

Jerry

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TONG HUU QUANG.....

Records Management Report

As a Vietnamese participant in police records management under the International Cooperation Administration sponsorship, I attended the police records course at Michigan State University during the spring quarter of 1959.

The following topics were presented:

1. Position of the Central Record Bureau

The Central Record Bureau is very important in a police department. The police administrator needs efficient records for directing his police action in the repression of subversive activities and crimes, in the recovery of stolen properties, in the regulation of traffic, in the distribution of manpower, in patrol, etc.....

2. The Central Record Bureau Concept

The record bureau, brain of the police department, must be located at the headquarters where there is interrelationship between police officers and the Central Record Bureau, and where there is much security for records. Receiving complaints and informations from citizens or patrolmen, and dispatching those informations to the interested bureau or the officer on the beat, it is desirable that the communications system should be placed under the direction of the records officer. All phases of police action must be recorded. Therefore, the centralization of valuable records to the Central Record Bureau is vital for the best performance of the police department.

3. The Complaint Memo

This is a note bearing complaint number, date, time, nature of case, car dispatched (number or name of officer), time cleared, name and address of the complainant. It is used in an urgent case - and when the information counter is separated from the central complaint desk and when the case sheet is not filled out on time.

4. The Case Report

This is the main spring of the records system. It is concerned with recording reports and controlling investigation by means of additional reports. It serves as the base on which the case is built and as a means of filing. Each case bears a number. All reports concerning the case also have that same number.

5. Forms and Distribution of Copies

Different forms: Case sheet for complaints - Casualty sheet for recording motor vehicle accidents.

A single copy is often sufficient in small police departments. But in a larger one, it is desirable to have copies of case sheets for the patrol officer, the detective division, the planning and research bureau, etc....

6. The Arrest and Identification Records

The arrest of a person necessitates a booking procedure. (making arrest report - arrested person's property off his person - putting sealed property in the property room under the charge of a civilian employee - and band for safety). The booking procedure also includes fingerprints, mug and personal description.

The arrest record, made by the booking officer, bears certain informations such as: name and alias of offender, physical description, offense charged, arresting officer, serial number, fingerprint classification, F.B.I. number, result of court. The copies of an arrest record are sent to the Central Record Bureau, to the arresting officer, to the jail, to the identification bureau.

The fingerprints of an arrested person are classified by Henry method. The fingerprints cards go the Henry files and to the identification jacket, and must be discarded when the prisoner dies. The mugs of everybody arrested must be taken, exception made of juveniles and repeaters. Full length mugs are taken for the cases of bunco, assault, robbery, perversion, vice. The negatives are filed in the local police department.

Personal identification jacket -- This is a dossier containing the arrest report, the mug shot with full length, the officer report on arrest, the F.B.I. transcript, the correspondences, the newspaper clippings and the fingerprints cards.

7. M.N.I. (Master name index files)

These are the names cards involving: all arrested persons - complainants - suspects - wanted persons - witnesses - driver violators - missing persons - juveniles - persons injured and killed. The F.B.I. discards those index name cards after 65 years of age of person.

Each master index card contains: name and alias, address, fingerprints classification, local police department number, F.B.I. number, case number, arrest report number, personal description, occupation, place and date of birth, and a brief police history on the back of the card.

8. Stolen Property File

This is used to locate the informations. It has to be tremendously a flexible file and it looks like a commercial catalog. The classification of stolen items consists of numbered files and unnumbered files (digit system).

9. Modus Operandi

Many criminals are known by their method of operations. It is possible to identify the perpetrator by comparing his M.O. and that used in other crimes with which he has been identified. Some informations are necessary for filing the M.O. cards: person attacked (sex, race, occupation) - property attacked - how attacked - means of attack (instrument, tool, device, trick) - object of attack (general class of articles).

10. Special Files

A. Identification by personal description -- This is an index card bearing the physical description of a known criminal and of a wanted person. (physical characteristics as sex, color, age, height, weight, color of hair, color of eyes, marks, scars and deformities).

