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PRESIDENTIAL RECORDS (WHORM Files)

I. DEFINITIONS

According to the 1978 Presidential Records Act, the term "Presidential Records" means documentary materials, or any reasonably segregable portion thereof, created or received by the President, or his immediate staff, or a unit or individual of the Executive Office of the President whose function is to advise and assist the President, in the course of conducting activities which relate to or have an effect upon the carrying out of the constitutional, statutory, or other official or ceremonial duties of the President. With the exception of the President's personal papers, the term "Presidential Records" encompasses all material formerly known as "Presidential Papers". Such a term -

(A) includes any documentary materials relating to the political activities of the President, or members of his staff, but only if such activities relate to or have a direct effect upon the carrying out of constitutional, statutory, or other official or ceremonial duties of the President; but

(B) does not include any documentary materials that are (1) official records of an agency (as defined in section 552(e) of title 5, United States Code) [known as Federal Records]; (2) personal records; (3) stocks of publications and stationery; or (4) extra copies of documents produced only for convenience of reference when such copies are clearly so identified.

The term "personal records" means all documentary materials, or any reasonable segregable portion thereof, of a purely private

or nonpublic character which do not relate to or have any effect upon the carrying out of the constitutional, statutory, or other official or ceremonial duties of the President.

The term "documentary material" means all books, correspondence, memorandums, documents, papers, pamphlets, works of art, models, pictures, photographs, plats, maps, films, and motion pictures, including but not limited to, audio, audio-visual, or other electronic or mechanical recordings.

Agency or Federal Records produced within the Executive Office of the President include the following:

Record Group 51 Office of Management and Budget

Record Group 130 White House Office [primarily administrative records, such as records of the Transportation Office, Executive Clerk, Administrative Office, Personnel Office, Chief Usher's Office, and the White House Curator.]

Record Group 273 National Security Council [institutional records only; does not include records of the National Security Advisor's Office nor the Special Assistant's or office files.]

Record Group 359 Office of Science and Technology Policy [does not include the records of the Science Advisor to the President]

Record Group 364 Office of the Special Representative for Trade Negotiations

Until the Carter administration the records of the Council of Economic Advisors (CEA) were considered Federal Records (Record Group 459). Since the Carter administration, however, the CEA records have been considered Presidential.

II. INTRODUCTION - WHORM FILES

A permanent unit within the White House Office has maintained a central filing system for every modern President and his staff. It serves their daily filing and retrieval needs. The files of the White House Office of Records Management (WHORM) (formerly known as White House Central Files) has evolved with the Presidency and now includes a complex of interrelated and special purpose file groups and series. The WHORM files consist of three basic file groups: the Subject File, the Name (Alpha) File, and the Staff Member and Office Files (SMOFS). Each President's WHORM files exactly span his term of office; for President Reagan those dates are January 20, 1981 to January 20, 1989 (the first eight year Presidency since Dwight D. Eisenhower).

All of the President's White House Office staff are encouraged to use the WHORM. This includes his speechwriters; economic, legal and congressional affairs staff; as well as scheduling, advance and public liaison staff among others. During the Reagan administration, the staffs of the Council of Economic Advisors (CEA), Office of Policy Development (OPD) and the National Security Council (NSC) also used the WHORM. NSC usage was generally limited to unclassified or low security materials. Most security classified material was retained and stored within the NSC Secretariat.

In subject content and document type, the WHORM files reflects all the diverse activities of the White House bureaucracy: the correspondence with the general public; the

policy-making and policy implementation concerns of the Presidency; the routine administrative functions which sustain every bureaucratic body; the political concerns of a President as party leader; and the social events and ceremonial aspects of the office. The public activities of the First Lady, and to some extent the President's family, are also documented.

When any member of the White House staff resigned, whether a secretary or an Assistant to the President, the WHORM unit administered a sign-out statement requiring the person to affirm that all Presidential records as defined in the "Presidential Records Act of 1978" remained with his office or successor, or had been delivered to the WHORM. A brief oral history interview was also conducted with staff in policy positions, concerning the duties and function of the departing staff member.

III. WHORM SUBJECT FILE

Content

The Subject File is the heart of the WHORM files. It is the location for most substantive material. It includes: memoranda, letters, telegrams, reports, cables, publications, press releases, speeches, lists, drafts, clippings, briefing papers, schedules, invitations, courtesy messages, and public opinion mail.

This material is the product of the White House Office, Office of Policy Development, National Security Council, and Council of Economic Advisors staffs. In addition to material prepared by them, it includes related communications from:

officials at all levels and branches of Federal, state and local government; political advisers and organizations; spokesmen for or members of various economic, political, ethnic, religious, and professional groups; foreign officials; and not least, the general public.

Content reflects political, policy, administrative, personnel, and public relations concerns; including those domestic and foreign, significant and insignificant. Relatively little material security classified as "Secret" or higher is included. Most such material was retained by the NSC.

Arrangement

The Subject File is an alpha-numeric file system of 60 primary subject codes or categories divided into numerous sub-categories. The alpha-numeric subject classification system was developed in the late 1950's and implemented during the Kennedy administration. The system has been retained, with minor modifications, since that time. The records are extensively cross-referenced via the C-TRACK or the SECLOG computer access systems, which have replaced the old manual cross-referencing system formerly located within the files. The WHORM staff assigned the category classifications, identification numbers, and devised cross-references as items were received for filing on a daily basis.

Arrangement is numerical by identification number within each sub-category and folder, which works out to be roughly chronological.

Satellite Files

The Subject File has four satellite files created to protect confidentiality or solve storage problems.

Oversized Material:

Bulky items such as thick document cases, books and other publications, posters, petitions, as well as Staff Member and Office Files (SMOFS) retired in segments larger than a few items, were assigned control numbers upon receipt and stored in numerical order. These were known as Oversize Attachments (OA). The few items that would not fit into a standard Federal Records Center (FRC) box, such as posters or charts, were numbered in a separate sequence and called Oversize Attachments - Shelf (OA-Shelf) because of their storage requirements. Both OA and OA-Shelf material is retrieved via the STAIRS retrieval system and the OA and OA-Shelf logs (green books), which are also computerized in a separate system for OAs.

Confidential Material:

A member of the White House or the WHORM staff sometimes determined that an item required limited access. Therefore, parallel Subject and OA files were established and kept under tighter access controls. They were known as Confidential File (CF) and Confidential File Oversize Attachments (CFOA) respectively. The contents of both were retrieved via the STAIRS retrieval system and the CFOA logs.

Part of CF and much of CFOA consists of SMOF material, while the bulk of it is from the Subject File. To facilitate research, the CF material will be interfiled into the main Subject File or the SMOF files where appropriate, as has been done by recent

Presidential libraries. CF items are identified within the Subject File by blue cross reference sheets, and by the stamped mark "C.F." on the document.

OA, OA-Shelf, and CFOA materials that are part of the Subject File will be reviewed and processed by "review on request". There is also a small number of CFOA-Shelf items, consisting primarily of matrix or signature wheels.

IV. WHORM NAME (ALPHA) FILE

The Name File, also known as the Alpha File, consists primarily of routine material not recorded in the Subject File; such as correspondence answered with a form acknowledgement, autographed photos, invitations declined, agency referrals, much of the First Lady's correspondence, and some presidential support letters. Some of the Name File material is cross-referenced via C-TRACK STAIRS, but most of it is not.

The Name File is arranged alphabetically by name of person, organization or event at the folder level, but arrangement is in rough chronological order within each folder. The Name File and the parallel OA material is processed on a "review-on-request" basis.

