

I

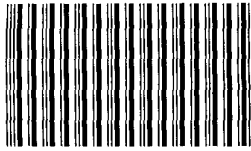
20

918524-2

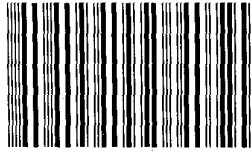
Folder Separator Sheet

File Batch ID : 125832

Folder # : 1



9999999999999999



00001258320001

REVISED 3-13-03

TOTAL # OF VOLUMES

BATCH #

80

125832

SCANNING TRACKING SHEET

FOIPA # 918504-2

SUBJECT National Archives

FILE # 106F-HQ-1190059

SECTION # all

(Please use a separate form for each section)

SERIAL # 1

LEGAL TECH

NAME

WPU1

TEAM

EXT.

b6
b7C

DATE FORWARDED TO SCANNING _____

DATE COMPLETED _____

INITIAL AND DATE:

ACL NEEDED _____

INITIAL AND DATE:

DOCUMENTS PREPARED BY _____

SCANNED BY _____

QUALITY CONTROLLED BY _____

REWORKED BY _____

CATALOGED BY _____

REASSEMBLED BY _____

ACL APPLIED BY _____

U.S. DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

DO NOT DESTROY HEADQUARTERS

FOIPA # 918504-2

SEC-HQ-1190059-1



Serials 1-111

66F

HQ-1190059

Sec. 1

FBIHQ INVESTIGATIVE AND ADMINISTRATIVE FILES

With implementation of the Universal Case File Number, please be aware that another file under the old Bufile number may be ident with this file. You may obtain the other file by calling extension 43421 using the old Bufile number, if known, otherwise call extension 43611 using the subject name to identify the old Bufile number.

Transfer - Call 3421 Use Care in Handling this file

MATERIAL MUST NOT BE REMOVED FROM OR ADDED TO THIS FILE

ATTENTION

The following documents appearing in FBI files have been reviewed under the provisions of The Freedom of Information Act (FOIA) (Title 5, United States Code, Section 552); Privacy Act of 1974 (PA) (Title 5, United States Code, Section 552a); and/or Litigation.

FOIA/PA

Litigation

Executive Order Applied

Requester: _____

Subject: _____

Computer or Case Identification Number: _____

Title of Case: _____ Section _____

* File _____

Serials Reviewed: _____

Release Location: *File _____ Section _____

This file section has been scanned into the FOIPA Document Processing System (FDPS) prior to National Security Classification review. Please see the documents located in the FDPS for current classification action, if warranted. Direct inquires about the FDPS to RIDS Service Request Unit [redacted]

File Number: 66F-44-1190059 b2 Section 1

Serial(s) Reviewed: all

FOIPA Requester: _____

FOIPA Subject: _____

FOIPA Computer Number: 918504

File Number: _____ Section _____

Serial(s) Reviewed: _____

FOIPA Requester: _____

FOIPA Subject: _____

FOIPA Computer Number: _____

File Number: _____ Section _____

Serial(s) Reviewed: _____

FOIPA Requester: _____

FOIPA Subject: _____

FOIPA Computer Number: _____

THIS FORM IS TO BE MAINTAINED AS THE TOP SERIAL OF THE FILE, BUT NOT SERIALIZED.

SCANNED BY DocLab (RMD)

DATE: 5-16-06

ATTENTION

LAST SERIAL: 237 DO NOT REMOVE FROM FILE

07/12/00
10:27:48

View Document Attributes

ECFVA0M0

Orig. Office : D4
Document Type : TELETYPE
Document Date : 01/17/96
To : LITTLE ROCK
From : FBI HEADQUARTERS
Case ID : 66F-HQ-C1190059
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958
Author :
Approver :
Ref. Case ID :
Serial : 1
Serial :

Class Level : U Authority : Duration : SCI :
Rule 6(e) . : Caveats . : FD-501 . :
Secure Doc. :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc

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07/12/00
10:28:00

View Document Attributes

ECFVAOMO

Orig. Office : D4	Responses :		
Document Type : TELETYPE	Text . . . :		
Document Date : 01/17/96	FIF . . . :		
To : NEWARK			
From : FBI HEADQUARTERS			
Case ID : 66F-HQ-C1190059	Serial : 2		
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958			
Author :			
Approver :			
Ref. Case ID :	Serial :		
Class Level : U	Authority :	Duration :	SCI :
Rule 6(e) . . :	Caveats . . :	FD-501 . . :	
Secure Doc. :			

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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View Document Attributes

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Document Date : 01/17/96	FIF :		
To : NEWARK			
From : FBI HEADQUARTERS			
Case ID : 66F-HQ-C1190059	Serial : 3		
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958			
Author :			
Approver :			
Ref. Case ID :	Serial :		
Class Level : U	Authority :	Duration :	SCI :
Rule 6(e) . . :	Caveats . . :	FD-501 . . :	
Secure Doc. :			

Command . . . > +
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Document Date	: 01/17/96	FIF	. . . :
To : NEWARK		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 4
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
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Document Date	: 01/17/96	FIF :
To : NORFOLK		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 5
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats	Duration	:
Secure Doc.	:	FD-501 : SCI :

Command > +
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Document Date	: 01/17/96	FIF :
To : MINNEAPOLIS		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 6
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Orig. Office	: D4	Responses	:
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Document Date	: 01/17/96	FIF	. . . :
To : SAN DIEGO		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 7
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . :	Duration	:
Secure Doc.	:	Caveats	. . :
		FD-501	. . :
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Command . . . > +
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ECFVA0M0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : ST LOUIS		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 8
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . :	Duration	:
Secure Doc.	:	Caveats	. . . :
		FD-501	. . . :
		SCI	:

Command . . . > +
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Document Date	: 01/17/96	FIF	. . . :
To : MOBILE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 9
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : PHOENIX		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 10
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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View Document Attributes

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Document Date	: 01/17/96	FIF	. . . :
To : PHILADELPHIA		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 11
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . :	Duration	:
Secure Doc.	:	Caveats	. . :
		FD-501	. . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : BOSTON		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 12
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
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Document Date	: 01/17/96	FIF :
To : LOUISVILLE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 13
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
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View Document Attributes

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Orig. Office	: D4	Responses	:
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Document Date	: 01/17/96	FIF	. . . :
To : OMAHA		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 14
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
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Orig. Office	: D4	Responses	:
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Document Date	: 01/17/96	FIF :
To : CLEVELAND		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 15
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) :	Duration	:
Secure Doc.	:	FD-501 :
		SCI	:

Command > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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View Document Attributes

ECFVAOM0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF :
To : CINCINNATI		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 16
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

THIS IS NOT AN ORIGINAL. IF
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REPLACE.

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10:34:30

View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : BUFFALO		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 17
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
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ORIGINAL IS FOUND, PLEASE
REPLACE.

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View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
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Document Date	: 01/17/96	FIF :
To : COLUMBIA		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 18
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
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THIS IS NOT AN ORIGINAL. IF
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View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
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Document Date	: 01/17/96	FIF :
To : DETROIT		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 19
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats	Duration	:
Secure Doc.	:	FD-501 : SCI :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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ECFVA0M0

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Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : TAMPA		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 20
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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ECFVA0M0

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Document Date	: 01/17/96	FIF	. . . :
To : NEW YORK		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 21
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

THIS IS NOT AN ORIGINAL. IF ORIGINAL IS FOUND, PLEASE REPLACE.

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View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF :
To : NEW HAVEN		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 22
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats	Duration	:
Secure Doc.	:	FD-501 : SCI :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

THIS IS NOT AN ORIGINAL. IF ORIGINAL IS FOUND, PLEASE REPLACE.

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : ATLANTA		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 23
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF :
To : WASHINGTON FIELD		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 24
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
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Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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ORIGINAL IS FOUND, PLEASE
REPLACE.

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10:36:24

View Document Attributes

ECFVA0MO

Orig. Office : D4
Document Type : TELETYPE
Document Date : 01/17/96
To : SALT LAKE CITY
From : FBI HEADQUARTERS
Case ID : 66F-HQ-C1190059
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958
Author :
Approver :
Ref. Case ID :
Serial : 25
Serial :

Class Level : U Authority : Duration : SCI :
Rule 6(e) . . : Caveats . . : FD-501 . . :
Secure Doc. :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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ORIGINAL IS FOUND, PLEASE
REPLACE.

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View Document Attributes

ECFVA0M0

Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : SEATTLE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 26
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . :	Duration	:
Secure Doc.	:	Caveats	. . . :
		FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : SAN ANTONIO		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 27
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF :
To : SAN FRANCISCO		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 28
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF	. . . :
To : DENVER		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 29
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:

Class Level	: U	Authority	:	Duration	:	SCI	:
Rule 6(e)	. . :	Caveats	. . :	FD-501	. . :		
Secure Doc.	:						

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . :
Document Date	: 01/17/96	FIF	. . . :
To : CHARLOTTE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 30
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . :	Duration	:
Secure Doc.	:	Caveats	. . :
		FD-501	. . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . . :
Document Date	: 01/17/96	FIF :
To : BIRMINGHAM		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 31
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e) : Caveats	Duration	:
Secure Doc.	:	FD-501 : SCI :

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F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . :
Document Date	: 01/17/96	FIF	. . . :
To : BALTIMORE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 32
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . :	Duration	:
Secure Doc.	:	Caveats	. . :
		FD-501	. . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . :
Document Date	: 01/17/96	FIF	. . . :
To : ALBUQUERQUE		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 33
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . :	Duration	:
Secure Doc.	:	Caveats	. . :
		FD-501	. . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: TELETYPE	Text	. . :
Document Date	: 01/17/96	FIF	. . . :
To : INDIANAPOLIS		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 34
Topic : ON 4-17-95, PRESIDENT CLINTON SIGNED EO 12958		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: U	Authority	:
Rule 6(e)	. . . : Caveats . . . :	Duration	:
Secure Doc.	:	FD-501	. . . :
		SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office : D4	Responses :
Document Type : LETTER	Text . . . :
Document Date : 11/12/96	FIF . . . :
To : FBI HEADQUARTERS	
From : MINK, PATSY T	
Case ID : 66F-HQ-C1190059	Serial : 35
Topic : NATIONAL ARCHIVES AND RECORDS	
Author :	
Approver :	
Ref. Case ID :	Serial :
Class Level : SN Authority :	Duration : SCI :
Rule 6(e) . . : Caveats . . :	FD-501 . . :
Secure Doc. :	

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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ORIGINAL IS FOUND, PLEASE
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Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . . :
Document Date	: 12/09/96	FIF :
To : MINK, PATSY T		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 36
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN Authority :	Duration	:
Rule 6(e)	. . . : Caveats . . . :	FD-501	. . . :
Secure Doc.	:	SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . :
Document Date	: 09/18/96	FIF	. . . :
To : FBI HEADQUARTERS		
From : NATIONAL ARCHIVES		
Case ID : 66F-HQ-C1190059	Serial	: 37
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN Authority :	Duration	:
Rule 6(e)	. . : Caveats . . :	FD-501	. . :
Secure Doc.	:	SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . :
Document Date	: 03/11/97	FIF	. . . :
To : NATIONAL ARCHIVES AND REC		
From : INFORMATION RESOURCES		
Case ID : 66F-HQ-C1190059	Serial	: 38
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN	Authority	:
Rule 6(e) : Caveats	Duration	:
Secure Doc.	:	FD-501 : SCI :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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View Document Attributes

ECFVA0MO

Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . . :
Document Date	: 09/26/96	FIF	. . . :
To : FBI HEADQUARTERS		
From : NATIONAL ARCHIVES		
Case ID : 66F-HQ-C1190059	Serial	: 39
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN Authority :	Duration	:
Rule 6(e)	. . . : Caveats . . :	FD-501	. . :
Secure Doc.	:	SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office : D4
Document Type : LETTER
Document Date : 03/26/97
To : FBI HEADQUARTERS
From : NATIONAL ARCHIVES
Case ID : 66F-HQ-C1190059
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Author :
Approver :
Ref. Case ID :
Serial : 40
Serial :
Class Level : SN Authority :
Rule 6(e) . : Caveats . :
Secure Doc. :
Duration :
FD-501 . :
Responses :
Text . . . :
FIF :
SCI :

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . . :
Document Date	: 03/17/97	FIF :
To : FBI HEADQUARTERS		
From : NATIONAL ARCHIVES		
Case ID : 66F-HQ-C1190059	Serial	: 41
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN Authority :	Duration	:
Rule 6(e)	. . . : Caveats . . :	FD-501	. . . :
Secure Doc.	:	SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

THIS IS NOT AN ORIGINAL. IF ORIGINAL IS FOUND, PLEASE REPLACE.

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View Document Attributes

ECFVAOMO

Orig. Office	: D4	Responses	:
Document Type	: LETTER	Text	. . :
Document Date	: 04/21/97	FIF	. . . :
To : NATIONAL ARCHIVES		
From : FBI HEADQUARTERS		
Case ID : 66F-HQ-C1190059	Serial	: 42
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
Author :		
Approver :		
Ref. Case ID	:	Serial	:
Class Level	: SN Authority :	Duration	:
Rule 6(e)	. . : Caveats . . :	FD-501	. . :
Secure Doc.	:	SCI	:

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

THIS IS NOT AN ORIGINAL. IF ORIGINAL IS FOUND, PLEASE REPLACE.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 07/11/1997

To: Richmond

Attn: Administrative Officer

[Redacted]

b6
b7C

From: Information Resources
Field Service Unit

Contact:

[Redacted]

Extension

[Redacted]

Approved By:

[Redacted]

Drafted By:

Case ID #: 66F-HQ-C1190059 - 44

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); APPRAISAL OF
FIELD OFFICE RECORDS
NARA VISIT TO RICHMOND FIELD OFFICE

Synopsis: Information pertaining to NARA visit to the Richmond Field Office in conjunction with update of FBI Records Retention Plan and Disposition Schedules.

Details: The FBI Records Retention Plan and Disposition Schedules (Plan/Schedules) were developed and approved in accordance with the court decision rendered in the civil matter of American Friends Service Committee, et al., v. William H. Webster, et al., United States District Court for the District of Columbia: Civil Action Number 79-1655. This decision requires that representatives from NARA re-evaluate the provisions of the Plan/Schedules every five years. The last NARA re-evaluation commenced in October, 1991 and was completed in May, 1992.

The current re-evaluation commenced on May 27, 1997 and is expected to continue through October, 1997. The NARA representatives are presently working, on a regular basis, with employees of the Records Disposition/Archival and Micrographics Subunit (RDAMS), Field Services Unit, Field Information Support Section, IRD. In addition, the NARA representatives will be visiting the Baltimore, Los Angeles, Richmond and Washington Field Offices.

On 7/22/97, Supervisory Archives Technician [Redacted] and Archives Technicians [Redacted] will arrive in the RH Field Office for the purpose of preparing selected RH case files for the review and appraisal by the NARA representatives.

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b7C

To: Richmond From: Information Resources
Re: 66F-HQ-C1190059, 07/11/1997

On 7/23/97, Archives Specialist [redacted] and the NARA representatives involved in the review of the FBI Plan/Schedules will arrive in the RH Field Office. The NARA representatives are:

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Name: [redacted]
Address: [redacted]
Title: Special Assistant to the Director
Center for Electronic Records

SSN: [redacted]
POB: [redacted]
DOB: [redacted]

Name: [redacted]
Address: [redacted]
Title: Appraisal Archivist
Civilian Appraisal Staff

SSN: [redacted]
POB: [redacted]
DOB: [redacted]

Name: [redacted]
Address: [redacted]
Title: Archivist
Textual Reference Branch

SSN: [redacted]
POB: [redacted]
DOB: [redacted]

All of the representatives from NARA have been issued TOP SECRET security clearances. All information, including security clearances, may be verified through [redacted] Personnel Security Unit, Security Countermeasures Section, National Security Division, Extension [redacted]

On either 7/23/97 or 7/24/97, Archives Specialist [redacted] Supervisory Archives Technician [redacted] and the NARA representatives would like to provide a briefing to the management of the RH Field Office. Preferred time of this briefing would be prior to the NARA representatives commencing the review of the RH case files. Coordination and scheduling of this briefing should be handled by RH personnel.

To: Richmond Front Office Information Resources
Re: 66F-HQ-C1190059, 07/11/1997

LEAD (s):

Set Lead 1:

RICHMOND

AT RICHMOND, VIRGINIA

Establish appropriate work area for RDAMS employees and NARA representatives and access to the RH case files.

Set Lead 2:

AT RICHMOND, VIRGINIA

Coordinate and schedule time and location for briefing by RDAMS employees and NARA representatives.

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 5336D
1 - [redacted] Room 5336F
1 - [redacted] Room 4933
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 07/30/1997

To: Baltimore

Attn: SAC David R. Knowlton
ASAC Anthony A. Betz
ASAC Lynne A. Hunt
AO [redacted]
FS [redacted]

b2
b6
b7C

From: Information Resources
Field Services Unit

Contact: [redacted] Extension [redacted]

Approved By: Morris Carolyn *GCM/lan*
Kitchen David *DVK/lan*

Drafted By: [redacted]

Case ID #: 66F-HQ-C1190059 -45

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); APPRAISAL OF
FIELD OFFICE RECORDS
NARA VISIT TO BALTIMORE (BA) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to the BA Field Office in conjunction with update of FBI Records Retention Plan and Disposition Schedules.

Details: The FBI Records Retention Plan and Disposition Schedules (Plan/Schedules) were developed and approved in accordance with the court decision rendered in the civil matter of American Friends Service Committee, et al., v. William H. Webster, et al., United States District Court for the District of Columbia: Civil Action Number 79-1655. This decision requires that representatives from NARA re-evaluate the provisions of the Plan/Schedules every five years. The last NARA re-evaluation commenced in October, 1991 and was completed in May, 1992.

The current re-evaluation commenced on May 27, 1997 and is expected to continue through October, 1997. The NARA representatives are presently working, on a regular basis, with employees of the Records Disposition/Archival and Micrographics Subunit (RDAMS), Field Services Unit, Field Information Support Section, IRD. In addition, the NARA representatives will be visiting the BA, Los Angeles, Richmond and New York Field Offices.

On 8/5/97, Supervisory Archives Technician [redacted] and Archives Technicians [redacted] and [redacted] will arrive in the BA Field Office for the purpose

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To: Baltimore Field: Information Resources
Re: 66F-HQ-C1190059, 07/30/1997

of preparing selected BA case files for the review and appraisal by the NARA representatives.

On 8/6/97, Archives Specialist [redacted] and the NARA representatives involved in the review of the FBI Plan/Schedules will arrive in the BA Field Office. The NARA representatives are:

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Name:
Address:

[redacted]

Title: Special Assistant to the Director
Center for Electronic Records

SSN:
POB:
DOB:

[redacted]

Name:
Address:

[redacted]

Title: Archivist
Civilian Appraisal Staff

SSN:
POB:
DOB:

[redacted]

Name:
Address:

[redacted]

Title: Appraisal Archivist
Civilian Appraisal Staff

SSN:
POB:
DOB:

[redacted]

Name:
Address:

[redacted]

Title: Archivist
Textual Reference Branch

SSN:
POB:
DOB:

[redacted]

All of the representatives from NARA have been issued TOP SECRET security clearances. All information, including security clearances, may be verified through [redacted] Personnel Security Unit, Security Countermeasures Section, National Security Division, Extension [redacted]

To: Baltimore Field: Information Resources
Re: 66F-HQ-C1190059, 07/30/1997

On 8/6/97, Archives Specialist [redacted] and the NARA representatives would like to provide a briefing to the management of the BA Field Office. Preferred time of this briefing would be prior to the NARA representatives commencing the review of the BA case files. Coordination and scheduling of this briefing should be handled by BA personnel.

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To: Baltimore From: Information Resources
Re: 66F-HQ-C1190059, 07/30/1997

LEAD (s):

Set Lead 1:

BALTIMORE

AT BALTIMORE

Establish appropriate work area for RDAMS employees and NARA representatives and access to the BA case files.

Set Lead 2:

AT BALTIMORE

Coordinate and schedule time and location for briefing by [redacted] and NARA representatives.

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 5336D
1 - [redacted] Room 5336F
1 - [redacted] Room 4933
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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b7C

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 07/31/1997

To: Los Angeles

Attn: ADIC Timothy P. McNally
SAC Anthony A. Betz
ASAC Susan R. Chainer
AO [redacted]
FS [redacted]

b6
b7C

From: Information Resources
Field Services Unit

Contact: [redacted] Extension [redacted]

Approved By: Morris Carolyn G *CGM/llb*
Kitchen David *DK*

Drafted By: [redacted]

Case ID #: 66F-HQ-C1190059 - 46

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); APPRAISAL OF
FIELD OFFICE RECORDS
NARA VISIT TO LOS ANGELES (LA) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to the LA Field Office in conjunction with update of FBI Records Retention Plan and Disposition Schedules.

Details: The FBI Records Retention Plan and Disposition Schedules (Plan/Schedules) were developed and approved in accordance with the court decision rendered in the civil matter of American Friends Service Committee, et al., v. William H. Webster, et al., United States District Court for the District of Columbia: Civil Action Number 79-1655. This decision requires that representatives from NARA re-evaluate the provisions of the Plan/Schedules every five years. The last NARA re-evaluation commenced in October, 1991 and was completed in May, 1992.

The current re-evaluation commenced on May 27, 1997 and is expected to continue through October, 1997. The NARA representatives are presently working, on a regular basis, with employees of the Records Disposition/Archival and Micrographics Subunit (RDAMS), Field Services Unit, Field Information Support Section, IRD. In addition, the NARA representatives will be visiting the Baltimore, LA, Richmond and New York Field Offices.

On 8/13/97, Supervisory Archives Technician [redacted] and Archives Technicians [redacted] will arrive in the LA Field Office for the purpose of preparing selected LA case files for the review and appraisal by the NARA representatives.

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To: Los Angeles From: Information Resources
Re: 66F-HQ-C1190059, 07/31/1997

On 8/18/97, Archives Specialist [redacted] and the NARA representatives involved in the review of the FBI Plan/Schedules will arrive in the LA Field Office. The NARA representatives are:

b6
b7C

Name: [redacted]
Address: [redacted]
Title: Special Assistant to the Director
Center for Electronic Records
SSN: [redacted]
POB: [redacted]
DOB: [redacted]

Name: [redacted]
Address: [redacted]
Title: Appraisal Archivist
Civilian Appraisal Staff
SSN: [redacted]
POB: [redacted]
DOB: [redacted]

Name: [redacted]
Address: [redacted]
Title: Archivist
Textual Reference Branch
SSN: [redacted]
POB: [redacted]
DOB: [redacted]

All of the representatives from NARA have been issued TOP SECRET security clearances. All information, including security clearances, may be verified through [redacted] Personnel Security Unit, Security Countermeasures Section, National Security Division, Extension [redacted]

On 8/18/97, Archives Specialist [redacted] and the NARA representatives would like to provide a briefing to the management of the LA Field Office. Preferred time of this briefing would be prior to the NARA representatives commencing the review of the LA case files. Coordination and scheduling of this briefing should be handled by LA personnel.

To: Los Angeles From: Information Resources
Re: 66F-HQ-C1190059, 07/31/1997

LEAD (s):

Set Lead 1:

LOS ANGELES

AT LOS ANGELES

Establish appropriate work area for RDAMS employees and NARA representatives and access to the LA case files.

Set Lead 2:

AT LOS ANGELES

Coordinate and schedule time and location for briefing by RDAMS employees and NARA representatives.

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 5336D
1 - [redacted] Room 5336F
1 - [redacted] Room 4933
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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b7C

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(12/31/1993)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 09/10/1997

To: New York

Attn: ADIC James K. Kallstrom
SAC Joseph Cantamessa
OSM [REDACTED]

From: Information Resources
Field Services Unit

Contact: [REDACTED]

Extension [REDACTED]

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Approved By: Morris Carolyn G *CMK*
Kitchen David V *K*

Drafted By: [REDACTED]

Case ID #: 66F-HQ-C1190059 - 47

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA), APPRAISAL OF
FIELD OFFICE RECORDS
NARA VISIT TO New York (NY) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to the NY Field Office in conjunction with update of FBI Records Retention Plan and Disposition Schedules.

Details: The FBI Records Retention Plan and Disposition Schedules (Plan/Schedules) were developed and approved in accordance with the court decision rendered in the civil matter of American Friends Service Committee, et al., v. William H. Webster, et al., United States District Court for the District of Columbia: Civil Action Number 79-1655. This decision requires that representatives from NARA re-evaluate the provisions of the Plan/Schedules every five years. The last NARA re-evaluation commenced in October, 1991 and was completed in May, 1992.

The current re-evaluation commenced on May 27, 1997 and is expected to continue through October, 1997. The NARA representatives are presently working, on a regular basis, with employees of the Records Disposition/Archival and Micrographics Subunit, Field Services Unit, Field Information Support Section, IRD. In addition, the NARA representatives have visited the Baltimore, Los Angeles, and Richmond Field Offices.

On 9/16/97, Archives Specialist [REDACTED] and a NARA representative involved in the review of the FBI Plan/Schedules will arrive in the NY Field Office for the purpose

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To: New York From: Information Resources
Re: 66F-HQ-C1190059, 09/10/1997

of conducting interviews with NY personnel with regards to the FBI development and implementation of the Automated Case Support (ACS) System. The NARA representatives are:

Name:
Address:

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Title: Appraisal Archivist
Civilian Appraisal Staff

SSN:
POB:
DOB:

On 9/16/97, [redacted] would like to provide a briefing to the management of the NY Field Office. Preferred time of this briefing would be prior to the NARA representatives commencing the evaluation of the ACS System.

Inasmuch as the ACS System is an integral part of the overall FBI's record-keeping process, it must meet appropriate Federal standards, as promulgated by NARA, prior to full approval as an electronic case file system. Final approval of ACS, by NARA, will eliminate the necessity to maintain a paper case file. Information provided by NY personnel will greatly assist NARA in the appraisal of the ACS System.

