficiently important to be preserved. In implementing this policy, agencies were required to list annually all of their records over five years old, and to forward separate lists, by physical type or form of records, of all records for transfer or destruction. Separate provisions already existed for financial records. Agencies were again reminded that no records could be destroyed without the approval of the National Archives. Agencies were once again requested to appoint an officer at the executive level to be responsible for the care of the agency's records, and were again informed that all records transferred to the National Archives could be called back at any time for reference use. Finally, the attention of all agencies was drawn to Section 12 (2) of the 1966 act, which forbids any public official from making available "to the public for the purpose of reference and research any public records, except in the course of his official duties".

36. The National Act, 1966 as amended and supplemented by General Circulars, necessarily reflects the administrative and record-keeping policies and practices of the federal Government, and must be examined and evaluated in this context. Viewed in its entirety, the act provides a relatively sound basis for a public archival and records management programme. Several of its provisions, however, fail to take into account basic changes that have occurred in a number of areas in recent years, and there are a number of omissions with respect to matters usually included in archival legislation. It is therefore recommended that more effective development of the total programme could be facilitated by amendments to the law in a number of particulars, or by its elaboration through circulars, orders, regulations, or similar official issuances, whichever is more appropriate.
37. The most serious matter, and one that may have the most unfortunate consequences, is the limited definition of "public records" as meaning:

... papers, documents, records, registers, printed materials, books, maps, plans, drawings, photographs, microfilms, cinematograph films and sound recordings of any kind whatsoever, officially received or produced by any public office for the conduct of its affairs or by any officer or employee of a public office in the course of his official duties.

The experience of a number of countries has been that the enumeration of physical types and/or forms in the definition of public records always lags behind new technology, and thus creates continuing problems in the applicability of the definition. In the present instance, for example, no mention is made of computer tapes, discs, cores, and software documentation, nor of videodiscs and videotapes. Because of the restrictive character of the definition, these materials are not public records, even though officially received or produced by government agencies. To deal with this problem it is recommended that consideration be given to more general language, such as:

"records" include all recorded information, regardless of media, physical form, or characteristics, created or received ... in accordance with law or regulations or in the conduct of its business.

If desired, this could be expanded to read: "This includes, but is not restricted to, papers...". The intention here, which should then be elaborated by circular letter, etc., is that all recorded information created or received by a public body, whether manuscript, typescript or printed; whether textual, cartographic or audiovisual; whether on parchment, paper, film, or magnetic tape; and whether human or machine-readable (microforms and coded data), is included within the definition of records. The definition would also then be broad enough to include still emerging information and data-recording technologies, such as holography.

38. The act also does not make clear the actual scope of jurisdiction of the National Archives, and leave the inclusion - or exclusion - of any particular public body to the legislative authority. Ideally, a National Archives should serve the archival and records management needs of all organs of the national government, executive, legislative, and judicial, civil and military. The archival agency should make every effort to include all public records within its jurisdiction, and where, for compelling reasons, certain agencies are exempted from the provision of the basic archival legislation, it is recommended that the exclusion be made explicit in the act, and that the act permit the extension of archival and records management services to these agencies on a permissive basis, at their request. To prevent needless and costly duplication of staff and facilities, however, as few agencies as possible should be excluded from what are essential government-wide services. Should this not be practical at the present time, the inclusion of all agencies, even if only on a permissive basis, should remain a future objective of the archival programme.

39. Consideration should also be given to including in the law an explicit statement to the effect that all records are the property of the government, and should remain in the legal and physical custody of the government unit that created or received them in the conduct of its business, or of its designated successor in function. This would provide a sound basis for the provisions that no records are to be destroyed, alienated or disposed of in any manner, except as prescribed by the National Archives. In that portion of the legal code dealing with penalties for misuse or destruction of government property, there should also be prescribed
penalties, if they do not now exist, for wilful destruction, theft, mutilation, and alteration of public records. In addition, specific authorization should be included in the act for the Director of the National Archives to take custody, unless other disposal is directed by law, of the records of any public body upon the termination of its existence or functions. This has proved to be important in preventing the loss or destruction, by other parties, of the records of such public bodies.

40. With regard to basic archival functions, the act would appear to give the National Archives the authority necessary to accession, arrange, describe, preserve, make available for reference and research, reproduce, and publish public archives. Basic archival legislation usually also includes specific authority to repair and restore damaged materials, to publish as well as to prepare finding aids, and to exhibit, or to loan for exhibit, archival materials, under certain safeguards. Increasingly important is provision for reappraisal of archival holdings periodically, with the right to dispose of those that prove not to be of sufficient value to warrant their further preservation. This is, however, still a controversial matter, since many archivists, particularly in Europe, maintain that archives, by definition, are of permanent value. Other archivists, particularly in North America, will agree that certain records (those establishing and documenting the rights and interests of the government, for example) are of permanent value, but that records selected primarily for this research use (or informational value) because of the incidental information they contain, do not fall into this category, and should be subject to periodic reappraisal. The act should also give specific authorization to the National Archives to adopt a unique seal to be used in certifying copies of public archives in its custody. Because of the apparent continuation of the British concept of Crown copyright, under which no public archives can be published or reproduced in whole or in part without the written approval of the Director of the National Archives, consideration should also be given to a specific provision authorizing the National Archives not only to make and provide copies of public archives that are available for public use, but to do so without itself being in breach of copyright.

41. The basic legislation defines public archives as those public records more than 25 years old that have been selected by the Director of the National Archives as meriting preservation because of enduring national or historical value, or both, and that have been transferred to a designated repository. The act thus established a uniform closed period of 25 years. In dealing with this difficult problem of public access, it is recommended that the experience of more than one country be considered, particularly the experience of countries that do not use the same fixed closed period for all public records. In many countries records containing personal information, the disclosure of which may constitute an unwarranted invasion of privacy, are exempted from access for much longer than 25 years, (in several cases, more than 70 years), while at the same time many records relating to general government programmes and activities were made available for research, without any harm to the government or to any individual, as soon as the file or series is no longer needed by the originating office and has been transferred to the National Archives. It has been observed that a nation that does not preserve or that needlessly restricts access to its archives risks having its history written by its critics and its enemies. In the present instance, official publications will not serve as a substitute for historical and other studies written by independent scholars and based upon the maximum possible access to and use of the original records.

42. The responsible officials should therefore weigh carefully the disadvantages as well as the advantages of a rigidly uniform and conservative access policy. There is ample evidence that the best interests of the government and the people are not always served by placing all records under the same date limitation. It might
also be noted that a number of national archival agencies which once insisted that a
100-year or 75-year restriction on all records was indispensable, now operate with
flexible access policies. As a general policy, access should be as liberal as the
essential protection of the rights and interests of the state and its citizens will
permit. Many non-current files could be opened for research after they are screened
to make certain they do not contain information that would jeopardize the essential
rights and interests of the government, or that would violate personal privacy.
For maximum flexibility, consideration should be given to providing for access to
the Archives by regulations, rather than by specifying in the law a uniform closed
period of years for all records. This would also require revision of Part II, 2 (a)
(1) of the present law.

43. With regard to records management functions, the National Archives Act does
include the indispensable "right of inspection" by the National Archives of
all public records and the duty to advise agencies as to the care of the records in
their custody. Consideration should be given, however, to including in the Act
specific authorization to establish and maintain a "government-wide records manage­
ment programme to promote economy, efficiency and effectiveness in the operations of
the government in the creation, maintenance and use, and disposal of records". Also
desirable would be specific responsibility for and authority to establish one or
more records centres, which may be defined as:
Specialized facilities maintained by the National Archives for the storage,
security, use, and processing of agency records that must be preserved
for varying periods of time but need not be retained in office equipment
and space.

44. It is recognized that all of the above recommendations and suggestions may not
be in complete harmony with traditional and current legal and administrative
practices in Malaysia. To the extent that they can be implemented, however, they
should help eliminate a number of potential problems while at the same time
strengthening the position of the National Archives in discharging its responsi­
bilities.

Archival appraisal of agency records

45. The appraisal of public records to determine their most appropriate disposal is
the most professionally challenging of archival responsibilities. As indicated
later in this report, appraisal of the evidential and informational value of records
requires not only the kinds of data resulting from records surveys, but also exten­
sive research in and knowledge of the administrative history of the government; of
the particular agency with which the records originated; of record-keeping systems
and practices; of the history of the country and of general history; and a familiar­
ity with scholarly research principles, practices, needs, and trends, particularly
in history and related disciplines. Responsible and effective records appraisal
must take into consideration the total documentation of an agency, both published
and unpublished. It must determine the relationship of that documentation to the
documentation of other agencies, and to non-governmental sources of information.
In brief, since appraisal involves the destruction of unique documentation, it is
the most important and professionally demanding archival function.

46. Since continuing concern has been expressed regarding criteria for selection,
and, by implication, for destruction of public records, a number of specialized
studies dealing with this matter have been sent to the National Archives. Despite
the variety of approaches used in different countries, the basic selection criteria
for public records, and, by extension, the records of all other types of institutions
and organizations, may be summarized as follows:
(a) all records that document (establish, provide evidence of, interpret, etc) the rights and interests of the Government and the people, both collectively through their institutions and organizations, and individually;

(b) all records that document and relate to the origins, structures, functions, procedures and significant transactions of all Government agencies (i.e., all records that should be preserved as evidence or for reference by the Government itself, and that would be needed to write the history of the public administration, and the history of each agency);

(c) all other records that contain unique information useful for research and reference.

47. With most records dating from the late 19th century, the selection is usually made on the basis of entire classes (series) of records, because of the great volume and frequently routine character of the materials created and accumulated by governments in modern times. When case (subject) files or particular-instance papers (dossiers) are involved, selection must frequently be made at the individual file unit level. The real problems of selection do not usually involve categories (a) and (b) as defined in the preceding paragraph. Persons with historical training, with a good knowledge of the history of their own country and of their Government and its activities, past and present, and willing to study its administrative and record-keeping policies and procedures, usually have relatively little difficulty in selecting for preservation records that meet these criteria. The major problem lies with category (c), where historical training and experience alone may sometimes prove to be a liability.

48. The historian fully recognizes that all recorded information may some day have value and use to someone for some research or reference purpose, but this recognition must be balanced by realization that the volume of modern public records makes the cost of preservation of all the records, or of even any significant percentage of them, prohibitive. Practical judgment must be exercised, and experience has indicated that no two judgments, however well-qualified and experienced the persons making them, will be identical in every case. Experience has also demonstrated that the archivist, who more than anyone else can appreciate fully and consider all the factors involved, and who has awareness of and sufficient access to the total documentation available, is best qualified to make balanced judgments in this matter. To recognize the routine and the trivial, the files and the series that will not contribute information significant enough to warrant the space - and cost - of their preservation, requires that the archivist actually make - and defend - appraisal judgments.