V. STAFF MEMBER AND OFFICE FILES (SMOFS)

Virtually all WHORM users retained additional files in their own offices for reasons of convenience, confidentiality, or both. As these office files accumulated and as staff members left the White House staff, portions were periodically forwarded to WHORM

for general storage and portions were retained in the offices until the end of the administration. These accumulated office files are known as "White House Staff Member and Office Files" (SMOFS). A much higher percentage of records have been retired to WHORM by the White House offices during the Reagan administration than during previous administrations, resulting in a larger Subject File and a larger volume of SMOF records in WHORM custody.

When SMOF material was transferred to WHORM, it would include a file folder list of the contents of each box. The WHORM staff would assign an OA or CFOA number to each box and input the file folder list and other basic information into the C-TRACK system. All SMOF records are cited in C-TRACK under subject codes FG006-01 (White House Office), FG006-03 (Council of Economic Advisers), or FG006-07 (Office of Policy Development); and cross-referenced under appropriate codes matching the file folder listings. Files of the National Security Adviser's office and other NSC staff were maintained by the NSC Secretariat.

All SMOF material transferred to WHORM during the administration will be consolidated with SMOF material located in the offices at the end of the administration, and organized by office and/or staff member.

VI. BULK MAIL

Every recent administration has received voluminous routine correspondence from the general public that is referred to as "bulk mail". This type of material includes public opinion mail,

requests for photographs, holiday greetings, get well messages, crank mail, and support mail.

The Reagan Administration, however, became the first administration to systematically dispose of bulk mail during the administration. In an agreement with NARA, authorized by the Presidential Records Act, WHORM and NARA's Office of Presidential Libraries (NL) have instituted sampling procedures for bulk mail scheduled for disposal. Over 300 cubic feet of sampled bulk mail has been retained out of over 18,000 cubic feet macerated and recycled; a sampling of about 1½%.

ALPHABETICAL LISTING OF PRIMARY SUBJECTS

CODE SUBJECT CATEGORY

AG AGRICULTURE
 AR ARTS
 AT ATOMIC / NUCLEAR ENERGY
 BE BUSINESS - ECONOMICS
 CA CIVIL AVIATION
 CM COMMODITIES
 CO COUNTRIES
 DI DISASTERS
 ED EDUCATION
 FA FEDERAL AID
 FE FEDERAL GOVERNMENT
 FG FEDERAL GOVERNMENT - ORGANIZATIONS
 FI FINANCE
 FO FOREIGN AFFAIRS
 GI GIFTS
 HE HEALTH
 HI HIGHWAYS - BRIDGES
 HO HOLIDAYS
 HS HOUSING
 HU HUMAN RIGHTS
 IM IMMIGRATION - NATURALIZATION
 IN INDIAN AFFAIRS
 IS INSURANCE
 IT INTERNATIONAL ORGANIZATIONS
 IV INVITATIONS
 JL JUDICIAL - LEGAL MATTERS
 LA LABOR - MANAGEMENT (NON-GOVERNMENT)
 LE LEGISLATION
 LG LOCAL GOVERNMENTS
 MA MEDALS - AWARDS

CODE SUBJECT CATEGORY

MC MEETINGS - CONFERENCES
 ME MESSAGES
 ND NATIONAL SECURITY - DEFENSE
 NR NATURAL RESOURCES
 OS OUTER SPACE
 PA PARKS - MONUMENTS
 PC PEACE
 PE PERSONNEL MANAGEMENT
 PL POLITICAL AFFAIRS
 PO POSTAL SERVICE
 PP PRESIDENTIAL (PERSONAL)
 PQ PROCUREMENT
 PR PUBLIC RELATIONS
 PU PUBLICATIONS
 RA REAL PROPERTY
 RE RECREATION - SPORTS
 RM RELIGIOUS MATTERS
 RS REPORTS - STATISTICS
 SA SAFETY - ACCIDENT PREVENTION
 SC SCIENCES
 SO SOCIAL AFFAIRS
 SP SPEECHES
 ST STATE GOVERNMENTS
 TA TRADE
 TN TRANSPORTATION
 TR TRIPS
 UT UTILITIES
 VA VETERANS AFFAIRS
 WE WELFARE
 WH WHITE HOUSE ADMINISTRATION

PROCESSING GUIDELINES

Processing historical materials is a major function of each Presidential library. Processing consists of arrangement, description, and review. Each of these tasks should be accomplished before materials are made available for research.

ARRANGEMENT

Arrangement is the proper ordering of materials within a collection and the placement of materials in archival storage areas. All files should be kept in original order if they have any logical order, such as the alpha-numeric arrangement of the WHORM Subject File. If the folders and documents are not arranged systematically, they should be placed in logical order. A useful approach to overall organization is to place the most comprehensive series, either by date or by subject coverage, at the beginning, followed by more specific series arranged alphabetically or chronologically.

For White House Staff Member and Office Files (SMOFS) and most personal paper collections, the records should generally be arranged in the following order of importance:

1. The most important files are those denoting responsibilities, scope of job, policy formulation and implementation, relationships with the President and White House aides, official chron files, diaries, subject-memoranda files, files containing the working papers of White House conferences, and task forces.

2. Second in importance are such files as administrative and housekeeping files, personal chron files, appointment calendars, files of speeches declined, sympathy or congratulatory correspondence, and personal invitations.

3. Least important are printed materials, files containing only transcripts of press conferences, and files of press releases and news clippings.

After the processor gains familiarity with a body of materials and is able to determine a likely arrangement, he should then write a brief arrangement proposal and present it to the project supervisor. No arrangement should be attempted until the proposal is approved.

Since the processor must do a folder by folder review, and if necessary a page by page review, arrangement and review will usually be completed in one operation. (For withdrawal and segregation procedures, see chapters on Review, Review Criteria, and Review Withdrawal Sheets.)

Refoldering and Reboxing. Most records will be refoldered and reboxed into acid-free folders and acid-free archives (hollinger) boxes. This function is necessary for preservation as well as rearrangement and accessibility to the material.

1. The amount of material included in a folder should be limited to about 50-60 pages, or enough to fill the standard folder to the first crease.

2. Where possible, material of the same letter of the alphabet or date span should be in one folder.

3. If the folder must be broken into additional folders they should be numbered sequentially within square brackets following the folder title; e.g. [1 of 5].

4. In most cases, strictly duplicate records should be removed from the file for eventual disposal.

5. Boxes should be packed to avoid "slumping" but not so full as to hinder the removal of items.

6. Processors should number boxes for an entire file group in one sequence.

7. Legal size folders and boxes should be used, unless all but a few pages of material within a box is letter size - such as most of the subject codes in the WHORM Subject File. Letter size folders should not be placed in legal size boxes.

Labeling Boxes. Labeling follows reboxing of the entire body of records. There is always last minute shuffling to be done before labels may be affixed. Temporary labels may be fastened with paper clips during processing or the information may be written lightly in pencil on the front of each box. Box labels should include the title of the collection, file group, series and subseries, the inclusive folder contents (i.e., the first and last folder titles), and the box number.

Example: RONALD W. REAGAN LIBRARY

REAGAN, RONALD W.: Records as President
of the United States, 1981-89

Subject File
CA Civil Aviation

CA - CA002

Box 78

Folder Description. The original file folder title should be retained, unless it does not describe the contents of the folder.

1. If the folder title is vague or incomplete, information may be added to the title and must be enclosed in square brackets to differentiate it from the original title.

2. If an abbreviation or acronym is unclear, it should be spelled out in brackets on the folder title list.

3. If all the folder titles are assigned by the processor, it is not necessary to place the titles within brackets, but a statement that the titles were assigned should appear in the register.