[redacted] has been issued TOP SECRET security clearances. All information, including his security clearance, may be verified through [redacted] Personnel Security Unit, Security Countermeasures Section, National Security Division, Extension [redacted]

To: New York From: Information Resources
Re: 66F-HQ-C1190059, 09/10/1997

LEAD (s):

Set Lead 1:

NEW YORK

AT NEW YORK

Establish an appropriate work area for the purpose of
conducting ACS interviews and evaluation for [redacted] and
[redacted]

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Set Lead 2:

AT NEW YORK

Coordinate and schedule time and location for briefing
of NY management by [redacted]

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 9998
1 - [redacted] Room 5336F
1 - [redacted] Room 4933
1 - [redacted] Room 4933
1 - [redacted] Room 4933

◆◆

To: New York From: Information Resources
Re: 66F-HQ-C1190059, 09/10/1997

WORK COPY ROUTING SHEET

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 9998
b6 1 - [redacted] Room 5336F
b7C 1 - [redacted] Room 4933
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 06/09/1997

To: Information Resources

Attn: [Redacted]
Room 4933

Personnel

Attn: [Redacted]
Room 1358

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From: National Security

Security Countermeasures Section
Facility Security Unit (FSU), Room 4362

Contact: [Redacted] Ext. [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 260D-HQ-1087013 - 337
HQ 66-19249 -

Title: [Redacted]

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
REPRESENTATIVES REQUEST FOR OFFICIAL VISITOR BADGES

Synopsis: Approval of request for unescorted Official Visitor
badges for [Redacted]

Administrative: Reference is made to Electronic Communication
(EC) from [Redacted] Information Resources Division
(IRD), Records Disposition/Archival and Micrographics Subunit
(NARA), to FSU, date 05/08/1997. In view of the SPM's favorable
adjudication, this matter is referred to the Security Unit,
Personnel Division (PD), to issue the appropriate Security Access
Control Systems (SACs) badges for the captioned individuals.

Details: Request for access to the J. Edgar Hoover Building for
the captioned individuals was made by [Redacted]
IRD, NARA, dated 05/08/1997, advising the captioned individuals
sole purpose is to review FBI Plan/Schedules regarding civil
matters. In addition, it is anticipated that the NARA
representatives will be visiting the Baltimore, Los Angeles,
Richmond and Washington Field Offices.

THIS IS NOT AN ORIGINAL. IF
ORIGINAL IS FOUND, PLEASE
REPLACE.

66F-HQ-C1190059-48

To: Information Resources From: National Security
Re: 260D-HQ-1087013, 06/09/1997

On 05/16/1997, Personnel Security Unit, NSD, received term certification that the captioned individuals possess a "Top Secret" security clearance. The "Top Secret" clearances are term certified until 05/27/1998. It should be noted that prior to 05/26/1998, recertification of the above individuals security clearances must be updated for the individuals to continue to have access to FBIHQ.

On 05/02/1997, the FSU, NSD, completed appropriate FBI record checks on the above individuals resulting in no derogatory information being identified.

[redacted] Room 4933, Extension [redacted] will serve as Point of Contact (POC) for the captioned individuals. The POC should notify the FSU when the captioned individuals no longer require access to FBI facilities so that records can be updated accordingly.

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CC: 1 - [redacted]
1 - [redacted]
1 - Official Visitor Folder

07/12/00
10:42:49

View Document Attributes

ECFVAOMO

Orig. Office : D4	Responses :		
Document Type : LETTER	Text . . . :		
Document Date : 01/31/96	FIF . . . :		
To : FBI HEADQUARTERS			
From : NATIONAL ARCHIVES			
Case ID : 66F-HQ-C1190059	Serial : 49		
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION			
Author :			
Approver :			
Ref. Case ID :	Serial :		
Class Level : SN	Authority :	Duration :	SCI :
Rule 6(e) . . . :	Caveats . . . :	FD-501 . . . :	
Secure Doc. :			

Command . . . > +
F1=Help F3=Exit F4=Prompt F12=Cancel F14=List F15=PrevDoc F16=NextDoc

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07/12/00
10:43:08

View Document Attributes

ECFVA0M0

Orig. Office : D4
Document Type : LETTER
Document Date : 09/10/96
To : FBI HEADQUARTERS
From : NATIONAL ARCHIVES
Case ID : 66F-HQ-C1190059
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Author :
Approver :
Ref. Case ID :
Serial : 50
Serial :
Class Level : SN Authority :
Rule 6(e) . . : Caveats . . : Duration : SCI :
Secure Doc. : FD-501 . . : Responses :
Text . . . :
FIF :

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07/12/00
10:43:31

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ECFVAOMO

Orig. Office : D4
Document Type : LETTER
Document Date : 09/11/96
To : FBI HEADQUARTERS
From : NATIONAL ARCHIVES
Case ID : 66F-HQ-C1190059
Topic : NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Author :
Approver :
Ref. Case ID :
Serial : 51
Serial :
Class Level : SN Authority :
Rule 6(e) . . : Caveats . . : Duration : SCI :
Secure Doc. : FD-501 . . :
Responses :
Text . . . :
FIF :

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 07/08/1998

To: Information Resources

Attn: Assistant Director

Butte ITC

Carolyn G. Morris
Attn: Center Administrator

NERCSC

Attn: Center Administrator

Savannah ITC

Attn: Center Administrator

WRCSC

Attn: Center Administrator

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From: Information Resources

File Services Unit

Contact: [REDACTED]

Extension [REDACTED]

Approved By: Kitchen David V

Drafted By: [REDACTED]

Case ID #: 66F-HQ-C1186292-581
66F-HQ-A1177333-229
62C-HQ-C1186629-4671
66F-HQ-C1190059-52

Title: RECORDS DISPOSITION AND ARCHIVAL CONFERENCE

FBI HEADQUARTERS

6/3 - 4/98

Synopsis: To provide details pertaining to the Records Disposition and Archival Conference held at FBIHQ on 6/3-4/98.

Details: On 6/3 - 4/98, a conference was held at FBIHQ for the purpose of discussing records disposition and archival initiatives, and the possible utilization of available resources from the Information Resources Division (IRD) sponsored Information Technology Centers (ITCs). The attendees at the

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To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

conference were from the IRD Front Office, Field Information Support Section, Administrative Automation Section, File Services Unit, Records Disposition/Archival and Micrographics Subunit (RDAMS), and representatives from each of the ITCs. These attendees included:

IRD Front Office

Carolyn G. Morris Assistant Director

Field Information Support Section

David Kitchen Section Chief

Administrative Automation Section

Robert Friedman Section Chief

File Services Unit

[Redacted] Unit Chief

Records Disposition/Archival and Micrographics Subunit

[Redacted] Archives Specialist
Supervisory Archives Technician
Supervisory Archives Technician

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Butte, Montana ITC

[Redacted] Archives Technician

Fort Monmouth, New Jersey ITC

[Redacted] Center Administrator
Administrative Officer

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

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Pocatello, Idaho ITC



Center Administrator
Administrative Officer
Supervisory Archives Technician

Savannah, Georgia ITC



Center Administrator
Supervisory Archives Technician

Mrs. Carolyn G. Morris, Assistant Director, IRD, spoke to the attendees at the commencement of the conference. Also in attendance at the commencement were Mr. David Kitchen, Section Chief, Field Information Support Section and Mr. Robert Friedman, Section Chief, Administrative Automation Section.

For the most part, the conference was an open-forum discussion in order to "brainstorm" ideas amongst the attendees in an effort to solve the file storage problems in the field offices and at FBIHQ through the development and implementation of joint FBIHQ/ITC records disposition/archival initiatives. In addition, the conference also served as a disposition/archival briefing for the Ft. Monmouth representatives.

Some of issues/concerns raised by the attendees are:

- ◆ Approval, by the National Archives and Records Administration (NARA), of authority for the destruction of declination case files having less than two volumes per case file in the field offices.

Currently, prosecutive guidelines require notification to the FBI, by local authorities, when an offense which may involve a violation of a Federal statute occurs. In most instances the FBI declines to handle as a Federal matter. At the present time, valuable space in the closed file areas of the field offices is being consumed by these meaningless and obsolete

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

case files. Based on the knowledge of the ITC representatives case file classifications containing a large number of declination case files include (but are not limited to) 2, 15, 25, 26, 42, 52, 70, 76, 87, and 91.

- ◆ Solicit support from Special Agent in Charge (SAC) and Administrative Officer (AO) Advisory Committees to increase budget for file destruction initiatives.
- ◆ Projected staffing level for Fort Monmouth ITC (FMITC) Archival module.

At the present time, the FMITC does not have a working Archival module functioning. [redacted] are interested in determining the staffing level for the module in order to ensure that resources, i.e., space, training, equipment, etc., are available as required. Archival training will be handled by the RDAMS staff, however, the other resources require approval of other IRD and FBIHQ entities.

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[redacted] expressed his opinion that the FMITC Archival module should be set up and operated in the same mode as the ITC in Savannah, Georgia. Currently the Savannah ITC module is operating in a "receive/review/return" mode. Case files are received from the participating field offices, reviewed by the Savannah Archives Technicians in accordance with the retention/destruction provisions of the current Records Retention Plan and Disposition Schedules, and the remaining case files are returned to the field offices. The Archival modules located in the Butte, Montana and Pocatello, Idaho ITCs are operating in a "receive/review/retain" mode. A limited number of case files are returned to the participating field offices.

- ◆ Proposal for ITC personnel to travel to FBIHQ to receive training to assist in handling of court order expungement backlog. Currently court order expungement matters are handled by field office Freedom of Information-Privacy Acts personnel and do not receive the priority attention required in order to complete the process in a timely manner.

During the week of 7/13/98, employees from the four ITCs will receiving, at FBIHQ, appropriate training for the handling of a court order expungement. Experienced RDAMS Archives Technicians will conduct the training. The training will cover the full process of completing a court order expungement matter. Following the training period, the RDAMS Supervisory Archives Technicians will assign portions of the current backlog to the ITC Supervisory Archives Technicians for dispersement to the ITC Archives Technicians. Progress and

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

success of this effort will be tracked on a monthly basis by the RDAMS Supervisory Archives Technicians and the Archives Specialist.

◆ Update Job Descriptions for ITC Archives Technicians.

At the present time the ITC Archives Technicians are in the GS-8 series. An upgrade to GS-9 would be possible if we can develop ITC duties which "mirror" the HQ duties, but knowing the results of the recent Administrative Services Division study of the HQ Archives Technicians position, we must be on solid ground. Assignment of court order expungement matters may provide the enhancement necessary to warrant the upgrade.

◆ Approval, by NARA, of authority for the destruction at FBIHQ and in the field offices of case files which are below all thresholds (sections and/or serials) as set forth in the current Records Retention Plan and Disposition Schedules.

During the conference representatives from Space Management Unit, Facilities Management and Security Section, Administrative Services Division spoke to the attendees on the funding and acquisition issue concerning obtaining additional space for field office records. This issue is based on a proposal, by [redacted] that the FBI explore the possibility of acquiring the 20,000 - 25,000 square footage which is available within a facility next to the Pocatello ITC.

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To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

Additionally, representatives from NARA made a presentation pertaining to the relationship between the FBI and NARA and the ongoing initiatives to "speed-up" the destruction of obsolete records and the transfer of those records having historical and/or research value to NARA. Current initiatives include the approval of the following:

- ◆ Authority for the destruction of declination case files having less than two volumes per case file.
- ◆ Authority for the destruction of case files which are below all retention thresholds.
- ◆ Elimination of the requirement for the FBI to remove and seal all Federal Grand Jury, Federal Income Tax and Title III (Electronic Surveillance) material from case files prior to being transferred to NARA.

Provisions of the FBI Records Retention Plan and Disposition Schedules requires that these categories of material be removed from the case files and sealed. Based on comments by the NARA representatives, this requirement was imposed on the FBI by the Department of Justice. According to NARA, no other federal agency is subjected to this or any similar requirement.

- ◆ Approval, by NARA, to accept a "bulk" transfer of all obsolete microfilm case files.

Currently the microfilm is reviewed and those case files having historical and/or research value are reproduced into a hard-copy form, reviewed for declassification by the Historical Executive Review Unit, Office of Public and Congressional Affairs (OPCA) and transferred to NARA. This an extremely burdensome and time consuming process and a "bulk" transfer agreement would lessen the man-hours required to handle these records. This effort will be coordinated between the RDAMS, OPCA, and NARA.

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

The archival conference was informative and excellent ideas were discussed. With the exception of the proposal pertaining to the inclusion of the ITC personnel in the court order expungement process, logistics of the other proposals are currently being discussed and a communication detailing these subsequent discussions will be prepared.

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 9998
1 - Mr. Friedman, Room 5881
1 - [redacted] Room 10475
1 - [redacted] Room 10108
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 07/08/1998

WORK COPY ROUTING SHEET

CC: 1 - IRD Front Office, Room 5829
1 - Mr. Kitchen, Room 9998
1 - Mr. Friedman, Room 5881
1 - [redacted] Room 10475
1 - [redacted] Room 10108
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

November 18, 1998

Mr. Michael Miller
Director
Modern Records Program - NWM
National Archives and Records
Administration
8601 Adelphi Road
College Park, Maryland 20740

Dear Mr. Miller:

Reference is made to the letter dated October 19, 1998, from Lewis J. Bellardo, Deputy Archivist of the United States, National Archives and Records Administration (NARA).

Referenced letter requested agency comments regarding the scheduling of electronic copies of program records and administrative records that were previously scheduled under General Records Schedule (GRS) 20, Items 13, 14, and 15.

For your information, the draft proposals have been reviewed by the appropriate personnel of the Federal Bureau of Investigation (FBI), and the FBI has no objections to the full implementation of the proposed revisions to GRS 20.

As you are aware, the records disposition practices of the FBI have been scrutinized and approved by the United States District Court for the District of Columbia in the civil matter of American Friends Service Committee, et al., v. William H. Webster, et al.; United States District Court for the District of Columbia; Civil Action Number 79-1655 and are closely monitored by representatives of NARA. In view of these facts, and inasmuch

66F-HQ-C1190059

66F-HQ-C1190059-53

- Dep. Dir.
Chief of Staff
Off. of Gen. Counsel
Asst. Dir.:
Crim. Inv.
CJIS
Finance
Info. Res.
Insp.
Lab.
National Sec. Personnel
Training
Off. of EEOA
Off. of Public & Cong. Affs.
Director's Office

- 1 - [redacted] Room 7149
1 - IRD Front Office, Room 5829
1 - [redacted] Room 10108
1 - [redacted] Room 10475
1 - [redacted] Room 10475

WS:ws (7)

APPROVED:
Crim. Inv.
CJIS
Finance
Director
Deputy Director
Inspection
Laboratory
National Sec.
Gen. Counsel
Info. Res.
Personnel
Training
Off. of EEO Affairs
Off. of Public & Cong. Affs.

MAIL ROOM

Mr. Michael Miller

as the GRS is designed to cover common category of records and the descriptions are very general in nature, the FBI only uses the disposition authority granted by the GRS as "guidance," not "rule."

Please be advised that the current practice whereby the FBI must formally request NARA authorization, utilizing Standard Form (SF) 115, for alterations to the current Records Retention Plan and Disposition Schedule, as well as any proposed dispositions for newly created categories of records, will continue. All newly submitted SF-115s will, if applicable, include a request for disposition authority for the electronic versions of the FBI records. In addition, if it is determined to be necessary, previously approved disposition authorities will be resubmitted for the electronic format of the records.

Any further questions concerning this matter may be directed to [REDACTED] FBI Archives Specialist, at [REDACTED]

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Sincerely,

Eugene J. O'Leary III
Deputy Assistant Director
Information Resources Division



U.S. Department of Justice
Federal Bureau of Investigation

Washington, D. C. 20535

December 16, 1998

Mr. Michael Miller
Director
Modern Records Program - NWM
National Archives and Records
Administration
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Mr. Miller:

This is to inform you that Mr. Dennis R. Weaver, Section Chief, Information Management Section, Information Resources Division, has been designated Records Policy Officer for the Federal Bureau of Investigation (FBI) effective immediately.

All questions pertaining to overall FBI records management policy matters should be directed to Mr. Weaver at or the following address:

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Federal Bureau of Investigation
J. Edgar Hoover Building
Room 9998
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535-0001

With regards to the FBI Records Disposition/Archival and Micrographics Program, continues in his position as FBI Archives Specialist. Questions pertaining to

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- 1 - IRD Front Office, Room 5829
- 1 - Mr. Weaver, Room 9998
- ADD Adm. 1 - Room 10108 *hpr*
- ADD Inv. 1 - Room 10475
- Asst. Dir.: 1 - Room 10475
- Adm. Servs. 1 -
- Crim. Inv. _____
- Ident. _____
- Insp. _____ WS:ws (7)
- Intell. _____
- Lab. _____
- Legal Coun. _____
- Rec. Mgnt. _____
- Tech. Servs. _____
- Training _____
- Cong. Affs. Off. _____
- Off. of EEO _____
- Off. Liaison & Int. Affs. _____
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____

66F-HQ-1190059-54

MAIL ROOM

Mr. Michael Miller

archival and micrographics policy matters should be directed to
[redacted] at [redacted] or the following address:

Federal Bureau of Investigation
J. Edgar Hoover Building
Room 4933
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535-0001

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It is requested that Mr. Weaver and [redacted] be
placed on your official mailing list.

Sincerely yours,



Eugene J. O'Leary III
Deputy Assistant Director
Information Resources Division

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 23, 1997

[Redacted]

Chief, Archival Subunit
Federal Bureau of Investigation
935 Pennsylvania Avenue NW - Room 4933
Washington, D.C. 20535

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Dear [Redacted]

Thank you for your revised disposition request for the Federal Bureau of Investigation (FBI) abstracts, which we have registered as Job No. N1-65-97-3. Please be advised that we will begin our appraisal of the abstracts as soon as the 1997 update of FBI recordkeeping by the National Archives and Records Administration has been completed.

Inasmuch as your revised request has been registered, we are canceling and returning your original disposal request for the abstracts (Job No. N1-65-93-2). If you have any questions, please call me at [Redacted] or [Redacted].

Sincerely,

[Redacted Signature]

Civilian Appraisal Staff

Enclosure

66-HQ-C1190059-55

REQUEST FOR RECORDS DISPOSITION AUTHORITY

LEAVE BLANK

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

DATE RECEIVED

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Justice

2. MAJOR SUBDIVISION

Federal Bureau of Investigation

3. MINOR SUBDIVISION

Information Management Division

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE EXT.

DATE

ARCHIVIST OF THE UNITED STATES

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of **1** page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

11 18 19

Records Officer - Information Management Division

7. ITEM NO.

8. DESCRIPTION OF ITEM
(WITH INCLUSIVE DATES OR RETENTION PERIODS)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN
(NARS USE ONLY)

1

NUMERICAL/ ALPHABETICAL CASE FILE ABSTRACTS

Brief summaries abstracted from documents which have been placed on record within FBI criminal, security, applicant, personnel and administrative case files.

Abstracts do not contain any information that is not detailed in full in the complete document in the case file. Information captured includes type of document, date, source and/or destination, preparer (in case of outgoing items and incoming reports), subject and case file number.

Abstracts can not be used for historical or research purposes without the corresponding complete document inasmuch as the information contained within the abstracts is in an extremely abbreviated form.

DISPOSITION: Destroy immediately.

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Washington National Records Center

Washington, DC 20409

June 25, 1997

Dear Records Official:

Enclosed are Notices of Intent to Destroy Records for records scheduled to be destroyed October 1997. Please review these notices immediately and notify us if the records are incorrectly scheduled for destruction or must be retained for litigation or claims. You must notify us in writing and provide an explanation of why the records should be retained. You must include a new proposed date for destruction.

Please note you may be charged for the storage of records that are correctly scheduled and for which you request an extension of the retention period.

I recommend that you call the staff member listed below as soon as you know that an accession or portion of one must be retained and follow up with the letter.

Record Groups

Name..

Number

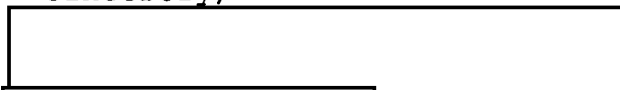
15 thru 181-84-0088
181-84-0110 thru 343-82-0036
343-82-0041 thru 527-94-0077



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On some notices you will see a three line description of the records in the block labeled series description. On the first line the initial number is the first box, the second number is the last box and the third number is the ending date of the records. The date is year followed by month. The remaining information describes the type of records. Information on accessions not entered in the new format appears on the notices as it always has.

Sincerely,



Chief

Accession and Disposal Branch

Enclosures

66-HQ-C1190059-56

66-HQ-1190059-56

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/97

DISPOSAL DATE

199710

RECORDS DESCRIPTION

ACCESSION NUMBER

065-95-0027

SUBGROUP

DISPOSAL AUTHORITY

GRSN/22/2

VOLUME (Cu. ft.)

7.000

SERIES DESCRIPTION

1 7 198909

AUDIT CASE FILE

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 16-44-00-1-3 16-44-00-3-1



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 30, 1997

[Redacted]

Chief, Archival Subunit
Federal Bureau of Investigation
935 Pennsylvania Avenue NW - Room 4933
Washington, D.C. 20535

b6
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Dear [Redacted]

Per our telephone conversation of June 25, 1997, I am withdrawing Job. No. N1-65-97-2 and returning your SF 115. The records described on it are already covered by Job No. N1-65-88-3, which authorizes the Federal Bureau of Investigation to destroy immediately those temporary files whose destruction is mandated by court order.

If you have any questions, please call me at [Redacted] or [Redacted]

Sincerely,

[Redacted Signature]

Civilian Appraisal Staff

Enclosure

66F-HQ-C1190059-57

REQUEST FOR RECORDS DISPOSITION AUTHORITY

LEAVE BLANK (NARA use only)

3-NUMBER

N1-65-97-2

DATE RECEIVED

3-24-97

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Department of Justice

2. MAJOR SUBDIVISION

Federal Bureau of Investigation

3. MINOR SUBDIVISION

Information Resources Division

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

DATE

ARCHIVIST OF THE UNITED STATES

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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is not required; is attached; or has been requested.

DATE

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

03 20 1997

FBI Archives Specialist

7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Case files, or any portions of the contents, including specific information within individual documents, whose continued maintenance by the FBI may conflict with the provisions of the Privacy Act of 1974 (Title 5, United States Code [USC], Section 552a); the Federal Youth Corrections Act (Title 18, USC, Section 5021); the Controlled Substance Act (Title 18, USC, Section 3607 / Title 21, USC, Section 844); in accordance with guidelines of the Federal Pre-Trial Diversion probation program or is mandated by Court Order.</p> <p>DISPOSITION:</p> <p>A. Case files authorized for eventual destruction by a NARA-approved disposition schedule.</p> <p>DESTROY immediately.</p> <p>B. Remaining Case Files</p> <p>Submit SF-115 to NARA for appraisal on an individual basis.</p> <p>NOTE: This is in amendment to NARA Job Number N1-65-88-03, approved on 1/20/88.</p>		

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : September 26, 1997
Reply to :
Attn of : NWR 08.97
Subject : MEMORANDUM TO FEDERAL RECORDS OFFICERS: Final report on GILS
To : implementation by Federal agencies

GILS is a Federal government-wide initiative that identifies public information resources, describes the information available in those resources, and provides assistance in obtaining the information. Every Executive Branch agency was required to have a GILS system in place by December 1995. In December 1995, the Archivist recommended that the GILS Board conduct an evaluation of GILS to determine if the service was meeting user information needs. The board approved the recommendation and five Federal agencies, including NARA, funded the study, conducted by [redacted] of Syracuse University and [redacted] of the University of North Texas. The Office of Management and Budget was involved in this effort as well as an advisory group representing eight federal agencies.

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[redacted] completed their study this June and recently released their report, which is available on the Internet <<http://www-lan.unt.edu/slis/research/gilseval/titpag.htm>>. The report contains a variety of findings and recommendations organized around four broad categories called "opportunities." The opportunity to "resolve GILS relationship with other information handling functions" has particular importance for records managers.

The study found that GILS has not worked as an effective records management tool for scheduling records. Initially, the hope was that GILS could support both public access and records management activities. For example, the OMB Bulletin 95-01 (which mandated the establishment of GILS in the Executive Branch) actively promotes GILS as a records management tool, even to the extent of suggesting that GILS could be used in place of the SF 115, Request for Records Disposition Authority, for records scheduling. However, experience has shown that GILS does not adequately support records scheduling for three reasons:

1. Agencies are describing all kinds of information in GILS records -- individual pamphlets, books, motion pictures, catalogs of publications based on subjects, individual automated information systems as well as aggregated systems. Because records managers inventory and schedule records at the series level, these different aggregations do not match normal schedule entries.

66-HQ-C1190059-58

2. The GILS data elements do not provide all the information required for scheduling.
3. The current implementation of GILS does not take into account the processes upon which the scheduling and appraisal are based. These include workflow procedures, authorization, and security requirements that are not a part of the current GILS.

For these reasons, NARA supports the study's recommendation to "uncouple the GILS from records management."

At the same time, the study recommends using GILS primarily as a information dissemination tool for public access to Government information. Adoption of this recommendation to focus GILS' purpose is supported by the recommendation not to diffuse GILS by trying to use it for records scheduling.

Although GILS may not be the best mechanism for automating records management, it is a useful resource for records managers. Some agencies, most notably the Treasury Department and the Environmental Protection Agency, currently are using GILS as one means of identifying records that need to be scheduled. Also, some NARA appraisal archivists monitor GILS to find agency information resources that have yet to be scheduled. Thus GILS provides benefits for records managers apart from the original concept that GILS could be used as a way to automate development of schedule items and submission of schedules to the NARA.

The two recommendations described above also complement NARA's plan to develop a life-cycle system for managing Federal records that would include records surveying and inventorying, scheduling, and appraisal as its major components. In addition, the system would allow access to approved records schedules. The system will be developed following a business process reengineering (BPR) of the NARA appraisal and scheduling processes, as called for in the Strategic Plan. This BPR, which NARA plans to begin in FY 1999, will involve NARA's stakeholders and should result in more effective, timely, and streamlined processes for scheduling agency records.

NARA believes that adoption of the two recommendations will make GILS more effective as a public access tool while paving the way for a fully functional automated records management system. A true records management system would not duplicate GILS but would be developed from re-engineered processes. It will require different information than is needed for public access in some respects, organize the information differently, and include systems capabilities such as electronic authentication and enhanced security. Regardless of

the outcome of the study, NARA will remain active in the evolution of GILS and will continue to work with the Office on Management and Budget on the revision of the OMB Circular 95-01, due to expire this coming November.



MICHAEL L. MILLER
Director, Records Management Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 7, 1997

NWR 01.98

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Electronic Availability of Agency Records Schedules.

In 1996, the National Archives and Records Administration (NARA) launched a prototype project to make agency records disposition schedules available through World Wide Web technology. Known as the Agency Records Disposition Online Resource (ARDOR), the project gathered electronic copies of agency schedules, converted the copies into Hypertext Markup Language (HTML), and made them available for viewing with a web browser. At least partial schedules for 38 agencies are presently included in the system and are full-text searchable. Access to ARDOR is now limited to NARA staff through our internal Intranet; a limited number of records managers in Federal agencies also have access via special technical arrangements.