B. Handwriting files -- The handwriting of counterfeiting checks and other documents may be filed by the police department for purposes of identification. The Lee and Abbey system is used and is based on these factors: form, skill, movement, inclination.

11. The Uniform Crime Report

The uniform crime report, made by the F.B.I. every three months, is used for making comparisons between the local crime rate and that in other communities providing those communities have the same geographical divisions and the same population group. These crimes are reported on the uniform crime report in:

Part I -- Homicide, rape, robbery, aggravated assault, larceny, theft, auto theft, etc.....

Part II - Other assaults, forgery and counterfeiting, fraud, stolen property, prostitution, drunkenness, gambling, etc.....

Part III- Lost and found.

Part IV - Traffic accidents, home and occupational accidents, firearm accidents, suicides, etc.....

Part V -- Miscellaneous - general orders, rules and regulations.

From June 1st to June 12th, 1959, I attended the records management course offered by the National Archives and Records Service in Washington. The sessions were conducted by the officials and specialists from the Office of Records Management, from the Federal Agencies, and also from business.

1st Session

Economical Records Management (by Dr. Bahmer - U.S. Dept. of Archives)

This is relatively a new field of activity in the U.S. Government having started only about twenty years ago, shortly before World War II. The years up to about 1900 were known as the "book period" when records were copied into books by hand. After World War II, with the growth of paperwork, the records have been well organized. (method of indexing and filing, selection of records by experts, training of employees).

2nd Session

Organizing for Records Management (by Dr. H. Angel)

The lecturer spoke of the personnel who have some records notions and experience in records management and who is familiar with the file operations before being admitted as clerk in a records department.

Then he went on the supervision problem, the training and operation program.

3rd Session

Managing Correspondence (by Miss Mona Sheppard, V.P.-Leahy & Company)

Plain letters: Mona developed the "4-S" formula (shortness - simplicity - strength - and sincerity) and its application in the business and government letters.

Form letters: "A form letter is a letter printed or otherwise reproduced and stocked in advance of its actual use."

The printed letters include not only conventional business-style letters, but also printed memorandum, postal cards....

4th Session

Management of Forms (by Artel Ricks)

Major forms problems: Hard to fill in -- too many copies -- uncontrolled creation -- supply not equal to need -- unneeded informations -- duplication and overlapping -- designed standard ignored.

Solutions to forms problems: Mr. Ricks spoke of five steps method:

1. Select a form to improve
2. Get the facts.
3. Challenge the form, each item, each copy.
4. Draft the new form.
5. Report the improvement.

5th Session

Management of Reports (by Dr. Murray Haber)

Definition of report: Transmitted information that is used for determining policy, evaluating performance, controlling operations or preparing other reports.

Reporting procedure:

- Analyzing information
- Correcting
- Reviewing
- Eliminating duplicate reporting
- Follow-up

6th Session

Management of Instructions (by William S. Harris, Archives)

A directive is not a directive, but an institutional know-how. (It is what the manager needs to know and what the technician needs to know). The manager is the most important individual in our system today, because he puts everyone else to work. The more employees he has, the more he needs to know about the management by direction. The written direction, that must be both wise and efficient, is the command force of the manager.

7th Session

Office Machines and Supplies (by William J. Reilly, Archives Staff)

Today, the Records Institute needs special machines that are more important than in former times for their fast jobs. (Save labor - time - money - also reason of efficiency.) The best equipment requires: size of document - duplication - mathematic functions (adding, subtracting, multiplying, dividing). Below, are examples of trade names:

1. Photographic - Contact

- a. Single copy (Autostat - Apeco - Dristat - Conture)
- b. Multiple copies (Verifax - Photostat - Instant copier)

2. Diazo type

- a. Fluid type (Bruning - Print-Black and White)
- b. Vapor type (Ozalid - Bambina - Gease print)

3. Heat

- a. Thermafax

4. Electrostatic

- a. Xerose - Electrofax

8th Session

Preparation for Paper work Mechanization (by Wallace Velander, Navy Management)

Source data automation: This is the principle of recording at the source in machine language. What is called a "common language" in automation is "machine language." The 80 column punched card is common language to most machines. Five channel punched tape or 6, 7, or 8 channel tape also is common language. The 8 channel probably will be the most common in this work in the future.