4. Empty folders should be retained as an indication that material was either anticipated or removed. After the title of an empty folder, "[Empty]" should be written on the folder and on the Folder Title List.

5. Include dates or date span as an extension of the folder title when appropriate; e.g. Trade Legislation [June 1982 - Dec. 1984].

6. On the File Folder Title List, selectively use brackets to clarify, downplay or highlight:

Motor Vehicle Safety Standard 121 [airbrakes]

Rome Airport Bombing [press release]

Florida, Orlando 3/8/83 [includes analysis of political situation in the state of Florida]

7. For the WHORM Subject File, be as specific as folder contents allow, indicating subject code and title followed by date span and document/case identification number sequence for material within the folder - both placed in brackets; e.g.,

FG016-02 Civil Air Patrol [1981-1983] [1-1406]

If all of the material for a subject code is included in one folder it is not necessary to indicate the date span or the ID number sequence. If folders are divided into additional folders it is not necessary to number the folders, it is sufficient to indicate the ID number sequence within brackets.

8. Folder titles of key people should be identified in brackets on the folder title list; e.g. Pauken, Thomas W. [Director of ACTION]

The processing archivist will find it convenient to take notes on each folder in a box, recording significant items as well as information about the contents of the folder and major correspondents. These notes serve as background for developing the series descriptions, preparation of the scope and content note of the register, and subject annotations for the folder title list. Not every folder will contain information of sufficient importance to be recorded; a general statement in the series description is usually adequate in some cases. If the archivist is processing a WHORM subject category it would be useful to also record the presence of Oversize Attachments. Some collections or file groups, such as the WHORM Subject File, do not require folder title lists or detailed subject description because of their large volume and other forms of detailed description, such as the STAIRS computer access to the WHORM Subject File.

Vertical File. A reference file of copies of useful openable documents discovered during review should be established. These copies could later evolve into a vertical file for clippings, conference papers, articles, etc..

PROCESSING NON-TEXTUAL AND BULKY MATERIALS

There will be audiovisual materials, museum objects, maps, books and other publications in many files. Materials other than audiovisual materials should generally be left with the records if they have annotations or other clear indications that they were used in connection

with the files. If materials are removed, a Transfer Sheet will be placed in the file.

Publications. Books and other publications not directly related to the files should be turned over to the Book Collection. Each item should have the following annotations in pencil on the inside of the front cover:

1. Name of collection or file group, and series
2. Accession or Pre-accession number
3. Date removed
4. Initials of the archivist

A Transfer Sheet (for audiovisual material, books, museum & other items) will be prepared. The original will be left in the location of the publication removed and a copy will be transferred with the item. In addition to the basic information on the bottom of the Transfer Sheet (file location, etc.) it should list the following information:

1. Author
2. Title
3. Publisher
4. Date of publication (copyright date)
5. Name of donor (if applicable)

The archivist should keep in mind that if a publication is a signed report required by law or regulation to be submitted to the President, it is a document and should be kept with the records.

Museum Objects. In most cases, preservation of the records requires that museum objects be removed from the files. Unique or valuable items should be sent to the museum collection, along with copies of relevant textual materials. The processing archivist should

insert a Transfer Sheet in the files for each item and forward a copy with the object to the curator. Information on the Transfer Sheet should include description and provenance of the object.

Audiovisual Materials. Motion picture films, video tapes, sound recordings, black and white still photographs, and color photographs and transparencies in the files should be turned over to the audiovisual archivist with a copy of the Transfer Sheet.

1. The original Transfer Sheet will be inserted in the files.
2. The processing archivist should not attempt to play audiovisual materials, but should record information from labels, containers, or accompanying documents.
3. Video tapes, audio tapes, phonograph records, and other sound recordings should be described by exact type.
4. An electrostatic copy of photographic prints should be made and attached behind the original Transfer Sheet within the files.
5. If a letter or page gives information about a withdrawn item, it should be copied and the copy sent with the item and Transfer Sheet to the audiovisual archivist.
6. A photograph may be retained in the papers if it is simply a snapshot from the general public, accompanies a resume, or is useful if left in its original location; but it should be placed in a polyester sleeve.

Scrapbooks.

1. If a scrapbook contains only photographs, it should be transferred to the audiovisual archivist using procedures for the removal of audiovisual materials.

2. If a scrapbook contains only newspaper clippings, the processing archivist should consult the project supervisor.

3. If a scrapbook is a combination of photographs and newspaper clippings, the processing archivist should photocopy the scrapbook for the files and turn the scrapbook over to the audiovisual archivist following the same procedure for photographs.

Maps. Maps should be kept in the files unless they are oversize or of extraordinary value. Oversize maps should be handled as oversize publications.

PRESERVATION

The following guidelines are intended to instruct archivists in a full range of advisable preservation actions short of laboratory treatment. They are not meant to be hard and fast rules, but rather represent the best practice for most situations. Common sense will reveal exceptions, as will archival judgements about the use, intrinsic value, condition, and space available for storage of the records being considered.

1. Reboxing Documents.

A. When placing records into acid-free archives boxes, care must be taken to neither overfill nor underfill boxes. If too many records are placed in a box, damage will occur as they are forced in and out. On the other hand, if there are too few records in a box, they will bend and slump, resulting in documents that are curved and distorted. Corrugated acid-free spacer boards should be used in partially filled archives boxes to keep records upright.

B. Records must be placed in boxes that are large enough to accommodate them without damage. Archives boxes in a variety of sizes and formats are available to meet the diverse storage requirements of archival records. Items that are too large for legal size archives boxes should be placed in half-suit boxes or an appropriate size box.

C. If an item is too large for a box, it should be placed flat on the shelf in an oversize storage area. A transfer sheet should be left in the file indicating the location and description of the oversize item.

2. Refolding Documents.

A. Records must be placed in acid-free file folders or envelopes that are large enough to accommodate them safely.

B. Folders and envelopes should not be overfilled, as records will not be properly supported and protected during handling and storage. The creases or score lines on a folder should be used as a guide to limit the number of items that can be safely placed within the folder. Preferably, the amount of material within a folder should be no thicker than the first crease and definitely no thicker than the width of the second crease, and the scored lines should be creased when the volume of material justifies it.

C. Unbound records that are currently stored in boxes without folders should be placed in acid-free file folders for support and protection. Material should also be removed from ring binders and placed in acid-free file folders. If a binder has some historical significance, it should be boxed at the end of the series.

D. Records should be unfolded and flattened. Letters and items within envelopes should be removed, unfolded, and stapled or clipped together with the envelope behind the top left-hand corner.

E. Typewritten folder labels should be used for most projects. Until permanent labels are affixed to the folder, the folder title should be written on the upper left corner of the folder in pencil or by pen using archival ink.

3. Written Notations on Archival Records.

A. No marks or information should be written directly on archival records without authorization by supervisors.

B. All authorized notations should be written in pencil as neatly and unobtrusively as possible, and should be enclosed within brackets to indicate that the information was added by the Library staff.

C. Only non-acidic and non-bleeding ink should be used to stamp archival records with the Ronald W. Reagan Library stamp, declassification notices or other markings.

4. Fasteners.

A. Acco fasteners, office-quality paper clips, rubber bands, bull dog clips, colored cloth tape, and similar devices should not be used to unite permanently valuable archival records. Many metal fasteners can rust, causing permanent staining and weakening of paper. Bulky fasteners, such as "bull dog" clips, can cause physical distortion of paper records and keep them from lying flat.