We are planning to make ARDOR available from our public web page by December 31, 1997. This will mean that anyone with a connection to the World Wide Web will be able to view all agency schedules in the system.

The principal rationale for creating ARDOR has been to test various aspects of having schedules on line in order to develop user requirements for a true automated life-cycle records management system as described in our revised Strategic Plan for 1997-2007, *Ready Access to Essential Evidence*. For us, ARDOR is a test vehicle to identify internal user needs for the future system that will support scheduling and appraisal and allow staff to learn what capabilities a system would need to be most useful. It also allows us to examine the range of schedule formats used by agencies and determine which might serve as models we should investigate further during development of the automated system. That having been said, we do recognize that the data in ARDOR, limited though it is, is useful in itself.

It is appropriate to expand access to the ARDOR prototype at this time for three reasons. First, it is a valuable tool as we begin to implement the goals outlined in the NARA Strategic Plan. One of our principal goals is an increased focus on the front-end of the records life cycle to ensure essential evidence is created, identified, maintained, and appropriately

66-HQ-C1190059-60

scheduled. ARDOR will contribute to this goal by helping identify and refine our customers' needs for records disposition information. This is an essential step as we prepare to conduct a comprehensive Business Process Reengineering study of appraisal and scheduling.

Second, records scheduling in the Federal government has historically been a decentralized process that involves many different agencies, and hence many different requirements. ARDOR will be instrumental in allowing us to analyze how different agencies use records schedules to manage records. ARDOR will also allow our internal and external customers to test and comment on a system that provides multi-agency access to disposition information. This will assist our Business Process Reengineering study in developing the concrete requirements needed to build a records life cycle information system. Many records managers from Federal agencies (as well as from state and local governments) have requested use of ARDOR. There is a demand for disposition information across the government to analyze how records generated from similar functions are appraised and scheduled. Access to ARDOR will help strengthen the development and application of records disposition schedules right away.

Finally, it is clear that ARDOR will meet an important information dissemination need beyond the records management community. Public interest groups and individual citizens wish to use the system to guide their understanding of how the current functions of government are documented. We are eager to support this need, to the extent that ARDOR can at this point. As stated in our Strategic Plan, we are fully committed to helping the American people inspect for themselves the record of what government has done. ARDOR will assist people in their search for this information and will also help agencies to provide it. As a repository of records schedule information, ARDOR will reduce the burden on agencies to provide records disposition information to individual requestors.

It is important to understand that, as a prototype, ARDOR has a number of inherent limitations. There is no intent, now or in the future, to cover all Federal agencies, or provide schedules for all records of agencies that are included. As noted above, the effort to centralize schedule information in electronic form is just getting underway. In addition, ARDOR is strictly a reference tool and does not serve as an authoritative source for records schedules. We work in close partnership with agencies to keep the system as accurate and up to date as possible, but the infrastructure needed to assure complete accuracy does not yet exist. All users are instructed to consult with official agency records schedules for authoritative disposition information. ARDOR will provide the name and address of the agency records management officer (or other designated individual) for each posted schedule.

To maximize the benefits of the ARDOR pilot project, we would like to include as many schedules as feasible. Please let us know if your agency wishes to participate.

Contact [redacted] on [redacted]@arch2.nara.gov) with any questions about ARDOR or our plans to make it publicly available.

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Sincerely,



MICHAEL L. MILLER
Director
Records Management Programs

Attachment

Records Management Training Opportunities, Washington, DC

Available in November and December 1997

Managing Electronic Records, November 18-20, Archives II

Creating and Maintaining Adequate and Proper Documentation, December 1-2, Archives II

Records Scheduling and Disposition, December 3-4, Archives II

Evaluating and Promoting Records Management, December 5, Archives II

Using the WNRC Services, December 9, Washington National Records Center

to register for classes call [redacted]
or e-mail at [redacted]@arch2.nara.gov

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for more information and a complete course listing for FY98, visit the NARA Web site at:
<http://www.nara.gov/nara/rm/tb98.html>



Washington National Records Center

Washington, DC 20409

[Redacted]
U.S. DEPT. OF JUSTICE
J. EDGAR HOOVER BLDG - ROOM 4933
935 PENNSYLVANIA AVE., N.W.
WASHINGTON, DC 20535-0001

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October 15, 1997

Received by _____ Date _____

Dear Records Official:

Enclosed are three items:

- Notices of Intent to Destroy Records for Record Groups 65. These records are scheduled to be destroyed in January 1998. Because of our delay in sending the Notices to you, we will not begin disposing of these records before January 23, 1998.
- A copy of a printout which lists all the records for which you are receiving a notice. We hope that the printout will help you track the notices.
- A copy of this letter. Please acknowledge receipt of these notices by immediately signing, dating, and returning the letter in the envelope provided. Returning the letter only acknowledges that you received the notices; it does not mean that you agree that the records are correctly scheduled.

Please review these notices immediately and notify us if the records are incorrectly scheduled for destruction or must be retained for litigation or claims. You must notify us in writing and provide an explanation of why the records should be retained. You must include a new proposed date for destruction.

You may be charged for the storage of records that are correctly scheduled and for which you request an extension of the retention period.

I recommend that you call the staff member listed below as soon as you know that an accession or portion of one must be retained and follow up with the letter.

Record Groups	Name	Number
---------------	------	--------

66-HQ-C1190059-59

12 thru 88-93-0031
88-93-0125 thru 338-91-0323
338-91-0326 thru 527-97-0007



On some notices you will see a three line description of the records in the block labeled series description. On the first line the initial number is the first box, the second number is the last box and the third number is the ending date of the records. The date is year followed by month. The remaining information describes the type of records. Information on accessions not entered in the new format appears on the notices as it always has.

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Sincerely,



Chief
Accession and Disposal Branch

Enclosures

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

10/01/97

DISPOSAL DATE

199801

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-92-0003

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

250.000

SERIES DESCRIPTION

SITE AUDIT

3-7/91

REMARKS

LOCATION 13-45-41-6-5 13-45-53-6-2

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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

10/01/97

DISPOSAL DATE

199801

RECORDS DESCRIPTION

ACCESSION NUMBER

065-92-0004

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

172.000

SERIES DESCRIPTION

SITE AUDIT

3-7/91

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 10-11-10-5-3 10-11-18-5-6

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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON DC 20535-0001

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

10/01/97

DISPOSAL DATE

199801

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-93-0014

SUBGROUP

DISPOSAL AUTHORITY

GRSN/22/2

VOLUME (Cu. ft.)

7.000

SERIES DESCRIPTION

AUDIT CASE FILE

89

REMARKS

LOCATION 02-54-38-5-4 02-54-38-6-4



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409



Washington National Records Center

4205 Suitland Road Suitland, MD 20746-8001

[Redacted]
 U.S. DEPT. OF JUSTICE
 J. EDGAR HOOVER BLDG - ROOM 4933
 935 PENNSYLVANIA AVE. N.W.
 WASHINGTON, DC 20535-0001

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March 19, 1998

[Redacted] 4/7/98
 Received by _____ Date

Dear Records Official:

Enclosed are three items:

- Notices of Intent to Destroy Records for Record Groups 65. These records are scheduled to be destroyed in July 1998.
- A copy of a printout which lists all the records for which you are receiving a notice. We hope that the printout will help you track the notices.
- A copy of this letter. Please acknowledge receipt of these notices by immediately signing, dating, and returning the letter in the envelope provided. Returning the letter only acknowledges that you received the notices; it does not mean that you agree that the records are correctly scheduled.

Please review these notices immediately and notify us if the records are incorrectly scheduled for destruction or must be retained for litigation or claims. You must notify us in writing and provide an explanation of why the records should be retained. You must include a new proposed date for destruction.

You may be charged for the storage of records that are correctly scheduled and for which you request an extension of the retention period.

I recommend that you call the staff member listed below as soon as you know that an accession or portion of one must be retained and follow up with the letter. Our fax number is [Redacted]

Record Groups

Name

Number

13 thru 064-84-0009
 064-94-0031 thru 357-73-0091
 357-76-0068 thru 527

[Redacted]

66-HQ-C1190059-61

On some notices you will see a three line description of the records in the block labeled series description. On the first line the initial number is the first box, the second number is the last box and the third number is the ending date of the records. The date is year followed by month. The remaining information describes the type of records. Information on accessions not entered in the new format appears on the notices as it always has.

Sincerely,

[Redacted Signature]

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[Redacted Title] Chief
Accession and Disposal Branch

Enclosures

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

04/01/98

DISPOSAL DATE

199807

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0008

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

SITE AUDIT

10/91-1/92

REMARKS

LOCATION 18-70-06-5-1 18-70-08-6-2



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

04/01/98

DISPOSAL DATE

199807

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0009

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

SITE AUDIT

10/91-1/92

REMARKS

LOCATION 18-70-08-6-3 18-70-10-7-4



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

04/01/98

DISPOSAL DATE

199807

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0010

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

SITE AUDIT

10/91-1/92

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 18-70-10-7-5 18-70-14-1-6



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J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

04/01/98

DISPOSAL DATE

199807

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0011

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

SITE AUDIT

10/91-1/92

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 18-70-14-2-1 18-70-16-3-2

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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

04/01/98

DISPOSAL DATE

199807

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0012

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

27.000

SERIES DESCRIPTION

SITE AUDIT

10/91-1/92

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 14-68-12-2-2 14-68-12-6-4



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON DC 20535-0001

0.1	09807 065-94-0008	50,000 S 18-70-04-5-1	A BREN/6/1A		
0.1	09807 065-94-0009	50,000 S 18-70-03-6-3	A BREN/6/1A	SITE AUDIT	10/91-1/92
0.1	09807 065-94-0010	50,000 S 18-70-10-7-5	A BREN/6/1A	SITE AUDIT	10/91-1/92
0.1	09807 065-94-0011	50,000 S 18-70-14-2-1	A BREN/6/1A	SITE AUDIT	10/91-1/92
0.1	09807 065-94-0012	27,000 S 14-69-12-2-2	A BREN/6/1A	SITE AUDIT	10/91-1/92

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 15, 1998

John M. Hogan
Chief of Staff
Department of Justice
Tenth and Constitution Avenue, NW
Washington, DC 20530

Dear Mr. Hogan:

In November 1997, OMB directed the National Archives and Records Administration's (NARA) to switch its records center program from a direct funded to a fully reimbursable program by FY 2000. Many agencies were notified of this determination through the OMB budget passback process. Since notification, NARA has been working on details of how the reimbursable program will work and on preparing cost estimates for Federal agencies. As part of the process, NARA will enter into Interagency Agreements with its customer departments and agencies, and will establish a regular, periodic billing cycle in each agreement. To assist your agency in planning for the expense of records center services for the FY 2000 budget process, NARA estimates your agency's total cost for FY 2000 at \$2,192,900. This charge consists of two components as follows:

(1) The first component is for all costs related to physically maintaining the 662,200 cubic feet of Department of Justice records stored in the records center system. The storage cost is projected to be \$2.08 per cubic foot for a total storage service cost of \$1,377,400; this charge is estimated and based on your agency's records inventory as of the end of FY 1997. Storage service costs are based on 1997 and 1998 actual obligations and rent rates, respectively, compounded to fiscal year 2000 using OMB Federal pay raise assumptions and non-pay category inflation rates.

(2) The second component is a base level service fee that covers all costs related to the accessioning, disposal, referencing, refiling, and interfiling, and all other functions performed in the servicing of Department of Justice records. This base level fee is your agency's share of these costs in relation to the volume of Department of Justice records stored in the records center system. This charge is estimated at \$815,500.

In developing the base level service fee, only agencies with similar service levels and costs were considered. Service costs for agencies and records that are atypical, such as Internal Revenue Service tax returns and Department of Defense official military personnel folders were excluded from this base level

66-HQ-C1190059-62

service fee calculation. As with the storage service fee, the base level service fee has been compounded to fiscal year 2000 using OMB Federal pay raise assumptions and non-pay category inflation rates.

Since the estimated storage and base level service costs are based on actual FY 1997 records holdings, any increases/decreases over the next three (3) years will affect your agency's charges in FY 2000. Records center holdings are currently increasing at a rate of 2.5 percent a year. Although the specific increase for your agency's records center holdings may vary, the 2.5 percent is a good factor to use in budgeting for growth. The base level service will also increase/decrease in relation to the volume of your agency's records.

Legislation is required to establish the revolving fund that will be used to finance these operations. NARA is actively pursuing the appropriate language with OMB for enactment in time for the FY 2000 appropriation cycle. OMB has stipulated that NARA is to be the sole source for agency records center services through FY 2002 for agencies currently using NARA records centers. Records accessions through FY 2002 should continue to be transferred to NARA's records centers. Agencies currently storing records in agency or private sector records centers may continue to do so. This is to allow NARA sufficient time to work with GSA to reduce rent costs and for NARA to achieve other cost efficiencies. After FY 2002, agencies may choose to store records with NARA, a private sector records center, or establish its own agency records center pursuant to guidelines that NARA will issue. NARA's goal is to provide your agency with the best balance of service and cost so that NARA will be your records center provider of choice.

In closing, I would like to emphasize that the cost estimates provided above are preliminary and subject to change. We hope you will find them useful in preparing your FY 2000 budget. If you have any questions, please contact [redacted] of my staff at [redacted] or [redacted]

[redacted] at [redacted]

Sincerely,

[redacted signature box]

Assistant Archivist for
Regional Records Services

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b7C

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b7C

cc:

[Redacted]

Department of Justice
Systems Policy Staff/IRM/JMD
Suite 850, WCTR
1001 G Street NW
Washington DC 20530

[Redacted]

Department of Justice
U.S. Marshals Service
Suite 990
600 Army-Navy Drive
Arlington VA 22202-4210

[Redacted]

Department of Justice
Bureau of Prisons
Communications and Archives Section
320 First Street NW
Washington DC 20534

[Redacted]

Department of Justice
Drug Enforcement Administration (AMRR)
Room W9168
700 Army Navy Drive
Arlington, VA 22202

[Redacted]

Department of Justice
Federal Bureau of Investigation
Field Information Support Section
Room 5336D, JEH Building
935 Pennsylvania Avenue NW
Washington DC 20535-0001

[Redacted]

Department of Justice
Federal Bureau of Investigation
J.E. Hoover Building, Room 4933
935 Pennsylvania Avenue NW
Washington DC 20535-0001

b6
b7c

[Redacted]

Department of Justice
Foreign Claims Settlement Commission
Room 6002
600 E Street NW
Washington DC 20579



Washington National Records Center

4205 Suitland Road Suitland, MD 20746-8001

June 29, 1998

Dear Records Official:

Enclosed are Notices of Intent to Destroy Records for records scheduled to be destroyed October 1998. Please review these notices immediately and notify us if the records are incorrectly scheduled for destruction or must be retained for litigation or claims. You must notify us in writing and provide an explanation of why the records should be retained. You must include a new proposed date for destruction.

Please note you may be charged for the storage of records that are correctly scheduled and for which you request an extension of the retention period.

I recommend that you call the staff member listed below as soon as you know that an accession or portion of one must be retained and follow up with the letter.

Record Groups	Name	Number
12 thru 307-93-0069 307-93-0116 thru 345-93-0034 346-72A3059 thru 527-97-0045		

On some notices you will see a three line description of the records in the block labeled series description. On the first line the initial number is the first box, the second number is the last box and the third number is the ending date of the records. The date is year followed by month. The remaining information describes the type of records. Information on accessions not entered in the new format appears on the notices as it always has.

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b7C

Sincerely,

[Redacted Signature]

[Redacted Title] Chief
Accession and Disposal Branch

Enclosures

66-HQ-1190059-63

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/98

DISPOSAL DATE

199810

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0005

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

00001 00050 199204

SITE AUDIT

REMARKS

LOCATION 18-46-02-7-5 18-46-06-1-6



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b7C

U.S. DEPT. OF JUSTICE
J. EDGAR HOOVER BLDG - ROOM 4933
935 PENNSYLVANIA AVE. N.W.
WASHINGTON DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER
WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/98

DISPOSAL DATE

199810

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0006

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

00001 00050 199204

SITE AUDIT

REMARKS

LOCATION 18-46-06-2-1 18-46-08-3-2

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b7C



U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/98

DISPOSAL DATE

199810

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0007

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

43.000

SERIES DESCRIPTION

00001 00043 199204

SITE AUDIT

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 18-76-24-7-1 18-76-26-7-1



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/98

DISPOSAL DATE

199810

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0002

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

199204

SITE AUDIT

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

REMARKS

LOCATION 11-15-14-2-2 11-15-16-4-3

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b7C



U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS
CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS

DATE OF NOTICE

07/01/98

DISPOSAL DATE

199810

The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.

RECORDS DESCRIPTION

ACCESSION NUMBER

065-94-0003

SUBGROUP

DISPOSAL AUTHORITY

GRSN/6/1A

VOLUME (Cu. ft.)

50.000

SERIES DESCRIPTION

00001 00050 199204

SITE AUDIT

REMARKS

LOCATION 18-45-56-2-5 18-46-00-2-2



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U.S. DEPT. OF JUSTICE

J. EDGAR HOOVER BLDG - ROOM 4933

935 PENNSYLVANIA AVE. N.W.

WASHINGTON

DC 20535-0001

ADDRESS OF FEDERAL RECORDS CENTER

WASHINGTON NATIONAL RECORDS

CENTER

WASHINGTON, DC 20409

NOTICE OF INTENT TO DESTROY RECORDS	DATE OF NOTICE	DISPOSAL DATE
	07/01/98	199810
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.164(c), they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date) within the 90-day period to the director of the Federal records center indicated at the right.</p> <p>REMARKS</p> <p style="margin-left: 40px;">LOCATION 18-46-00-3-1 18-46-02-7-4</p> <div style="border: 1px solid black; width: 200px; height: 40px; margin-left: 40px; margin-top: 20px;"></div> <p style="margin-left: 40px;">b6 b7C</p> <p>U.S. DEPT. OF JUSTICE J. EDGAR HOOVER BLDG - ROOM 4933 935 PENNSYLVANIA AVE. N.W. WASHINGTON DC 20535-0001</p>	RECORDS DESCRIPTION	
	ACCESSION NUMBER	SUBGROUP
	065-94-0004	
	DISPOSAL AUTHORITY	VOLUME (Cu. ft.)
	GRSN/6/1A	50.000
SERIES DESCRIPTION		
00001 00050 199204 SITE AUDIT		
ADDRESS OF FEDERAL RECORDS CENTER		
WASHINGTON NATIONAL RECORDS CENTER WASHINGTON, DC 20409		

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 5, 1998

NWM 15 .98

MEMORANDUM TO AGENCY RECORDS OFFICERS: Request for comment on proposed changes to the General Records Schedules

The National Archives and Records Administration published the enclosed notice in the *Federal Register* today, to request comments on a proposed change to the General Records Schedules. The proposed schedule, N1-GRS-98-2, contains items that are currently scheduled with an indefinite retention, e.g., "destroy when no longer needed." These items need to be changed because the Archivist has determined that indefinite retention periods are inappropriate for the GRS. In conducting the review of the GRS items with indefinite retention periods, NARA identified a few items that were described as "duplicates" or otherwise clearly nonrecord copies. These items will be deleted because a definitive Government-wide retention period cannot be applied to nonrecord materials, and the item numbers will be reserved to preserve the current numbering for the continuing authorities.

The *Federal Register* notice contains the full text of the GRS items that will be changed and an explanation for the proposed retention period for each item. We urge you to review the proposed changes carefully, and coordinate with the offices within your agency that maintain the records covered by the items in the schedule. Please take careful notice of the proposed retention periods. The GRS disposition instructions are mandatory for all Federal agencies subject to the Federal Records Act. If any of the proposed retention periods seem inappropriate for your agency, please notify us in writing as provided in the *Federal Register* notice, with an explanation of why any of the retention periods are not satisfactory. We need your response by the end of the comment period (September 4) in order to consider it before the Archivist approves the schedule. If the final changes do not meet your agency's needs, you will need to submit an SF 115, Request for Records Disposition Authority, in accordance with 36 CFR 1228.42.

The *Federal Register* notice may be accessed on the Internet by filling out the form at http://www.access.gpo.gov/su_docs/aces/aces140.html. Choose "1998 Federal Register," enter the date of the notice (08/05/98), and enter "National Archives and Records Administration" in the search field.

66-HQ-C1190059-64

The notice contains instructions for submitting comments. Please be sure the enter the registration number for the schedule, "N1-GRS-98-2," in the subject line if you use electronic mail or otherwise prominently cite the number in your response. We look forward to hearing from you.



MICHAEL L. MILLER
Director, Modern Records Programs

Enclosure

for the enforcement of the Act or for developing information regarding the causes and prevention of occupational injuries, illnesses, and accidents.

In 219 CFR 1910.132, Personal Protective Equipment (PPE), employers are required to perform a hazard assessment of the workplace and to certify that it has been performed. They are also required to certify that their employees have received, and understood PPE training.

OSHA inspectors will require employers to provide them with access to information during Agency inspections. The documents, which can be written or computer generated, are needed to verify that employers are in compliance with the standard. Additionally, the documents may be used as a "grandfather" mechanism. That is, an employer can verify that an existing hazard assessment and/or training program already meets the standards. This will eliminate the need for the employer to reassess the workplace or retrain employees.

Todd R. Owen,

Departmental Clearance Officer.

[FR Doc. 98-20927 Filed 8-4-98; 8:45 am]

BILLING CODE 4510-27-M

DEPARTMENT OF LABOR

Employment and Training Administration

Migrant and Seasonal Farmworker Advisory Committee

AGENCY: Employment and Training Administration (ETA), U.S. Department of Labor.

ACTION: Notice of establishment of the Migrant and Seasonal Farmworker Employment and Training Advisory Committee.

SUMMARY: A Committee has been established to advise the Secretary and the Assistant Secretary for Employment and Training (ETA) regarding the overall operation and administration of Migrant and Seasonal Farmworker programs authorized under Title IV, Section 402 of the Job Training Partnership Act, as amended, as well the coordination of other programs providing services to migrant and seasonal farmworkers. The Committee shall prepare and submit directly to the Secretary, not later than January 1 of each even numbered year, a report containing information on the progress of migrant and seasonal farmworker job training programs and recommendations for improving their administration and effectiveness.

The Committee will consist of approximately fifteen members as follows: twelve (12) members from the Section 402 community appointed by the Secretary from among individuals nominated by Section 402 grantee organizations, and three (3) members from organizations, associations and other Federal agencies with expertise relative to migrants and seasonable farmworkers, to be appointed directly by the Secretary. The membership of the Committee shall represent all geographic areas of the United States, including the Commonwealth of Puerto Rico, with a substantial migrant and seasonal farmworker population. A majority of the members shall have field experience in the operation and administration of Section 402 programs.

The Committee will function solely as an advisory body and in compliance with the provisions of the Federal Advisory Committee Act.

ADDRESSES: Any written comments in response to this notice should be sent to the following address: Anna W. Goddard, Director, Office of National Programs, U.S. Department of Labor, Employment and Training Administration, Room N-4641, 200 Constitution Avenue, NW., Washington, D.C. 20210. Telephone: (202) 219-5500, extension 122 (this is not a toll free number).

Signed at Washington, D.C. this 30th day of July, 1998.

Alexis M. Herman,
Secretary of Labor.

[FR Doc. 98-20925 Filed 8-4-98; 8:45 am]

BILLING CODE 4510-30-M

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Changes to the General Records Schedules; Request for Comments

AGENCY: National Archives and Records Administration, Office of Records Services—Washington, D.C.

ACTION: Notice.

SUMMARY: NARA is required by 44 U.S.C. 3303a(a) to provide an opportunity for public comment on proposed records schedules that will authorize the destruction of Federal records. This notice contains the full text of proposed changes to the General Records Schedules which are issued by NARA to provide mandatory disposal authorities for temporary administrative records common to several or all Federal agencies (44 U.S.C. 3303a(d)). NARA is departing from its normal practice of publishing notice of

availability of records schedules in this instance in order to accelerate the review process and maximize the exposure of the proposed changes. This notice also includes the rationale for the proposed changes, equivalent to the appraisal report. Consequently, this notice provides all available information for interested parties who may wish to comment.

DATES: Comments must be received on or before September 4, 1998.

ADDRESSES: Comments may be sent electronically to the e-mail address <records.mgt@arch2.nara.gov>. If attachments are sent, please transmit them in ASCII, WordPerfect 5.1/5.2, or MS Word 6.0. Comments may also be submitted by mail to the Life Cycle Management Division (NWML), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001, or by FAX to 301-713-6852 (attn: Marc Wolfe). In order for comments to be considered, the NARA registration number for this schedule—N1-GRS-98-2—must be included in a subject line or otherwise prominently stated.

FOR FURTHER INFORMATION CONTACT: Michael L. Miller, Director Modern Records Programs (NWM), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. Telephone: 301-713-7110. E-mail: <records.mgt@arch2.nara.gov>.

SUPPLEMENTARY INFORMATION: Each year Federal agencies create billions of records on paper, film, magnetic tape, and other media. To control this accumulation, agency records managers prepare schedules proposing retention periods for records and submit these schedules for NARA approval, using the Standard Form (SF) 115, Request for Records Disposition Authority. These schedules provide for the timely transfer into the National Archives of historically valuable records and authorize the disposal of all other records after the agency no longer needs the records to conduct its business. No Federal records are authorized for destruction without the approval of the Archivist of the United States. Two mechanisms are used to provide that approval—agency schedules and General Records Schedules. Agencies develop and submit to NARA for approval schedules for the records that are unique to the agency. Once approved by the Archivist, the agencies may apply the approved disposition authorities to the records for as long as they remain unchanged. To reduce the effort required of agencies in scheduling all their records, the National Archives and Records Administration issues

General Records Schedules to provide disposal authorities for temporary administrative records that are common to several or all agencies.

The changes proposed in N1-GRS-98-2 consist of items that are currently scheduled with an indefinite retention, e.g., "destroy when no longer needed." Because the Archivist has determined that indefinite retention periods are inappropriate for the GRS, N1-GRS-98-2 was developed to replace the indefinite retention periods with more specific retention periods. In conducting the review of the GRS items with indefinite retention periods, NARA identified a few items that were described as "duplicates" or otherwise clearly nonrecord copies. These items will be deleted because a definitive Government-wide retention period cannot be applied to nonrecord materials, and the item numbers will be reserved to preserve the current numbering for the continuing authorities.