49. In this connection, it is recommended that consideration be given to including the Advisory Board in the records appraisal and disposal procedures. Since the basic value and uses of public records are, in the first instance, evidential - administrative, legal and financial - consideration should be given to requesting the heads of the major government agencies in each of these three areas to designate their representatives to serve on the Board. Since archives have a basic cultural and educational value, and tend to be used primarily for scholarly and other types of research, representatives from those agencies primarily responsible for education and cultural activities should also be considered for appointment. Provision could also be made for at least one representative of a regional or municipal government, and for one or more representatives of the scholarly community and the general public. An Advisory Board thus constituted could then be used to approve all proposed destructions of records by disposal list, and, as they are completed, of all agency records schedules. This system has proved very effective elsewhere - provided that thorough reports with recommendations on each of the requests are
first prepared and presented to the Board by the National Archives. Once the National Archives has demonstrated its competence in the appraisal function, review and approval by the Board would tend to become little more than a formality.

50. The major value of this use of an advisory body is that the Board, by virtue of its membership, serves to protect the National Archives against any possible later governmental or outside criticism for having approved the destruction of certain files or types of records. Where an archival service has long been established, such use of the advisory body may well be regarded as neither necessary nor desirable, as, for example, in England and France, but it has demonstrated its value in countries where archival programmes are just being established. In some systems that use an advisory body this way, the national archivist is given an absolute veto, or else only those requests on which the national archivist desires advice are referred to the advisory body. All of these alternatives should be carefully considered.

Records Service Centre operations

51. Because of the circumstances in which it was planned and constructed, the Records Service Centre is both more - and less - than a traditional records centre. In terms of its location, multistorey construction, provision of a fumigation chamber, temperature and humidity control, and mobile shelving, it exhibits features of a purpose-built archival repository. But these same features prevent it from providing the relatively inexpensive storage of semicurrent records, pending their disposal, that is the essential characteristic of a records centre. These are the controlling considerations that should be taken into account in planning the optimal use of this facility in the future programme of the National Archives.

52. The immediate problem, however, and one which will be finally eliminated with the occupancy of the new National Archives Building, is the very badly overcrowded situation in the Records Service Centre. With records stacked in all available space and even lining the corridors, conditions in this building constitute a serious safety as well as a serious fire hazard, and impede the efficiency and effectiveness of all operations. Should these same conditions still prevail, because of delays in completion of the new building or in its occupancy, the following measures are recommended:

(a) a complete moratorium on all transfers of records to the Centre. In emergency situations, where the preservation or safety of the records proposed for transfer is in danger, provision should be made for the temporary storage in the present headquarters of the National Archives or some other relatively safe facility;

(b) a comprehensive appraisal of all records now stored in the Centre, and authorization and destruction of any that do not have archival value;

(c) restoring to service the fumigation chamber, and fumigation of the maps, plans and other oversize documents that occupy a disproportionate amount of the available space in the Centre. This material should then be temporarily relocated in the current National Archives building, if necessary, or else transferred directly to the new building;

(d) fumigating and inventorying the Printed Archives now housed in the Centre, and their removal to temporary storage facilities, if necessary, or else transferred directly to the new building;
(e) fumigating, reshelving and revising location registers for the records remaining in the Centre, pending the transfer of those of archival value to the new building.

53. To use to full advantage in the future the location and special features of the Centre, it is recommended that consideration be given to one or both of the following proposals: establishment within the Centre of a Machine-Readable Archives Unit, and/or a centralized microfilming facility, with priority in microfilming being given to a Vital Records Programme.

54. Because of the special storage requirements of machine-readable and related archives - for example, temperature and humidity control, and the need for this material to be located conveniently in agencies and their computers and computer staffs (since the National Archives does not have nor does it anticipate soon acquiring its own computer) - the Records Service Centre would be an ideal location for the specialized archival unit that should be established for Machine-Readable Archives. The volume of such holdings in the immediate future will not create a space problem, and such holdings are rarely, if ever, used in conjunction with conventional archives. There would therefore be no problem of physical separation from the other research resources located in the new National Archives Building.

55. Similar considerations also recommend the future use of the Records Service Centre for a centralized microfilming operation. Convenience of location to government offices would minimize the time spent in transporting records. The construction, environment controls, and fire protection of the building would permit its use to have the master negatives created not only through the Vital Records Programme, but by microfilming operations directly connected with archival activities. This unit would then also be able to serve smaller government agencies whose occasional micrographic needs would not justify their acquiring and operating their own facilities. Should either of these recommendations be adopted, the Government may wish to request under Unesco's Participation Programme the services of a specialist consultant in either of these fields to assist in planning, equipping, staffing, and training personnel for these technical units.

56. Consideration should also be given to using the remaining storage space in the Centre to house secret and confidential files that have archival value, but have not been transferred to nor accessioned by the National Archives, and that are not yet available for public use. A separately controlled security area could be established for such material. Since the basic legislation places confidential and secret files beyond the inspection jurisdiction of the National Archives, adoption of this policy might assist in developing confidence in the National Archives for the safe-keeping of such noncurrent materials until they are eligible for archival accessioning.

57. During the mission it was impossible, because of the overall situation regarding storage space, to evaluate use of the Records Service Centre as a traditional records centre. On the basis of information obtained through discussions with the National Archives staff and agency records personnel, and a study of the various forms used and the 1972 Records Management Manual published by the National Archives, the following recommendations and suggestions are offered for consideration.

58. The forms examined that are used to implement the appraisal, disposal and transfer functions are well designed to serve their specific purpose. The Inspection and Survey Report used by the Records Service Centre to record information on agency records and records management activities is particularly useful. The most significant omission is a well-designed form to survey in detail agency records holdings,
and to record the data necessary to make retention decisions. Appendix B contains several sample forms that could be adapted for this purpose. In making this adaptation, particular attention should be given to providing for the data itemized in paragraphs 101 to 107 of this report.

59. A review of the 1972 Records Management Manual indicates the need not only for a revised edition to accommodate changes that have occurred in the past decade, but also the desirability of reexamining the advice offered to departmental records officers with regard to the opening of new files, the cut-off of files, and the definition of non-current records.

60. With regard to the opening of new files, one of the major disadvantages of traditional registry systems is that a new file is opened for each new subject with the receipt of the first document on that subject. The consequence is file rooms overflowing with individual subject files, many of which never contain more than three of four documents. In many modern filing systems, a new file is not created until at least ten documents are accumulated on the same subject. This may be too radical an innovation for records personnel, but an effective compromise could be five or six documents. Until such time as five or six documents are accumulated (created and/or received) on a particular subject, the documents are marked with their subject content and maintained in alphabetical order in one continuous "open file". For transmittal for action they are temporarily fastened into a cover that is also temporary, then returned to their proper place alphabetically in the open file when action has been completed. Only when five (or six) documents have accumulated on the same subject is a separate file opened on that subject. The open file is reviewed periodically to remove the inactive "subjects" (documents) to which there have been no additions. This relatively simple system would eliminate government-wide thousands of 2 and 3-document files, which clutter up registry offices and record store areas.

61. Consideration should also be given to changing the criterion for "cutting-off" files. Departmental records officers are now advised that after a file accumulates 100 enclosures it should be closed and a second volume begun. Because of the wide variation on the thickness of enclosures - reports, for example, as compared to correspondence and memoranda - consideration should be given to using a criterion of one inch; once files become approximately one inch thick, for convenience in transmittal and handling they should be broken or cut off and a second volume begun on that subject.

62. Finally, the Manual compresses the life cycle of records into two phases - current and noncurrent, and, as a consequence, adopts a frequency-of-use criterion - records consulted twice in a twelve-month period - that prevents the records management programme from realizing its full potential. As indicated in Chapter 6, effective management of records requires recognition of three phases in their life cycle - current, semicurrent, and noncurrent. The real benefits of retention and disposal schedules lie in their providing for the transfer of semicurrent records out of office space and equipment - and out of office building space in general - to specially constructed storage space until all of their probable use by the administration has been exhausted, followed by the destruction of most of them.

63. Experience and studies have repeatedly demonstrated that the most frequent use of records for the conduct of current business occurs during the first several months following their creation or receipt. Use then falls off rapidly, so that, except for reporting, auditing or similar control purposes, almost all administrative uses have been exhausted within the first two years. This would suggest that all files, regardless of their thickness, should be broken at two-year intervals.
Should the files then be retained for an additional two, or four, or even more years, to satisfy long-range fiscal, legal, or other use, they should be transferred to and retained in a record centre until the expiration of that specified period. This is the semi-current phase of the life cycle, and the one that records centres were specially created to accommodate. Under the present system, semi-current records are retained by the agencies and there are relatively little significant savings or cost avoidance in space, equipment and personnel.

64. Development of a programme based upon the full life cycle concept of records management would require that realistic retention periods be established for both office and, if necessary, records centre retention of all files, based upon actual use of the records. The present system permits the controlled destruction by the agency of those records that have no continuing value. It does not, however, provide for the transfer and low cost storage and servicing in the records centre of those records which have different limited but not permanent continuing value. Procedures for establishing such a flexible retention programme are given in paragraphs 101 to 107. Chapter V provides an explanation of how a records centre should be organized and operate in terms of the semi-current stage of the life cycle of records. Should the National Archives later decide to establish such a traditional records centre, paragraph 91 provides some guidelines for its planning and construction.

V. RECOMMENDED POLICIES AND PROCEDURES FOR RECORD CENTRE OPERATIONS

65. Although specialized facilities for the more efficient and less expensive management of semicurrent and noncurrent records were created during and after World War II in North America and in several Western European countries, the advantages of such facilities — usually called record centres or intermediate repositories — still have not been fully recognized in most countries. Nor is there general understanding among administrative personnel of the important role such facilities play in contributing to administrative efficiency and economy in records operations.

66. Record centres constitute a vital link between public archival repositories and the Government agencies they are intended to serve. In brief, through their establishment and operations they permit systematic control and management of public records throughout their life cycle, they facilitate the authorized and timely destruction of records no longer needed for ongoing business and lacking in archival value, and they contribute to the identification and preservation of those records that do have archival value.

67. The policies and procedures recommended below represent a composite of those of a number of European and American record centres for public records, as modified to meet the present and future needs of the Government of Malaysia. Additional information on the organization and operation of record centres in particular countries has been sent to the National Archives.

Record Centre storage numbering system

68. Most record centre storage systems are based upon a comprehensive and systematic location numbering of uniform shelf spaces. There are many variations of the basic system, but any system adopted should be simple, should follow the normal patterns of search and reading (from left to right and from top to bottom), and should not duplicate numbers for different locations in the same centre. All shelf spaces should be numbered before any boxes are assigned to the space to help prevent errors. Good management also requires periodic "reading of the shelves", i.e., verifying that boxes are in their assigned location.
69. As indicated above, the numerical progression from shelving unit (or bay) to shelving unit, and from row to row, should maintain the left-to-right sequence. To enable the centre staff to determine quickly which access aisle will lead to a specific desired shelf location, the first and last shelf location numbers in each row of shelving should be prominently posted on the end panels of the row.