B. Non-corrosive, rustproof staples should be used in instances when paper records are strong and flexible, though they should not be

used on records of high intrinsic value or if the records are weak and brittle (such as records that are often copied).

5. Preservation Photocopying.

A. Highly acidic records (such as newspaper clippings and telegrams) should be copied onto archival bond paper or placed in polyester sleeves or within a folded piece of archival bond paper.

B. Valuable original records, such as documents containing Presidential handwriting, should be removed from the file. A copy of the item should be left in the file, and the original placed in polyester sleeve within a parallel file for valuable originals.

C. Photocopies made for preservation purposes should be made on electrostatic copy machines using archival bond paper. All copies should be stamped "Preservation Copy".

D. Caution must be exercised to ensure that records are not damaged, torn, or broken during photocopying.

TRANSFER SHEET

RONALD REAGAN LIBRARY

COLLECTION:

Acc. No.:

The following material was withdrawn from this segment of the collection and transferred to the ___ Audiovisual Collection ___ Book Collection ___ Museum Collection ___ Other (Specify: _____)

DESCRIPTION:

Series:

Box No.:

File Folder Title:

Transferred by:

Date of Transfer:

MANUSCRIPT PROCESSING WORKSHEET

_____ (Collection) Assigned Archivist _____
_____ (File Group) Date Assigned _____
_____ (Subgroup) Date Completed _____
_____ (Series) Date Opened for Research _____

ARRANGEMENT

preliminary _____
final _____
items transferred: memorabilia (museum items) _____
maps _____
photos _____
other A-V _____
printed materials _____
stack location _____

REVIEWING

open pp. _____
closed pp. _____
sec. classified pp. _____; [TS _____; RD _____; SI _____]
total pp. reviewed _____

DESCRIPTION

finding aid _____; kind _____; edited _____; typed _____;
filed _____; (final format _____;) (recommended format _____)
NUCMC prepared _____
withdrawal sheets _____
folder labels _____
box labels _____
locator entry: computer _____; card _____

PRESERVATION

stamped _____
polyester sleeves used _____
clippings, etc. copied _____
copies to other depositories _____; copied _____; sent _____; date _____
other preservation problems _____

COMMENTS:

WHORM SUBJECT FILE PROCESSING

Processing Priorities. In developing a list of processing priorities for the primary codes of the WHORM Subject File various factors should be considered; potential for and degree of restricted material, volume, research potential, and experience of the processors/reviewers.

Based upon an examination of the files and the experience of the Ford Library, Carter Library, and the Nixon Project, I would recommend dividing the sixty primary codes into five processing categories.

Category A (Training): consisting of codes that are small in volume and have a low potential for restricted or closeable material. These codes to be used for training of people new to processing Presidential records.

Category B (Systematic Processing): codes to be assigned to reviewers, based primarily upon their subject interest, after they have completed processing a category A code. The FG code should be assigned and processed in segments by secondary code.

Category C (Sensitive): codes that have a higher than average potential for restrictive material, primarily in the non-security classified area. This material should be processed only after it is moved to California, and only by experienced people of proven judgment.

Category D (Defense-Foreign Policy Content): codes having a higher than average potential for security classified material. Although three of these codes have high research potential (CO,

FO, & ND), processing should be deferred until most of the other codes have been processed.

Category E (Review on Request): codes that have a low potential for closed material, low overall research potential, and the file segments are well arranged and readily identifiable. Systematic processing of these codes would not justify the expenditure of staff resources.

Codes processed before the records are moved to California should come out of categories A and B, depending upon the amount of time remaining in 1988 and staff resources. I would recommend the following A codes (AR, HS, LG, PA, PO, & RM) and the following B codes (AG, CA, ED, MC, NR, PU, ST, TN, UT, & VA) be processed first.

PROCESSING CATEGORY A (Training)	<u>Cu-ft</u>	PROCESSING CATEGORY C (Sensitive)	<u>Cu-ft</u>
AR ARTS	1	HU HUMAN RIGHTS	16
CM COMMODITIES	5	IM IMMIGRATION-NATURAL'N	13
DI DISASTERS	6	JL JUDICIAL-LEGAL MATTERS	46
HI HIGHWAYS-BRIDGES	1	LA LABOR-MANAGEMENT	22
HS HOUSING	3	LE LEGISLATION	20
IN INDIAN AFFAIRS	4	PE PERSONNEL MANAGEMENT	25
IS INSURANCE	8	PL POLITICAL AFFAIRS	16
LG LOCAL GOVERNMENT	3		
PA PARKS-MONUMENTS	3	PROCESSING CATEGORY D (Defense-For. Pol. Content)	
PC PEACE	1		
PO POSTAL SERVICE	2		
PQ PROCUREMENT	6	CO COUNTRIES	42
RA REAL PROPERTY	6	FO FOREIGN AFFAIRS	32
RE RECREATION-SPORTS	2	IT INTERNATIONAL ORG'S	7
RM RELIGIOUS MATTERS	3	ND NATIONAL SECURITY-DEF.	55
RS REPORTS-STATISTICS	2	OS OUTER SPACE	5
SA SAFETY-ACCIDENT PREVENTION	3	TA TRADE	70
SC SCIENCES	3		
		PROCESSING CATEGORY E (Review on Request)	
PROCESSING CATEGORY B (Systematic Processing)			
AG AGRICULTURE	6	GI GIFTS	22
AT ATOMIC / NUCLEAR ENERGY	1	HO HOLIDAYS	34
BE BUSINESS-ECONOMICS	31	IV INVITATIONS	25
CA CIVIL AVIATION	10	MA MEDALS-AWARDS	18
ED EDUCATION	8	ME MESSAGES	168
FA FEDERAL AID	13	SP SPEECHES	109
FE FEDERAL GOVERNMENT	11		
FG FEDERAL GOVT - ORG'S	253		
FI FINANCE	82		
HE HEALTH	32		
MC MEETINGS-CONFERENCES	16		
PU PUBLICATIONS	14		
NR NATURAL RESOURCES	10		
PP PRESIDENTIAL (PERSONAL)	23		
PR PUBLIC RELATIONS	136		
SO SOCIAL AFFAIRS	17		
ST STATE GOVERNMENT	6		
TN TRANSPORTATION	6		
TR TRIPS	39		
UT UTILITIES	8		
VA VETERANS AFFAIRS	12		
WE WELFARE	19		
WH WHITE HOUSE ADMINISTRATION	8		

Record volume, current as of Jan. 6, 1988, is an approximation for many codes.