The proposed schedule, N1-GRS-98-2, contains the following provisions:

GRS 1, Civilian Personnel Records

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective.

23. Employee Performance File System Records.

a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

(3) Performance-related records pertaining to a former employee.

(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

(b) All other performance plans and ratings.

Destroy when 4 years old.

(5) Supporting documents.

Destroy 4 years after date of appraisal.

b. SES appointees (as defined in 5 U.S.C. 3132a(2)).

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

(b) All other performance ratings and plans.

Destroy when 5 years old.

(4) Supporting documents.

Destroy 5 years after date of appraisal.

36. Federal Workplace Drug Testing Program Files.

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101

Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, § 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2).]

Notes: (2) Any records covered by items 36a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

General Records Schedule 3, Procurement, Supply and Grant Records

16. Contractor's Statement of Contingent or Other Fees.

Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.

Destroy when superseded or obsolete.

General Records Schedule 14, Information Services Records

1. Information Requests Files.

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

Destroy when 3 months old.

14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old.

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including

notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

26. Privacy Act General Administrative Files.

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

34. Mandatory Review for Declassification Reports Files.

Reports relating to agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Destroy when 2 years old.

35. Mandatory Review for Declassification Administrative Files.

Records relating to the general agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence, and related records.

Destroy when 2 years old.

General Records Schedule 16, Administrative Management Records

2. Records Disposition Files.

Descriptive inventories, disposal authorizations, schedules, and reports.

a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.

(1) SF 115s that have been approved by NARA.

Destroy 2 years after supersession.

(2) Other records.

Destroy 6 years after the related records are destroyed, or after the related records are transferred to the National Archives, whichever is applicable.

b. Routine correspondence and memoranda.

Destroy when 2 years old.

7. Records Management Files.

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Destroy when 6 years old.

8. *Committee and Conference Files.*

b. Records created by committees.

(1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat.

Destroy when 3 years old.

(2) All other committee records.

Destroy when 3 years old.

10. *Microform Inspection Records.*

b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230. Destroy when 2 years old or when superseded, whichever is later.

14. *Management Control Records.*

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and PL 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed.

General Records Schedule 17, Cartographic, Aerial Photographic, Architectural, and Engineering Records

2. *Reserved.*

3. *Drawings of Temporary Structures or Objects or of Structures or Objects Not Critical to the Mission of the Agency.*

Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, furniture and equipment, and comfort stations.

Destroy when superseded or after the structure or object has been retired from service.

4. *Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.*

Destroy when superseded or after the structure or object has been retired from service.

5. *Contract Negotiation Drawings.*

Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

Destroy when final working/as-built drawings have been produced.

6. *Space Assignment Plans.*

Outline floor plans indicating occupancy of a building.

Destroy when superseded or after the structure or object has been retired from service.

7. *Reserved.*

8. *Engineering Drawings of Routine Minor Parts.*

Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipefittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service.

9. *Drawings Reflecting Minor Modifications.*

Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.

Destroy when superseded or after the structure or object has been retired from service.

10. *Paint Plans and Samples.*

Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service.

General Records Schedule 18, Security and Protective Services Records

24. *Security Violations Files.*

Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.

[a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.

Destroy 5 years after close of case.]

SUB-ITEM 24a IS UNCHANGED FROM CURRENT SCHEDULE.

b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action.

General Records Schedule 21, Audiovisual Records

Still Photography

1. *Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.*

Destroy when 1 year old.

2. *Personnel identification or passport photographs.*

Destroy when 5 years old or when superseded or obsolete, whichever is later.

4. *Reserved.*

Graphic Arts

5. *Viewgraphs.*

Destroy 1 year after use.

6. *Routine artwork for handbills, flyers, posters, letterhead, and other graphics.*

Destroy 1 year after final publication.

8. *Line copies of graphs and charts.*

Destroy 1 year after final production.

Motion Pictures

10. *Reserved.*

11. *Routine surveillance footage.*

Destroy when 6 months old.

12. *Routine scientific, medical, or engineering footage.*

Destroy when 2 years old.

13. *Reserved.*

Video Recordings

15. *Reserved.*

18. *Routine surveillance recordings.*

Destroy when 6 months old.

19. *Routine scientific, medical, or engineering recordings.*

Destroy when 2 years old.

20. *Recordings that document routine meetings and award presentations.*

Destroy when 2 years old.

21. *Reserved.*

Audio (Sound) Recordings

25. *Reserved.*

26. *Daily or spot news recordings available to local radio stations on a call-in basis.*

Destroy when 6 months old.

27. *Reserved.*

Explanation of Changes

1. GRS 1, item 4a, Correspondence related to accepted offers of employment. Current disposition instruction: Destroy when no longer needed. Revised disposition instruction: Destroy when appointment is effective.

The original disposition (1952) for this item was "destroy when position is accepted." An agency may have an administrative need for the information in this correspondence until the individual officially joins the agency.

2. For the following GRS items, the specific language in the current

disposition instruction will be retained, but the clause containing the phrase "if/when no longer needed" will be deleted. The disposition instruction for some of these items sets a maximum retention period, not a mandatory retention period. The indefinite (when no longer needed) clause allowed agencies to destroy the records sooner. For other items, the indefinite language allowed agencies to retain the records for an unspecified period of time beyond a minimum period. Removing the clause will establish uniform, consistent retention periods for these records throughout Government. Should any agency wish to establish a different retention period, it may submit an SF 115, Request for Records Disposition Authority in accordance with 36 CFR 1228.42.

GRS 1, item 23a(3) and (5), Non-SES performance records
 GRS 1, item 23b(2)(b) and (4), SES performance records
 GRS 1, item 36a, Drug testing records
 GRS 3, item 16, Contractors statement of contingent or other fees
 GRS 14, item 1, Requests for information
 GRS 14, items 14, 15, 26, 34, and 35, FOIA, Privacy Act, and mandatory review records
 GRS 16, item 7, Records management subject files
 GRS 16, items 8b (1) and (2), Committee files
 GRS 18, item 24b, Security violations files
 GRS 21, items 1, 5, 6, 8, 12, 19, and 26, Audiovisual records
 3. GRS 16, item 2a covers records disposition inventories, forms (SF 115, Request for Records Disposition Authority, SF 135, Records Transmittal and Receipt, and SF 258, Agreement to Transfer Records to the National Archives of the United States), and reports.

Current disposition: Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.

A review of this item revealed that the retention period for the SF 115, which provides continuing records disposition authority, should be different from the other records covered by this item. Consequently, the proposed disposition provides for two sub-items:

(1) SF 115s that have been approved by NARA.

Destroy 2 years after supersession.

(2) Other records.

Destroy 6 years after the related records are destroyed, or after the related records are transferred to the

National Archives, whichever is applicable.

The six year retention period for sub-item b is based on agencies' use of the SF 135 and SF 258 to determine the location of records in response to a FOIA or other request for the records.

4. GRS 16, item 2b, Routine records disposition correspondence.

Current disposition instruction: Destroy when no longer needed.

Revised disposition instruction: Destroy when 2 years old. Similar items in other general schedules have a two-year retention period.

5. GRS 16, item 10, Microform inspection records.

Current disposition instruction: Destroy when no longer needed.

Revised disposition instruction: Destroy when 2 years old or when superseded, whichever is later. The inspection of microform copies of temporary records is optional (36 CFR 1230.22(b)). Should agencies choose to inspect temporary microforms, the recommended interval is two years, but as agencies are not bound to that interval, any inspection records should be maintained until they are superseded.

6. GRS 16, item 14e, Management control tracking files.

Current disposition instruction: Destroy when no longer needed.

Revised disposition instruction: Destroy 1 year after report is completed.

This item covers feeder reports, interim reports, and other records created in support of the development of annual and other management control reports. The support records should be needed only for short-term follow-up purposes after the relevant report is finalized.

7. The series title for GRS 17, item 3 was modified to read "Drawings of Temporary Structures or Objects Not Critical to the Mission of the Agency," and "furniture and equipment" was added to the description of the item. These changes make the item more accurate and complete, in concert with the NARA instructional guide, "Managing Cartographic, Aerial Photographic, Architectural, and Engineering Records."

8. GRS 17, items 3, 4, 6, 8, 9, and 10, Architectural drawings, space assignment plans, and paint plans and samples.

Current disposition instruction: Destroy when no longer needed for administrative purposes.

Revised disposition instruction: Destroy when superseded or after the structure or object has been retired from service.

These temporary architectural drawings, floor and paint plans, and

paint samples have utility only as long as they accurately reflect the design and layout of the current structure, or as long as the agency is occupying/using the structure or object.

9. GRS 17, item 5, Contract negotiation drawings.

Current disposition instruction: Destroy when no longer needed for administrative purposes.

Revised disposition instruction: Destroy when the final/as-built drawings are produced.

These are preliminary drawings made during contract negotiations and are not needed after final working/as built drawings have been made.

10. GRS 21, item 2, Personnel photographs.

Current disposition instruction: Destroy when 5 years old or when no longer needed.

Revised disposition instruction: Destroy when 5 years old or when superseded or obsolete, whichever is later.

These identification and passport photographs are needed only for as long as they are current.

11. GRS 21, items 11 and 18, Routine surveillance motion picture and video recordings.

Current disposition instruction: Destroy when no longer needed.

Revised disposition instruction: Destroy when 6 months old.

These are obviously very short-term administrative records. Tapes and films that document illegal or otherwise questionable behavior or circumstances would be made part of an investigative file. NARA checked with several agencies and found a range of 2-120 days in the recommended retention period. NARA is proposing 6 months to accommodate the spectrum. Based on comments received during this comment period, NARA may adjust this retention period to provide a minimum period that will suit the needs of most agencies.

12. GRS 21, item 20, Video recordings of routine meetings and award presentations.

Current disposition instruction: Destroy when no longer needed.

Revised disposition instruction: Destroy when 2 years old.

GRS items covering administrative correspondence and subject files generally have a two-year retention period. As these recordings contain similar information the same retention period would be appropriate.

13. GRS 17, items 2 and 7, Duplicate aerial photographs and architectural models.

GRS 21, items 4, 10, 13, 15, 21, 25, and 27, Duplicate photographs, films,

videos, and sound recordings; recreational films and videos; and library sound recordings.

These items are nonrecord. The aerial photographs (GRS 17/2a and b) are described as "unannotated duplicate (s)" and "unannotated prints when original film negatives exist." Architectural models are three-dimensional objects not normally considered documentary records. The audiovisual materials are described as "duplicate items in excess of record elements required for and films and videos "acquired from outside sources for personnel entertainment and recreation," and "library sound recordings." As such they do not meet the definition of Federal records, and therefore should be removed from the GRS. The disposition of the materials described by these GRS items should be provided in guidance, not records schedules. In order to preserve the numbering of the remaining items in these schedules, these items should be reserved.

Dated: July 31, 1998.

Geraldine N. Phillips,

Acting Assistant Archivist for Records Services—Washington, DC.

[FR Doc. 98-21023 Filed 8-4-98; 8:45 am]

BILLING CODE 7515-01-P

NATIONAL CREDIT UNION ADMINISTRATION

Notice of Changes in Subject of Meeting

The National Credit Union Administration Board determined that its business required the deletion of the following item from the previously announced closed meeting (Federal Register, Vol. 63, No. 144, Pages 70320-40321, Tuesday, July 28, 1998) scheduled for Thursday, July 30, 1998.

8. One (1) Personnel Action. Closed pursuant to exemptions (2) and (6).

The Board voted unanimously that agency business required that this item be deleted from the closed agenda and that no earlier announcement of this change was possible.

The National Credit Union Administration Board also determined that its business required the addition of the following item to the closed agenda.

9. Human Resources Automated System. Closed pursuant to exemptions (2), (4), and (9) (B).

The Board voted unanimously that agency business required that this item be considered with less than the usual seven days notice, that it be closed to the public, and that no earlier

announcement of this change was possible.

The previously announced items were:

1. Administrative Action under Sections 205 and 206 of the Federal Credit Union Act and Part 708 of NCUA's Rules & Regulations. Closed pursuant to exemption (8).
2. Administrative Action under Section 206 of the Federal Credit Union Act. Closed pursuant to exemptions (4), (7), (8), (9)(A)(ii) and (9)(B).
3. Administrative Action under Section 206 of the FCU Act. Closed pursuant to exemptions (2) and (8).
4. Administrative Action under Part 704 of NCUA's Rules and Regulations. Closed pursuant to exemption (8).
5. Corporate Examiner Review Task Force Recommendations. Closed pursuant to exemption (2).
6. Appeal from a Federal Credit Union of the Regional Director's Denial of a Community Charter. Closed pursuant to exemption (8).
7. Three (3) Administrative Actions under Part 745 of NCUA's Rules and Regulations. Closed pursuant to exemption (6).
8. Seven (7) Personnel Actions. Closed pursuant to exemptions (2) and (6).

FOR FURTHER INFORMATION CONTACT:

Becky Baker, Secretary of the Board, Telephone (703) 518-6304.

Becky Baker,

Secretary of the Board.

[FR Doc. 98-21006 Filed 8-3-98; 10:31am]

BILLING CODE 7535-01-M

NATIONAL SCIENCE FOUNDATION

Sunshine Act Meeting

AGENCY HOLDING MEETING: National Science Foundation, National Science Board.

DATE AND TIME: August 13, 1998, 1:00 p.m., Closed Session; August 13, 1998, 2:15 p.m., Open Session.

PLACE: National Science Foundation, 4201 Wilson Boulevard, Room 1225, Arlington, VA 22230.

STATUS: Part of this meeting will be open to the public. Part of this meeting will be closed to the public.

MATTERS TO BE CONSIDERED:

Thursday, August 13, 1998

Closed Session (1:00 p.m.-2:15 p.m.)

—Minutes, May 1998

—Personnel

—Awards and Agreements

—NSF Budget & Long Range Planning

Thursday, August 13, 1998

Open Session (2:15 p.m.-5:30 p.m.)

—Swearing in of NSF Director

—Minutes, May 1998

—Closed Session Items for November 1998

—Chair's Report

—Director's Report

—Briefing—PCAST Environment Report

—Break

—Science and Engineering Indicators (SEI) Plan

—Presentation on International Issues

—Strategies for Human Resource Development

—NSB Strategic Plan

—Report from Committees

—Other Business

—Adjourn

Marta Cehelsky,

Executive Officer.

[FR Doc. 98-21005 Filed 8-3-98; 10:31 am]

BILLING CODE 7555-01-M

NUCLEAR REGULATORY COMMISSION

Policy on Conduct Of Adjudicatory Proceedings; Policy Statement

AGENCY: Nuclear Regulatory Commission.

ACTION: Policy statement: update.

SUMMARY: The Nuclear Regulatory Commission (Commission) has reassessed and updated its policy on the conduct of adjudicatory proceedings in view of the potential institution of a number of proceedings in the next few years to consider applications to renew reactor operating licenses, to reflect restructuring in the electric utility industry, and to license waste storage facilities.

DATES: This policy statement is effective on August 5, 1998, while comments are being received. Comments are due on or before October 5, 1998.

ADDRESSES: Send written comments to: The Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, DC 20555, ATTN: Rulemakings and Adjudications Staff. Hand deliver comments to: 11555 Rockville Pike, Rockville, Maryland, between 7:45 am and 4:15 pm, Federal workdays. Copies of comments received may be examined at the NRC Public Document Room, 2120 L Street, NW. (Lower Level), Washington, DC.

FOR FURTHER INFORMATION CONTACT: Robert M. Weisman, Litigation Attorney, U.S. Nuclear Regulatory Commission, Washington, DC 20555, (301) 415-1696.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 17, 1998

NWM 16.98

MEMORANDUM TO AGENCY RECORDS OFFICERS: Request for comment on additional proposed changes to the General Records Schedules

This memorandum asks for your comments on additional changes to the General Records Schedules (GRS) which the National Archives and Records Administration published today in the enclosed *Federal Register* notice. These changes are an addendum to the proposed N1-GRS-98-2, which was published for comment in the August 5 *Federal Register* and sent to you under NWM 15.98. These changes relate to various items which are currently scheduled with an indefinite retention, e.g., "destroy when no longer needed." These items need to be changed because the Archivist has determined that specific retention periods are more appropriate for the GRS.

The *Federal Register* notice contains the full text of the GRS items that will be changed and an explanation for the proposed retention period for each item. We urge you to review the proposed changes carefully, and coordinate with the offices within your agency that maintain the records covered by the items in the schedule. The GRS disposition instructions are mandatory for all affected Federal agencies. If any of the proposed retention periods seem inappropriate for your agency, please notify us in writing as directed in the *Federal Register* notice, with an explanation of why any of the retention periods are not satisfactory. We need your response by the end of the comment period (September 16) in order to consider it before the Archivist approves the schedule. If the approved changes do not meet your agency's needs, you will need to submit an SF 115, Request for Records Disposition Authority, in accordance with 36 CFR 1228.42. Also, please note that the addition of these items does not change the due date for comments on the items that were published on August 5.

The notice contains instructions for submitting comments. Please be sure to enter the identification number for these schedule items, "NI-GRS-98-2a," in the subject line if you use electronic mail or otherwise prominently cite the number in your response. We look forward to hearing from you.

MICHAEL L. MILLER
Director,
Modern Records Programs

66-HQ-C1190059-65

Enclosure

for derivative refugee status but are not accompanying or following to join the principal applicant, as required under section 207(c)(2) of the Act.

Qualifying for Derivative Refugee Status

Section 101(a)(42) of the Act defines a refugee as a person who is unable or unwilling to return to (or under circumstances specified by the President to remain in) his or her country of origin "because of persecution or a well-founded fear of persecution on account of race, religion, nationality, membership in a particular social group, or political opinion." The Act provides two means by which a person may be admitted to the United States with refugee status. Section 207(c)(1) of the Act allows the Attorney General, within certain numerical limitations set by the President, to admit to the United States as refugees, persons who apply for refugee status from abroad and who are determined to meet this definition. Persons who qualify as refugees under section 101(a)(42) of the Act are often referred to as principals, principal refugees, or principal applicants. Subject to the numerical limitations established pursuant to subsections 207(a) and (b) of the Act, section 207(c)(2) entitles eligible spouses and children, defined in section 101(b)(1) of the Act as unmarried children under the age of 21, of any refugee who qualifies for admission under section 207(c)(1) of the Act to be admitted with refugee status if accompanying or following to join the principal refugee. Spouses and children who accompany or follow to join a principal refugee under section 207(c)(2) are often referred to as derivatives or derivative refugees. These are the only means provided for in the Act by which a person may be admitted with refugee status.

The plain language of section 207(c)(2) of the Act provides for only spouses and children to derive refugee status from a principal refugee. There is no basis in law to expand the category of persons who may derive refugee status. Accordingly, persons other than spouses and children, as defined in section 101(b)(1) of the Act, of a principal refugee are not eligible for derivative refugee status and must qualify as principal refugees under sections 101(a)(42) and 207(c)(1) of the Act in order to be admitted to the United States with refugee status.

Because section 207(c)(2) of the Act requires that a derivative refugee accompany or follow to join the principal refugee, a person approved for derivative refugee status as the spouse

or child of a principal refugee may not be admitted to the United States prior to the admission of the principal refugee.

Eligibility for Service Interview

While the statute is clear on who can derive refugee status, the Service realizes there may be humanitarian reasons to include in a case unit other individuals who cannot derive refugee status, such as an elderly parent or an unmarried adult son or daughter. As these persons cannot statutorily derive refugee status from the principal applicant, they must qualify as refugees in their own right. However, such individuals may be given a refugee interview as long as they are household members and are part of the same economic unit as the interviewed principal refugee applicant. In such cases these individuals are not required to fall within a designated processing priority to gain access to the U.S. refugee program, as they may be accorded the same priority as the principal applicant.

Lautenberg Amendment

When processing refugee cases under the special adjudication procedures based on section 599D of the Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1990, Public Law 101-167 dated November 11, 1989, Amendment 290 known as the Lautenberg Amendment, the Service officer must determine whether additional family members qualify for category membership under the Lautenberg Amendment. In an April 24, 1990 memorandum, the Attorney General specified that certain persons who are not themselves category members may be adjudicated as if they were category members. According to this memorandum, persons who are members of the same household and/or are economically dependent on a category applicant, are physically present with the category applicant at the time of the interview, and would be traveling with the category applicant will be considered category applicants for purposes of adjudication of their refugee claims. Accordingly, applications by persons who fall within these criteria may be adjudicated under the reduced evidentiary burden of the Lautenberg Amendment.

Dated: July 28, 1998.

Doris Meissner,

Commissioner, Immigration and Naturalization Service.

[FR Doc. 98-21948 Filed 8-14-98; 8:45 am]

BILLING CODE 4410-10-M

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Additional Changes to the General Records Schedules; Request for Comments

AGENCY: National Archives and Records Administration, Office of Records Services—Washington, DC.

ACTION: Notice.

SUMMARY: NARA is required by 44 U.S.C. 3303a(a) to provide an opportunity for public comment on proposed records schedules that will authorize the destruction of Federal records, including General Records Schedules issued by NARA to provide mandatory disposal authorities for temporary administrative records common to several or all Federal agencies (44 U.S.C. 3303a(d)). This notice contains the full text of additional proposed changes to the General Records Schedules that were not published in the Federal Register notice of August 5, 1998 [63 FR 41868]. This notice also includes the rationale for the proposed changes, equivalent to the appraisal report. Consequently, this notice provides all available information for interested parties who may wish to comment.

DATES: Comments on these proposed changes must be received on or before September 16, 1998. There is no extension on the comment period for the proposed changes published in the August 5, 1998, Federal Register notice.

ADDRESSES: Comments may be sent electronically to the e-mail address <records.mgt@arch2.nara.gov>. If attachments are sent, please transmit them in ASCII, WordPerfect 5.1/5.2, or MS Word 6.0. Comments may also be submitted by mail to the Life Cycle Management Division (NWML), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001, or by FAX to 301-713-6852 (attn: Marc Wolfe). In order for comments to be considered, the NARA registration number for this schedule—N1-CRS-98-2a—must be included in a subject line or otherwise prominently stated.

FOR FURTHER INFORMATION CONTACT: Michael L. Miller, Director Modern Records Programs (NWM), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. Telephone: 301-713-7110. E-mail: <records.mgt@arch2.nara.gov>.

SUPPLEMENTARY INFORMATION: Each year Federal agencies create billions of records on paper, film, magnetic tape, and other media. To control this

accumulation, agency records managers prepare schedules proposing retention periods for records and submit these schedules for NARA approval, using the Standard Form (SF) 115, Request for Records Disposition Authority. These schedules provide for the timely transfer into the National Archives of historically valuable records and authorize the disposal of all other records after the agency no longer needs the records to conduct its business. No Federal records are authorized for destruction without the approval of the Archivist of the United States. Two mechanisms are used to provide that approval—agency schedules and General Records Schedules. Agencies develop and submit to NARA for approval schedules for the records that are unique to the agency. Once approved by the Archivist, the agencies may apply the approved disposition authorities to the records for as long as they remain unchanged. To reduce the effort required of agencies in scheduling all their records, the National Archives and Records Administration issues General Records Schedules to provide disposal authorities for temporary administrative records that are common to several or all agencies.

The changes described in this Federal Register notice consist of General Records Schedule items that are currently scheduled with an indefinite retention, e.g., "destroy when no longer needed." These items were inadvertently omitted from the August 5 Federal Register notice.

The proposed schedule, N1-GRS-98-2, published in the August 5, 1998 notice, is being amended to include the following provisions:

General Records Schedule 9, Travel and Transportation Records

1. Commercial Freight and Passenger Transportation Files

e. Unused ticket redemption forms, such as SF 1170.

Destroy 3 years after the year in which the transaction is completed.

5. Records Relating to Official Passports

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete.

GRS 23, Records Common to Most Offices Within Agencies

1. Office Administrative Files (See note)

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In

general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Destroy when 2 years old.

Note: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF 115 to NARA.

7. Transitory Files

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

a. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

b. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

c. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

Destroy when 3 months old.

8. Tracking and Control Records

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

Destroy or delete when 2 years old.

9. Finding Aids (or Indexes)

Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can

be used as an information source apart from the related records.

Destroy or delete with the related records.

Explanation of Changes

1. GRS 9, item 1e, Unused ticket redemption forms, such as SF 1170. Current disposition instruction: Destroy when no longer needed for administrative use. Revised disposition instruction: Destroy 3 years after the year in which the transaction is completed.

Three years is the basic audit cycle specified by the General Accounting Office for those records documenting financial transactions that are not considered site audit records.

2. GRS 9, item 5c, Passport registers. Current disposition instruction: Destroy when no longer needed. Revised disposition instruction: Destroy when superseded or obsolete. These registers will be of value to the agency only as long as they contain current information. Agencies submit an annual report to the Department of State which lists official passports issued and information concerning control of passports issues to agency personnel. The register is another tool to keep track of passports on hand.

3. GRS 23, Item 1, Office Administrative Files. Current disposition instruction: Destroy when 2 years old, or when no longer needed, whichever is sooner. Revised disposition instruction: Destroy when 2 years old.

This retention period will satisfy administrative needs and ensure consistency in retention among agencies.

4. GRS 23, Item 7, Transitory Files. Current disposition: Destroy when 3 months old, or when no longer needed, whichever is sooner. Revised disposition instruction: Destroy when 3 months old.

This retention period will satisfy administrative needs and ensure consistency in retention among agencies.

5. GRS 23, Item 8, Tracking and Control Records. Current disposition instruction: Destroy or delete when no longer needed. Revised disposition instruction: Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

These administrative records are comparable to those covered by item 1 of this schedule. A two-year retention period should be adequate.

6. GRS 23, Item 9, Finding Aids (or indexes). Current disposition instruction: Destroy or delete with the related records or sooner is no longer

needed. Revised disposition instruction: Destroy or delete with the related records.

Finding aids for temporary records are not needed after the related records are destroyed when they do not serve as an independent information resource. Maintenance of the finding aids for the life of the related records will help the agency to make the records accessible.

Dated: August 13, 1998.

Michael J. Kurtz,
Assistant Archivist for Records Services—
Washington, DC.
[FR Doc. 98-22221 Filed 8-14-98; 8:45 am]
BILLING CODE 7515-01-P

NATIONAL SCIENCE FOUNDATION

Agency Information Collection Activities: Proposed Collection; Comment Request

AGENCY: National Science Foundation.
ACTION: Notice.

TITLE OF COLLECTION: Survey of Industrial Research and Development (OMB Control No. 3145-0027).