70. This proposed shelf space numbering system is based upon the size of a record centre box. Once the size of the box has been determined, all shelf spaces should be numbered as indicated above. Rather than create a separate space-numbering system for smaller-sized boxes, such as archives boxes, which would limit the flexibility needed in space assignment when using the same building for both an archival repository and a record centre, a more practical system is to assign two archives boxes to the same numbered space, and to use the suffix A or B with the space number to distinguish between them. This system permits storage of both types of material in the same stack area, although it is normally desirable for archives to be maintained in stack areas separate from those housing records of only temporary value that will eventually be destroyed.

71. Once transfers of agency records have been made to the centre, a card should be prepared for each vacant shelf space or block of vacant space. The card should record the number of spaces involved and give the inclusive space numbers. These cards should be filed according to the total number of vacant spaces involved, starting from the largest to the smallest. When a new transfer is received the card file should be checked for a space large enough to accommodate the number of boxes involved.

72. In assigning space for transfers of records, considerations other than matching space needs with vacant spaces should be taken into account, particularly the anticipated frequency of reference service on the records. Whenever possible records requiring frequent service should, for convenience, be located as close as possible to the office area.

**Records transfer policy and procedures**

73. At the same time that it undertakes a survey of agency records, the archival agency should develop and distribute a records transfer form to serve as a transmittal list by agencies in transferring their semicurrent records to the centre for storage pending their ultimate disposal. The necessary record centre boxes should also be provided to agencies so that all agency transfers will be in uniform boxes which will permit maximum use of the available storage space.

74. After packing the boxes with the files or other records intended to be transferred as one shipment, the agency should list and identify the contents of each box on the records transfer form. The description should be sufficiently precise to enable both the transferring agency and the centre staff to identify both an individual file and the particular box in which it is located in the event of future need.

75. The agency transferring the records should assign to each box in a particular shipment a temporary serial number, and should record this number on the transfer form. Two advance copies of the completed form should be sent to the centre to request permission to transfer the records, but in exceptional circumstances approval and arrangements for transfer may be made by correspondence or telephone. Once agency records schedules have been developed, the centre should not ordinarily accept records not included on a schedule, records eligible for destruction within two years of the requested date of transfer, and any records not adequately identified by the transferring agency.
76. It should be understood that initially archival personnel will assist agency records officers in preparing records transfer forms. As the records management programme develops, however, guidelines and workshops should be prepared to train agency personnel to perform this activity.

77. Following review of the advance copies requesting approval to transfer records, the centre should return one copy to the originating agency with its written approval. The centre staff should be responsible for physically transferring the records. One copy of the transfer form should accompany the records as a transmittal list, and experience has indicated the desirability of the transferring agency placing another copy in the first box of the shipment.

Records receiving policies and procedures

78. Upon receipt of a shipment of records, the centre should assign a single accession number to the entire shipment received from a particular agency. Usually the system used is the final two numbers of the year followed by a sequential number, beginning a new sequence each year. Thus 82-1 would be the first shipment received in 1982, and 82-10 the tenth shipment received in 1982, regardless of the agency transferring the records. Use of this system requires that the centre establish a register or log to control the number of assignments and to record the origin and size of the shipment. The log should also record the location of the records in the centre once they have been shelved.

79. After the shipment has been assigned an accession number and logged-in, the centre should determine what space is available for its storage. Space assignment considerations have already been considered above. Once the space assignment has been determined, the corresponding shelf location number should be written on each box, preferably in the upper left corner on the front of the box (the side facing the aisle). This number should also be recorded on the transfer form and on the shelf list, since this number will be the principal means of identifying the box and its contents. A copy of the transfer list bearing the accession number of the shipment and the space location number of each box involved in the shipment should then be returned to the transferring agency. This will provide the agency with the information it needs - the accession number and the stack location number - to request either the loan of information from its records located in the centre.

Reference service policies and procedures

80. An agency may request information from its records in the centre (or from the records of other agencies with the prior approval of the transferring agency), or the loan of its records, by giving the titles or other identification of the files, the accession number of the shipment in which they were included, and the shelf space number (box number) of the box in which they are located.

81. To control and report on reference services requested and provided, the centre should develop and distribute to transferring agencies a form to be used in requesting services. A separate form should be used for each file or group of files involved in a single request, whether for information only from the files or for loan of the files, and the requesting agency should submit the completed request form in duplicate. When a file or group of files is removed from a box in response to a request, one copy should be placed in the location within the box from which the file or files have been withdrawn to serve as a "charge-out" record. This copy will serve to indicate what agency or office requested the files and the date of the request; it should remain in place of the withdrawn files until they have been returned. The second copy of the reference request form should be marked with the
date the request was answered, and then filed by name of requesting agency for control, follow-up, and report purpose by the centre office.

82. In well-established record centre programmes it is not generally necessary to ensure the return to the centre of loans of an agency's own records. For loans consisting of one or more boxes, however, a periodic follow-up should be made (quarterly, for example) to determine if the shelf space from which the boxes have been removed should continue to be reserved for their return. This practice is based upon the fact that although transferred records pass into the physical custody of the centre, in most countries legal title and custody of such transferred records remain with the transferring agencies. They may thus make what are, in fact, permanent withdrawals, when needed. For loans of individual files or group of files not involving an entire box, an annual review of loans outstanding for more than six months is advisable.

Disposal policies and procedures

83. After the development and approval of record schedules, a transferring agency should include on the transfer form the approved retention period and reference to the authorized disposal authority for all records involved in a transfer. The centre should verify the accuracy and correct or complete these references as necessary. In many cases it is necessary to add the exact year and month when the particular records involved become eligible for disposal, since schedules determine only retention periods and do not usually record the eligible disposal date of particular files in series of continuing records.

84. A number of systems have been developed to control disposals. The most simple involves creation by the centre of two copies of a card identifying the records involved in each shipment by transferring agency, by accession number and box/shelf space number, and the year and month the records are eligible for disposal. One copy should be filed by disposal date (year and month) and serves as what is generally called a "tickler" (reminder or trace) file. The second copy should be filed alphabetically by name of agency, and becomes a convenient source of information on all records held by the centre from a particular agency and the dates they are eligible for disposal. If an agency has numerous organizational units which have each transferred records, the cards should be grouped under the agency name and filed thereunder alphabetically by name of the subordinate organizational unit.

85. In some systems a third card is created which is filed numerically by the storage space number of the first box in each shipment. These copies are used in preparing reports and for other administrative and statistical purposes after the records have been destroyed. If the transferred records do not have an approved disposal date, the card usually placed in the tickler file by date should be placed in an unscheduled file arranged by name of agency. These cards are then used to review with agencies their progress in scheduling the records for either destruction or transfer to the archival agency.

86. When the eligibility for disposal of transferred records is dependent upon a particular undated event, i.e., "retain for one year after audit," or "retain for five years after construction is completed," cards representing these records should be retained in a separate file organized by agency to facilitate periodic follow-up on the status of the designated event.

87. Normally two months before any transferred records are eligible for disposal a notice should be sent to the agency requesting its concurrence in the action. Such notices usually contain a statement that if a response is not received within
30 days it will be assumed that the agency concurs. When an agency fails to respond, follow-up should be made by letter or telephone to determine that the notice was in fact received by the appropriate official in the agency.

88. Since not all records transferred from any agency, and not necessarily all records included in one shipment from an agency, are disposable at the same time, it is not practical to attempt to keep together within the centre all records transferred at different times from the same agency. Transfers should be shelved systematically and in accession number order throughout the stack area until all space has been utilized. When disposals then result in blocks of open spaces, new transfers of the same or of nearly the same number of boxes as were involved in disposals should be used to fill the vacant spaces.

Specialized equipment

89. To operate efficiently a record centre also requires:

(a) a small pick-up truck to transport transferred records and to deliver and return loaned records from agencies;
(b) one or more hand platform trucks capable of accommodating about 12 records centre boxes;
(c) a minimum of three mobile utility carts that are used primarily in withdrawing and returning files, and that eliminate the need to place boxes on the floor during these operations;
(d) step-ladders of sufficient length to permit convenient access to boxes located on upper shelves;
(e) a dry-copying machine, which is essential to meet both administrative needs and to provide basic reference services on agency records in the centre.

90. Implementation of the above general policies and procedures, modified as required by special circumstances, would result in the establishment and operation of an efficient record centre. Within a relatively short period the centre should be able to demonstrate significant savings and cost avoidance with regard to new or recovered office space and filing equipment. It would also provide a sound basis for the further development of a government-wide records management programme, and would link the archival agency as an administrative services agency to other government agencies. The record centre operation could be extended to those stack areas of a new archives building provided for future growth of archival holdings; and, when this space has been exhausted, the operation can be transferred to either a converted or purpose-built facility in a less expensive area. By that time the need for and benefits of such an expanded facility would be self-evident.

91. In the planning and design of purpose-built record centres, the following guidelines are recommended:

(a) records storage areas should have a minimum ceiling height of either 9 feet (2.75 m.) or 17 feet (5.2 m.), with mezzanine or catwalks in the latter case to achieve the highest practical ratio between floor and storage space;
(b) the use of shelves 32 inches deep (c. 81 cm.), rather than 16 inches deep (c. 40 cm.) will permit the storage of two record centre boxes on each shelf space, one behind the other. This arrangement, while requiring stronger shelving and uprights or supports, will add as much as 30%
more storage space for the same amount of floor space with a proportionate increase in savings, and is especially suited for records with a relatively low reference rate;

(c) shelving should not be attached to the floor, ceiling, walls, or to other rows of shelving across access aisles, but all shelving should have cross brackets within each unit or bay to increase strength and stability. All access aisles between rows should be a minimum of 30 inches (77 cm.) wide, which will permit the use of ladders. Main aisles should be at least twice this width, permitted two persons with hand platform trucks, utility carts or ladders to pass without difficulty. There should be no dead-end aisles, and there should be a minimum of 18 inches (46 cm.) between the end of all rows and the walls or other obstructions. To achieve maximum utilization of space, the shelving layout should be planned in detail before construction begins;

(d) to further reduce costs in volume operations, record centre boxes should be specifically designed and purchased in quantity. They should be constructed of corrugated paper stock of sufficient strength for shipping records and for many years of use in the centre. The most efficient and economical are those designed to be shipped flat and assembled by centre or agency personnel with no stapling and a minimum of taping and binding;

(e) provision should be made for operation within the record centre of a central microfilming service for those agencies that could improve administrative efficiency through the use of microforms, but with only small-scale or occasional needs that would not justify each acquiring its own micrographics staff and equipment. Vital records programmes to protect rights and interests and to ensure continuity of government following natural or human-created disasters are a prime candidate for such centralized microfilming operations. Microfilming would play the same role in the reference function of the record centre as it does in archival reference service. A central microfilming service would require initially one 35 mm. planetary camera, one 16 mm. camera, film inspection equipment, and one reader-printer. As the number of users of the centre holdings and the number of agencies using its central microfilm service increase, additional readers and other micrographic and copying equipment will be needed, particularly film processing equipment. At the outset film processing may be done by contract, but all filming and film processing should meet the standards issued by the International Standards Organization or similar professional organizations to ensure archival quality;

(f) finally, consideration should be given to the central filming service eventually acquiring specialized camera and related equipment to microfilm oversize drawings, blueprints, maps, charts, etc., where there is a demonstrated but not continuing need in a number of agencies for such filming.