ALPHABETICAL LISTING OF PRIMARY SUBJECTS

<u>CODE</u>	<u>SUBJECT CATEGORY</u>	<u>FOOTAGE</u>	<u>PROCESSING CODE</u>
AG	AGRICULTURE	6	B
AR	ARTS	1	A
AT	ATOMIC / NUCLEAR ENERGY	1	B
BE	BUSINESS - ECONOMICS	31	B
CA	CIVIL AVIATION	10	B
CM	COMMODITIES	5	A
CO	COUNTRIES	42	D
DI	DISASTERS	6	A
ED	EDUCATION	8	B
FA	FEDERAL AID	13	B
FE	FEDERAL GOVERNMENT	11	B
FG	FEDERAL GOVT - ORGANIZATIONS	253	B
FI	FINANCE	82	B
FO	FOREIGN AFFAIRS	32	D
GI	GIFTS	22	E
HE	HEALTH	32	B
HI	HIGHWAYS-BRIDGES	1	A
HO	HOLIDAYS	34	E
HS	HOUSING	3	A
HU	HUMAN RIGHTS	16	C
IM	IMMIGRATION-NATURALIZATION	13	C
IN	INDIAN AFFAIRS	4	A
IS	INSURANCE	8	A
IT	INTERNATIONAL ORGANIZATIONS	7	D
IV	INVITATIONS	25	E
JL	JUDICIAL-LEGAL MATTERS	46	C
LA	LABOR-MANAGEMENT (Non-Government)	22	C
LE	LEGISLATION	20	C
LG	LOCAL GOVERNMENT	3	A
MA	MEDALS-AWARDS	18	E
MC	MEETINGS-CONFERENCES	16	B
ME	MESSAGES	168	E
ND	NATIONAL SECURITY-DEFENSE	55	D
NR	NATURAL RESOURCES	10	B
OS	OUTER SPACE	5	D
PA	PARKS-MONUMENTS	3	A
PC	PEACE	1	A
PE	PERSONNEL MANAGEMENT	25	C
PL	POLITICAL AFFAIRS	16	C
PO	POSTAL SERVICE	2	A
PP	PRESIDENTIAL (PERSONAL)	23	B
PQ	PROCUREMENT	6	A
PR	PUBLIC RELATIONS	136	B
PU	PUBLICATIONS	14	B
RA	REAL PROPERTY	6	A
RE	RECREATION-SPORTS	2	A
RM	RELIGIOUS MATTERS	3	A
RS	REPORTS-STATISTICS	2	A
SA	SAFETY-ACCIDENT PREVENTION	3	A

SC	SCIENCES	3	A
SO	SOCIAL AFFAIRS	17	B
SP	SPEECHES	109	E
ST	STATE GOVERNMENTS	6	B
TA	TRADE	70	D
TN	TRANSPORTATION	6	B
TR	TRIPS	39	B
UT	UTILITIES	8	B
VA	VETERANS AFFAIRS	12	B
WE	WELFARE	19	B
WH	WHITE HOUSE ADMINISTRATION	8	B

Total of 60 Subject Codes (1,548 cubic feet).

Processing Categories:

- A = Training (18 codes, 62')
- B = Systematic Processing (23 codes, 761')
- C = Sensitive (7 codes, 158')
- D = Defense-Foreign Policy Content (6 codes, 211')
- E = Review on Request (6 codes, 356')

REVIEW ON REQUEST (Spot-review)

File groups or series that are designated for spot-review usually have low overall research potential making systematic processing a low priority, and also are well arranged with distinct identifiable file segments. File groups subject to spot review should be reboxed if at all possible prior to opening the files to spot-review requests - in order to facilitate the request.

File groups open to review on request would be:

Alpha (Name) File

Oversize Attachments (OA) of processed Subject File codes

Six Primary Codes of the Subject File (GI, HO, IV, MA, ME, and SP)

Spot-review requests should be:

1. specific and detailed as possible
2. limited in volume, depending on staff resources available
3. limited to folders, not individual documents or case files. If a researcher requests a particular document or case file, the entire folder containing the item should be reviewed.
4. Spot-review requests for OA segments should be accepted only if the corresponding Subject File code or folder has been reviewed. As of 1/20/94 all spot-review requests must be honored if submitted as part of a FOIA request.

purely private or nonpublic character which do not relate to or have any effect upon the carrying out of the constitutional, statutory, or other official or ceremonial duties of the President. Such term includes -

(A) diaries, journals, or other personal notes serving as the functional equivalent of a diary or journal which are prepared or utilized for, or, circulated or communicated in the course of, transacting Government business;

(B) materials relating to private political associations, and having no relation to or direct effect upon the carrying out of constitutional duties of the President; and

(C) materials relating exclusively to the President's own election to the office of the Presidency; and materials directly relating to the election of a particular individual or individuals to Federal, State or local office which have no relation to or direct effect upon the carrying out of constitutional, statutory, or other official or ceremonial duties of the President."

"The term 'documentary material' means all books, correspondence, memorandums, documents, papers, pamphlets, works of art, models, pictures, photographs, plats, maps, films, and motion pictures, including, but not limited to, audio, audio-visual, or other electronic or mechanical recordings."

II. INTRODUCTION - WHORM FILES

A permanent unit within the White House Office, has maintained a central filing ^(and retrieval) system for ~~every modern~~ President, ^{reinsert} and his staff. ~~It serves their filing and retrieval needs.~~ The

~~(White House Office of Records Plan)~~

The "Presidential" files

files of the ~~White House Office of Records Management~~ (WHORM)

reinsert

~~(formerly known as White House Central Files) has evolved with the Presidency and now includes~~ a complex of interrelated and special purpose file groups and series. The WHORM files consist of three basic file groups: the Subject File, the Name (Alpha) File, and the Staff Member and Office Files (SMOFS). ~~Each President's WHORM files exactly span his term of office, for President Reagan those dates are January 20, 1981 to January 20, 1989.~~

~~All of the President's White House Office staff are~~ have encouraged to use the WHORM, (e.g., speechwriters; economic, legal, and congressional affairs staff; scheduling, advance and public liaison staff). ~~During the Reagan Administration,~~ the staffs of the Council of Economic Advisors (CEA), Office of Policy Development (OPD) and the National Security Council (NSC) have also used the WHORM. NSC usage was generally limited to unclassified or ~~low security~~ ^{WTHDTM?} materials. Most ~~security~~ ^{- what's this?} classified material is stored within the NSC Secretariat.

In subject content and document type, the WHORM files reflect all the diverse activities of the White House including: correspondence with the general public; policy-making and policy implementation; ~~the~~ routine administrative functions; ~~political~~ ^{advises} ~~concerns of a President as party leader;~~ ^{which advise} and social events and ceremonial aspects of the office. The public activities of the First Lady are also documented.

reinsert

Upon the resignation of any member of the White House staff, he or she is required to sign a statement, administered by the

~~to the institutional~~
~~uses of President~~

~~Handwritten initials and scribbles~~

WHORM, affirming that all Presidential records as defined in the "Presidential Records Act of 1978" remained with his or her office or successor, or had been delivered to the WHORM. A brief oral history interview was also conducted with ^{selected} staff in policy positions, concerning the duties and function of the departing staff member.

[Are there oral histories included - were they verified - typed - by whom]

III. WHORM SUBJECT FILE

Content

The Subject File is the heart of the WHORM files, where most substantive material is located. It includes: memoranda, letters, telegrams, reports, cables, publications, press releases, speeches, lists, drafts, clippings, briefing papers, schedules, invitations, courtesy messages, and public opinion mail.

Staffs of

This material is the product of ^{Staffs of} the White House Office, Office of Policy Development, National Security Council, and Council of Economic Advisors staffs. In addition to material prepared by them, it includes related communications from: officials at all levels and branches of Federal, state and local government; political advisers and organizations; spokesmen for or members of various economic, political, ethnic, religious, and professional groups; foreign officials; and ~~not least~~ the general public.

Content reflects political, policy, administrative, personnel, and public relations concerns; including those domestic and foreign, significant and insignificant. Relatively

little material security classified as "Secret" or higher is included.

Arrangement

The Subject File is an alpha-numeric file system of 60 primary subject codes or categories divided into numerous sub-categories. ~~The alpha-numeric subject classification system was developed in the late 1950's and implemented during the Kennedy Administration. The system has been retained, with minor modifications, since that time.~~ The records are extensively cross-referenced via the C-TRACK or the SECLLOG computer access systems, which have replaced the old manual cross-referencing system, ~~formerly located within the files.~~ The WHORM staff assigned the category classifications, identification numbers, and devised cross-references, ~~as items were received for filing on a daily basis.~~

Arrangement is numerical by identification number within each sub-category and folder, which works out to be roughly chronological.