SUMMARY: Under the Paperwork Reduction Act of 1995, Pub. L. 104-13 (44 U.S.C. 3501 *et seq.*), and as part of its continuing effort to reduce paperwork and respondent burden, the National Science Foundation (NSF) is inviting the general public or other Federal agencies to comment on this proposed continuing information collection.

FOR FURTHER INFORMATION CONTACT: For further information or for a copy of the collection instrument and instructions contact Ms. Mary Lou Higgs, Acting Clearance Officer, via surface mail: National Science Foundation, ATTN: NSF Reports Clearance Officer, Suite 295, 4201 Wilson Boulevard, Arlington, VA 22230; telephone (703) 306-2063; e-mail mlhiggs@nsf.gov, or FAX (703) 306-0201.

SUPPLEMENTARY INFORMATION:

1. Abstract

The proposed continuing information collection involves the estimation of the expenditures on research and development performed within the United States by industrial firms. A mail survey, the Survey of Industrial Research and Development, has been conducted annually since 1953. Industry accounts for over 70 percent of total U.S. R&D each year and since its inception, the survey has provided continuity of statistics on R&D expenditures by major industry groups and by source of funds. The survey is

the industrial component of the NSF statistical program that seeks to "provide a central clearinghouse for the collection, interpretation, and analysis of data on the availability of, and the current and projected need for, scientific and technical resources in the United States, and to provide a source of information for policy formulation by other agencies of the Federal government" as mandated in the National Science Foundation Act of 1950. Statistics from the survey are published in NSF's annual publication series Research and Development in Industry. The proposed collection will continue the survey for three years.

2. Expected Respondents

The survey will be mailed to a statistical sample of approximately 23,400 companies to collect information on the amount and sources of funds for and character of R&D performed and contracted out by industrial firms, and information on sales and employment of the firms themselves.

3. Burden on the Public

To minimize burden, over 90-percent of the companies selected for the Survey of Industrial Research and Development are asked to respond to the Form RD-1A, the abbreviated version of the basic survey questionnaire, Form RD-1. Further, only companies with five paid employees or more are asked to participate in the survey and extensive use is made of the descriptive codes and information on the establishment list that is the source of the survey sample to avoid sampling firms in industries that traditionally do not perform R&D. NSF, with input from the Bureau of the Census, the collection and compiling agent for the survey, estimates that the average annual reporting and record-keeping burden on each Form RD-1A respondent will be 1 hour and on Form RD-1 respondents will be 15 hours. The total annual burden is estimated at 43,000 hours, calculated as follows:

RD-1A respondents: 22,000 respondents x 1 response x 1 burden hour=22,000 hours/year.
RD-1 respondents: 1,400 respondents x 1 response x 15 burden hours=21,000 hours/year.
All respondents: 22,000+21,000=43,000 burden hours/year during 1999, 2000, and 2001.

Comments Requested

Dates: NSF should receive written comments on or before October 16, 1998.
Addresses: Submit written comments to Ms. Mary Lou Higgs, Acting Clearance Officer, through surface mail

at: National Science Foundation, ATTN: NSF Reports Clearance Officer, Suite 295, 4201 Wilson Boulevard, Arlington, VA 22230; through e-mail to mlhiggs@nsf.gov; or via FAX (703) 306-0201.

Special Areas for Review: NSF especially request comments on:

(a) whether the proposed collection of information is necessary for the proper performance of the functions of the Foundation, including whether the information will have utility;

(b) the accuracy of the Foundation's estimate of the burden of the proposed collection of information;

(c) ways to enhance the quality, utility, and clarity of the information to be collected; and

(d) ways to minimize the burden of the collection of information on those who are to respond, e.g., permitting submission of responses through the use of automated, electronic, mechanical, or other technological collection techniques.

Dated: August 12, 1998.

Mary Lou Higgs,
Acting NSF Clearance Officer.
[FR Doc. 98-22007 Filed 8-14-98; 8:45 am]
BILLING CODE 7555-01-M

NUCLEAR REGULATORY COMMISSION

Documents Containing Reporting or Recordkeeping Requirements: Office of Management and Budget (OMB) Review

AGENCY: U.S. Nuclear Regulatory Commission (NRC).

ACTION: Notice of the OMB review of information collection and solicitation of public comment.

SUMMARY: The NRC has recently submitted to OMB for review the following proposal for the collection of information under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35).

1. *Type of submission, new, revision, or extension:* Revision.

2. *The title of the information collection:*

—10 CFR Part 35, Medical Use of Byproduct Material
—NRC Form 313 Application for Material License, and Supplemental Forms, NRC Form 313A, Training and Experience, and NRC Form 313B, Preceptor Statement

3. *The form number if applicable:* NRC Form 313, 313A and 313B.

4. *How often the collection is required:* Reports of medical events;

Memorandum



Subject

Reimbursement Program for Records
Stored in Federal Records Centers

Date

AUG 20 1998

To

Records Management Officers
Bureaus

Records Management Liaisons
Offices, Boards and Divisions

Select JMD Senior Management
Staff

From

Mary Ellen Condon
Mary Ellen Condon
Director
Information Management
and Security Staff
Information Resources Management

In November 1997, the Office of Management and Budget (OMB) directed the National Archives and Records Administration (NARA) to switch its records center program from a direct funded to a fully reimbursable program by FY 2000. Agency budget offices were notified of this determination through the OMB budget passback process. The reimbursable program is applicable to all records centers operated by NARA nationwide.

NARA has furnished us with FY 1997 records holdings by record group in order to assist the department in planning for the expense of records center services for the FY 2000 budget process. In addition, we have obtained a separate listing for the holdings of record group 060 (Offices, Boards and Divisions (OBD)) which has enabled us to project an estimated cost pattern for each OBD that utilizes the services of a records center.

The reimbursement charge consists of two components as follows:

1. The first component is for all costs related to physically maintaining the records stored in the records center system. The storage cost is projected to be \$2.08 per cubic foot.
2. The second component is a base level service fee that covers all costs related to the accessioning, disposal, referencing, refiling, and interfiling, and all other functions performed in the servicing of Department of Justice records. The base level fee for the department (excluding Immigration and Naturalization Service) is projected to be \$1.23 per cubic foot.

Attached is the FY 2000 - Adjustments-to-Base document prepared by the Budget Staff, Justice Management Division, which has been

66-HQ-C1190059-66

Subject: Reimbursement Program for Records
Stored in Federal Records Centers

Page 2

distributed to component budget offices. Although there is no guarantee of funding, these amounts are being requested from OMB in the FY 2000 budget. The cost estimates provided are preliminary and subject to change, and actual volumes may affect FY 2000 charges.

The attached budget document, which includes a growth factor of 2.5% per year and an inflation factor of 2.1% per year, is intended to provide an estimate for planning purposes.

If you have any questions, please contact on

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Attachment

DEPARTMENT OF JUSTICE
NATIONAL ARCHIVES AND RECORDS PROJECTIONS
FY 2000 - ADJUSTMENTS-TO-BASE

24-Jul-98 10:09:28 AM
FILE: NARA_ATB.WK4

COMPONENT	FY 1997 Actual				FY 1998 Estimate				FY 1999 Estimate				FY 2000 Estimate			
	Volume (cu. ft.)	Storage Cost @\$2.08	Service Cost @\$1.23	Total Cost Estimate	Volume (cu. ft.)	Storage Cost	Service Cost	Total Cost Estimate	Volume (cu. ft.)	Storage Cost	Service Cost	Total Cost Estimate	Volume (cu. ft.)	Storage Cost	Service Cost	Total Cost Estimate
GENERAL ADMINISTRATION	10,906	\$22,684.20	\$13,414.21	\$36,098	11,413	\$23,739.58	\$14,038.31	\$37,778	11,944	\$24,844.06	\$14,691.44	\$39,536	12,500	\$25,999.93	\$15,374.96	\$41,375
OFFICE OF LEGISLATIVE AFFAIRS	212	440.45	260.46	701	222	460.94	272.58	734	232	482.39	285.26	768	243	504.83	298.53	803
OFFICE OF PUBLIC AFFAIRS	138	286.40	169.36	456	144	299.72	177.24	477	151	313.67	185.49	499	158	328.26	194.12	522
OFFICE OF PROFESSIONAL RESPONSIBILITY	94	195.27	115.47	311	98	204.36	120.85	325	103	213.87	126.47	340	108	223.82	132.35	356
OFFICE OF INFORMATION & PRIVACY	38	78.11	46.19	124	39	81.74	48.34	130	41	85.55	50.59	136	43	89.53	52.94	142
JUSTICE MANAGEMENT DIVISION	10,425	21,683.97	12,822.73	34,507	10,910	22,692.81	13,419.31	36,112	11,418	23,748.60	14,043.64	37,792	11,949	24,853.50	14,697.02	39,551
JMD EXECUTIVE SECRETARIAT	3,926	8,166.74	4,829.37	12,996	4,109	8,546.70	5,054.06	13,601	4,300	8,944.34	5,289.20	14,234	4,500	9,360.47	5,535.28	14,896
JMD FINANCE	5,592	11,631.75	6,878.39	18,510	5,852	12,172.92	7,198.41	19,371	6,125	12,739.27	7,533.32	20,273	6,410	13,331.96	7,883.80	21,216
JMD INFORMATION MGMT. & SECURITY	686	1,427.66	844.24	2,272	718	1,494.08	883.52	2,378	752	1,563.60	924.63	2,488	787	1,636.34	967.64	2,604
JMD PROCUREMENT SERVICES	167	347.15	205.29	552	175	363.30	214.84	578	183	380.21	224.83	605	191	397.89	235.29	633
JMD MAIL MANAGEMENT/FASS	53	110.65	65.44	176	56	115.80	68.48	184	58	121.19	71.67	193	61	126.83	75.00	202
ADMIN REVIEW & APPEALS	3,917	8,146.40	4,817.34	12,964	4,099	8,525.41	5,041.47	13,567	4,289	8,922.06	5,276.02	14,198	4,489	9,337.16	5,621.49	14,859
EXECUTIVE OFFICE FOR IMMIGRATION REV	3,279	6,819.36	4,032.60	10,852	3,431	7,136.63	4,220.22	11,357	3,591	7,468.66	4,416.57	11,885	3,758	7,816.14	4,622.05	12,438
OFFICE OF THE PARDON ATTORNEY	638	1,327.04	784.74	2,112	668	1,388.78	821.25	2,210	699	1,453.39	859.46	2,313	731	1,521.01	899.45	2,420
OFFICE OF THE INSPECTOR GENERAL	353	733.36	433.67	1,167	369	767.48	453.84	1,221	386	803.18	474.96	1,278	404	840.55	497.06	1,338
U.S. PAROLE COMMISSION	4,791	9,965.28	5,892.93	15,858	5,014	10,428.91	6,167.10	16,596	5,247	10,914.12	6,454.02	17,368	5,491	11,421.90	6,754.30	18,176
GENERAL LEGAL ACTIVITIES	215,099	447,405.65	264,571.61	711,977	225,106	468,221.20	276,880.81	745,102	235,579	490,005.19	289,762.69	779,768	246,540	512,802.68	303,243.89	816,047
SOLICITOR GENERAL	16	32.55	19.25	52	16	34.06	20.14	54	17	35.64	21.08	57	18	37.30	22.06	59
TAX DIVISION	47,324	98,434.88	58,209.09	156,644	49,526	103,014.56	60,917.26	163,932	51,830	107,807.31	63,751.44	171,559	54,242	112,823.05	66,717.47	179,541
CRIMINAL DIVISION	38,564	80,212.63	47,433.43	127,646	40,358	83,944.53	49,640.27	133,595	42,236	87,850.04	51,949.79	139,800	44,201	91,937.27	54,366.75	146,304
CIVIL DIVISION	70,004	145,608.23	86,104.87	231,713	73,261	152,382.66	90,110.90	242,494	76,669	159,472.26	94,303.31	253,776	80,236	166,891.70	98,690.77	265,582
ENVIR & NAT'L RESOURCE DIVISION	34,631	72,031.82	42,595.74	114,628	36,242	75,363.10	44,577.50	119,961	37,928	78,890.30	46,651.47	125,542	39,693	82,560.67	48,821.93	131,383
LEGAL COUNSEL	166	344.98	204.00	549	174	361.03	213.50	575	182	377.83	223.43	601	190	395.41	233.82	629
CIVIL RIGHTS DIVISION	22,905	47,642.24	28,173.05	75,815	23,971	49,858.79	29,483.81	79,343	25,086	52,178.47	30,855.54	83,034	26,253	54,606.08	32,291.09	86,897
INTERPOL	1,490	3,098.33	1,832.19	4,931	1,559	3,242.48	1,917.43	5,160	1,631	3,393.34	2,006.64	5,400	1,707	3,551.21	2,099.99	5,651
TRUST DIVISION	23,283	48,427.67	28,637.52	77,065	24,366	50,680.77	29,969.88	80,651	25,499	53,038.69	31,364.22	84,403	26,686	55,506.31	32,823.44	88,330
ATTORNEYS	234,010	486,740.86	287,832.34	774,573	244,897	509,386.48	301,223.74	810,610	256,291	533,085.69	315,238.17	848,324	268,215	557,887.50	329,904.63	887,792
U.S. TRUSTEE SYSTEM FUND	50,268	104,556.96	61,829.35	166,386	52,606	109,421.47	64,705.96	174,127	55,054	114,512.30	67,716.41	182,229	57,615	119,839.99	70,866.92	190,707
FOREIGN CLAIMS SETTLEMENT COMM (150)	2,336	4,858.88	2,873.28	7,732	2,445	5,084.94	3,006.96	8,092	2,558	5,321.52	3,146.86	8,468	2,677	5,569.10	3,293.27	8,862
U.S. MARSHALS	4,623	9,615.84	5,686.29	15,302	4,838	10,063.22	5,950.84	16,014	5,063	10,531.41	6,227.71	16,759	5,299	11,021.38	6,517.45	17,539
COMMUNITY RELATIONS SERVICE	232	482.56	285.36	768	243	505.01	298.64	804	254	528.51	312.53	841	266	553.10	327.07	880
FEDERAL BUREAU OF INVESTIGATION	5,533	11,508.64	6,805.59	18,314	5,790	12,044.08	7,122.22	19,166	6,060	12,604.43	7,453.58	20,058	6,342	13,190.85	7,800.36	20,991
DRUG ENFORCEMENT ADMINISTRATION	24,447	50,849.76	30,069.81	80,920	25,584	53,215.55	31,468.81	84,684	26,775	55,691.40	32,932.89	88,624	28,020	58,282.44	34,465.10	92,748
IMMIGRATION AND NATURALIZATION SERVICE **	429,199	892,733.92	2,417,365.94	3,310,100	449,167	934,268.37	2,529,833.89	3,464,102	470,065	977,735.20	2,647,534.41	3,625,270	491,935	1,023,224.33	2,770,710.95	3,793,935
FEDERAL PRISON SYSTEM	81,592	169,711.36	100,358.16	270,070	85,388	177,607.18	105,027.32	282,635	89,361	185,870.36	109,913.72	295,784	93,518	194,517.97	115,021.46	309,545
OFFICE OF JUSTICE PROGRAMS	788	1,639.04	969.24	2,608	825	1,715.30	1,014.33	2,730	863	1,795.10	1,061.53	2,857	903	1,878.62	1,110.91	2,990
COMMUNITY POLICING	20	41.22	24.38	66	21	43.14	25.51	69	22	45.15	26.70	72	23	47.25	27.94	75
TOTAL DOJ	1,091,395	\$2,270,101.60	\$3,231,867.02	\$5,501,369	1,142,172	\$2,375,718.08	\$3,382,229.63	\$5,757,948	1,195,312	\$2,486,248.36	\$3,539,587.87	\$6,025,836	1,250,924	\$2,601,921.07	\$3,704,267.19	\$6,306,188

** For INS, the rate per cubic feet for service is \$5.63

NOTE: The growth factor is 2.5% per year and the inflation factor is 2.1% per year.



U. S. Department of Justice

Criminal Division

Washington, D.C. 20530

AUG 21 1998

MEMORANDUM

To: [redacted] Records Officer
Federal Bureau of Investigation
Washington, D.C. 20535

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From: [redacted]
Acting Executive Officer
Criminal Division

Subject: Notification of Equities in Records Being Offered to the National Archives of the United States

The Criminal Division of the U.S. Department of Justice is engaged in a declassification review under the provisions of Executive Order 12958. In the course of that review, we located permanent records, designated for transfer to the National Archives of the United States (NA), pursuant to an approved records schedule, in which your agency has equities.

Accordingly, in compliance with National Archives Guidance, NN 96.1 issued September 23, 1996, this is to advise you that we have submitted a SF 258, Agreement to Transfer Records to the National Archives of the United States, for permanent transfer of these records to NA. As noted in the guidance,

"Because of volume of records transferred, NN staff will not be able to immediately process all records reviewed by the agencies or to notify the other agencies on your behalf. NN will make the records available to personnel from those agencies for their review, but will not track whether other agencies have responded to your notification. The notification should include statement that the records will be automatically declassified if the agencies fail to act by April 2000." (Emphasis added).

This letter constitutes the required notice. A copy of the SF 258 is attached to assist you in identifying the specific records. If you have any questions, please call [redacted] in our Records Unit.

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66-HQ-C1190059-67

**AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES**

1. INTERIM CONTROL NO. (NARA Use Only)

JRC

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552. In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL

Signature _____

Date 7-17-98

3A. NARA APPROVAL

Signature _____

Date 8/12/98

2B. NAME, TITLE, MAILING ADDRESS

Records Officer
U.S. Dept. of Justice, Rm 850
1001 G St. NW
Washington, DC 20530

3B. NAME, TITLE, MAILING ADDRESS

NARA Initial Processing/Declassification Division
Civilian Work Group
8601 Adelphi Road
College Park, MD 20749-6001

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RECORDS INFORMATION

4A. RECORDS SERIES TITLE 146-28-2201 Treasonable Utterances. This the World War II case concerning the disappearance of Major Holohan, an Army officer placed behind enemy lines in Northern Italy.

4B. DATE SPAN OF SERIES 1944-1954

(Attach any additional

5A. AGENCY OR ESTABLISHMENT

U.S. Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Criminal Division

5C. AGENCY MINOR SUBDIVISION

9. PHYSICAL FORMS

- Paper Documents
- Paper Publications
- Microfilm / Microfiche
- Electronic Records
- Photographs
- Posters
- Maps and Charts
- Arch / Eng Drawings
- Motion / Sound / Video
- Other (specify): Evidence

5D. UNIT THAT CREATED RECORDS

10. VOLUME:

Cu. Mtr. _____ (Cu. Ft. 12 _____) Number 12 Type FRC Box

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name: _____
Telephone Number: _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

6-4-84

6. DISPOSITION AUTHORITY:

N1-60-88-13, Item 28

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

YES NO (If no, attach limits on use and justification.)

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

YES NO

Justice/CRM 001, Vol 52 No 238 p. 47180

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

14. ATTACHMENTS

- Agency Manual Excerpt
- Additional Description
- Privacy Act Notice
- Other (specify): _____
- Listing of Records Transferred
- NA Form 14097 or Equivalent
- Microform Inspection Report
- SF(s) 135

8A. ADDRESS

U.S. Department of Justice
1331 F Street, Suite 810
Washington, DC 20530

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

60

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature _____

Date _____

17. NATIONAL ARCHIVES ACCESSION

NW3-060-98-017



U. S. Department of Justice

Criminal Division

Washington, D.C. 20530

AUG 21 1998

MEMORANDUM

To: [Redacted] Records Officer
Federal Bureau of Investigation
Washington, D.C. 20535

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From: [Redacted]
/ Acting Executive Officer
Criminal Division

Subject: Notification of Equities in Records Being Offered to the National Archives of the United States

The Criminal Division of the U.S. Department of Justice is engaged in a declassification review under the provisions of Executive Order 12958. In the course of that review, we located permanent records, designated for transfer to the National Archives of the United States (NA), pursuant to an approved records schedule, in which your agency has equities.

Accordingly, in compliance with National Archives Guidance, NN 96.1 issued September 23, 1996, this is to advise you that we have submitted a SF 258, Agreement to Transfer Records to the National Archives of the United States, for permanent transfer of these records to NA. As noted in the guidance,

"Because of volume of records transferred, NN staff will not be able to immediately process all records reviewed by the agencies or to notify the other agencies on your behalf. NN will make the records available to personnel from those agencies for their review, but will not track whether other agencies have responded to your notification. The notification should include statement that the records will be automatically declassified if the agencies fail to act by April 2000." (Emphasis added).

This letter constitutes the required notice. A copy of the SF 258 is attached to assist you in identifying the specific records. If you have any questions, please call [Redacted] in our Records Unit.

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66-HQ-1190059-68

**AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES**

1. INTERIM CONTROL NO. (NARA Use Only)

JRC

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552. In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL

Signature _____

Date 7-17-98

3A. NARA APPROVAL

Signature _____

Date 8/12/98

2B. NAME, TITLE, MAILING ADDRESS

Bernard W. Berglind, Records Officer
U.S. Dept. of Justice, Rm 850
1001 G St. NW
Washington, DC 20530

3B. NAME, TITLE, MAILING ADDRESS

NARA Initial Processing/Declassification Division
Civilian Work Group
8601 Adelphi Road
College Park, MD 20749-6001

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RECORDS INFORMATION

4A. RECORDS SERIES TITLE 146-28-1941 Treasonable Utterances. This the World War II case concerning Ikoku (Iva) Toguri D'Aquino (Tokyo Rose) who participated in writing and broadcasting propaganda for the Japanese.

4B. DATE SPAN OF SERIES 1941-1950

(Attach any additional)

5A. AGENCY OR ESTABLISHMENT

U.S. Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Criminal Division

5C. AGENCY MINOR SUBDIVISION

9. PHYSICAL FORMS

- | | |
|-----------------------------------------------------|-------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Paper Documents | <input type="checkbox"/> Posters |
| <input type="checkbox"/> Paper Publications | <input checked="" type="checkbox"/> Maps and Charts |
| <input type="checkbox"/> Microfilm / Microfiche | <input type="checkbox"/> Arch / Eng Drawings |
| <input type="checkbox"/> Electronic Records | <input type="checkbox"/> Motion / Sound / Video |
| <input checked="" type="checkbox"/> Photographs | <input checked="" type="checkbox"/> Other (specify): <u>transcripts</u> |

5D. UNIT THAT CREATED RECORDS

10. VOLUME:

CONTAINERS:

Cu. Mtr. _____ (Cu. Ft. 6) Number 6 Type FRC Box

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name: _____

Telephone Number: _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

6-4-85

6. DISPOSITION AUTHORITY:

N1-60-88-13, Item 28

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

YES NO *(If no, attach limits on use and justification.)*

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

YES NO

Justice/CRM 001. Vol 52 No 238 p. 47180

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

14. ATTACHMENTS

- | | |
|------------------------------------------------------------|---------------------------------------------------------|
| <input type="checkbox"/> Agency Manual Excerpt | <input type="checkbox"/> Listing of Records Transferred |
| <input checked="" type="checkbox"/> Additional Description | <input type="checkbox"/> NA Form 14097 or Equivalent |
| <input checked="" type="checkbox"/> Privacy Act Notice | <input type="checkbox"/> Microform Inspection Report |
| <input type="checkbox"/> Other (specify): _____ | <input type="checkbox"/> SF(s) 135 |

8A. ADDRESS

U.S. Department of Justice
1331 F Street, Suite 810
Washington, DC 20530

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

60

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature _____

Date _____

17. NATIONAL ARCHIVES ACCESSION

NN3-060-98-016



U. S. Department of Justice

Criminal Division

Washington, D.C. 20530

MEMORANDUM

AUG 21 1998

To: [redacted] Records Officer
Federal Bureau of Investigation
Washington, D.C. 20535

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From: [redacted]
/Acting Executive Officer
Criminal Division

Subject: Notification of Equities in Records Being Offered to the National Archives of the United States

The Criminal Division of the U.S. Department of Justice is engaged in a declassification review under the provisions of Executive Order 12958. In the course of that review, we located permanent records, designated for transfer to the National Archives of the United States (NA), pursuant to an approved records schedule, in which your agency has equities.

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This letter constitutes the required notice. A copy of the SF 258 is attached to assist you in identifying the specific records. If you have any questions, please call [redacted] [redacted] in our Records Unit.

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66-HQ-C1190059-69

**AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES** *JRC*

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552. In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL
Signature _____ Date 7-17-98

3A. NARA APPROVAL *JRC* 7/29/98
Signature _____ Date 8/12/98

2B. NAME, TITLE, MAILING ADDRESS

Records Officer
U.S. Dept. of Justice, Rm 850
1001 G St. NW
Washington, DC 20530

3B. NAME, TITLE, MAILING ADDRESS
NARA Initial Processing/Declassification Division
Civilian Work Group
8601 Adelphi Road
College Park, MD 20749-6001

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RECORDS INFORMATION

4A. RECORDS SERIES TITLE 146-28-1935 Treasonable Utterances. This the World War II case concerning Mark L. Streeter a POW who participated in writing and broadcasting propaganda for the Japanese.

4B. DATE SPAN OF SERIES 1941-1950 (Attach any additional _____)

5A. AGENCY OR ESTABLISHMENT
U.S. Department of Justice

5B. AGENCY MAJOR SUBDIVISION
Criminal Division

5C. AGENCY MINOR SUBDIVISION

9. PHYSICAL FORMS
 Paper Documents Posters
 Paper Publications Maps and Charts
 Microfilm / Microfiche Arch / Eng Drawings
 Electronic Records Motion / Sound / Video
 Photographs Other (specify): _____

5D. UNIT THAT CREATED RECORDS

10. VOLUME: _____ CONTAINERS: _____
Cu. Mtr. _____ (Cu. Ft. 5) Number 5 Type FRC Box

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS
Name: _____
Telephone Number: _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
6-4-80

6. DISPOSITION AUTHORITY:
N1-60-88-13, Item 28

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?
 YES NO (If no, attach limits on use and justification.)

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES
LEVEL: Confidential Secret Top Secret
SPECIAL MARKINGS: RD/FRD SCI NATO
 Other _____
INFORMATION STATUS: Segregated Declassified

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?
 YES NO

8. CURRENT LOCATION OF RECORDS
 Agency (Complete 8A only)
 Federal Records Center (Complete 8B only)

14. ATTACHMENTS
 Agency Manual Excerpt Listing of Records Transferred
 Additional Description NA Form 14097 or Equivalent
 Privacy Act Notice Microform Inspection Report
 Other (specify): _____ SF(s) 135

8A. ADDRESS
U.S. Department of Justice
1331 F Street, Suite 810
Washington, DC 20530

8B. FRC ACCESSION NUMBER CONTAINER NUMBER(S) FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION _____ RG
60

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES
Signature _____ Date _____

17. NATIONAL ARCHIVES ACCESSION
NN3-060-98-015

National Archives at College Park



8601 Adelphi Road College Park MD 20740-6001

[Redacted]

Federal Bureau of Investigation
Room 4933
935 Pennsylvania Ave., NW
Washington, DC 20535

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Dear [Redacted]

In accordance with your recent phone conversation with [Redacted] we are withdrawing and returning without action Job No. N1-65-97-3, covering numerical/alphabetical case file abstracts.