92. At the beginning of this chapter reference was made to a number of forms that should be developed and used to standardize and control record centre operations. Examples of such forms are included in Appendix C.

VI. AN OVERVIEW OF RECORDS MANAGEMENT AND ARCHIVES ADMINISTRATION ACTIVITIES

93. To achieve its basic objectives and discharge effectively the duties and responsibilities generally entrusted to it by legislation and regulation, a public archival agency will be required to engage in a variety of related functions
in two major programme areas, Records Management and Archives Administration. The number, character, and scope of functions in each of these areas will largely determine its personnel needs and its staffing pattern, as well as its space and equipment requirements.

**Records Management activities**

94. Records Management may be defined as that area of general administrative or office management that relates to the creation, maintenance and use, and disposal of records. The recognition of Records Management as a specialized sub-discipline of administrative management is a product of the past half-century. Both governments and business concerns in a number of countries had developed a variety of practices and techniques to reduce the costs of space, equipment and supplies, and personnel involved in record-keeping, but it remained for the National Archives in Washington, established in 1934, to put together and to add to these practices and techniques in terms of the life cycle concept of records. The archivists who developed this field of activity, which was originally called Records Administration, were chiefly concerned with trying to reduce the quantity and improve the quality of the archives of the future, by avoiding the mistakes of uncontrolled creation, maintenance and use, and disposal of records that had long characterized government record-keeping. In the process of working with agencies and their record problems, during a period of rapid governmental expansion under the successive impacts of a severe economic depression and then of a world war, they developed new techniques and incorporated new technologies in their effort to rationalize the entire life cycle of records. By 1950 Records Management as a government-wide programme had been well-established in the United States, and the National Archives was reconstituted as the National Archives and Records Service, with a separate staff of records analysts and a nation-wide network of record centres, to direct this programme.

95. Although modern Records Management originated in a particular and complex administrative tradition characterized by highly decentralized filing systems and delegations of authority, a number of the principles and techniques it developed were soon adopted and adapted by countries with differing administrative traditions and record-keeping practices. The leading example is Canada, which most fully implemented a programme encompassing the entire life cycle of records. In both England and the Federal Republic of Germany the emphasis has been placed on the third and final phase of the life cycle, i.e., on a controlled system of records disposal involving the use of record centres. No country has yet fully implemented a total records management programme. Such a programme would require a well-trained staff in every government agency engaged in all phases of records work, backed by a central agency which would be staffed and funded to do basic research; develop and assist in implementing methods, norms, and standards; provide professional and technical training to agency personnel, and provide technical assistance in highly specialized areas. Many elements of this programme have been introduced in the United States and Canada, but in recent years budget reductions, particularly in the United States, have resulted in the discontinuance of a number of the activities, most notably in the area of records creation. Records disposal remains today the best established area; this was the area first developed by archivists, and the one most directly related to their own operations.

96. No generally accepted list of basic functions exists for records management programmes. The legislative authorization for the programme has usually been quite broad, and its major limitations have been those of budget and the availability of trained personnel. Current records management programmes for public records, depending upon their emphasis, include responsibility for various combinations of the following sub-programmes and functions that span the life cycle of records:
In the area of records creation:

correspondence management, including the automation of correspondence preparation (word processing);

directives (or administrative issuances and technical manuals) management;

forms management;

reports management (including text processing and the creation of management information systems for agency executives).

In the area of records maintenance and use:

files classification systems;

files management (including the management of non-conventional systems for the recording, storage, and retrieval of information, involving microforms, video recording, computer-assisted indexing, etc.)

mail management;

office machines (including copiers) and supplies management;

office space and equipment management;

centralized microfilm operations.

In the area of records disposal:

records surveys and disposal scheduling;

record centre operations;

vital (or essential) records programmes.

97. In recent years, particularly in the United States, the following sub-programmes have been added to the records creation area:

clerical work measurement;

source data automation;

automated and electronic (ADP and EDP) data processing management;

documentation programmes;

records quality control programmes.

98. Almost all records management programmes include responsibility for surveys and audits of both agency records operations and agency records management programmes.

99. A realistic approach to the development of an effective records management programme requires that the programme concentrate initially upon the area of records disposal. Only after a records disposal programme has been fully implemented should emphasis be directed toward assisting agencies in records maintenance and use and in records creation activities.
100. In view of the magnitude of the task normally involved in the area of modern records disposal, emphasis upon this phase of the programme must necessarily continue beyond the completion and occupancy of an adequate national archives building and the establishment of an effective record centre programme. Experience gained and the data accumulated in developing and implementing a comprehensive records disposal programme will continue to be of immediate value in the solution of problems and the achievement of economy and efficiency in the creation, maintenance, and use of an agency's current records. To the extent possible the archival agency should provide assistance to government agencies in these related areas, but the initial and continuing emphasis should be upon records disposal. In the area of records disposal the programme should include the following activities:

Survey of noncurrent records

101. Noncurrent records may be defined as those for which an agency no longer has a need in the conduct of its current business. The archives staff, in cooperation with designated records officers in each government agency, should systematically collect information on all of the agency's noncurrent records, including those located at institutions, field offices, and other installations outside the capital.

102. For each series of an agency's noncurrent records, the survey ideally should record the following basic data: administrative office of origin; title or other specific identification of the records; inclusive dates; volume (in linear measurement); physical type(s), i.e., textual, cartographic, still pictures, motion pictures, sound recordings, microfilm, etc.; physical form(s), i.e. loose papers or bound volumes, correspondence, reports, forms, receipts, etc.; arrangement (filing scheme or system); record character (original or copy; if a copy, copy number, office holding the original, office location of other copies); purpose and administrative use of the record and of all copies thereof; general subject content; physical condition; administrative or other restrictions on access; location; storage equipment (by type) and space (in square measurement) occupied. Model forms that can be adapted for such a survey are provided in Appendix B to this report.

Preparation of disposal lists of noncurrent records with no further value

103. Following a review of these survey reports, the archival agency, in cooperation with agency records officers, should prepare disposal (i.e., destruction) lists that will include all of an agency's discontinued series or classes of noncurrent records that no longer are needed by the agency for legal, fiscal, or other current administrative purposes, and that, in the judgement of the archival agency, have no archival value. These lists should include such identification and descriptive information as will enable the officials responsible to authorize their destruction. It should be noted that disposal lists are used primarily for discontinued classes or series of records, those that are no longer being accumulated, and are intended to provide a single authorization for their destruction.

Preparation of transfer lists of noncurrent records with archival value

104. In its review of the survey reports, the archival agency should designate those noncurrent records that, in its judgement, have archival value. The archival agency, in cooperation with agency records officers, should then prepare for each agency comprehensive transfer lists of such noncurrent records. These lists should include such identification and descriptive information regarding the records as will enable the head of the transferring agency to recommend, and the archival agency to
accept, the legal as well as the physical custody of such records from the agency of origin. Once legal transfer of custody has been completed, the archival agency will be responsible for the preservation and utilization of such records.

105. Noncurrent records that have no archival value but that are not immediately eligible for destruction, i.e. "semi-current" records that must be retained for administrative, legal, or fiscal purposes for a limited number of years, usually remain the legal property of the agency of origin, but should be transferred to the physical custody of the archival agency for their maintenance and eventual destruction following storage in a records centre.

Survey of current records

106. The archival agency, in co-operation with agency records officers, should also systematically collect information on all series or classes of current records of agencies, including those located at institutions, field offices, and other installations outside the capital.

107. This survey of current records should include, for each series or class, and in addition to the basic data described above for the survey of noncurrent records, information on the annual rate of accumulation (in linear measurement), and the agency's recommendation of retention periods in the office of origin and in the record centre. The archival agency should then determine the type of ultimate disposal (destruction or transfer to the archives) for each series or class.

Preparation of agency records schedules

108. Following a review of the current records survey reports, the archival agency, in co-operation with the appropriate agency records officer, should prepare for each agency a comprehensive records schedule. This schedule should be submitted to the head of the agency for approval, then to the archival agency for approval and adoption. Adoption of the schedule will constitute continuing authorization for the type of disposal indicated, upon expiration of the approved retention periods, for all series or classes of records included in the schedule.

109. Each agency schedule should be reviewed annually by the archival agency and the appropriate records officer for necessary revisions, including those resulting from experience with application of the schedule, and from changes in the agency's programmes, policies, and procedures. Requests for such revisions should be submitted to the head of the agency for approval, then to the archival agency for adoption as amendments to the original schedule. As necessary, extensively amended schedules should be reissued as revised schedules.

110. The archival agency should develop and distribute to agencies a form to be used in reporting to it the transfer or destruction of all files and records transferred or destroyed on the basis of approved disposal lists and schedules. For records destroyed, the form should identify the records, their former location, quantity, inclusive dates, the disposal authorization, the date or dates destroyed, and the method of destruction.

Preparation of comprehensive records space and equipment inventories

111. The archival agency, in co-operation with the records officer of each agency, should prepare, on the basis of data collected in the surveys of noncurrent and current records, a comprehensive inventory of each agency's records space and equipment. These inventories should be maintained on a current basis through
annual review and revisions, and should be used in determining direct savings and cost avoidance, as well as in assisting agencies in more effective management of their records in the conduct of current business.

112. Following the development and full implementation of such a record disposal programme, the archival agency, depending upon the availability of budget and staff, should expand its records management programme into the areas of records maintenance and use and records creation. In these areas its role should consist primarily of developing standards, procedures, and techniques; in training agency personnel in their application, and in co-ordinating agency records management activities aimed at reducing costs while improving administrative efficiency. Specific projects and activities in these areas should be developed jointly by the archival agency and personnel of another agency in terms of actual records problems facing the agency, and should be of a relatively limited duration.

113. Except for the organization and operation of record centres, the records management function is essentially a staff function. It can readily be accommodated in normal office space, but provision should be made for meeting and training facilities beyond those usually included in traditional archival buildings. It cannot be too strongly emphasized that an archival agency cannot establish and operate agency records management programmes for all government agencies. This is each agency's responsibility, and it should be so specified in legislation and regulations.

Archives administration activities

114. For a public archival agency effectively to acquire, preserve, and make accessible (communicate) the permanently valuable non-current records of the government, it must develop and implement a programme of public archives administration that includes the following basic functions and activities.

Records appraisal and disposal

115. The appraisal of records to determine appropriate disposal is a professional archival function. Adequate appraisal of the evidential and informational value of records requires not only the kinds of data resulting from records surveys, but also extensive research in and knowledge of the administrative history of the government; of the particular agency with which the records originated; of record-keeping systems and practices; of the history of the country and of general history; and a familiarity with scholarly research principles, practices, needs, and trends, particularly in history and related disciplines.

116. Responsible and effective records appraisal must take into consideration the total documentation of an agency, both published and unpublished. It must determine the relationship of that documentation to the documentation of other agencies, and to non-governmental sources of information. In brief, since appraisal necessarily involves the destruction of unique documentation, it is the most important and professionally demanding archival function.