Satellite Files

The Subject File has four satellite files created to protect confidentiality or ^{to} solve storage problems.

Oversized Material:

Bulky items such as thick document cases, books and other publications, posters, petitions, as well as Staff Member and Office Files (SMOFS) retired in segments larger than a few items, were assigned control numbers upon receipt and stored in numerical order. These were known as Oversize Attachments (OA).

The few items that would not fit into a standard Federal Records Center (FRC) box, such as posters or charts, were numbered in a separate sequence and called Oversize Attachments - Shelf (OA-Shelf) because of their storage requirements. Both OA and OA-Shelf material ^{are} ~~is~~ retrieved via the STAIRS retrieval system and the OA and OA-Shelf logs (green books), which are also computerized in a separate system for OAs.

→ Confidential Material:

A member of the White House or the WHORM staff sometimes determined that an item required limited access. Therefore, parallel Subject and OA files were established and kept under tighter access controls. They were known as Confidential File (CF) and Confidential File Oversize Attachments (CFOA) respectively. The contents of both were retrieved via the STAIRS retrieval system and the CFOA logs.

Part of CF and ^{staff member and officer file} much of CFOA consists of (SMOF) material, while the bulk of it is from the Subject File. To facilitate research, the CF material will be interfiled into the main Subject File or the SMOF files where appropriate, as has been done by recent Presidential libraries. CF items are identified within the Subject File by blue cross reference sheets, and by the stamped mark "C.F." on the document.

OA, OA-Shelf, and CFOA materials that are part of the Subject File will be reviewed and processed by "review on request". There is also a small number of CFOA-Shelf items, consisting primarily of matrix or signature wheels.

To this classified material - If not it should be removed. a generic term for material requiring restricted access, ne. sec. class. - non sec. class.

I have not seen this before.

(What that mean?)

IV. WHORM NAME (ALPHA) FILE

The Name File, also known as the Alpha File, consists primarily of routine material not recorded in the Subject File; such as correspondence answered with a form acknowledgement, autographed photos, invitations declined, agency referrals, much of the First Lady's correspondence, and letters in support of the President. Some of the Name File material is cross-referenced via C-TRACK STAIRS, but most of it is not.

The Name File is arranged alphabetically by name of person, organization or event at the folder level, but arrangement is in rough chronological order within each folder. The Name File and the parallel OA material is processed on a "review-on-request" basis.

V. STAFF MEMBER AND OFFICE FILES (SMOFS)

Virtually all WHORM users retained additional files in their own offices for reasons of convenience, confidentiality, or both. As these office files accumulated and as staff members left the White House staff, portions were periodically forwarded to WHORM for general storage and portions ^{will be} ~~were~~ retained in the offices until the end of the administration. These accumulated office files are known as "White House Staff Member and Office Files" (SMOFS). A much higher percentage of records have been retired to WHORM by the White House offices during the Reagan Administration than during previous administrations, resulting in a larger Subject File and a larger volume of SMOF records in WHORM custody.

When SMOF material was transferred to WHORM, it would include a file folder list of the contents of each box. The WHORM staff would assign an OA or CFOA number to each box and input the file folder list and other basic information into the C-TRACK system. All SMOF records are cited in C-TRACK under subject codes FG006-01 (White House Office), FG006-03 (Council of Economic Advisers), or FG006-07 (Office of Policy Development); and cross-referenced under appropriate codes matching the file folder listings. Files of the National Security Adviser's office and other NSC staff ^{are} ~~were~~ maintained by the NSC Secretariat.

All SMOF material transferred to WHORM during the administration will be consolidated with SMOF material located in the offices at the end of the administration, and organized by office and/or staff member.

VI. BULK MAIL

~~Every recent~~ ^{The Reagan} administration has received voluminous routine correspondence from the general public that is referred to as "bulk mail". This type of material includes public opinion mail, requests for photographs, holiday greetings, get well messages, crank mail, and support mail.

The Reagan Administraton, ^{is} ~~however, became~~ the first administration to sytematically dispose of bulk mail. ~~during the administration.~~ In an agreement with NARA, authorized by the Presidential Records Act, WHORM and NARA's Office of Presidential Libraries (NL) have instituted sampling procedures for bulk mail scheduled for disposal. Over 300 cubic feet of sampled bulk mail

PROCESSING GUIDELINES

Processing historical materials is a major function of each Presidential library. Processing consists of arrangement, description, and review. Each of these tasks should be accomplished before materials are made available for research.

ARRANGEMENT

Arrangement is the proper ordering of materials within a collection and the placement of materials in archival storage areas. All files should be kept in original order if they have any logical order, such as the alpha-numeric arrangement of the WHORM Subject File. If the folders and documents are not arranged systematically, they should be placed in logical order. A useful approach to overall organization is to place the most comprehensive series, either by date or by subject coverage, at the beginning, followed by more specific series arranged alphabetically or chronologically.

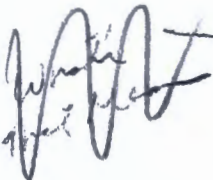
For White House Staff Member and Office Files (SMOFS) and most personal paper collections, the records should generally be arranged in the following order of importance:

1. The most important files are those denoting responsibilities, scope of job, policy formulation and implementation, relationships with the President and White House aides, official ^{logical} ~~chron~~ files, ~~diaries~~, subject-memoranda files, and files containing the working papers of White House conferences and task forces.

2. Second in importance are such files as administrative and housekeeping files, personal ^{logical} ~~chron~~ files, appointment calendars, files of speeches declined, sympathy or congratulatory correspondence, and personal invitations.

2. If an abbreviation or acronym is unclear, it should be spelled out in brackets on the folder title list.

3. If all the folder titles are assigned by the processor, it is not necessary to place the titles within brackets, but a statement that the titles were assigned should appear in the register.

 4. Empty folders should be retained as an indication that material was either [anticipated] or removed. After the title of an empty folder, "[Empty]" should be written on the folder and on the Folder Title List.

5. Include dates or date span as an extension of the folder title when appropriate; e.g. Trade Legislation [June 1982 - Dec. 1984].

6. On the File Folder Title List, selectively use brackets to clarify, downplay or highlight:

Motor Vehicle Safety Standard 121 [airbrakes]

Rome Airport Bombing [press release]

Florida, Orlando 3/8/83 [includes analysis of political situation in the state of Florida]

7. For the WHORM Subject File, be as specific as folder contents allow, indicating subject code and title followed by date span and document/case identification number sequence for material within the folder - both placed in brackets; e.g.,

FG016-02 Civil Air Patrol [1981-1983] [1-1406]

If all of the material for a subject code is included in one folder it is not necessary to indicate the date span or the ID number sequence. If folders are divided into additional folders it is not necessary to number the folders, it is sufficient to indicate the ID number sequence within brackets.

REVIEW

Review is the process of identification and segregation of certain types of material temporarily closed to research. Review is normally performed after arrangement, when closed material and its file identification can parallel that of the open material. In this way, review can serve as a supplement to and a quality control check on processing itself.

Review is official policy throughout the presidential library system. It enables the system to honor restriction needs and at the same time make material available for research in a relatively short period of time. The common practice at institutions which do not go through the review process is to close entire collections for a lengthy period of time. Restrictions are necessary for several reasons, (a) out of respect for the privacy and other rights of individuals, (b) legal requirements, (c) national security, and (d) to maintain the integrity of the advisory and policy-making process. The detailed nature of the review process permits a more thorough level of arrangement, preservation, and description.