[Redacted] is available to discuss future plans for scheduling these records. She may be reached at [Redacted]

Sincerely,

[Redacted Signature]

Supervisory Archivist
Life Cycle Management Division

Enclosure

66-HQ-C1190059-70

REQUEST FOR RECORDS DISPOSAL AUTHORITY

LEAVE BLANK

11-65-97-5

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

DATE RECEIVED

6-20-97

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Justice

2. MAJOR SUBDIVISION

Federal Bureau of Investigation

3. MINOR SUBDIVISION

Information Resources Division

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER

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5. TELEPHONE EXT.

DATE

8/11/98

ARCHIVIST OF THE UNITED STATES

WITHDRAWN

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

06 13 1997

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

FBI Archives Specialist

7. ITEM NO.

1

8. DESCRIPTION OF ITEM

(WITH INCLUSIVE DATES OR RETENTION PERIODS)

NUMERICAL / ALPHABETICAL CASE FILE ABSTRACTS

Brief summaries abstracted from "recorded" documents which have been placed on record within FBI criminal, security, applicant, personnel and administrative case files. Abstracts do not contain any information that is not detailed in full in the "recorded" document. Information captured includes: (1) Type of document; (2) Date; (3) Source and/or Destination; (4) Preparer [in case of outgoing items and incoming reports]; (5) Subject; (6) Case File Number.

The FBI began preparing abstracts or summaries of individual documents in 1921. Each abstract was prepared in duplicate on 3x5 slips. Only 40% of documents in case files were recorded. In 1979, the abstract system was replaced by the Automation Incoming Mail Serialization [AIMS] computerized system.

Abstracts can not be used for historical or research purposes without the corresponding complete document inasmuch as the information contained within the abstracts is in extremely abbreviated form.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

PAGE

2 OF 2

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(WITH INCLUSIVE DATES OR RETENTION PERIODS)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>Numerical / Alphabetical Case File Abstract System - continued</p> <ol style="list-style-type: none"> 1) Source/Chronological Set DESTROY immediately. 2) Case/Serial Set <ol style="list-style-type: none"> (a) Abstracts corresponding to Permanent Multi-Section Case Files DESTROY immediately. (b) Abstracts corresponding to all other Case Files DESTROY immediately. 3) Special Intelligence Service [SIS] Program Set - circa 1940-1948 DESTROY immediately. 4) Personnel/Applicant Case File Abstracts DESTROY immediately. 		

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

SEP 23 1998

NWM 18.98

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: The Archivist's Statement and the Electronic Records Work Group Final Report

The Archivist's Statement dated September 21, 1998, and the Electronic Records Work Group Final Report that was submitted to the Archivist on September 14, 1998 are both available on the NARA web site at <http://www.nara.gov/records/grs20/index.html>.

In light of the decision that the Bulletin on scheduling electronic copies formerly covered by GRS 20, items 13, 14, and 15 (called "electronic source records" by the Electronic Records Work Group) be circulated for inter-agency review prior to its final issuance, the tentative training classes on implementing schedules and plans outlined in the August 20, 1998, Memorandum to Agency Records Officers (NWM 17.98) will be rescheduled for later in FY 1999. We will notify you when the new dates are set.

I would like to take this opportunity to thank all the Federal records managers who participated in the ERWG process, either by commenting on drafts, attending open meetings, or serving as a Work Group member. The dialogue was important not only to increase communications with you, our customers, but also to heighten awareness of records management issues and the electronic records problems facing agencies today for different audiences. We will continue the dialogue as we move forward on addressing electronic recordkeeping issues during FY 1999 with the follow-on group and other initiatives mentioned in the Archivist's Statement.

The Government will be updating the court with the status and the expected course of our activities, and will be addressing the impacts that agencies may be facing. Please periodically check the GRS 20 web site at <http://www.nara.gov/records/grs20/index.html> for additional information.

MICHAEL L. MILLER
Director
Modern Records Programs

66-HQ-C1190059-71

National Archives at College Park



8601 Adelphi Road College Park MD 20740-6001

October 19, 1998

TO: Agency Records Officers

SUBJECT: Agency comment on draft NARA bulletin

The Office of Management and Budget (OMB) has asked NARA to send the attached draft NARA bulletin for your review and comment as part of their review of the bulletin under Executive Order 12866. At OMB's request, also attached is a copy of a memorandum from [redacted] Chief, Information Technology Branch, Office of Information and Regulatory Affairs, to the CIO Council. The Archivist of the United States is sending a similar letter to Heads of Federal agencies.

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Please provide copies of your written comments to both OMB and NARA by November 19, 1998, to the addresses in [redacted] memo.

Questions should be directed to [redacted] (NPOL) at [redacted] or via e-mail at [redacted]@arch2.nara.gov, or via fax at [redacted]

Lewis J. Bellardo
LEWIS J. BELLARDO
Deputy Archivist of the United States

Attachments

66-HQ-C1190059-72

NARA Bulletin No. 99-xx

TO: Heads of Federal Agencies

SUBJECT: Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)

EXPIRATION DATE: [2 years after issuance]

1. What is the purpose of this bulletin? This bulletin provides guidance to you on scheduling the electronic copies of program records and certain administrative records of your agency that were previously scheduled under GRS 20, items 13 (word processing documents), 14 (e-mail), and 15 (electronic spreadsheets).

2. To what records does this bulletin apply? This bulletin applies only to the electronic copies of scheduled records.

3. What do I do with electronic copies of unscheduled records? You must schedule electronic copies of unscheduled records and new records series in accordance with NARA Bulletin 98-02.

4. Why can't I use GRS 20? The 1995 edition of GRS 20, Electronic Records, authorized the deletion of electronic mail, word processing, and spreadsheet records from your computer after a copy was made for your file or other recordkeeping system. On October 22, 1997, the U.S. District Court for the District of Columbia issued an order declaring GRS 20 "null and void." The Government filed an appeal with the U.S. Court of Appeals for the District of Columbia. That appeal is pending.

5. What action has NARA taken?

a. Although the Government has appealed the Court's decision, we believe that we need to develop a different approach to the disposition of records created on electronic mail, word processing, spreadsheet, and other office automation applications than was provided in GRS 20. To that end, I formed an interagency Electronic Records Work Group (ERWG), consisting of selected Federal records officers and information management specialists, NARA staff, and State government and private sector consultants, with oversight by the Deputy Archivist of the United States. I charged the Work Group to identify appropriate areas for revision of the General Records Schedules, explore alternatives for authorizing the disposition of electronic copies of records, and recommend practical solutions for their scheduling and disposition.

b. On September 14, 1998, ERWG submitted its report to me as Archivist of the United States. This bulletin reflects my decisions on implementing the Work Group's first recommendation that you must schedule your program records and administrative records not covered by the GRS, in all formats.

c. This bulletin is only a first step toward a comprehensive solution to electronic records issues. We must develop together long-term plans for dealing with these issues. We will lead this effort and work in partnership with you to ensure steady progress in solving electronic records problems, as promised in my September 21, 1998, statement on the ERWG recommendations. (The statement is available on our GRS 20 web page at <<http://www.nara.gov/records/grs20/>>.)

6. What steps must I take? Review attachment B to this bulletin to determine whether you can revise and submit your records schedules in the next 180 days. If you cannot, you must develop and submit a plan within 180 days that outlines how you will revise your records schedules within the next two years.

7. What if I choose to submit a revised schedule? If you choose to submit revised schedules, you must do so no later than [180 days from date of bulletin]. Attachment B contains instructions for preparing and submitting revised schedules.

8. Will these revised schedules be available to the public? Yes. We will publish *Federal Register* notices on all schedules that you submit to allow interested parties to request a copy of each schedule and any associated appraisal reports from us. The notices will specify which schedules include electronic copies of records being scheduled in accordance with this bulletin.

9. What if I choose to submit a plan for schedule revision?

a. If you choose to submit a plan for schedule revision, you must do so no later than [180 days from date of bulletin]. Attachment B contains instructions for preparing and submitting the plan.

b. Before approving a plan, we must determine that you have: (1) identified all the areas that require scheduling; (2) devised an adequate strategy for doing the work required; and (3) outlined a logical sequence and schedule for completing the work. We will track your progress in completing the plan through the submission of SF 115s.

c. If we do not approve your plan as submitted, we will notify you of the plan's deficiencies and work with you to correct them.

10. What if I do not meet these deadlines? To continue your present disposition practices for electronic copies, you must submit your schedules and/or plans by the deadlines specified in paragraphs 7 and 9 of this bulletin.

11. What if I need help preparing schedules or plans?

a. We will review your submissions and work closely with you to approve your schedules and/or plans.

b. To assist you in preparing schedules and plans, we will provide no-cost training. Three-hour training sessions will be held on: [multiple dates]. Except for the ___ session, which will be held at the National Archives at College Park, training will be provided in the National Archives Building at 700 Pennsylvania Avenue in Washington, DC. Advance registration is required. Additional training sessions may be arranged at locations outside the Washington, DC, area, as needed.

12. How do I register for training? Contact [redacted] by telephone [redacted] FAX [redacted] or e-mail at [redacted]@arch2.nara.gov>. Please provide your name, agency, the number of attendees, and a telephone and e-mail address for possible cancellations.

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13. Who do I contact for further information?

a. **For general questions and comments concerning this bulletin contact Michael Miller, Director, Modern Records Programs, National Archives and Records Administration, 8601 Adelphi Road, Rm. 2100, College Park, MD 20740-6001 or by telephone [redacted] [redacted] or e-mail at <grs20@arch2.nara.gov>.**

b. **For preparation of plans and schedules address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.**

JOHN W. CARLIN
Archivist of the United States

- Attachment A—Definitions That Apply to This Bulletin
- Attachment B—Instructions for Preparing Records Schedules for Electronic Copies and Plans for Scheduling Electronic Copies
- Attachment C—Sample Schedule Using Model 1
- Attachment D—Sample Schedule Using Model 2
- Attachment E—Sample Cover Letter for Plan
- Attachment F—Sample Plan

Definitions That Apply to this Bulletin

Administrative records. Those records created by several or all Federal agencies in performing common facilitative functions that support the agency's mission activities, but do not directly document the performance of mission functions. Administrative records relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting.

Related terms: PROGRAM RECORDS, RECORDS

Application Program. A complete, self-contained program that performs a specific function directly for the user. This is in contrast to system software such as the operating system kernel, server processes, and libraries, which exists to support application programs. (Source of definition: FOLDOC) (Examples: Word processing, spreadsheets, and electronic mail.)

Business Application. A specific application program, a set of such programs, or an electronic information system which supports an agency business function or process. (Example: Automated payroll system).

Business needs. An agency's need to conduct its business, maintain a record of its essential activities and decisions for its own use, support oversight and audit of those activities, and permit appropriate public access. Agencies have certain responsibilities under the Electronic Freedom of Information Act Amendments (EFOIA) to make records available in electronic format. Although NARA does not have the statutory authority to mandate how agencies comply with EFOIA, agencies should be aware that public access is one of several business needs that they need to consider in scheduling their electronic copies.

Electronic copies. As used in this bulletin, an electronic record created using office automation software such as word processing, spreadsheets, other desktop applications, or electronic mail, that remains in storage on the computer system after the recordkeeping copy is produced.

Electronic information system. A system that contains and provides access to computerized Federal records and other information. (Source: 36 CFR 1234.2)
(Examples: database systems used by IRS to maintain tax data, Social Security to maintain benefits data, Commerce Department to maintain census data.)

Electronic record. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301. (Source: 36 CFR 1234.2)

Electronic recordkeeping system. An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (Source: 36 CFR 1234.2)

Related terms: ELECTRONIC INFORMATION SYSTEM AND INFORMATION TECHNOLOGY RECORD

Information Technology. Any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information, including computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. (Source: ITMRA 5002(3))

Information Technology Record. A record that concerns the planning, acquisition, management, maintenance, or use of information technology, electronic information systems, or application programs, or that is necessary for the effective use of information technology.

Information Technology System. People, information technology, and methods organized to accomplish a set of specific functions.

Office Automation. The techniques and means used for the automation of office activities, in particular, the processing and communication of text, images, and voice. (Source: ANSI)

Office Automation System. Information technology used for office automation.

Program records. Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.

Related terms: ADMINISTRATIVE RECORDS, RECORDS

Recordkeeping copy. The copy of a record that is captured and maintained in a recordkeeping system.

Recordkeeping requirements. Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all media and to distinguish records from nonrecord materials and personal papers. (Source: 36 CFR 1220.14)

Recordkeeping system. A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (Source: 36 CFR 1220.14)

[Note: An electronic recordkeeping system may be either a distinct system designed specifically to provide recordkeeping functionality or part of another system. A distinct electronic recordkeeping system will comprise an application program which provides

recordkeeping functionality, data and metadata needed for management of the records controlled by the system, and any electronic records managed by the system. An electronic recordkeeping system may be part of another system, such as an application system or an electronic document management system, when the design of that system includes recordkeeping functionality.]

Records. Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (Source: 36 CFR 1220.14)

Related terms: ADMINISTRATIVE RECORDS, PROGRAM RECORDS

Records Schedule. Also called RECORDS DISPOSITION SCHEDULE, RECORDS CONTROL SCHEDULE, RECORDS RETENTION SCHEDULE, RECORDS RETENTION AND DISPOSITION SCHEDULE, OR SCHEDULE. A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business. The term refers to: (1) an SF 115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records; (2) a General Records Schedule (GRS) issued by NARA; and (3) a printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. (Source: 36 CFR 1220.14 and NARA publication A Federal Records Management Glossary, 1993 ed.)

Series-based review. The basis on which NARA appraises the potential research value of records by taking into account the value of whole series or systems of records. A records series is generally described as documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt or use.

System. People, machines, and methods organized to accomplish a set of specific functions. (Source: ANSI)

Sources of Definitions

ANSI Dictionary for Information Systems

FOLDOC "The Free On-line Dictionary of Computing, <http://wombat.doc.ic.ac.uk/>, Editor
Denis Howe"
ISO 2382 ISO, Vocabulary - Information Processing
ITMRA Information Technology Management Reform Act
36 CFR 36 CFR Chapter XII (NARA Regulations)

Instructions For Preparing Records Schedules For Electronic Copies And Plans For Scheduling Electronic Copies

- 1. What is the purpose of these instructions?** These instructions explain how to schedule your program records and administrative records not covered by General Records Schedules (GRS), in all formats. They supplement NARA regulations, guidance, and other instructions that already exist for scheduling records in general, as well as other types of electronic records apart from electronic copies.
- 2. Why can't I continue my present disposition practices?** We are adopting the *Electronic Records Work Group Report to the Archivist of the United States* recommendation that you should schedule your program records and administrative records not covered by the GRS in all formats, including electronic copies. Since the large majority of current agency records disposition schedules do not cover these records, you will need to obtain NARA-approved schedules for them. To comply with this requirement, you should extend existing schedule series items to cover the electronic copies, as well as the recordkeeping copies, of the program records and administrative records not covered by the GRS. If series are not currently scheduled, you should develop new schedule submissions to cover both recordkeeping and electronic copies as outlined in NARA Bulletin 98-02. (That bulletin is available on our GRS 20 web page at <http://www.nara.gov/records/grs20/>.)
- 3. What definitions apply to this guidance?** See Attachment A for a discussion of "administrative records," "electronic copies," "program records," "recordkeeping copies," "business needs," and other terms used in this guidance.
- 4. When should I submit revised schedules?** You should submit revised schedules as soon as possible. We do recognize, however, that agencies differ in terms of how much work is required to complete the task and how many resources are available. For that reason, we offer you a choice to submit either fully revised schedules or a plan for developing revised schedules over the next two years. You must submit either the revised schedules or a plan for revising your schedules by [date].

Preparing Records Schedules

- 5. How do I revise my previously approved schedules to include electronic copies?** You must ensure through a series-based review that any specific groupings of electronic copies with distinct value in terms of business needs, including both staff and public reference use, are maintained for adequate periods of time. This review may require that you request different retention periods for certain specific series of electronic copies.

Series-based review means that you must:

- 1) Review all existing agency records series that have related electronic copies requiring disposition authority;
- 2) Evaluate the internal business and reference needs, along with the potential external reference needs (including EFOIA), for the electronic copies; and
- 3) Develop proposed disposition authorities that:
 - a) indicate the relationship of electronic copies to the existing records series, and
 - b) provide for the appropriate disposition of electronic copies, and of related recordkeeping systems if these systems require revised disposition authority.
- 4) For records already scheduled as permanent, determine whether the electronic copies are in a format that meets our transfer standards for electronic records (36 CFR 1228.188). If so, you are encouraged to bring that fact to our attention. We will consider whether the electronic copies are suitable for archival preservation.

6. How should the schedule items be organized? You may organize the schedule items on a single or multiple SF 115s according to your organizational program, component, or functional area. We developed two scheduling models for you to use (see Attachments C and D). Regardless of the model chosen, you must follow the practices and procedures for inventorying and scheduling records as outlined in regulation (including 36 CFR 1220, 1228, 1234) and guidance (including *Disposition of Federal Records Handbook*). If you also are scheduling unscheduled records or revising other scheduled series, we encourage you to submit those schedules on separate SF 115s, following the guidance in NARA Bulletin 98-02. If you include them in the SF 115s for electronic copies of scheduled records, you must identify them clearly as new items.

7. What is the first scheduling model? Under *Model 1* you would add an appropriate disposition for the electronic copies formerly covered by GRS 20, items 13, 14, and 15, to every disposition instruction in your manual or records schedules. You should use Model 1 if: (a) you have determined that you have a business need and the technological capability to maintain electronic copies in addition to the paper (or electronic) records that are maintained as the recordkeeping copy; and (b) the electronic copies need to have varying retention periods; or (c) you can easily insert a separate disposition statement for the electronic copies for each individual series in the agency disposition manual.

8. What is the second scheduling model? Under *Model 2* you would group records by program, function, or organizational component and would propose disposition instructions for the electronic copies associated with each grouping. This format allows you to obtain approval for the disposition without having to physically annotate the disposition for each series of records. To use this model, first determine the most appropriate groupings for your records. If your schedules are organizational, you would most likely group records by organizational component. If you have a functional schedule, you would normally group records by functional area in accordance with the way your schedules or disposition manual are structured. You may

propose: (1) a single disposition for each grouping with some variation possible from group to group (this provides a common disposition for all series within each grouping) or (2) a single disposition for most series within a grouping, but with some exceptions to that common disposition for specific series. Regardless of which approach you choose, each proposed disposition should cite either the appropriate agency published disposition manual or the NARA disposition job number(s).

9. Which scheduling model should I choose? We strongly recommend using Model 1 because it is consistent with other scheduling practices and is the easiest to explain to staff and integrate into existing agency schedules and manuals. Model 1 will not require the extensive cross references necessary to integrate Model 2 into current agency schedules and therefore will help to avoid mistakes in the application of approved dispositions. However, we recognize that you may wish to provide grouped disposition authorities for multiple collections of electronic copies that have the same values and retention requirements. In that case, you could use Model 2.

10. How do I submit a revised schedule? You must submit a complete scheduling package covering electronic copies of program records and administrative records not covered by the GRS. The scheduling package must consist of one or more Standard Form 115s (Request for Records Disposition Authority), and a diskette containing electronic versions (in either WordPerfect, MS Word, or Hypertext Markup Language [HTML]) of the SF 115s. You must also provide adequate cross-references between approved records schedule items or disposition manual citations and the proposed new SF 115 items for electronic copies. Block 6 of the SF 115 requires certification that records proposed for disposal are not needed for agency business after the retention periods specified. Block 6 also certifies that the General Accounting Office has reviewed (or is in the process of reviewing) all proposed dispositions for program records retained for less than three years. (You may send the schedule to GAO for review at the same time that you submit it to us. We cannot complete approval of your submission until GAO concurrence is received.)

Preparing Plans for Scheduling

11. What if I can't revise all my schedules within 180 days? If you cannot prepare the scheduling package within 180 days, you must submit a plan to us for completion of scheduling within two years. Plans must provide a coherent strategy for submitting schedules for all electronic copies that lack disposition authority. We will work closely with you to ensure that the plan is realistic and that you demonstrate steady progress in meeting its milestones. See Attachments E and F for examples of a letter and a plan.

12. What should my plan submission include?

A. A letter to the NARA Director, Modern Records Programs, from your Chief Information

Officer (or other agency official authorized to commit agency resources to carry out the plan) stating that schedules cannot be submitted within 180 days. This letter must include a commitment to schedule your electronic copies in accordance with a plan proposed by you and approved by NARA. Also include the name and telephone number of your designated agency point of contact for the plan.

B. An explanation of why you choose to do a plan. Reasons might include:

- Existing schedules cover all programs but are significantly out of date and must be revised;
- Significant portions of your program areas are not covered by approved records disposition schedules;
- You must complete extensive inventories to determine the adequacy of your schedules;
- Guidance consistent with current NARA regulations concerning e-mail and other recordkeeping requirements has not been produced and disseminated to your staff;
- Recordkeeping guidance is not adequately implemented through training and evaluation;
or
- You do not have the resources to complete schedule submissions for electronic copies within the time provided.

C. A plan for submitting schedules for all electronic copies . Your plan, covering a period not to exceed two years, must include:

- An assessment of your current disposition schedule along with a strategy for developing and submitting SF 115s. This strategy is linked to milestones (see below) and must reflect work necessary to develop schedules for electronic copies and may include other records that require new or revised disposition authorities. Your strategy should follow the practices and procedures for inventorying and scheduling records as outlined in regulation (including 36 CFR 1220, 1228, 1234) and guidance (including *Disposition of Federal Records Handbook*). If you cannot perform a detailed assessment of your schedule before submitting the plan, completion of the assessment and submission of a revised plan based on that assessment must be an early milestone.
- An assessment of the adequacy and implementation of all agency-issued recordkeeping guidance, including any existing guidance for e-mail and other electronic copies . NARA regulations for Federal agency records management guidance and implementation may be

found under 36 CFR 1220, 1222, 1228, and 1234. If your guidance is inadequate to ensure that records are appropriately maintained in recordkeeping systems for as long as needed, your plan should provide a strategy for bringing about the necessary improvements.

- Milestones for taking actions. We expect you to submit SF 115s incrementally throughout the period of the plan. These continuous submissions (covering segments of your activities, e.g., organizational program, component, or functional area) will demonstrate steady progress in scheduling your program and non-GRS administrative records and improving electronic recordkeeping guidance and guidance implementation where necessary.

D. Please include a diskette containing the electronic version (in either WordPerfect, MS Word, or Hypertext Markup Language [HTML]) of the plan.

13. Should my plan give priority to certain records? When developing your plan, you should consider such criteria as potential research use and other appropriate public access, when determining which schedules for electronic copies should be developed and submitted first. If you do not have specific internal priorities, you should begin with those programs or organizational units that produce records already appraised as permanent in other formats (e.g., paper). In addition, you should give priority to scheduling electronic copies for temporary records that you recognize as having significant internal or external reference value during their approved retention periods.

14. What if I am able to revise some but not all of my schedules within 180 days? You may submit schedules for segments of your electronic copies in conjunction with a plan for scheduling the remainder of your records. In such cases, your plan would describe the submitted schedules as early milestones.

15. What if NARA does not approve my plan? We will notify you of the plan's deficiencies and work with you to correct those deficiencies.

Sample Schedule Using Model 1

The following is an example of a Model 1 schedule covering records of a single component office of an agency. Were this an actual situation, you would either include in the schedule items for the series your other components accumulate or you would submit additional schedules covering your other components.

1. Director's Correspondence Files: Correspondence of the Director and Deputy Director with other Federal agencies, the White House, members of Congress, trade associations, and undersea transporters.

- a. Recordkeeping copy (paper): Permanent (N1-888-93-1/1)
- b. Electronic copies: Delete after recordkeeping copy has been produced.
- c. Electronic index to Director's Correspondence: Permanent (N1-888-93-1/1a)
Transfer to NARA in accordance with 36 CFR 1228.188.

2. Publications: Copy of each pamphlet, bulletin, report, booklet, brochure, leaflet, fact sheet, newsletter, or other material for public distribution published by FUSTA, with related background files.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/2)
- b. Electronic copies: Delete after recordkeeping copy has been produced.

3. Budget Spreadsheets. Contains budget requests from all agency program elements as well as the official consolidated agency request for each fiscal year.

- a. Recordkeeping copy (electronic spreadsheet files): Delete when six years old. (N1-888-91-1/9a).
- b. Printouts: Destroy when two years old.

4. Speeches, Addresses, Comments: Speeches, addresses and comments made by the Director or designated staff members at official functions or formal ceremonies.

- a. As delivered:
 - i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/4a)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

b. As printed and distributed.

i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/4b)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

5. Informational Releases: Copy of informational releases such as News Releases, Press Releases and Biographical sketches of the FUSTA Directors and Deputy Directors, with related background papers.

a. Copy of final document as released

i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/5a)

ii. Electronic Information Release File. Electronic system containing full text of all FUSTA information releases (except biographies): Permanent. Transfer to NARA in accordance with 36 CFR 1228.188 in annual increments at end of calendar year.

iii. Other electronic copies: Delete after recordkeeping copy and electronic information release copy have been produced.

b. Drafts, concurrences, and other background papers

i. Recordkeeping copy (paper): Disposable. (N1-888-88-1/5b)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

6. FUSTA Annual Reports:

a. Record set maintained by Public Affairs Staff.

i. Recordkeeping copy (paper): Permanent. (N1-888-91-1/10)

ii. Electronic copies: Delete when five years old.

b. Background papers, including drafts.

i. Recordkeeping copy (paper): Disposable. (N1-888-91-1/2)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

7. Organization and Directive Files: Final approved and signed record copy of formal directives, information bulletins, procedural and operating manuals, organizational charts and function statements.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/7)
- b. Official electronic copy. Copy maintained electronically for access by staff and the public. Delete when five years old.
- c. Other electronic copies: Delete after recordkeeping copy and official electronic copy have been produced.