117. The professional archival staff should prepare appraisal reports on all classes or series of records proposed for disposal. It is therefore essential that this staff work with the agencies in the preparation of disposal and transfer lists and in the development of schedules.

118. The archival agency should maintain, on a current basis, a disposal register or log and separate case files, by agency, for each disposal request received.
Appraisal judgements and all actions by the archival agency regarding each disposal request should be fully documented, as should agency actions following disposal authorizations.

Accessioning

119. The accessioning of archival material usually involved the transfer of both the legal and the physical custody of records from the agency of origin to the archival agency. This transfer of custody must therefore be fully documented, and the archival agency should maintain, on a current basis, an accessions register or log and separate case files, by agency, for each such transfer. The transferring agency should be provided with a proper receipt for each transfer of records. The receipt should include a description sufficient to fully identify the records transferred, and an acceptance by the archival agency of any restrictions placed by the agency upon their use. A special form should be developed for this purpose.

120. Implementation of this accessioning function should begin as soon as possible. Transfer of legal and physical custody of permanently valuable non-current agency records to the archival agency can be made on the basis of transfer lists, with the necessary data derived from the record surveys and supplemented by appraisal reports. Such transfer action taken as soon as possible will help ensure the preservation of permanently valuable noncurrent records still in agency custody.

121. The accessioning function should also include the following activities: development of a comprehensive pattern of archive or record groups for the records of government agencies, past and present, and the allocation of all accessions to the appropriate archive or record group (see paragraph 127 below); the preparation of registration statements for each archive or record group, which should give a brief administrative history of the transferring agency, a physical description of the accessioned records, an indication of related records still retained by the agency as well as related records of other agencies, and a statement of restrictions on use of the records; and the creation and maintenance, on a current basis, of volume of holdings reports for each archive or record group.

Preliminary processing of accessions:

Fumigation

122. Ideally, all records accessioned by an archival agency should be fumigated to eliminate insect pests and to assist in their permanent preservation. No records that have not been fumigated should be placed in any stack area. Under most circumstances, this requirement would have to be postponed until the construction and occupancy of a national archives building.

Cleaning

123. After records have been fumigated, they should be removed from their temporary containers and cleaned to eliminate as much surface dirt and dust as possible. If it is necessary to replace folders or covers of individual files, all identifying marks and notations on original folders or covers should be preserved. Care should be taken to maintain the original order of filing units and documents in removing them from their temporary containers and cleaning them.

Preliminary boxing, labelling and shelving

124. After records have been cleaned, they should be stored in their original order in archival boxes. The boxes should be adequately labelled to provide control
over the records, and the boxes should be shelved in the stack area. Box lists and location registers should be prepared for the records to permit a basic degree of reference service pending more detailed arrangement and description of the material.

125. All of the above activities involved in the preliminary processing of records should be performed by non-professional archives assistants under the direction of a professional archivist, who should plan, schedule, and supervise the work.

126. Pending the construction of a national archives building, the preliminary processing of records transferred to the custody of the archival agency is generally confined to cleaning, boxing, and labelling. Records need not be removed from containers in vacuum fumigation, so that no duplication of effort would be involved when the records are transferred to a new building.

Arrangement of holdings

127. To establish the degree of both physical and intellectual control essential to provide effective reference service on archival material, this material must be arranged (sometimes referred to as "classified") and described in accordance with basic archival principles and techniques. Activities involved in the arrangement function include:

(a) at the repository level; this ordinarily involves the breakdown of the repository's total holdings into a few major divisions that group separate archive or record groups and special physical types of records on the broadest possible common denominator, i.e. "military records" or "audio-visual records" or "colonial records", and the physical placement of each such major division of records to best advantage in the stack or records storage areas;

(b) at the archive or record group and subgroup levels: the ordering of the total record holdings of each administrative unit (bureau or department, division, branch, section, etc.) in relationship to those of all other subordinate administrative units (of the same agency) that combine to form an archive or record group;

(c) at the series level; the structuring, in some logical order that will reflect either organization or function, of all series or classes within the records of each administrative unit included in the archive or record group. Registered files received from a central registry of any agency may be grouped into functional (or subject-related) series;

(d) at the filing unit level: theoretically, the breakdown of each series or class into its component filing units, and the physical placement of each component in relation to other components in some logical sequence to reveal either the function or content of the individual documents, enclosures, and annexes that comprise the filing unit. The logical sequence involved is usually established by the agency of origin (the filing scheme or system), and where such a pattern exists or is discernible the archivist maintains and restores it when possible, correcting obvious misfilings. Final arrangement at the filing unit level also involves flattening of folder documents that constitute the filing unit; removal of rusted fasteners, rubber bands, etc; placing the documents in acid-neutral folders when necessary; labelling folders with the proper archive or record group number and title, subgroup and series titles, and folder contents; reboxing the filing units in archival boxes; labelling the containers with archive or record group number and title, subgroup and series titles, and container
contents; reshelving the records in terms of the arrangement pattern developed for the archive or record group; and the revision, when necessary, of location registers;

(e) at the document level: when staff and work-load permit, arrangement should be carried out at the individual document level, which entails the checking and perfecting of the internal arrangement of the documents and the individual pieces of paper that constitute the filing unit. In some very large repositories arrangement at this level is usually performed only in connection with the flattening of folded records and in the preparation of records for microfilming.

128. Except for arrangement at the filing unit and document levels, which can be performed by archives assistants under professional supervision - provided the records have not been too badly disarranged - the arrangement function requires a significant degree of professional archival knowledge, as well as extensive knowledge of the administrative history and record-keeping systems and practices of agencies. This function is intimately related to the descriptive function, and both kinds of activities require that basic administrative or physical control first be established over all accessioned records.

Description of holdings

129. To make fully accessible to government agencies, scholars, and the general public the archival resources in its custody, the archival agency should develop and implement a long-range descriptive or finding-aid programme. Initial priority in this programme should be given to the preparation and publication of a general guide to the holdings, which should be revised and republished as necessary. This general guide should be supplemented by the preparation and publication of archive or record group inventories, which should utilize the information and data developed in the record surveys, appraisal reports, and in the arrangement of the records, to create detailed series-by-series (or file-by-file) descriptions of all records in a particular archive or record group, with the emphasis upon their informational content. For records of high reference value and use, there should be developed special lists, indexes, and other detailed types of finding aids.

130. In the development and implementation of this finding aid programme, agency-created finding aids should be fully utilized. It should be recognized, however, that archives are most frequently consulted for purposes other than those for which the records were created and used in conducting the current business of an agency. The full informational content and value of archives, therefore, can be revealed only through an extensive and systematic finding aid programme.

Preservation, repair and restoration of holdings

131. The archival agency is responsible for protecting from physical deterioration and other damage or destruction the records entrusted to its custody. In addition to fumigating and cleaning all accessions, and to providing temperature and humidity control, the agency needs special technical facilities for records in need of repair or restoration. Brittle and cracked paper records should be humidified before they are unfolded; bound manuscript volumes lacking spines and covers or with broken spines should be rebound; and records on poor quality paper or made with non-permanent inks or carbons should be deacidified and either thermoplastically laminated or encapsulated. Audio-visual and machine-readable records require specialized preservation and restoration techniques.
132. Information on records of permanent value in need of repair should first be gathered during the record surveys, and should be used in planning and programming preservation and rehabilitation work by the archival agency. It is essential that provision be made for an adequate restoration laboratory in the facility housing the national archives.

Reference services ("Communication" of archives)

133. A public archival agency is an official agency of the government; priority in its services should therefore be given to the needs of government agencies. At the same time it must recognize, and discharge as fully as possible within the limitations imposed by budget and staff, its responsibility for making accessible to researchers and to the general public the archival resources in its custody.

134. Information and reference service activities normally include, but are not limited to:

(a) furnishing records for use in a research room. Effective conduct of research room activities requires: (1) that the room be provided with adequate physical facilities for use of records (desks, chairs, adequate lighting, micro-film readers, and rapid-copy services); (2) that prospective users of archival material fully establish their identity, familiarize themselves with the rules governing use of the archives, including any applicable restrictions, and acknowledge in writing the receipt of all records delivered to them for their use; (3) that, whenever necessary, an archivist explains to researchers how particular records are organized, arranged, and controlled by the archival agency; calls their attention to finding aids relevant to their subject of inquiry; and explains methods of citation of archival material; (4) that regulations be issued and enforced governing the use of records that will prevent their mutilation or destruction through improper handling, their loss by theft or misplacement, and the impairment of their record character through disarrangement or alterations; and (5) that the search room be professionally supervised and the handling of records be controlled by admittance cards to researchers, registers of researchers, stack service slips, charge-out cards, requisitions for reproductions, and similar forms. As cartographic, audiovisual and machine-readable holdings are acquired, specialized research rooms with appropriate equipment to permit effective use of these materials will also have to be provided. Work should begin as soon as possible for developing forms and other documents necessary to conduct and control research room activities. Forms used in long-established archival repositories should be obtained and adapted as necessary;

(b) furnishing information about and from records. Normally, in response to telephone and mail inquiries from non-governmental sources, data about records should be supplied that can be obtained from finding aids, and specific information of a limited character should be provided from the records themselves. Information available from library materials should not normally be provided to inquirers, and no extensive searches should be conducted for information contained in the records. The performance of extended research per se should be the responsibility of the inquirer or user, not of the archival agency, but there is no uniformity of practice among archives in this respect. Essentially, the informational services available from an archival agency should be of a reference, rather than of a research, character;
(c) furnishing copies of records. Researchers, upon request, should be furnished copies of unrestricted records at cost plus handling charges. The microfilming of records in response to reference requests should normally be limited to requests not requiring extensive selection of individual documents from a variety of record series, or an excessive amount of work in preparation for filming. The use by researchers of privately-owned equipment in the search room for reproduction of records should be limited to equipment that will not overload available electrical circuits, that does not require the use of chemicals, and that does not generate heat which may damage the records;

(d) archival loans. The loan of archival material outside the archival repository normally should be restricted to government agencies for official purposes. Loans should be made only under conditions that will ensure both the physical preservation and the preservation of the record character of files or documents loaned. All loans should be receipted, and should include such description of the records as is necessary to make possible a complete accounting of them upon their return by the borrowing agency. The loan of original records for exhibit purposes outside the archival repository should be permitted only when facsimiles or copies would prove inadequate;

(e) statistical records should be maintained for all archival activities and services and should be used in establishing the needs and in planning and programming the work of the archival agency;

(f) although microfilming, exhibits, and publications may be regarded as extensions of reference services, the role of these functions in an archival programme is so basic that they are dealt with as separate activities in this overview.