9th Session

Mail Management (by Charles A. Sterman)

There are four factors for mail management:

1. Promptness (route to action office first - set reply time limit - limit clearances, reviews - limit rewrites - follow up in action office)
2. Accuracy (Define who gets what mail - specify reply points - develop routing guide - deliver mail unopened - use office symbols)
3. Control (Delegate signing authority - organize for direct delivery - record only significant mail - avoid overlapping messenger routes)
4. Economy (Reduce number of sorts - restrict copy making - use bulk mailing - window envelopes)

10th Session

Files Operations (by Robert H. Lando - Agriculture Department)

The process of putting papers into the files should be planned and practiced so that it will be accomplished without waste motion. Proper file drawer labelling should enable the file clerk to go directly to the drawer where the first paper is to be filed. Lando gave us the filing procedure consisting of these following steps:

1. The filing shelf, with papers already attached, should be hooked on the handle of the nearest file drawer to right of the one to be used.
2. Note the file designation of the top paper to be filed.
3. On opening the file drawer, note guide cards
4. Note folder labels to determine specific location.
5. Transfer contents to filing shelf and add paper to be filed.
6. If papers are fastened to file folder, remove folder from drawer only after the folder in back of it has been inclined to mark the spot for replacing.
7. Papers need to be divided within a folder into categories.

The process of filing requires conveniently the use of file drawer which holds the previous records (normally less active) in their lower drawers and the current documents in their upper ones. The use of folders and guide cards provides ease in the identification of alphabetical files.

11th Session

Subject Classification of Files (By Terry Bach, ArchivesStaff)

Bach gave us the definition of classification of files as "the systematic arranging of items into groups or categories, based on definite schemes of national relationships." It is a very important operation because it gives the ability to locate papers or documents promptly after they are filed. It depends mainly on the skill used in classifying the papers before they are filed.

These are some examples of subject numeric classification with genesis as the basis:

Creation: (This would be the subject)

1 -- Light (1 - 1 - day)
(1 - 2 - night)

2 -- Celestial Bodies (2 - 1 - Sun)
(2 - 2 - Moon)
(2 - 3 - Stars)

etc.

12th Session

Field Trip to Mail and Files Room

On June 8th, 1959, under the direction of Dr. E. Angel, assistant Archivist of the United States, all participants of the records management course visited the mail and files room of the Department of Agriculture. Dr. Angel introduced us to the supervisor who explained to us how correspondences are filed. We noticed some details about the procedure used in the file room.

The letters were carefully read by a clerk whose duty was to determine the subject matter concerned. He determined the symbols A., B, C, etc. by checking the dictionary index cards.

Another clerk checked the correspondences records for completeness and for assembling all items together with the latest date on top and for putting them in the same folder. The folders were put in the filing cabinets for use - in cabinets of four drawers.

Then, the supervisor led all participants to the mail room where we noticed the use of sorting cases, opener stamps, dumping tables, wrapping tables, sealing machines, mail distribution racks. He explained to us about the outgoing and incoming mail.

13th Session

Appraising and scheduling records (by Lewis J. Darter, Jr., Archives Staff)

Appraisal -- the values in records are of two kinds:

- primary values for the originating agency itself.
- secondary values for other agencies and private users.

General Records schedules: They are issued by the General Service Administration to provide disposition standards for records common to Federal agencies. General records schedules also recommend methods of filing many types of records as follows:

- Schedule 1 -- Civilian personnel records
- " 2 -- Payrolling and supply records
- " 3 -- Procurement
- " 4 -- Property disposal records
- " 5 -- Budget preparation records
- " 6 -- Accountable officer's accounts
- " 7 -- Expenditure accounting records
- " 8 -- Stores and cost accounting records
etc.