8. General Counsel's Subject Files: Correspondence, memorandums, reports and other records relating to general legal matters

- a. Recordkeeping copy (paper): Disposable. (N1-888-88-1/8)
- b. Electronic copies: Delete after recordkeeping copy has been produced.

9. Legal Opinions: Legal Opinions issued by the General Counsel, with related background papers.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/9)
- b. Electronic copies: Delete when three years old.

10. Public Comments. Incoming and outgoing letters and messages relating to public comments about agency programs, policies, and operations. Note: FUSTA instituted a public e-mail box to support this function in 1995.

- a. Comments submitted in hard copy: Disposable--destroy when five years old. (N1-888-93-1/12)
- b. Comments submitted electronically: Delete when five years old.

Sample Schedule Using Model 2

The following is an example of a Model 2 schedule that an agency has submitted to cover all of its electronic copies. Because the agency's organizational components have separate schedules, it has chosen to group records by component.

1. Records accumulated by the Office of Policy, FUSTA.

- a. Electronic copies for all series covered by Disposition Job N1-888-88-3 except those listed under Item 3(b)

Delete after recordkeeping copy has been produced.

- b. Electronic copies of Policy Memorandums

Delete when memorandum is superseded or when 2 years old, whichever is later.

2. Records of the Office of Regulatory Affairs, FUSTA.

- a. Electronic copies for all series covered by Disposition Job N1-888-88-4, except for records covered by-items 4(b) and 4(c).

Delete after recordkeeping copy has been produced.

- b. Electronic copies of regulations

Delete 2 years after regulation is superseded.

- c. Database of Regulations Systems (DORS). Electronic system containing all current and proposed FUSTA regulations. Permanent. Transfer to NARA in accordance with 36 CFR 1228.188.

- d. White House Referrals. Complaints from carriers and the public concerning FUSTA regulations referred to FUSTA by the White House. (NEW ITEM)

- i. Recordkeeping copy (paper)

Destroy when five years old.

- ii. Electronic copies

Delete after recordkeeping copy has been produced.

3. Electronic copies of records accumulated by Office of Administration, FUSTA, that are covered by Disposition Job N1-888-88-2, excluding series covered by the General Records Schedules.

Delete after recordkeeping copy has been produced

4. Electronic copies of records of the Office of Inspections and Investigations, FUSTA, covered by Disposition Job N1-888-88-5.

Delete after recordkeeping copy has been produced.

Sample Plan Letter

Mr. Michael Miller
Director, Modern Records Programs (NWM)
National Archives and Records Administration
8601 Adelphi Rd.
College Park, MD 20740-6001

Dear Mr. Miller:

(Proposal to submit plan/estimated date of complete implementation)

In accordance with NARA Bulletin 99-xx, the Federal Undersea Transportation Administration (FUSTA) has prepared a plan to schedule by June 2000, the electronic copies associated with record series not covered by the General Records Schedules. We have chosen this approach because we will not be able to prepare schedules for these records within the 180 day time frame specified in the Bulletin.

(Reason plan is needed)

Our schedules require substantial revision. Preparing updated schedules, particularly for several major FUSTA components, will entail considerable effort and cannot be accomplished in 180 days. Instead, we will prepare and submit schedules in accordance with the milestones specified in our plan, which is enclosed.

(Point of contact)

If you have any questions concerning our plan, please contact [redacted] Chief, Records Management Staff, on [redacted]

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Sincerely,

JOHN SMITH
Director

Enclosure

Plan for Scheduling Electronic Copies of Records of the Federal Undersea Transportation Administration (FUSTA)

Introduction

As indicated in the attached letter from the Director, FUSTA cannot complete schedules for its electronic copies of records created by office automation systems within the time frame specified in NARA Bulletin 99-xx. Consequently, we submit this plan, which, in accordance with Bulletin 99-xx, includes an assessment of our current schedules, an assessment of our recordkeeping guidance, and milestones for completing schedules within two years.

Assessment of current agency schedules

FUSTA is comprised of five organizational components: Office of the Director, which includes the General Counsel, Congressional Liaison, Public Affairs, and other staff offices; Office of Administration, which is responsible for personnel, budget, and other administrative functions; Office of Policy, which develops overall policies in the area of undersea transportation; Office of Regulatory Affairs, which formulates and issues rules and regulations; Office of Inspections and Investigations, which monitors compliance with FUSTA rules and regulations. All FUSTA offices are located in Washington, DC, except for the Office of Inspections and Investigations, which has field offices in eight major ports in addition to a Washington-based central office.

In 1987, two years after FUSTA's establishment, five schedules were approved by NARA, one for each of the offices discussed above: N1-888-88-1 (Office of the Director), N1-888-88-2 (Office of Administration), N1-888-88-3 (Office of Policy), N1-888-88-4 (Office of Regulatory Affairs), and N1-888-88-5 (Office of Inspections and Investigations). Together, these schedules covered all FUSTA records. In the early 1990s, three additional schedules were submitted, each covering one or two new series, mainly in the Office of the Director. All eight approved schedules have been consolidated in a printed issuance, FUSTA Handbook 1500. The current edition was issued in January 1995.

Schedules for the Office of the Director, the Office of Administration, and the Office of Policy are relatively complete and up-to-date. The Office of the Director's schedules are complete and up-to-date and a scheduling package has been submitted separately from this plan. The activities of the latter two offices, their recordkeeping practices, and the record series they accumulate have changed little since 1987. However, a small number of new series may now accumulate in these offices and it is possible that retention periods for some temporary records warrant revision.

Schedules for the Office of Regulatory Affairs and the Office of Inspections and Investigations warrant considerable revision. Since 1987, the types of rules and related investigations have expanded considerably. In addition, in the early 1990s, each of these offices assumed responsibility for certain staff functions formerly provided by staff in the Office of the Director.

Finally, the Office of Regulatory Affairs and the Office of Inspections and Investigations have developed a variety of electronic systems, particularly in the last three years. None of these developments is reflected in current schedules.

Assessment of recordkeeping guidance and its implementation

Chapter I of FUSTA Handbook 1500 contains guidance that addresses such issues as the ownership of official FUSTA records, when drafts and other work papers must be treated as official records, the need to document decisions reached in meetings or telephone conversations, and the distinction between personal files and official records. Agency Directive 1500.1, issued in June of 1996, provides guidance to FUSTA staff concerning e-mail. Both these issuances are up-to-date and are based on NARA guidance.

All FUSTA offices (down to the section level) have a copy of FUSTA Handbook 1500, which is also available on our internal website. Agency Directive 1500.1 was provided to all employees and also is available on our website. Annually, members of the FUSTA records management staff (which is part of the Office of Administration) visit individual offices and provide one hour briefings to staff on all records issues and answer questions. In addition, records management staff spot-check files in the course of these visits to ensure that offices are maintaining records properly. These reviews have shown that official agency files are generally complete and include, where appropriate, drafts and other work papers and electronic mail messages with all necessary transmission information. We, therefore, believe guidance is being implemented adequately.

Milestones for taking actions

February - June 1999. The Director of FUSTA will inform staff of new records management scheduling initiative and remind them of recordkeeping requirements for e-mail and other office automation electronic copies through all-staff directives. The Director will establish an oversight group, including information technology, records management and key program officials, to provide guidance and direction for the effort. The oversight group will assemble a records management team and develop procedures for surveying and scheduling FUSTA records.

July - August 1999 - FUSTA records management team will survey records of the Office of Administration and the Office of Policy. Records management team will primarily rely on input from records liaisons in these offices, but may make some on-site visits.

September 1999 - Records officer will submit schedules for the Office of Administration and Office of Policy to NARA.

October - December 1999 - Records management team will survey records of the Office of Regulatory Affairs and its component offices. Records management team will take active role in

on-site review of files, with assistance of records liaisons in individual offices.

January 2000 - Records management team will develop schedule for the Office of Regulatory Affairs and clear it internally.

February 2000 - Records officer will submit schedule for the Office of Regulatory Affairs to NARA.

February - April 2000 - Records management team will survey records of the Office of Inspections and Investigations. Records management team will take active in on-site review of files, including visits to several field offices.

May 2000 - Records management team will develop schedule for the Office of Inspections and Investigations and will clear it internally.

June 2000 - Records officer will submit schedule for the Office of Inspections and Investigations to NARA.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

OCT 19 1998

MEMORANDUM FOR THE AGENCY CHIEF INFORMATION OFFICERS

FROM:

[REDACTED]

Information Policy and Technology Branch
Office of Information and Regulatory Affairs

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SUBJECT:

Final Opportunity for Comments on Electronic Recordkeeping Bulletin

This memorandum requests your comments on the attached National Archives and Records Administration (NARA) Bulletin, which provides guidance on scheduling electronic records that were previously covered by General Records Schedule (GRS) 20, items 13-15. This draft is being circulated for inter-agency review prior to final issuance under the provisions of E.O. 12866.

This draft bulletin reflects changes that NARA has made in response to previous agency comments on the draft Electronic Records Work Group report. We appreciate the many agency comments previously received on the policies contained in earlier versions of this Bulletin, including an initial draft sent out by NARA for informal review on June 12, 1998 (*NWM 11.98, dated June 12, 1998*), and a revised draft, published in the *Federal Register* on July 21, 1998 [Volume 63, Number 139], and corrected by the Notice appearing on page 40583 in the *Federal Register*, July 29, 1998 [Volume 63, Number 139].

Given the importance of sound, cost-effective management of electronic records, I again seek your agency's comments on this important bulletin. Please provide your views not only on the content and clarity of the guidance, but also as to any programmatic or budgetary implications of implementing this guidance. Separate copies of the draft bulletin are being transmitted to your agency head and records officer by NARA. Please ensure that your agency's comments are fully coordinated. We appreciate the time and effort you expend to review the attached.

Comments are due November 19, 1998. Comments should be provided:

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Attn: [REDACTED] c/o OMB Docket Library, Room 10102, New Executive Office Building, 725 17th Street, NW, Washington, DC 20503; by facsimile [REDACTED] or by electronic mail [REDACTED]@omb.eop.gov).

A copy of your comments should be sent to:

[REDACTED] (NPOL) at NARA, Room 4100, 8601 Adelphi Road, College Park, MD, 20740-6001; or via e-mail [REDACTED]@arch2.nara.gov).

To assure a full deliberative process, please be reminded that the draft and your comments should not be shared outside the Executive Branch during this review. OMB and NARA have agreed that agency comments will be made available to the public after NARA publishes the bulletin.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 26, 1998

NWM 01.99


MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Federal Register notices relating to electronic records

This is the third in a series of memos providing updated information on General Records Schedule (GRS) 20 matters, and it also invites your comments on a recently published *Federal Register* notice. NARA published a notice in the October 9, 1998, *Federal Register* (pages 54503-5), entitled "Changes to the General Records Schedules; Request for Comments." It contains the full text of the proposed expansion of the GRS to cover all media and the rationale for the changes. This proposal is based on the second recommendation of the Electronic Records Work Group, as explained in Appendix D of the Final Report. Comments on the changes to the GRS are due on or before November 9, 1998.

NARA also published a notice in the October 14, 1998, *Federal Register* (page 55148) which contains the Archivist's statement authorizing agencies to continue their present disposition practices for electronic records previously covered by GRS 20, as was ordered in the U.S. District Court Memorandum Opinion and Order filed September 29, 1998. The Court authorized the Archivist to state that agencies may continue present disposition practices until such records are scheduled or until NARA receives other instructions from the District Court or the Court of Appeals.

NARA is actively pursuing implementation of the other recommendations of the Electronic Records Work Group, as outlined in the Archivist's September 21, 1998, statement on the ERWG Report (see NWM 18.98), including development of a general records schedule (GRS) for information technology records and the establishment of a follow-on inter-agency work group to address additional issues concerning the management of electronic records. We will keep you informed as information becomes available. Please continue to periodically check the GRS 20 web site at <<http://www.nara.gov/records/grs20/index.html>> for additional information.

We appreciate the time and effort you have expended to address these electronic records disposition issues, and we look forward to your comments. Any questions that you have on the proposed GRS changes should be directed to [redacted] at [redacted] or via e-mail at [redacted]@arch2.nara.gov. b6 b7c


MICHAEL L. MILLER
Director
Modern Records Programs

66-HQ-C1190059-73

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 23, 1998

NWM 02.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting - November 10, 1998

The Modern Records Programs of the National Archives and Records Administration (NARA) will host the next BRIDG meeting on November 10, 1998, from 10:00 to noon in Room 105 of the National Archives Building, 7th and Pennsylvania Avenue NW, Washington, D.C. The purpose of the meeting is to discuss the Baseline Report and Electronic Recordkeeping Policy and Agency Needs.

Bill LeFurgy, from NARA's Modern Records Program, Life Cycle Management Division, will discuss the Baseline Assessment Program, and answer questions from the audience. The Baseline Assessment Program involves the collection and analysis of information about records management programs in all Federal agencies. The results are intended to be used to: 1) target assistance and/or corrective action, depending on individual agency needs; and 2) determine the overall state of records management programs across the government. Topics to be covered include:

- * How Federal agencies will benefit from the Baseline Assessment Program
- * What questions are included in the Baseline Assessment Program
- * How NARA will use the information gleaned from the Baseline Assessment Program

Next, Michael Miller, Director, Modern Records Programs, will examine Electronic Recordkeeping Policy and Agency Needs. Guest speakers, Catherine Teti and Mary Rawlings Milton, from the Office of Thrift Supervision (OTS), will address lessons learned at OTS during their recent records management application implementation, discuss areas where OTS utilized NARA input, and identify issues where OTS might have benefitted from additional NARA guidance on electronic recordkeeping. During the question and answer period that follows, agencies will have an opportunity to suggest areas where NARA should concentrate on electronic records guidance development.

Enrollment is limited to 60 participants. To reserve a place for the BRIDG meeting, please provide your name and telephone number to [redacted] on [redacted] no later than November 3, 1998, or send an e-mail message to [redacted]@arch2.nara.gov.

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Enclosed are minutes of the August 18, 1998, BRIDG meeting on Procedural Changes as Result of the Naval Research Laboratory Review.

MICHAEL L. MILLER
Director
Modern Records Programs

Enclosure

**Bimonthly Records and Information Discussion Group (BRIDG)
Meeting Minutes
August 18, 1998, 10 a.m.-11:00 a.m.
Archives I Room 105**

**Procedural Changes as a Result of Disposal of Naval
Research Laboratory Records at the Washington National Records Center**

Bill LeFurgy, Supervisor in the NARA Life Cycle Management Division, opened the meeting by giving a broad overview of the April 24th report on the inquiry into the disposal of records of the Naval Research Laboratory. The recommended procedural changes discussed today come from that report. He noted that NARA is preparing a NARA bulletin for Federal agencies outlining the changes in procedure that NARA will make to implement the report recommendations. LeFurgy stated that this activity is part of a larger trend whereby agency responsibilities for records are growing and changing. He cited the issues and new requirements brought about by the GRS 20 lawsuit and the reimbursable program as other examples of the shifting landscape of records management in the Federal government.

LeFurgy said that NARA wanted to get agency feedback at this meeting before issuing the bulletin. He discussed recommendations 1 and 2, which focus on developing and implementing improved dispositions for Navy Project Case Files, Program Manager's Case Files, and Lab Notebooks. NARA plans to discuss these tasks with Navy, and will use outside review of revised schedules and guidance by experts, where appropriate. These matters will also benefit from NARA's overall review of appraisal criteria for research and development (R&D) records. For recommendations 3, 4 and 7, which deal with development of sample/select criteria, confirming that current dispositions can accurately be applied to older records and to donation of temporary records, LeFurgy said implementation should involve ensuring that appraisal procedures for NARA staff incorporate these considerations. Recommendation 8, covering inappropriate use of the phrase "routine and facilitative" in *Federal Register* notice descriptions of pending records schedules, will also be addressed by NARA procedures. LeFurgy said NARA plans to handle recommendation 11, relating to reappraisal of series covered by existing SF 115s, on a case by case basis. For example, NARA will periodically follow-up with Navy regarding the status of the internal review of their existing schedule.

Judy Barnes, Chief of the NARA Accession and Disposal Branch, Washington National Records Center, then discussed recommendation 5, involving notification to agencies if NARA staff change any disposition codes of any records; recommendation 6, which states that NARA should make agencies more aware of the tools available to them to check the proper status of their records; recommendation 9, regarding sending disposal notices via certified mail to verify receipt; and recommendation 10, which assumes concurrence for the destruction of records, unless otherwise notified.

Several questions were asked about whether destruction notices are sent to field offices or to headquarters. [redacted] (Department of Agriculture) wanted to obtain a copy of the notice sent to field offices. [redacted] of the NARA Office of Regional Records Services, explained

that the way the system is currently set up, an agency representative could only get a copy if his was the principal name on the mail code, in which case he would be responsible for notifying the field offices. [redacted] would prefer to receive a copy of the notice, and followed up by asking about the availability of an automated SF 135. [redacted] said that NARA has long given serious consideration to automating the SF 135, and while it could be added as subfunction of CIPS, it hasn't been made a high priority item at this time.

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[redacted] (Federal Reserve Board) asked if she could get access to the 08 Report on-line. [redacted] replied that the 08 Report is not available on-line. She further stated that in order to get a report listing unscheduled records the records officer would have to request it specifically from WNRC personnel.

[redacted] NARA's Records Officer, pointed out the need for a guide to the different kinds of reports available from NARS 5, including information on what the data fields are and what the codes mean. The NARA representatives agreed that this was a good idea.

[redacted] of the Life Cycle Management Division, NARA, asked if providing the tools to check the proper status of agency records would be a free and unlimited service. [redacted] replied that they will define "reasonable request" in a letter to agencies. [redacted] said that recovery of costs will be tied to the reimbursable program.

[redacted] (Office of Thrift Supervision), citing the inefficiency of paper delivery systems, asked what NARA was doing toward expanding electronic delivery systems, including CIPS. LeFurgy discussed the various measures NARA is taking in this area. NARA is upgrading the records management web site, which includes eventually putting all publications, bulletins and issuances on-line, and is also starting a BPR project focused on the front-end of the records life-cycle. At some point in the future, NARA expects to enable agencies to conduct more business electronically, including submitting SF 115s and SF 135s via computer. He also said that NARA has an e-mail distribution list of records managers that is used to send out memos, bulletins, and related issuances as soon as they are distributed internally. He encouraged anyone not on the list to contact NWML. [redacted] said that WNRC is very anxious to increase the amount of business conducted via e-mail. [redacted] spoke about other possible tools, such as a telenet connection to CIPS, which will be considered in the 6 to 9 months following the move of NARA's mainframe from St. Louis to Austin this summer.

[redacted] said that NR has submitted a product plan to develop a report out of NARS 5 that would be generated whenever a disposition instruction was changed. He also said the plan to develop an on-line reference request system may overtake CIPS.

[redacted] supported the continued use of certified mail as notification of disposal. She suggested that agencies might be willing to pay any extra costs, perhaps as an add on cost via the reimbursable program, if the agency did not respond.

[redacted] (FDIC) suggested that a possible result of the reimbursable program would be to reverse the disposition process so that agencies would tell NARA when to destroy records, in the

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interests of economic efficiency. [redacted] responded that NARA is interested primarily in encouraging good records management, not in turning a profit.

[redacted] (FEMA) maintained that the space problem would not be fully resolved even if agencies became efficient at disposing of temporary records. He asked how NARA would deal with increased space needs, especially in the New York City area. [redacted] replied that the revolving fund will allow NARA to respond to space needs more efficiently because NARA reimbursable activities would not be tied to Congressionally appropriated funds.

The meeting adjourned at 11:10.



U.S. Department of Justice
Justice Management Division

Information Management and Security Staff

Washington, D.C. 20530

OCT 26 1998

MEMORANDUM FOR BUREAU RECORDS OFFICERS

RECORDS MANAGEMENT LIAISONS, OFFICES, BOARDS, AND
DIVISIONS

FROM:

Christen E. Saueger
for Mary Ellen Condon
Director
Information Management and
Security Staff

SUBJECT: Comment on draft National Archives and Records
Administration (NARA) bulletin

The Office of Management and Budget (OMB) and NARA have requested the department's comments on the attached draft NARA bulletin. In addition to general comments on the draft, OMB has specifically asked us to provide any programmatic or budgetary implications of implementing the guidance in the draft bulletin.

The bulletin provides guidance on scheduling the electronic copies of program records and certain administrative records that were previously scheduled under General Records Schedule 20, items 13 (word processing documents), 14 (e-mail), and 15 (electronic spreadsheets).

In order that we may respond as an agency to both NARA and OMB, please provide any comments to this office by November 12, 1998. If you have any questions, please contact [redacted] of my staff on [redacted] or email [redacted]@usdoj.gov.

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Attachment

66-HQ-C1190059-74

National Archives at College Park



8601 Adelphi Road College Park MD 20740-6001

October 19, 1998

TO: Agency Records Officers

SUBJECT: Agency comment on draft NARA bulletin

The Office of Management and Budget (OMB) has asked NARA to send the attached draft NARA bulletin for your review and comment as part of their review of the bulletin under Executive Order 12866. At OMB's request, also attached is a copy of a memorandum from [redacted] Chief, Information Technology Branch, Office of Information and Regulatory Affairs, to the CIO Council. The Archivist of the United States is sending a similar letter to Heads of Federal agencies.

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Please provide copies of your written comments to both OMB and NARA by November 19, 1998, to the addresses in [redacted] memo.

Questions should be directed to [redacted] (NPOL) at [redacted] or via e-mail at [redacted]@arch2.nara.gov, or via fax at [redacted]

Lewis J. Bellardo

LEWIS J. BELLARDO
Deputy Archivist of the United States

Attachments

NARA Bulletin No. 99-xx

TO: Heads of Federal Agencies

SUBJECT: Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)

EXPIRATION DATE: [2 years after issuance]

1. What is the purpose of this bulletin? This bulletin provides guidance to you on scheduling the electronic copies of program records and certain administrative records of your agency that were previously scheduled under GRS 20, items 13 (word processing documents), 14 (e-mail), and 15 (electronic spreadsheets).

2. To what records does this bulletin apply? This bulletin applies only to the electronic copies of scheduled records.

3. What do I do with electronic copies of unscheduled records? You must schedule electronic copies of unscheduled records and new records series in accordance with NARA Bulletin 98-02.

4. Why can't I use GRS 20? The 1995 edition of GRS 20, Electronic Records, authorized the deletion of electronic mail, word processing, and spreadsheet records from your computer after a copy was made for your file or other recordkeeping system. On October 22, 1997, the U.S. District Court for the District of Columbia issued an order declaring GRS 20 "null and void." The Government filed an appeal with the U.S. Court of Appeals for the District of Columbia. That appeal is pending.

5. What action has NARA taken?

a. Although the Government has appealed the Court's decision, we believe that we need to develop a different approach to the disposition of records created on electronic mail, word processing, spreadsheet, and other office automation applications than was provided in GRS 20. To that end, I formed an interagency Electronic Records Work Group (ERWG), consisting of selected Federal records officers and information management specialists, NARA staff, and State government and private sector consultants, with oversight by the Deputy Archivist of the United States. I charged the Work Group to identify appropriate areas for revision of the General Records Schedules, explore alternatives for authorizing the disposition of electronic copies of records, and recommend practical solutions for their scheduling and disposition.

b. On September 14, 1998, ERWG submitted its report to me as Archivist of the United States. This bulletin reflects my decisions on implementing the Work Group's first recommendation that you must schedule your program records and administrative records not covered by the GRS, in all formats.

c. This bulletin is only a first step toward a comprehensive solution to electronic records issues. We must develop together long-term plans for dealing with these issues. We will lead this effort and work in partnership with you to ensure steady progress in solving electronic records problems, as promised in my September 21, 1998, statement on the ERWG recommendations. (The statement is available on our GRS 20 web page at <<http://www.nara.gov/records/grs20/>>.)

6. What steps must I take? Review attachment B to this bulletin to determine whether you can revise and submit your records schedules in the next 180 days. If you cannot, you must develop and submit a plan within 180 days that outlines how you will revise your records schedules within the next two years.

7. What if I choose to submit a revised schedule? If you choose to submit revised schedules, you must do so no later than [180 days from date of bulletin]. Attachment B contains instructions for preparing and submitting revised schedules.

8. Will these revised schedules be available to the public? Yes. We will publish *Federal Register* notices on all schedules that you submit to allow interested parties to request a copy of each schedule and any associated appraisal reports from us. The notices will specify which schedules include electronic copies of records being scheduled in accordance with this bulletin.

9. What if I choose to submit a plan for schedule revision?

a. If you choose to submit a plan for schedule revision, you must do so no later than [180 days from date of bulletin]. Attachment B contains instructions for preparing and submitting the plan.

b. Before approving a plan, we must determine that you have: (1) identified all the areas that require scheduling; (2) devised an adequate strategy for doing the work required; and (3) outlined a logical sequence and schedule for completing the work. We will track your progress in completing the plan through the submission of SF 115s.

c. If we do not approve your plan as submitted, we will notify you of the plan's deficiencies and work with you to correct them.

10. What if I do not meet these deadlines? To continue your present disposition practices for electronic copies, you must submit your schedules and/or plans by the deadlines specified in paragraphs 7 and 9 of this bulletin.

11. What if I need help preparing schedules or plans?

a. We will review your submissions and work closely with you to approve your schedules and/or plans.

b. To assist you in preparing schedules and plans, we will provide no-cost training. Three-hour training sessions will be held on: [multiple dates]. Except for the ___ session, which will be held at the National Archives at College Park, training will be provided in the National Archives Building at 700 Pennsylvania Avenue in Washington, DC. Advance registration is required. Additional training sessions may be arranged at locations outside the Washington, DC, area, as needed.

12. How do I register for training? Contact [redacted] by telephone [redacted] FAX [redacted] or e-mail at <[redacted]@arch2.nara.gov>. Please provide your name, agency, the number of attendees, and a telephone and e-mail address for possible cancellations.

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13. Who do I contact for further information?

a. For general questions and comments concerning this bulletin contact Michael Miller, Director, Modern Records Programs, National Archives and Records Administration, 8601 Adelphi Road, Rm. 2100, College Park, MD 20740-6001 or by telephone (301-713-7110, ext. 229) or e-mail at <grs20@arch2.nara.gov>.

b. For preparation of plans and schedules address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.

JOHN W. CARLIN
Archivist of the United States

- Attachment A—Definitions That Apply to This Bulletin
- Attachment B—Instructions for Preparing Records Schedules for Electronic Copies and Plans for Scheduling Electronic Copies
- Attachment C—Sample Schedule Using Model 1
- Attachment D—Sample Schedule Using Model 2
- Attachment E—Sample Cover Letter for Plan
- Attachment F—Sample Plan

Definitions That Apply to this Bulletin

Administrative records. Those records created by several or all Federal agencies in performing common facilitative functions that support the agency's mission activities, but do not directly document the performance of mission functions. Administrative records relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting.