Reprographic services

135. Effective performance of reference service requires adequate facilities for microfilming, photostating, still photography, and rapid-copying. In addition to handling specific reference requests through the furnishing of photocopies, photoduplication, particularly microfilming, serves the following major archival purposes:

1. preservation, in that heavily-used records and those made on poor quality paper may be filmed and impounded, with researchers then required to use the films;

2. security, in that records essential for the continuity of government and the rights of citizens can be filmed and the negatives stored safely at another location;

3. publication, in that archival materials, when adequately arranged and described, are admirably suited to this relatively inexpensive method of making full texts widely accessible;

4. disposal, in that voluminous records that lack intrinsic value but have high research value can be filmed and the originals destroyed with an average saving of about 97% of storage space;

5. acquisition, in that microfilm copies of related archives and manuscripts in other repositories at home and abroad can be used to supplement and enhance the research value of the holdings of an archival agency; and
(6) administrative, in that microfilm copies of frequently-used indexes and other unpublished agency and archives-created finding aids can be provided in a number of different locations to facilitate use of the records.

136. All photocopying of archival materials, regardless of the process and equipment involved, should meet archival standards of quality and permanence. The archival agency should therefore have administrative control over its own photoduplication facilities.

137. To achieve maximum economy and efficiency, an archival and records management programme should administer a centralized microfilming facility for Government agencies. Where no such centralized facility exists, the archival agency should exercise approval over the establishment of agency microfilming operations and the purchase of related equipment. All agency filming should be provided for in its records schedule, and where appropriate should meet archival standards of quality and permanence.

Exhibits

138. As a cultural as well as a service agency, an archival agency has a general educational mission. Its responsibilities in this particular area can be performed most effectively in terms of exhibits and publications. Provision should be made for both temporary, or rotating, and permanent exhibits. The permanent exhibit should eventually include the most significant documents in the country's history. Temporary exhibits should be planned to commemorate significant events in the country's history and the contributions of its public figures and other outstanding citizens. These exhibits should be located in space administered by the archival agency. Special precautions should be taken to protect archival materials on exhibit from theft, vandalism, and damage by heat and light.

Publications

139. To fulfill its responsibilities as a service agency to both the Government and the people, the archival agency requires a carefully planned and diversified publications programme. Publications are essential to meet the administrative needs of the government, to make known the services and holdings of the archival agency to potential users, and to assist users at a distance in preparing for and using these services and holdings.

140. The archival agency should plan, prepare and publish, within the limits imposed by available funds and staff, the following types of publications:

(a) annual reports;

(b) a general guide to its holdings, to be revised on a regular basis to reflect both changes in holdings and in research interests;

(c) general information leaflets and periodical newsletters, briefly describing the archival agency, its holdings and services, its hours of business, and such other information as will be useful to potential users;

(d) eventually, consideration should be given to publication of the code of administrative regulations, or its equivalent, and the government organization manual, if there are no existing legislative provisions for their compilation and publication;

(e) records management manuals, handbooks, guides, and standards;
(f) inventories and other types of finding aids for its holdings of both general and specialized research interest and value;

(g) documentary publications, either in letter-press or on microfilm, of archival material of important value for scholarly research or of wide public interest. Such publication projects should be undertaken directly or planned and executed in co-operation with scholarly institutions or individual independent scholars. It is essential, however, that a separate budget and staff be provided for such publication projects.

141. Although not a formal part of the publication programme, the staff of the archival agency should be encouraged to contribute research and descriptive articles and new notes to professional archival, records management, and historical journals, to assist in acquainting their professional colleagues and scholars in general with the programme, holdings, and services of the archival agency. Like all organizations, the archival agency must engage in public relations activities whether or not they are formally organized.

Printed archives

142. In the previous discussion of archival activities, the term records has been used to mean not only conventional or textual (paper) records, but also cartographic, audio-visual, and machine-readable records. With very few exceptions, the archival activities described are applicable to all of these media. One additional type of record material, however, still requires consideration - printed archives.

143. The term printed archives is used to identify and describe the printed documents and publications of all Government agencies. Since they are created in the course of conducting their business and are regarded as sufficiently important to merit the cost of printing, they are archival in character. In the absence of a national library to ensure the preservation and accessibility of all such printed matter of official origin (and even where national libraries exist many of them do not systematically acquire and permanently keep record sets of this material), it is the responsibility of the national archival agency to seek out, acquire, and preserve all such existing printed archives for each agency (in a single record copy), and to make arrangements with agencies to receive, as a matter of routine, a copy of each new item as it is printed.

144. Relevant printed archives that are included in individual agency files are an organic and natural part of those files and should not be removed, but they should be noted if a separate copy is not available to be maintained as part of the printed archives. Normally, printed archives are maintained together, by agency or origin, usually in conjunction with the specialized library of the archives agency. As the volume of material increase, a documents librarian who has received basic archival training should be placed in charge of this activity.

145. Full development of the above archival programme will require a number of years, and may well extend beyond the completion and occupancy of a national archives building. Pending the acquisition of such a building, priority should be given to the appraisal and disposal, accessioning, and preliminary processing functions of the archival programme, and to the record centre functions of the records management programme. To the extent that physical facilities and available staff permit, basic reference services should also be provided on both accessioned and transferred holdings.

146. The archival and records management programmes summarized above can and should be justified not only as meeting basic cultural and education needs and
providing necessary services in these areas, but also on the grounds of resulting in measurable economies and improving administrative efficiency government-wide.

VII. SUMMARY

147. The problem of managing effectively its public records and archives poses both a challenge and an opportunity for the Government of Malaysia. To ensure the preservation and accessibility of its archives the government needs a fully-developed programme of archives administration. To achieve necessary economies and increase administrative efficiency, it needs a government-wide programme of records management, beginning with an effective records scheduling and record centre operation. The savings and cost-avoidance resulting from such a programme will in time equal most of the costs involved in planning, building, and equipping the new national archives building. It cannot be overemphasized that an archival and records management programme is neither a luxury nor an optional activity for a government. On the contrary, and because of the basic role played by records in all government operations, such a programme:

- contributes to the efficiency, economy, and effectiveness of the government;
- assists in carrying on the work of government by preserving and making available the evidence of its origins, development, policies, and procedures, as well as the authoritative sources of information on its structure, functions, and activities;
- protects the public, private, and personal rights and privileges established in the public records;
- preserves and makes accessible for use by the government, scholars and the general public, the historical, cultural and educational resource represented by the government archives.

148. The basic foundations for such a programme have already been established in Malaysia. This programme requires further development to meet adequately the needs and to serve the interests of the Government and the people of Malaysia. This report is intended to assist in that development.
GOVERNMENT OFFICIALS CONSULTED DURING THE MISSION

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### APPENDIX B

MODEL FORMS FOR USE IN RECORDS SURVEYS AND SCHEDULING

### RECORDS SURVEY FORM

1. **Agency**

2. **Address and phone number**

3. **Organizational unit**

4. **Person in charge of records**

5. **Records series title and description**

6. **Duplication**

7. **Period covered**

8. **Location**

9. **Quantity (linear meters)**

10. **Annual rate of accumulation**

11. **Finding aids**

12. **Type of equipment:**
   - 4-drawer filing cabinet
   - Open shelf
   - Other (specify)

13. **Filing system:**
   - Alphabetical
   - Chronological
   - Numerical
   - Other (specify)

14. **Frequency of reference:**
   - Daily
   - Once a week
   - Once a month
   - Other (specify)

15. **Nature of use by agency**

16. **Present disposal practice**

17. **Current and anticipated value and use:**
   - Administrative
   - Fiscal (financial)
   - Legal
   - Other (specify)

18. **Recommended retention periods**

   _____ years in office file

   _____ years in record centre

19. **Prepared and recommended by:**

20. **Position**

   (title)

21. **Date**

22. **Remarks**
INSTRUCTION FOR COMPLETION OF RECORDS SURVEY FORM

ITEM

1. Agency - name of agency in full.

2. Address and phone number - location (office address) and phone number of the organizational unit where records are located.

3. Organizational unit - name of specific unit where records are involved.

4. Person in charge of records - name of the employee immediately responsible for the records.

5. Records series title and description - a record series is a group of related records arranged under a single filing system, or kept together as a unit because they deal with a particular subject, result from the same activity, or have a special form (maps, blueprints, etc.). A record series may contain related forms and correspondence. For example: applications, licences, inspections, payments, correspondence, with related forms and memoranda, or warrants, with supporting documents, case files, reports with related correspondence and memoranda. If the function or subject is not indicated by the type of documents, for example, "general file" or "correspondence", the subject matter can be indicated by adding the phrase "relating to ________" with the appropriate term.

Another method of entitling and describing record series is to use an adjective to qualify the noun which indicates the type of documents, for example, "personnel" applications, "fiscal" correspondence.

6. Duplication - copies of documents in the record series of other units of the agency, or in other agencies, should be indicated. Any significant difference between copies should be noted to help determine whether the copy should be destroyed or retained.

A brief description of any other records of the agency, or if known, in any other agency, containing substantially similar information should be given. Statistical results of an analysis, for example, are usually found on questionnaire forms, or tabulation sheets and in compiled reports. Detailed reports of field offices or of subordinates are summarised in reports prepared at higher levels in the organization. In each case, the content duplication is usually only partial. However, project-type reports are usually prepared in several copies and complete sets may be maintained in different locations. The person conducting the survey should determine how a particular series is related to other series, and the extent to which there is content duplication. He should then determine which series to recommend for retention as the "record" series.

7. Period covered - years covered by the record series should be indicated by the earliest and latest years (of the files, not of individual documents).

8. Location - location of the record series being surveyed. This includes the room number and the location of the records in that room.

9. Quantity - the quantity of records being surveyed as measured in linear metres.

10. Annual rate of accumulation - quantity of records created and received during the year prior to the inventory, in linear metres.
11. Finding aids - the existence of finding aids should be noted. They are reference tools that describe the contents of particular series so that users can locate individual documents or other parts of series. They may include indexes of all kinds, document lists, lists of file headings or containers, and classification or filing manuals. If they cover more than one series, that fact should be noted. The location of finding aids should be stated if they are not in the office or area where the series are located.

12. Type of equipment - check the appropriate box or boxes for the kind of filing equipment which houses the records.

13. Filing system - specify the filing system used for the records being surveyed.

14. Frequency of reference - note how often the records being surveyed are consulted or used in current operations.

15. Nature of use - for what reason or purposes the records are used, for example:
   - In preparing answers to inquiries from the Ministry of Labour.
   - By the Legal Division for precedent cases.
   - By the Administrative Office to review current projects.

16. Present disposal practices - what the person in charge of the files is currently doing as to the disposal of these records.

17. Current and anticipated value and use - check the corresponding usefulness of the records to the agency. More than one value can be checked.

   Administrative value - The value of the records in documenting the establishment of administrative or functional policies, procedures, standards and requirements.

   Fiscal (financial) value - The value of the records because they contain evidence or information needed for adult and reporting of financial operations.

   Legal value - The value of the records because they contain evidence of legally enforceable rights or obligations of the government or the individual. Examples are legal decisions and opinions, leases, titles, contracts, legal dockets and claims.