1. Reviewers must thoroughly familiarize themselves with: (a) Review Criteria for interpreting the 1978 Presidential Records Act, the Freedom of Information Act (FOIA), and general instructions on classified material; and (b) the personalities, issues, and events of the Reagan administration.

2. Recency of material is a key factor in review. Issues, personalities and careers which are still alive or current demand a greater caution than when they cease to exist. All material will be opened someday. Closing is only temporary and mistakes can be reversed. Opening and its mistakes, however, are permanent. Review, therefore, should be conservative, i.e. cautious.

3. Reviewers are expected to consult fellow reviewers on questionable items. The project supervisor should be consulted whenever a problem is recurrent within a collection.

4. In weighing a review problem, the reviewer may occasionally choose to briefly consult published sources such as the New York Times Index or Whos Who. When an entire collection or series presents the same problem, some additional background research may be warranted. As a general policy, however, no significant amount of time should be spent on research to determine the extent of public knowledge of an incident or fact. When doubt cannot be easily resolved, close the item(s).

5. Review is to be conducted page by page. Under normal circumstances, the whole document containing restricted information is closed. The reviewer, however, is obligated (by the 1978 Presidential Records Act and the FOIA) to open as much of the document as possible without divulging restricted information. The reviewer should, therefore, open selected pages

of a document and/or sanitize or redact restricted information from a document if useful segregable segments of the document can be opened without compromising restricted information.

6. Frequently, a number of documents are fastened together to constitute a "letter case" (also called a "case file"). Closable documents or pages are removed from a letter case so that the rest may be opened. However, when the remaining openable material is relatively inconsequential, the reviewer may simply close the entire letter case.

7. Reviewers will be alert for large file segments which can be opened or closed in their entirety. Such possibilities will be referred to the project supervisor for final decision.

8. During review, the reviewer will prepare withdrawal sheets for all closed material as outlined under "Review withdrawal sheets."

9. As each document is reviewed, the first page of each document will be stamped with the Ronald W. Reagan Library stamp using non-acidic ink. The stamp will be applied in a way which will not obscure any writing on the document or make the document unsuitable for display.

10. As each folder is reviewed, the reviewer will stamp, initial and date that folder in the upper left corner of the

front fold. Once an entire box has been reviewed, the box will be stamped and intitialled in the lower right corner.

11. All reviewed-withdrawn documents and attached withdrawal sheets will be screened by the project supervisor. The supervisor may also sample "reviewed-opened" material.

12. Large collections or series may be fully arranged and described before they are reviewed. These files will be reviewed in small segments on specific requests by researchers. This is commonly referred to as "spot review". Spot reviewed materials are subject to the same review and processing procedures as all other materials, including final check by the project supervisor. Among the material which may be subject to spot review are: WHORM Name File, WHORM Oversize Attachments, and selected segments of the WHORM Subject File.

13. During review, the reviewer will attend to any outstanding arrangement, preservation and security needs such as: (a) correcting mis-files; (b) removal of uniquely valuable items; (c) transfer of books, maps, audiovisual, and museum items; (d) reproduction of deteriorating items; (e) reproduction of useful information for the vertical file; and (f) removal of paper clips, rubber bands and other extraneous matter.

14. During review, the reviewer will anticipate description needs by: (a) insuring that draft folder and box labels are

factually correct; and (b) taking notes on subjects, date spans, correspondents, physical types and other descriptive elements.

REVIEW CRITERIA

The pertinent legal instruments pertaining to the processing of the Ronald W. Reagan's Records as President are the 1978 Presidential Records Act (44 U.S.C. Chapter 22) and the Freedom of Information Act (Section 552, title 5 U.S.C.).

Pursuant to the provisions of the Presidential Records Act (PRA), the President in a letter (dated June 9, 1981) to the Archivist of the United States (copy attached), placed a restriction on access to information in a Presidential record that falls within one or more of the six categories set forth in Section 2204(a) of the Act for a period of 12 years after the termination of his term of office.

As stipulated in Section 2204(c)(1) of the PRA, "Subject to the limitations on access imposed pursuant to subsection (a) and (b), Presidential records shall be administered in accordance with" the Freedom of Information Act (FOIA), "except that paragraph (b)(5)" of the FOIA "shall not be available for purposes of withholding any Presidential record."

Four of the nine exempted or restricted categories of information set forth in the FOIA [sections (b)(1), (b)(3), (b)(4), and (b)(6)] are duplicated within the six categories restricted by the President. These four categories are not subject to the FOIA until the expiration of the 12-year period (Jan. 20, 2001). Aside from section (b)(5), which is withheld as a reviewing category by the PRA, the four remaining categories of the FOIA applicable to the review of Presidential records are

sections (b) (2), (b) (7) - as amended by the Freedom of Information Reform Act of 1986, (b) (8), and (b) (9).

The process of identification and segregation of this restricted information is known as "review". With the six reviewing categories of the PRA applied by the President and the four applicable categories of the FOIA, there are a total of ten reviewing categories for processing Presidential records at this time.

The following is a listing of the ten categories of restricted information exactly as stated in the PRA and the FOIA. Under each restriction category is a set of guidelines or suggestions intended to aid the reviewer in identifying the items which fall within that category. These categories and guidelines are cumulatively known as the review criteria for the collection. These guidelines, however, are not meant to provide an exhaustive list of the material to be restricted and the reviewer should be aware that items not specifically mentioned in the guidelines may still need to be restricted under the restriction categories.

It is important that reviewers, in the course of review, keep in mind that all restrictions are temporary and that the application of a restriction category to a particular item may always be mitigated by the passage of time or the unique circumstances surrounding the item. The simple passage of time often renders moot many issues or problems and thereby may diminish the need to maintain a state of confidentiality (Category V) or the likelihood that disclosure of an item might interfere with a right of privacy (Categories VI and VIII).

Previous public knowledge of an event such as that gained through memoirs, undenied journalistic accounts, and public statements usually makes unnecessary the reasons for restricting that information except when there continue to be statutory prohibitions or security classification restrictions.

Although a reviewer must take into consideration a wide range of circumstances before making a judgment that an item should be restricted under a particular category, the reviewer's determination must be based upon the clear applicability of the stated restriction categories. If a reviewer has any questions about or problems with applying the restrictions to a specific document, he/she should consult with other reviewers and supervisory personnel before making a final decision to close the item. Although consultation with other staff for the purpose of making a review determination is encouraged, the reviewer occupies a position of trust and confidentiality which should never be compromised by idle discussion of restricted material. Under no circumstances should such materials be discussed outside the work environment. In handling security classified material the reviewer will take care to work only with staff members who have the necessary security clearances.

The following are the pertinent review categories:

- I. "(A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) in fact properly classified pursuant to such Executive order."

[2204(a)(1) of the PRA, and (b)(1) of the FOIA]

1. Materials security classified under Executive order are marked "Top Secret", "Secret", or "Confidential". These markings usually appear at the top and bottom of each page and may be supplemented by additional markings.

2. Material marked "Restricted Data" is security classified pursuant to the Atomic Energy Act of 1954.

3. Material marked "Atomal", "Cosmic", and "NATO Restricted" are NATO equivalents of US security markings and are so honored.

4. Security classification markings should not be confused with administrative markings, although both will occasionally appear together. Typical administrative markings include "Official Use Only", "Limited Official Use", "Limited Distribution", "No Forn" and variations thereof.

5. Although security classified markings are intended to be highly visible, they often are not. This is particularly true with respect to cable messages and photocopied documents. Care should be taken in review to identify classifications of such items.