14th Session

Records Centers and Archives (by Everett O. Heloredge, Director program development division - Office of Records Management)

The Federal government produces records at the rate of three million cubic feet annually. Handling that accumulation of records requires the using of Federal Records Centers which keep the non-current records transferred from several annexes. The creation of these centers in some states of the United States (Chicago - St. Louis - San Francisco) helps the Federal Government to save money by removing the non-current records from the high-cost space and equipment.

15th Session

Tour of Records Centers

On June 10th, 1959, under the direction of Dr. Angel, all participants, taking place in a bus, drove to the G. S. A. Federal Records Center at Alexandria Virginia. During an hour at that center consisting of three large buildings of three stories, and under the guide of a member of the Center staff, we could see naval records involving maps and projects, checks stored by their serial numbers, old books. Those records, kept in labeled standard containers, were placed on neat shelves. The guide explained to us how the records were transferred to this center and how the center could help agencies by providing them with his technical advice, equipment, and supply, standards, by assisting them in the planning.

16th Session

Tour of National Archives

On June 12th, always under the direction of Dr. Angel, we had the opportunity to visit the National Archives building, Pennsylvania Avenue, Washington. This is a huge construction, which, from 10 a.m. to 12 a.m. every day, opens its doors to the public who come to see the exhibition of America's charters. In the basement of this building, there is an office whose duty is to reconstitute old maps and valuable documents by putting them, after assembling all pieces in correct position, between a polyethylene sheet and a piece of stuff of the same dimensions. All is treated by an electric compressor. We also visited the Senate Records room, the map searchroom, and the microfilm room where the viewers "Recordak" were used for rendering the microfilm readable.

17th Session

Do's and Dont's of Records Management (by Dr. Angel)

The last lecturer gave us these positive statements as a guide to the problem "Do's and Dont's of Records Management."

1. Asserting record management role by recognizing how it is affected by the organization which determines the nature of records, by the equipment and spaces which include machines used in making records, by the personnel and human relationships which concern the many factors that affect the productivity of those who make, use and maintain records.

2. Cycle concepts that seek integration through the management of records making, management of records keeping, and management of records retention.
3. The third suggestion is to consider and to understand the importance of human relations by recognizing workers are people, by studying individuals, by seeking to satisfy the basic needs of the worker and by appreciating individual differences.
4. The fourth "Do's and Dont's" has to do with "Establishing effective communications."
 - Bring about understanding and acceptance.
 - Determine correct operating procedure
 - Secure action.
5. The fifth concept "Plan coordinated operations" emphasizes the development of planning on the basis of :
 - What must be done
 - Where it should be done
 - How should it be done
 - Who should do it
 - When should it be done
6. The sixth principle "Treat problem solving scientificatly" consists of :
 - Clearly defining the problem
 - Establishing what we want to accomplish
 - Getting facts by learning the whole story
 - Evaluating whether the objectives have been reached.
7. "Navigate wisely" is the seventh concept that considers these precepts:
 - Have patience and persistence.
 - Recognize the influence of key personalities
 - Don't make change too fast
 - Avoid criticism
 - Don't let experience replace principle.

Utility and Adaptability in Vietnam

1. Police records: Through all sessions about police records management lectured by Mr. Stretcher, the following items can be applied to the Vietnamese Police organizations:
 - Location of the records office.
 - Use of the case sheet
 - The booking procedure
 - The General Directorate of Police and Security of Vietnam replaced its method of classification of identification records (P,risian and Pottecher method) with the Henry method and has best results.
 - Use of the Master name index file.
 - Use of the personal description cards
 - The Uniform classification of cases.

2. Administrative Records: Through the sessions that I attended at the sixth Institute on Records Management, I noticed that the whole course constitutes a basis for the classification of correspondences and administrative records within some State department in Vietnam. My field trip to mail room and Records Centers gave me precious notions for the organization of a mail room, the performance of the files operations and the storage of documents.

Although the introduction of machines in the Vietnamese records administration is not yet totally widespread, the knowledge acquired in the United States permits me to improve my method of managing and to envisage a future organization of the record service so as to obtain the maximum of effect with the minimum of toil.