18. Recommended retention periods - to be filled in by the person conducting the survey.

19. Prepared and recommended by - name in print and signature of the person who actually surveyed the records.

20. Position - position title of the employee who surveyed the records.

21. Date - actual date the records were surveyed.

22. Remarks - other relevant information obtained during the survey should be noted under this item.
Volume - The quantity of records being surveyed as measured in cubic meters. In determining volume, use the following conversion table:

<table>
<thead>
<tr>
<th>Document Size</th>
<th>Container</th>
<th>Cubic Meter</th>
</tr>
</thead>
<tbody>
<tr>
<td>8&quot; x 10 1/8&quot;</td>
<td>4-drawer file cabinet</td>
<td>.17</td>
</tr>
<tr>
<td>- d° -</td>
<td>1 drawer</td>
<td>.04</td>
</tr>
<tr>
<td>8&quot; x 13&quot;</td>
<td>4-drawer file cabinet</td>
<td>.23</td>
</tr>
<tr>
<td>- d° -</td>
<td>1 drawer</td>
<td>.06</td>
</tr>
<tr>
<td>21 x 30 cm</td>
<td>4-drawer file cabinet</td>
<td>.23</td>
</tr>
<tr>
<td>- d° -</td>
<td>1 drawer</td>
<td>.06</td>
</tr>
<tr>
<td>21 x 30 cm</td>
<td>open shelf (per meter)</td>
<td>.13</td>
</tr>
</tbody>
</table>
SERIES/CLASS INFORMATION SHEET

1.(a) Ministry:
    (b) Department:
    (c) Custodian (Branch, Section, etc.):

2. Title of Series/Class:

3. (a) Date begun: (b) Date coverage: (c) Variations:

4. Quantity at date of survey: (b) Average Annual increase:
   Shelf Feet \( x \times x = x = \)
   Cubic Feet \( x \times x = x = \)

5. Brief Description of contents:

6. (a) How stored (e.g. cartons, vertical on shelves, cabinets, etc.):
    (b) Where stored: (c) How many cabinets etc.:

7. Why series begun and maintained:

8. Method of arrangement and control:

9. Whether and where related series:

10. Whether and where duplicate information:

11. Whether and where summarized information:

12. Substantial reports etc. in series or class?:

13. Custodian/Ministry view of value and period of value:

14. Confidential, if at all, and for how long?:
    (a) to other public offices:
    (b) to public:

15. Archival assessment:
Specimen of a survey questionnaire intended for government departments

(to be circulated among heads of departments and branch offices in the ministry)

(1)

Name of the department: ____________________________

(to be filled in by the head of the department)

1. Are you satisfied with the present rate of increase in the number of files and documents which your department has to manage?

2. What is the rate of growth of files and documents which your department has to manage?

3. How many files and documents do you consider to be a reasonable number for the department's size?

4. How many files and documents do you consider to be a satisfactory rate of increase in the number of files and documents which your department has to manage?

5. What is your annual production of records? (Do you have any records of this nature?)

Questionnaire no. 2
(survey for the organization of records and archives in public departments)

This questionnaire should be filled out by divisions, departments and branches in each administration. Replies should be as detailed as possible. In order to obtain an exact assessment of your ministry’s requirements with regard to archives, specific information must be provided in the first part concerning your department, its present organization and its history.

1. Organization of the department

1.1 Name
1.2 Initials or abbreviation by which known
1.3 Address
1.4 Date of creation and reference to the legislative texts and/or regulations creating and organizing the department
1.5 Functions: give references or attach the texts defining them
1.6 Names and abbreviated titles of predecessor departments (dates of reforms and references to the texts making mention of these changes). Former functions if applicable.
1.7 Administrative authority to which the department is attached
   Ministry
   Directorate
1.8 Services coming under it (external services in particular)
1.9 Organization chart (copy to be attached)
1.10 Name of the head of the department (director, deputy director, branch head), previous post, seniority in present post
1.11 Name of his predecessor, present post
1.12 Number of staff and distribution by categories

2. Nature of the documents preserved

2.1 Documents created and preserved in originals by the department
   Studies
   Personal files, accounts, etc.

2.2 Documents created and preserved in the form of copies with the original sent elsewhere
   Outgoing letters
   Reports
2.3 Documents received in the course of administrative transactions and preserved incoming letters
2.4 Documents received and dispatched for information only
2.5 Year of origin of oldest documents
2.6 State of preservation (good or bad)

3. Quantity of record holdings

Approximate quantity of documents in the department at the present time (in linear metres of shelving)

3.1 Files and other assemblies of papers (containers, box-files, bundles)
3.2 Registers
   Printed documents
   Special categories of documents (give number)
   Total
   Maps and plans
   Photographic documents
   Films
   Card indexes
   Listings
   Others

4. Annual rate of accrual (in linear metres of shelving)

4.1 Files and other assemblies of papers (containers, box-files, bundles)
4.2 Registers
4.3 Printed documents
4.4 Special categories of documents
   Maps and plans
   Photographic documents
   Films
   Card indexes
   Listings
   Others
4.5 Equipment for document reproduction (photocopy, roneo, offset) and for destruction (shredding machines)

5. Physical conditions of preservation

Accommodation and services
5.1 Places where the documents are stored
5.2 Conditions of preservation
   Temperature of the premises and relative humidity
Planning national infrastructures for documentation, libraries and archives

Ventilation
Air conditioning

5.3 Protection against:
Fire
Theft
Light
Insects and rodents

Furniture (storage capacity in linear metres)

5.4 Filing cabinets
5.5 Metal (or wooden) cupboards
5.6 Shelving
   Metal
   Wood

5.7 Special items of furniture
5.8 No furniture

6. Organization of current records

6.1 Does a records service exist for the department?
6.2 Name and position in the hierarchy (cf. organization chart) of the officer responsible for records (departmental record offices)
6.3 Type of registry system used to control documents (a copy of the classification system may be attached)
6.4 Number of years on average after which the documents are no longer of current interest
6.5 Are any procedures operated for destruction of documents?
6.6 System used for the review and weeding of documents (a copy of the disposal schedules (with destruction periods) may be attached)

7. Organization of the national archives

7.1 Does the department wish to delegate one of its own staff to the national archives to be responsible for its own documents?
7.2 Approximate quantity (in linear metres of shelving) of documents which could be transferred immediately to the archives
   Files and other assemblies of paper (bundles, boxes, jacket-files)
   Registers
   Printed documents
   Total

Miscellaneous documents requiring special conditions of preservation

7.3 State of arrangement of the documents which could be transferred (percentage and quantity):
   Classified and with lists provided
   Classified, but without finding aids
   Unarranged
<table>
<thead>
<tr>
<th>SERIES INVENTORY FORM</th>
<th>1. PREPARED BY</th>
<th>ORG.</th>
<th>PHONE NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. SERIES LOCATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. CREATING OFFICE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. SERIES DESCRIPTION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. DATES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. ARRANGEMENT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. VOLUME</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. DUPLICATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. RATE OF ACUMULATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. NATURE AND FREQUENCY OF USE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. FILE BREAK                        Yes</td>
<td>12. RETIRED REGULARLY</td>
<td>Yes</td>
<td>13. PRESENT DISPOSITION</td>
</tr>
<tr>
<td>14. RECOMMENDATIONS FOR DISPOSITION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. COMMENTS</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

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 ___ page(s) 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.

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>DESCRIPTION OF ITEM (With inclusive Dates of Retention Periods)</th>
<th>SAMPLE OR JOB NO</th>
<th>ACTION TAKEN</th>
</tr>
</thead>
</table>

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4
LIST OF NON-CURRENT RECORDS FOR 1ST REVIEW

<table>
<thead>
<tr>
<th>Serial No</th>
<th>Dept. File Ref.</th>
<th>Subject</th>
<th>Date File Opened</th>
<th>Date of Last Action</th>
<th>Department's recommended retention period</th>
<th>Archives &amp; Records Committee's recommended retention period</th>
</tr>
</thead>
<tbody>
<tr>
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<tr>
<td>Column</td>
<td>Description</td>
<td></td>
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</tr>
<tr>
<td>1</td>
<td>IN FAVOR OF</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>SCHEDULED DISPOSITION</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>RECORD GROUP NO.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>VOLUME(FO. PG.)</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>5</td>
<td>RECISSION NO.</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>6</td>
<td>DISPOSITION NO.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>THE CONTAINER NO.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>SCHEDULED DATES</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>CURRENT STATUS REQUIRED</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>inary DISPOSITION OF RECORDS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>AUTHORIZATION FOR DISPOSITION</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>METHOD OF DISPOSITION</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>DISPOSITION APPROVED EXAMINED</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>DATE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>DISPOSITION ACCOMPLISHED BY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>DATE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE

REPORT OF
DISPOSITION OF RECORDS

GSA FORM 439
JULY 1971
## FILES SURVEY RECORD

### 1. NAME OF OFFICE (Include Division, Branch, Section and Unit)

### 2. REPORTED BY (Name, extension, and room number)

### 3. LOCATION OF FILES (Room number)

### 4. TITLE OF FILES

### 5. INCLUSIVE DATES

### 6. DESCRIPTION OF FILES (Summary of contents, purpose, relation to what program or function...)

### 7. NUMBER OF FILE DRAWERS/ SHELVES

<table>
<thead>
<tr>
<th>TYPE</th>
<th>NUMBER</th>
<th>TYPE</th>
<th>NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. LEGAL</td>
<td></td>
<td>C. LEGAL</td>
<td></td>
</tr>
<tr>
<td>B. LETTER</td>
<td></td>
<td>D. LETTER</td>
<td></td>
</tr>
<tr>
<td>E. SHELVES/</td>
<td></td>
<td>BOOK-CASES</td>
<td></td>
</tr>
</tbody>
</table>

### 8. TYPE OF FILES (Check one)

- [ ] A. CASE OR PROJECT FILE
- [ ] B. SUBJECT FILE (Attach list of subject topics)
- [ ] C. TRANSIORY CORRESPONDENCE
- [ ] D. TECHNICAL REFERENCE FILE
- [ ] E. EXTRA COPY CONVENIENCE FILE (Reading, suspense, followup, etc.)
- [ ] F. SPECIAL TYPES (Maps, photographs, lab cards, index cards, etc.)