6. Documents may contain any of various markings the meanings of which are not immediately intelligible. These markings or codewords may in fact be classified and identify highly classified intelligence gathering systems or operations. These markings may appear at the top and/or bottom of the page with or without a normal security classification marking, or they may appear in the text of a document, often in capital letters. Such documents are normally considered security classified.

7. Whenever a reviewer has a doubt as to whether or not an item is security classified, he/she will immediately consult with a staff member with security clearance. The item should not be shared with uncleared staff. If the item is thought to contain special codeword information, it will immediately be brought to the attention of a supervisor.

II. "relating to appointment to Federal office."

[2204(a)(2) of the PRA]

1. Open letters or recommendation or endorsement except when they are unfavorable and of such nature that their disclosure would injure a living person or impair access to confidential advice. Commonplace policy-based letters of opposition, such as industry or interest-group opposition to an individual with an unfavorable regulatory stance, need not be closed unless they are libelous.

2. Open simple indications that an individual will have or has passed a routine security clearance investigation. Close any specifics of the investigation, any indication an individual did not "pass", and any indication of a briefing or "ticket" for compartmented special intelligence information.

3. Open simple indications that an individual will have or has passed a routine pre-appointment conflict of interest check. Close any financial information submitted or compiled as part of the check unless it was definitely made public, e.g. during confirmation hearings.

4. Open most inquiries about jobs, employment applications and resumes. Close SF 171's and resumes with detailed financial information or unique privacy concerns.

5. Close formal or detailed records of job interviews or performance evaluations. Innocuous notations like "saw him yesterday. Good prospect." can be opened.

6. Open references to pre-appointment political "clearances", e.g. with RNC, but close this and other indications of political influence if the post is military or career civil service (ostensibly non-political).

III. "specifically exempted from disclosure by statute (other than sections 552 and 552b of title 5, United States Code), provided that such statute (A) requires that the material be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of material to be withheld."

[2204(a) (3) of the PRA, and (b) (3) of the FOIA]

1. Although they are relatively few in number, these include but are not limited to:

A. U.S. Civil Service Standard Form 171 Personal Qualifications Statement

B. Tax returns

C. Census returns of individuals

D. Atomic energy information contained in documents marked "Restricted Data" or "RD". Such items are protected against

unauthorized disclosure by the Atomic Energy Act of 1954. These items are also considered security classified and therefore also fall under restriction category I. Disclosure of security classified information is in many instances a major statutory offense itself. When Restricted Data material is located, it should immediately be turned over to a supervisory archivist for proper handling and storage.

IV. "trade secrets and commercial or financial information obtained from a person and privileged and confidential."

[2204(a)(4) of the PRA, and (b)(4) of the FOIA]

1. Such items are usually clearly marked.

2. Disclosure would cause substantial harm to the competitive position of the person (including corporations) from whom the information was obtained.

3. Time lapse is an important factor in review of this type of information.

V. "confidential communications requesting or submitting advice, between the President and his advisors, or between such advisors." [2204(a)(5) of the PRA]

1. Material is restricted under this category only when assurance of confidentiality was, implicitly or explicitly, an essential element of the advice or assistance documented and when the reasons for such confidentiality are still applicable. Reasons for maintaining confidentiality are often similar to reasons for restricting items under other review categories,

notably Category VI (a clearly unwarranted invasion of personal privacy).

2. Documents are reviewed on the basis of content alone. Certain purely administrative markings or previous administrative actions may serve as warnings to a reviewer that a question of confidentiality may exist, but one of these actions or markings in and of themselves is not sufficient to cause a reviewer to restrict access to the items involved.

Purely administrative markings may include "Administratively Confidential", "Confidential-Private", "Personal-Private", "Limited Official Use Only", "Eyes Only", and similar markings. "Executive Session" is a marking which may appear on some Congressional hearings. These should not be confused with national security classification markings discussed in category I.

VI. "personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy."

[2204(a)(6) of the PRA, and (b)(6) of the FOIA]

1. Close any personnel-related document with an explicit request or clearly implied understanding of confidentiality, unless it can be reasonably determined that the need for confidentiality no longer exists.

2. Close copies of official personnel records and unofficial personnel files, including military service "201" files, maintained for reference purposes.

3. Close documents containing derogatory remarks concerning the character, loyalty, integrity, or ability of living individuals.

4. The category applies to any living person. Assume that person(s) named are alive unless there is proof or the passage of time is such that the reviewer can assume person(s) are dead. Equally considered are prominent public officials and obscure private citizens; citizens of foreign nations; the originator and receiver of a document and all persons directly or indirectly mentioned in the document. The interests and rights of surviving immediate family of the aforementioned may need to be considered in exceptional cases.

5. Corporations, unions, and other organizations are not considered "persons" within the meaning of this category. Care should be taken in review, however, to respect the interests of individual officers, employees, and members of such organizations.

6. Clearly unwarranted invasion of personal privacy may involve the prospect of legal, administrative, economic, and/or social chastisement. Care should be taken to consider all of these possibilities.

7. Interference with an individual's right to privacy can be an automatic consequence of making publicly available information concerning that individual's personal, family, health or confidential business affairs.

VII. "related solely to the internal personnel rules and

practices of an agency." [(b) (2) of the FOIA]

1. Prevents disclosure of information which would impede the functions of government, such as certain personnel manuals of the FBI and other investigative agencies.

VIII."records or information compiled for law enforcement purposed, but only to the extent that the production of such law enforcement records or information (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, including a state, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of a record or information compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or (F) could reasonably be expected to endanger the life or physical safety of any

individual." [(b) (7) of the FOIA]

1. Any information about a proposed or actual investigation of an individual or organization for possible violation of the law or federal regulations is closed except in those instances when the information is a matter of public record. When there is any uncertainty as to what is public record, the item will be restricted.

2. Any information relating to investigative sources and techniques, especially including names of sources, is closed.

3. Any information relating to Secret Service investigations, including any indication that an individual's name was referred to the PRS (Protective Research Service), is closed. Information relating to Secret Service operations and methods is also closed.

4. Under section (F) of category, persons considered for protection include, but are not limited to, foreign, state, and local police; confidential informants; prosecutors; judges; parole and probation officers; prison guards; CIA employees; persons involved with a criminal case, especially one involving violent acts; persons involved in undercover work; and persons in which known threats have been made against. Names and identities of these individuals will be closed.

IX. "contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of any agency responsible for the regulation or supervision of financial institutions." [(b) (8) of the FOIA]

1. This type of information also closed by statute.

X. "geological and geophysical information and data, including maps, concerning wells." [(b) (9) of FOIA]

1. This type of information also closed by statute.

THE WHITE HOUSE

WASHINGTON

June 9, 1981

RECEIVED
N 6/10/81

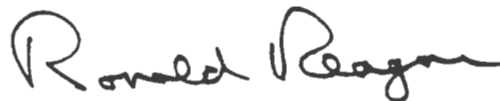
Dear Dr. Warner:

Pursuant to the provisions of the "Presidential Records Act of 1978," I specify that access shall be restricted to all categories of Presidential records set forth in Section 2204(a) of the Act for 12 years after the termination of my service as President of the United States.

At a later time, my staff or I will review and discuss with you the possible reduction of these restriction periods for certain categories of records.

Under the conditions set forth in Section 2204(d) of the Act, I hereby designate Nancy Reagan and Edwin Meese III as my representatives with authority to exercise all discretion or authority granted to me under the Act.

Sincerely,



Dr. Robert M. Warner
Archivist of the United States
National Archives and Records Service
Washington, D.C. 20408