### 9. CONTENT OF FILES (If more than one type is maintained, indicate percentages of each)

<table>
<thead>
<tr>
<th>TYPE OF DOCUMENT</th>
<th>PERCENTAGE</th>
<th>TYPE OF DOCUMENT</th>
<th>PERCENTAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. OFFICIAL</td>
<td></td>
<td>C. NON-RECORD</td>
<td></td>
</tr>
<tr>
<td>B. PERSONAL</td>
<td></td>
<td>(such as extra copy or working papers, publications or printed matter, or other non-record material)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 10. ARRANGEMENT OF FILES

- [ ] A. SUBJECT CLASSIFICATION SYSTEM (Attach folder listing)
- [ ] B. ALPHABETICAL (Name) (Attach folder listing)
- [ ] E. CHRONOLOGICAL
- [ ] G. OTHER (Specify)
- [ ] F. GEOGRAPHICAL LOCATION

### 11. ARE COPIES OF DOCUMENTS KEPT IN THESE FILES AVAILABLE ELSEWHERE? (If yes, explain where)

- [ ] YES
- [ ] NO

### 12. ESTIMATED "BUILD-UP RATE" OF FILE

- [ ] A. 6 INCHES OR LESS PER YEAR
- [ ] B. UP TO ONE FILE DRAWER PER YEAR
- [ ] C. MORE THAN ONE DRAWER PER YEAR
- [ ] D. NO BUILD-UP, SERIES IS CLOSED

### 13. FILE DISPOSITION

- [ ] A. CUT-OFF PERIODICALLY
- [ ] B. TRANSFERRED TO FEDERAL RECORDS CENTER
- [ ] C. DESTROYED
- [ ] D. RETAINED PERMANENTLY

### 14. HOW OFTEN ARE FILES USED?

- [ ] OFTEN (More than once a month per file drawer)
- [ ] SELDOM (Less than once a month per file drawer)
- [ ] RARELY

### 15. DISPOSITION AUTHORITY (Schedule and item number and disposition instructions, if any)

### 16. NUMBER OF YEARS FILES NEEDED TO CONDUCT CURRENT BUSINESS

- [ ] 1 YEAR
- [ ] 2 YEARS
- [ ] 5 YEARS
- [ ] OTHER (Specify)

### 17. REMARKS

---

GENERAL SERVICES ADMINISTRATION

GSA FORM 3119 (8-78)
INSTRUCTIONS

Prepare a survey record for each file series, remembering that a series is composed of filing units organized in some relationship to each other.

Items 1 through 3, 14 and 17 are self-explanatory.

4. The name of the file as used by the operating personnel. Title should be concise.

5. Indicate the year file starts and the year it ends.

6. A brief description of the file which answers questions such as; What are the files? What are they used for? What function do they relate to? What programs do they result from?

7. Indicate the number of file drawers the file physically occupies for the appropriate type of files. If the file is housed in more than one type of filing equipment, note all.

8. Indicate what type of files are inventoried on this files survey record. If it is a subject file, attach a list of subject topics that make up the file.

9. Indicate if the file is A. the official record copy; B.) private papers of office head or office personnel, C) nonrecord material such as extra copies of documents, or working papers, publications or printed matter, or other nonrecord material. If the files are a mixture of the three, check the appropriate boxes and indicate the approximate percentage of each type.

10. Check the box that indicates how your files are arranged or set up. If there is more than one arrangement pattern, then number the boxes to show the first pattern of arrangement, the second pattern, etc.

11. If copies of documents kept in this file are located in another office, indicate the office where they are located and which documents are duplicated.

12. Indicate how much the file accumulates in a one year span. Check the box that approximately fits the description of the files accumulation. The build-up rate is broken down to A.) six inches or less of files accumulation per year; B.) up to one drawer per year accumulation; C.) more than one file drawer per year filled; and D.) no accumulation of files because the file series is closed.

13. Indicate what happens to the file. A.) Is the file broken or cut off periodically i.e. is a new file started at the end of the fiscal or calendar year? B.) If the files are transferred, when are they transferred to a Federal records center? C.) When are the records destroyed? D.) And, finally are the records retained permanently?

15. Cite disposition authority including schedule and item number and disposition on instructions from your agency's records schedule, if known.

16. Indicate how long the file is needed to conduct current business. Check the appropriate box for one, two, five years, or other. If other, indicate the number of years.
### APPENDIX C

**MODEL FORMS FOR RECORDS CENTRE OPERATIONS**

**RECORDS TRANSMITTAL FORM**

(National Archives & Records Centre Act. 1967)

Note

This form is to be completed in triplicate and forwarded to the Records Centre, 45 Minden Road, Singapore 10, together with G 214 and the non-current records.

<table>
<thead>
<tr>
<th>PART I</th>
<th>To be completed by depositing department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name &amp; Address of Department</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name &amp; Tel No of officer forwarding records</th>
<th>Date</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Nos of boxes</th>
<th>Description</th>
<th>Covering Dates</th>
<th>Review of Records</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>From</td>
<td>To</td>
</tr>
</tbody>
</table>

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**APPENDIX C — continued**

<table>
<thead>
<tr>
<th>PART II</th>
<th>For use by Records Centre only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location</td>
<td>Numbering</td>
</tr>
<tr>
<td>From</td>
<td>To</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Shelf Meters</th>
<th>Disposal Date</th>
</tr>
</thead>
</table>

Name of officer, receiving, checking & processing records

Remarks
<table>
<thead>
<tr>
<th>RECORDS TRANSMITTAL AND RECEIPT</th>
</tr>
</thead>
<tbody>
<tr>
<td>TO BE COMPLETED AT FEDERAL RECORDS CENTER</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INSTRUCTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Send original and two copies to appropriate Federal Records Center. Exception—Send original and three copies to the Alexandria, Virginia, Center</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FROM: (Name and address of Agency transferring records)</th>
</tr>
</thead>
<tbody>
<tr>
<td>TO: Federal Records Center, GSA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1. OFFICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. STORAGE</td>
</tr>
<tr>
<td>B. FILE CABINETS (HF)</td>
</tr>
<tr>
<td>C. TRASH FILES (HF)</td>
</tr>
<tr>
<td>D. DESTRUCTION (DE)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. NAME OF AGENCY OR OFFICIAL OF RECORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. BUILDING AND ROOM NO.</td>
</tr>
<tr>
<td>b. TELEPHONE NO.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. DATE OF RECORD</th>
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<tbody>
<tr>
<td>a. DATE RECEIVED</td>
</tr>
<tr>
<td>b. DATE RECEIVED</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. DESCRIPTION OF RECORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. RECORDS WITH INCLUSIVE DATES</td>
</tr>
<tr>
<td>b. RECORDS WITH INCLUSIVE DATES</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. DISPOSAL AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. DISPOSAL AUTHORITY</td>
</tr>
<tr>
<td>b. DISPOSAL AUTHORITY</td>
</tr>
</tbody>
</table>

(Use Standard Form 219 for continuation sheet)
**RECORDS REQUISITION FORM**

(National Archives & Records Centre Act, 1967)

**PART I** To be completed by requisitioning department

<table>
<thead>
<tr>
<th>Departmental/Office</th>
<th>Address to which records should be delivered</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Officer making request</th>
<th>Tel. No</th>
<th>Date of Request</th>
<th>Expected Date of Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box No.</td>
<td>Location</td>
<td>Dept File Ref No</td>
<td>Subject</td>
</tr>
<tr>
<td>----------</td>
<td>---------</td>
<td>-----------------</td>
<td>---------</td>
</tr>
</tbody>
</table>

**PART II** For use by Records Centre only

<table>
<thead>
<tr>
<th>Officer who received telephone request</th>
<th>Officer who forwarded records to dept.</th>
<th>Officer who received records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date due</td>
<td>Date(s) reminder(s) sent</td>
<td>Date of actual return of records</td>
</tr>
<tr>
<td>----------</td>
<td>--------------------------</td>
<td>-------------------------------</td>
</tr>
</tbody>
</table>
NOTE: Use a separate form for each request.

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED

REMARKS

<table>
<thead>
<tr>
<th>NATURE OF SERVICE</th>
<th>RECORD GROUP NO</th>
<th>ACCESSION NO</th>
<th>FIRE BOX NO OR RECORD CENTER LOCATION NO (IF ANY)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

General Services Administration
Federal Records Center NARS

TO

NOTE: In Washington, D.C. area send to STOP 386

FOR RECORDS CENTER USE ONLY

- RECORDS NOT IN CENTER CUSTODY
- RECORDS DESTROYED
- WROK S BOX NUMBER: PLEASE RECHECK
- ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED
- MISS NO. (Identify record(s) information not clear and found in container(s) specified)
- RECORDS PREVIOUSLY CHARGED

OUT TO: (Name, Agency and date):

DATE SERVICE THE REQUIRED SEARCHER'S INITIALS

FOR USE OF REQUESTER

RECEIPT OF RECORDS

NAME OF REQUESTOR TELEPHONE NO DATE

REMARKS

Requester please sign, date and return this form, for file item(s) listed above. ONLY if the block to right has been checked by the Records Center.

SIGNATURE DATE

REFERENCE REQUEST — FEDERAL RECORDS CENTERS

NOTE: In Washington, D.C. area also include STOP number.
# ANNUAL SUMMARY OF RECORDS HOLDINGS

(See Instructions on reverse before completing form)

<table>
<thead>
<tr>
<th>To:</th>
<th>Reporting period (From - To)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## VOLUME OF RECORDS (cubic feet)

<table>
<thead>
<tr>
<th>STATUS—ACTION</th>
<th>DEPARTMENTAL</th>
<th>FIELD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current File Rooms and Offices</td>
<td>Staging, Holding and Other Storage Areas</td>
</tr>
<tr>
<td></td>
<td>(a)</td>
<td>(b)</td>
</tr>
<tr>
<td>1. On hand—beginning of period</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Transferred to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Fed. Records Centers or National Archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Other agencies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Destroyed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. On hand—end of period</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Magnetic tape (Number of reels included in item A)</td>
<td>No. of Reels</td>
<td></td>
</tr>
</tbody>
</table>

## CERTIFICATION:

The records holdings reported on this form are adequately covered by current and operational Records Control Schedules as provided by Sub-part 101-11.4, "Disposition of Federal Records" of the Federal Property Management Regulations.

- [ ] Yes  - [ ] No  
  (If "No", please attach explanation)

Remarks: (Include comments on significant increases or decreases in holdings, any plans for records cleanout campaigns, or any other significant records disposition matters).

<table>
<thead>
<tr>
<th>Name of person with whom to confer</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Date Prepared | Title | Signature |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

STANDARD FORM 136 (REV. 4-78)  
Prescribed by GSA  
FPMR 101-11.102-7
### AGENCY RECORDS CENTER

#### ANNUAL REPORT

#### INSTRUCTIONS:
This form (original only) is to be submitted within 60 days of the close of each fiscal year to the National Archives and Records Service, General Services Administration, Washington, D.C. 20408, for each Agency Records Center.

| 4. Volume of records on hand at the beginning of the fiscal year (cubic feet) | 9. Average number of personnel employed by the center during the fiscal year |
| 5. Volume of records accessioned during the fiscal year (cubic feet) | 10. Average amount of space occupied by the center during the fiscal year (sq. ft.) |
| 6. Volume of records disposed of during the fiscal year (cubic feet) | 11. Number of 4- and 5-drawer units of steel filing equipment utilized at the end of the fiscal year |
| 7. Volume of records transferred from the center during the fiscal year (cubic feet) | 12. Number of steel transfer cases (drawers) utilized at the end of the fiscal year |
| 8. Volume of records on hand at the end of the fiscal year (cubic feet) | 13. Total number of reference services during the fiscal year |

#### NOTE:
- Nonrecord material is to be included in the volume totals.
- Reference services comprise (1) each file item furnished on loan or for reproduction or for reference use in the center and (2) each occasion on which information is furnished from the records (oral or written). A file item may be a single document, a folder, a bound volume, etc., depending upon the physical manner in which the records are stored, removed and furnished to the inquirer.
- If the request is for one document or several documents filed separately, each document constitutes a file item. If the request is for certain folders, each folder constitutes as item, etc.