Related terms: PROGRAM RECORDS, RECORDS

Application Program. A complete, self-contained program that performs a specific function directly for the user. This is in contrast to system software such as the operating system kernel, server processes, and libraries, which exists to support application programs. (Source of definition: FOLDOC) (Examples: Word processing, spreadsheets, and electronic mail.)

Business Application. A specific application program, a set of such programs, or an electronic information system which supports an agency business function or process. (Example: Automated payroll system).

Business needs. An agency's need to conduct its business, maintain a record of its essential activities and decisions for its own use, support oversight and audit of those activities, and permit appropriate public access. Agencies have certain responsibilities under the Electronic Freedom of Information Act Amendments (EFOIA) to make records available in electronic format. Although NARA does not have the statutory authority to mandate how agencies comply with EFOIA, agencies should be aware that public access is one of several business needs that they need to consider in scheduling their electronic copies.

Electronic copies. As used in this bulletin, an electronic record created using office automation software such as word processing, spreadsheets, other desktop applications, or electronic mail, that remains in storage on the computer system after the recordkeeping copy is produced.

Electronic information system. A system that contains and provides access to computerized Federal records and other information. (Source: 36 CFR 1234.2)
(Examples: database systems used by IRS to maintain tax data, Social Security to maintain benefits data, Commerce Department to maintain census data.)

Electronic record. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301. (Source: 36 CFR 1234.2)

Electronic recordkeeping system. An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (Source: 36 CFR 1234.2)

Related terms: ELECTRONIC INFORMATION SYSTEM AND INFORMATION TECHNOLOGY RECORD

Information Technology. Any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information, including computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. (Source: *ITMRA* 5002(3))

Information Technology Record. A record that concerns the planning, acquisition, management, maintenance, or use of information technology, electronic information systems, or application programs, or that is necessary for the effective use of information technology.

Information Technology System. People, information technology, and methods organized to accomplish a set of specific functions.

Office Automation. The techniques and means used for the automation of office activities, in particular, the processing and communication of text, images, and voice. (Source: ANSI)

Office Automation System. Information technology used for office automation.

Program records. Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.

Related terms: ADMINISTRATIVE RECORDS, RECORDS

Recordkeeping copy. The copy of a record that is captured and maintained in a recordkeeping system.

Recordkeeping requirements. Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all media and to distinguish records from nonrecord materials and personal papers. (Source: 36 CFR 1220.14)

Recordkeeping system. A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (Source: 36 CFR 1220.14)

[Note: An electronic recordkeeping system may be either a distinct system designed specifically to provide recordkeeping functionality or part of another system. A distinct electronic recordkeeping system will comprise an application program which provides

recordkeeping functionality, data and metadata needed for management of the records controlled by the system, and any electronic records managed by the system. An electronic recordkeeping system may be part of another system, such as an application system or an electronic document management system, when the design of that system includes recordkeeping functionality.]

Records. Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (Source: 36 CFR 1220.14)

Related terms: ADMINISTRATIVE RECORDS, PROGRAM RECORDS

Records Schedule. Also called RECORDS DISPOSITION SCHEDULE, RECORDS CONTROL SCHEDULE, RECORDS RETENTION SCHEDULE, RECORDS RETENTION AND DISPOSITION SCHEDULE, OR SCHEDULE. A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business. The term refers to: (1) an SF 115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records; (2) a General Records Schedule (GRS) issued by NARA; and (3) a printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. (Source: 36 CFR 1220.14 and NARA publication A Federal Records Management Glossary, 1993 ed.)

Series-based review. The basis on which NARA appraises the potential research value of records by taking into account the value of whole series or systems of records. A records series is generally described as documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt or use.

System. People, machines, and methods organized to accomplish a set of specific functions. (Source: ANSI)

Sources of Definitions

ANSI Dictionary for Information Systems

FOLDOC "The Free On-line Dictionary of Computing, <http://wombat.doc.ic.ac.uk/>, Editor
Denis Howe"
ISO 2382 ISO, Vocabulary - Information Processing
ITMRA Information Technology Management Reform Act
36 CFR 36 CFR Chapter XII (NARA Regulations)

Instructions For Preparing Records Schedules For Electronic Copies And Plans For Scheduling Electronic Copies

- 1. What is the purpose of these instructions?** These instructions explain how to schedule your program records and administrative records not covered by General Records Schedules (GRS), in all formats. They supplement NARA regulations, guidance, and other instructions that already exist for scheduling records in general, as well as other types of electronic records apart from electronic copies.
- 2. Why can't I continue my present disposition practices?** We are adopting the *Electronic Records Work Group Report to the Archivist of the United States* recommendation that you should schedule your program records and administrative records not covered by the GRS in all formats, including electronic copies. Since the large majority of current agency records disposition schedules do not cover these records, you will need to obtain NARA-approved schedules for them. To comply with this requirement, you should extend existing schedule series items to cover the electronic copies, as well as the recordkeeping copies, of the program records and administrative records not covered by the GRS. If series are not currently scheduled, you should develop new schedule submissions to cover both recordkeeping and electronic copies as outlined in NARA Bulletin 98-02. (That bulletin is available on our GRS 20 web page at <http://www.nara.gov/records/grs20/>.)
- 3. What definitions apply to this guidance?** See Attachment A for a discussion of "administrative records," "electronic copies," "program records," "recordkeeping copies," "business needs," and other terms used in this guidance.
- 4. When should I submit revised schedules?** You should submit revised schedules as soon as possible. We do recognize, however, that agencies differ in terms of how much work is required to complete the task and how many resources are available. For that reason, we offer you a choice to submit either fully revised schedules or a plan for developing revised schedules over the next two years. You must submit either the revised schedules or a plan for revising your schedules by [date].

Preparing Records Schedules

- 5. How do I revise my previously approved schedules to include electronic copies?** You must ensure through a **series-based review** that any specific groupings of electronic copies with distinct value in terms of business needs, including both staff and public reference use, are maintained for adequate periods of time. This review may require that you request different retention periods for certain specific series of electronic copies.

Series-based review means that you must:

- 1) Review all existing agency records series that have related electronic copies requiring disposition authority;
- 2) Evaluate the internal business and reference needs, along with the potential external reference needs (including EFOIA), for the electronic copies; and
- 3) Develop proposed disposition authorities that:
 - a) indicate the relationship of electronic copies to the existing records series, and
 - b) provide for the appropriate disposition of electronic copies, and of related recordkeeping systems if these systems require revised disposition authority.
- 4) For records already scheduled as permanent, determine whether the electronic copies are in a format that meets our transfer standards for electronic records (36 CFR 1228.188). If so, you are encouraged to bring that fact to our attention. We will consider whether the electronic copies are suitable for archival preservation.

6. How should the schedule items be organized? You may organize the schedule items on a single or multiple SF 115s according to your organizational program, component, or functional area. We developed two scheduling models for you to use (see Attachments C and D). Regardless of the model chosen, you must follow the practices and procedures for inventorying and scheduling records as outlined in regulation (including 36 CFR 1220, 1228, 1234) and guidance (including *Disposition of Federal Records Handbook*). If you also are scheduling unscheduled records or revising other scheduled series, we encourage you to submit those schedules on separate SF 115s, following the guidance in NARA Bulletin 98-02. If you include them in the SF 115s for electronic copies of scheduled records, you must identify them clearly as new items.

7. What is the first scheduling model? Under *Model 1* you would add an appropriate disposition for the electronic copies formerly covered by GRS 20, items 13, 14, and 15, to every disposition instruction in your manual or records schedules. You should use Model 1 if: (a) you have determined that you have a business need and the technological capability to maintain electronic copies in addition to the paper (or electronic) records that are maintained as the recordkeeping copy; and (b) the electronic copies need to have varying retention periods; or (c) you can easily insert a separate disposition statement for the electronic copies for each individual series in the agency disposition manual.

8. What is the second scheduling model? Under *Model 2* you would group records by program, function, or organizational component and would propose disposition instructions for the electronic copies associated with each grouping. This format allows you to obtain approval for the disposition without having to physically annotate the disposition for each series of records. To use this model, first determine the most appropriate groupings for your records. If your schedules are organizational, you would most likely group records by organizational component. If you have a functional schedule, you would normally group records by functional area in accordance with the way your schedules or disposition manual are structured. You may

propose: (1) a single disposition for each grouping with some variation possible from group to group (this provides a common disposition for all series within each grouping) or (2) a single disposition for most series within a grouping, but with some exceptions to that common disposition for specific series. Regardless of which approach you choose, each proposed disposition should cite either the appropriate agency published disposition manual or the NARA disposition job number(s).

9. Which scheduling model should I choose? We strongly recommend using Model 1 because it is consistent with other scheduling practices and is the easiest to explain to staff and integrate into existing agency schedules and manuals. Model 1 will not require the extensive cross references necessary to integrate Model 2 into current agency schedules and therefore will help to avoid mistakes in the application of approved dispositions. However, we recognize that you may wish to provide grouped disposition authorities for multiple collections of electronic copies that have the same values and retention requirements. In that case, you could use Model 2.

10. How do I submit a revised schedule? You must submit a complete scheduling package covering electronic copies of program records and administrative records not covered by the GRS. The scheduling package must consist of one or more Standard Form 115s (Request for Records Disposition Authority), and a diskette containing electronic versions (in either WordPerfect, MS Word, or Hypertext Markup Language [HTML]) of the SF 115s. You must also provide adequate cross-references between approved records schedule items or disposition manual citations and the proposed new SF 115 items for electronic copies. Block 6 of the SF 115 requires certification that records proposed for disposal are not needed for agency business after the retention periods specified. Block 6 also certifies that the General Accounting Office has reviewed (or is in the process of reviewing) all proposed dispositions for program records retained for less than three years. (You may send the schedule to GAO for review at the same time that you submit it to us. We cannot complete approval of your submission until GAO concurrence is received.)

Preparing Plans for Scheduling

11. What if I can't revise all my schedules within 180 days? If you cannot prepare the scheduling package within 180 days, you must submit a plan to us for completion of scheduling within two years. Plans must provide a coherent strategy for submitting schedules for all electronic copies that lack disposition authority. We will work closely with you to ensure that the plan is realistic and that you demonstrate steady progress in meeting its milestones. See Attachments E and F for examples of a letter and a plan.

12. What should my plan submission include?

A. A letter to the NARA Director, Modern Records Programs, from your Chief Information

Officer (or other agency official authorized to commit agency resources to carry out the plan) stating that schedules cannot be submitted within 180 days. This letter must include a commitment to schedule your electronic copies in accordance with a plan proposed by you and approved by NARA. Also include the name and telephone number of your designated agency point of contact for the plan.

B. An explanation of why you choose to do a plan. Reasons might include:

- Existing schedules cover all programs but are significantly out of date and must be revised;
- Significant portions of your program areas are not covered by approved records disposition schedules;
- You must complete extensive inventories to determine the adequacy of your schedules;
- Guidance consistent with current NARA regulations concerning e-mail and other recordkeeping requirements has not been produced and disseminated to your staff;
- Recordkeeping guidance is not adequately implemented through training and evaluation; or
- You do not have the resources to complete schedule submissions for electronic copies within the time provided.

C. A plan for submitting schedules for all electronic copies. Your plan, covering a period not to exceed two years, must include:

- An assessment of your current disposition schedule along with a strategy for developing and submitting SF 115s. This strategy is linked to milestones (see below) and must reflect work necessary to develop schedules for electronic copies and may include other records that require new or revised disposition authorities. Your strategy should follow the practices and procedures for inventorying and scheduling records as outlined in regulation (including 36 CFR 1220, 1228, 1234) and guidance (including *Disposition of Federal Records Handbook*). If you cannot perform a detailed assessment of your schedule before submitting the plan, completion of the assessment and submission of a revised plan based on that assessment must be an early milestone.
- An assessment of the adequacy and implementation of all agency-issued recordkeeping guidance, including any existing guidance for e-mail and other electronic copies. NARA regulations for Federal agency records management guidance and implementation may be

found under 36 CFR 1220, 1222, 1228, and 1234. If your guidance is inadequate to ensure that records are appropriately maintained in recordkeeping systems for as long as needed, your plan should provide a strategy for bringing about the necessary improvements.

- Milestones for taking actions. We expect you to submit SF 115s incrementally throughout the period of the plan. These continuous submissions (covering segments of your activities, e.g., organizational program, component, or functional area) will demonstrate steady progress in scheduling your program and non-GRS administrative records and improving electronic recordkeeping guidance and guidance implementation where necessary.

D. Please include a diskette containing the electronic version (in either WordPerfect, MS Word, or Hypertext Markup Language [HTML]) of the plan.

13. Should my plan give priority to certain records? When developing your plan, you should consider such criteria as potential research use and other appropriate public access, when determining which schedules for electronic copies should be developed and submitted first. If you do not have specific internal priorities, you should begin with those programs or organizational units that produce records already appraised as permanent in other formats (e.g., paper). In addition, you should give priority to scheduling electronic copies for temporary records that you recognize as having significant internal or external reference value during their approved retention periods.

14. What if I am able to revise some but not all of my schedules within 180 days? You may submit schedules for segments of your electronic copies in conjunction with a plan for scheduling the remainder of your records. In such cases, your plan would describe the submitted schedules as early milestones.

15. What if NARA does not approve my plan? We will notify you of the plan's deficiencies and work with you to correct those deficiencies.

Sample Schedule Using Model 1

The following is an example of a Model 1 schedule covering records of a single component office of an agency. Were this an actual situation, you would either include in the schedule items for the series your other components accumulate or you would submit additional schedules covering your other components.

1. Director's Correspondence Files: Correspondence of the Director and Deputy Director with other Federal agencies, the White House, members of Congress, trade associations, and undersea transporters.

- a. Recordkeeping copy (paper): Permanent (N1-888-93-1/1)
- b. Electronic copies: Delete after recordkeeping copy has been produced.
- c. Electronic index to Director's Correspondence: Permanent (N1-888-93-1/1a)
Transfer to NARA in accordance with 36 CFR 1228.188.

2. Publications: Copy of each pamphlet, bulletin, report, booklet, brochure, leaflet, fact sheet, newsletter, or other material for public distribution published by FUSTA, with related background files.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/2)
- b. Electronic copies: Delete after recordkeeping copy has been produced.

3. Budget Spreadsheets. Contains budget requests from all agency program elements as well as the official consolidated agency request for each fiscal year.

- a. Recordkeeping copy (electronic spreadsheet files): Delete when six years old. (N1-888-91-1/9a).
- b. Printouts: Destroy when two years old.

4. Speeches, Addresses, Comments: Speeches, addresses and comments made by the Director or designated staff members at official functions or formal ceremonies.

- a. As delivered:
 - i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/4a)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

b. As printed and distributed.

i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/4b)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

5. Informational Releases: Copy of informational releases such as News Releases, Press Releases and Biographical sketches of the FUSTA Directors and Deputy Directors, with related background papers.

a. Copy of final document as released

i. Recordkeeping copy (paper): Permanent. (N1-888-88-1/5a)

ii. Electronic Information Release File. Electronic system containing full text of all FUSTA information releases (except biographies): Permanent. Transfer to NARA in accordance with 36 CFR 1228.188 in annual increments at end of calendar year.

iii. Other electronic copies: Delete after recordkeeping copy and electronic information release copy have been produced.

b. Drafts, concurrences, and other background papers

i. Recordkeeping copy (paper): Disposable. (N1-888-88-1/5b)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

6. FUSTA Annual Reports:

a. Record set maintained by Public Affairs Staff.

i. Recordkeeping copy (paper): Permanent. (N1-888-91-1/10)

ii. Electronic copies: Delete when five years old.

b. Background papers, including drafts.

i. Recordkeeping copy (paper): Disposable. (N1-888-91-1/2)

ii. Electronic copies: Delete after recordkeeping copy has been produced.

7. Organization and Directive Files: Final approved and signed record copy of formal directives, information bulletins, procedural and operating manuals, organizational charts and function statements.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/7)
- b. Official electronic copy. Copy maintained electronically for access by staff and the public. Delete when five years old.
- c. Other electronic copies: Delete after recordkeeping copy and official electronic copy have been produced.

8. General Counsel's Subject Files: Correspondence, memorandums, reports and other records relating to general legal matters

- a. Recordkeeping copy (paper): Disposable. (N1-888-88-1/8)
- b. Electronic copies: Delete after recordkeeping copy has been produced.

9. Legal Opinions: Legal Opinions issued by the General Counsel, with related background papers.

- a. Recordkeeping copy (paper): Permanent. (N1-888-88-1/9)
- b. Electronic copies: Delete when three years old.

10. Public Comments. Incoming and outgoing letters and messages relating to public comments about agency programs, policies, and operations. Note: FUSTA instituted a public e-mail box to support this function in 1995.

- a. Comments submitted in hard copy: Disposable--destroy when five years old. (N1-888-93-1/12)
- b. Comments submitted electronically: Delete when five years old.

Sample Schedule Using Model 2

The following is an example of a Model 2 schedule that an agency has submitted to cover all of its electronic copies. Because the agency's organizational components have separate schedules, it has chosen to group records by component.

1. Records accumulated by the Office of Policy, FUSTA.

- a. Electronic copies for all series covered by Disposition Job N1-888-88-3 except those listed under Item 3(b)

Delete after recordkeeping copy has been produced.

- b. Electronic copies of Policy Memorandums

Delete when memorandum is superseded or when 2 years old, whichever is later.

2. Records of the Office of Regulatory Affairs, FUSTA.

- a. Electronic copies for all series covered by Disposition Job N1-888-88-4, except for records covered by-items 4(b) and 4(c).

Delete after recordkeeping copy has been produced.

- b. Electronic copies of regulations

Delete 2 years after regulation is superseded.

- c. Database of Regulations Systems (DORS). Electronic system containing all current and proposed FUSTA regulations. Permanent. Transfer to NARA in accordance with 36 CFR 1228.188.

- d. White House Referrals. Complaints from carriers and the public concerning FUSTA regulations referred to FUSTA by the White House. (NEW ITEM)

- i. Recordkeeping copy (paper)

Destroy when five years old.

- ii. Electronic copies

Delete after recordkeeping copy has been produced.

3. Electronic copies of records accumulated by Office of Administration, FUSTA, that are covered by Disposition Job N1-888-88-2, excluding series covered by the General Records Schedules.

Delete after recordkeeping copy has been produced

4. Electronic copies of records of the Office of Inspections and Investigations, FUSTA, covered by Disposition Job N1-888-88-5.

Delete after recordkeeping copy has been produced.

Sample Plan Letter

Mr. Michael Miller
Director, Modern Records Programs (NWM)
National Archives and Records Administration
8601 Adelphi Rd.
College Park, MD 20740-6001

Dear Mr. Miller:

(Proposal to submit plan/estimated date of complete implementation)

In accordance with NARA Bulletin 99-xx, the Federal Undersea Transportation Administration (FUSTA) has prepared a plan to schedule by June 2000, the electronic copies associated with record series not covered by the General Records Schedules. We have chosen this approach because we will not be able to prepare schedules for these records within the 180 day time frame specified in the Bulletin.

(Reason plan is needed)

Our schedules require substantial revision. Preparing updated schedules, particularly for several major FUSTA components, will entail considerable effort and cannot be accomplished in 180 days. Instead, we will prepare and submit schedules in accordance with the milestones specified in our plan, which is enclosed.

(Point of contact)

If you have any questions concerning our plan, please contact [redacted] Chief, Records Management Staff, on [redacted]

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Sincerely,

JOHN SMITH
Director

Enclosure

Plan for Scheduling Electronic Copies of Records of the Federal Undersea Transportation Administration (FUSTA)

Introduction

As indicated in the attached letter from the Director, FUSTA cannot complete schedules for its electronic copies of records created by office automation systems within the time frame specified in NARA Bulletin 99-xx. Consequently, we submit this plan, which, in accordance with Bulletin 99-xx, includes an assessment of our current schedules, an assessment of our recordkeeping guidance, and milestones for completing schedules within two years.

Assessment of current agency schedules

FUSTA is comprised of five organizational components: Office of the Director, which includes the General Counsel, Congressional Liaison, Public Affairs, and other staff offices; Office of Administration, which is responsible for personnel, budget, and other administrative functions; Office of Policy, which develops overall policies in the area of undersea transportation; Office of Regulatory Affairs, which formulates and issues rules and regulations; Office of Inspections and Investigations, which monitors compliance with FUSTA rules and regulations. All FUSTA offices are located in Washington, DC, except for the Office of Inspections and Investigations, which has field offices in eight major ports in addition to a Washington-based central office.

In 1987, two years after FUSTA's establishment, five schedules were approved by NARA, one for each of the offices discussed above: N1-888-88-1 (Office of the Director), N1-888-88-2 (Office of Administration), N1-888-88-3 (Office of Policy), N1-888-88-4 (Office of Regulatory Affairs), and N1-888-88-5 (Office of Inspections and Investigations). Together, these schedules covered all FUSTA records. In the early 1990s, three additional schedules were submitted, each covering one or two new series, mainly in the Office of the Director. All eight approved schedules have been consolidated in a printed issuance, FUSTA Handbook 1500. The current edition was issued in January 1995.

Schedules for the Office of the Director, the Office of Administration, and the Office of Policy are relatively complete and up-to-date. The Office of the Director's schedules are complete and up-to-date and a scheduling package has been submitted separately from this plan. The activities of the latter two offices, their recordkeeping practices, and the record series they accumulate have changed little since 1987. However, a small number of new series may now accumulate in these offices and it is possible that retention periods for some temporary records warrant revision.

Schedules for the Office of Regulatory Affairs and the Office of Inspections and Investigations warrant considerable revision. Since 1987, the types of rules and related investigations have expanded considerably. In addition, in the early 1990s, each of these offices assumed responsibility for certain staff functions formerly provided by staff in the Office of the Director.

Finally, the Office of Regulatory Affairs and the Office of Inspections and Investigations have developed a variety of electronic systems, particularly in the last three years. None of these developments is reflected in current schedules.

Assessment of recordkeeping guidance and its implementation

Chapter I of FUSTA Handbook 1500 contains guidance that addresses such issues as the ownership of official FUSTA records, when drafts and other work papers must be treated as official records, the need to document decisions reached in meetings or telephone conversations, and the distinction between personal files and official records. Agency Directive 1500.1, issued in June of 1996, provides guidance to FUSTA staff concerning e-mail. Both these issuances are up-to-date and are based on NARA guidance.

All FUSTA offices (down to the section level) have a copy of FUSTA Handbook 1500, which is also available on our internal website. Agency Directive 1500.1 was provided to all employees and also is available on our website. Annually, members of the FUSTA records management staff (which is part of the Office of Administration) visit individual offices and provide one hour briefings to staff on all records issues and answer questions. In addition, records management staff spot-check files in the course of these visits to ensure that offices are maintaining records properly. These reviews have shown that official agency files are generally complete and include, where appropriate, drafts and other work papers and electronic mail messages with all necessary transmission information. We, therefore, believe guidance is being implemented adequately.

Milestones for taking actions

February - June 1999. The Director of FUSTA will inform staff of new records management scheduling initiative and remind them of recordkeeping requirements for e-mail and other office automation electronic copies through all-staff directives. The Director will establish an oversight group, including information technology, records management and key program officials, to provide guidance and direction for the effort. The oversight group will assemble a records management team and develop procedures for surveying and scheduling FUSTA records.

July - August 1999 - FUSTA records management team will survey records of the Office of Administration and the Office of Policy. Records management team will primarily rely on input from records liaisons in these offices, but may make some on-site visits.

September 1999 - Records officer will submit schedules for the Office of Administration and Office of Policy to NARA.

October - December 1999 - Records management team will survey records of the Office of Regulatory Affairs and its component offices. Records management team will take active role in

on-site review of files, with assistance of records liaisons in individual offices.

January 2000 - Records management team will develop schedule for the Office of Regulatory Affairs and clear it internally.

February 2000 - Records officer will submit schedule for the Office of Regulatory Affairs to NARA.

February - April 2000 - Records management team will survey records of the Office of Inspections and Investigations. Records management team will take active in on-site review of files, including visits to several field offices.

May 2000 - Records management team will develop schedule for the Office of Inspections and Investigations and will clear it internally.

June 2000 - Records officer will submit schedule for the Office of Inspections and Investigations to NARA.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

OCT 19 1998

MEMORANDUM FOR THE AGENCY CHIEF INFORMATION OFFICERS

FROM:

[redacted] Chief [redacted]
Information Policy and Technology Branch
Office of Information and Regulatory Affairs

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SUBJECT:

Final Opportunity for Comments on Electronic Recordkeeping Bulletin

This memorandum requests your comments on the attached National Archives and Records Administration (NARA) Bulletin, which provides guidance on scheduling electronic records that were previously covered by General Records Schedule (GRS) 20, items 13-15. This draft is being circulated for inter-agency review prior to final issuance under the provisions of E.O. 12866.

This draft bulletin reflects changes that NARA has made in response to previous agency comments on the draft Electronic Records Work Group report. We appreciate the many agency comments previously received on the policies contained in earlier versions of this Bulletin, including an initial draft sent out by NARA for informal review on June 12, 1998 (*NWM 11.98, dated June 12, 1998*), and a revised draft, published in the *Federal Register* on July 21, 1998 [Volume 63, Number 139], and corrected by the Notice appearing on page 40583 in the *Federal Register*, July 29, 1998 [Volume 63, Number 139].

Given the importance of sound, cost-effective management of electronic records, I again seek your agency's comments on this important bulletin. Please provide your views not only on the content and clarity of the guidance, but also as to any programmatic or budgetary implications of implementing this guidance. Separate copies of the draft bulletin are being transmitted to your agency head and records officer by NARA. Please ensure that your agency's comments are fully coordinated. We appreciate the time and effort you expend to review the attached.

Comments are due November 19, 1998. Comments should be provided:

Attn: [redacted] c/o OMB Docket Library, Room 10102, New Executive Office Building, 725 17th Street, NW, Washington, DC 20503; by facsimile [redacted] or by electronic mail [redacted]@omb.eop.gov).

A copy of your comments should be sent to:

[redacted] (NPOL) at NARA, Room 4100, 8601 Adelphi Road, College Park, MD, 20740-6001; or via e-mail [redacted]@arch2.nara.gov).

To assure a full deliberative process, please be reminded that the draft and your comments should not be shared outside the Executive Branch during this review. OMB and NARA have agreed that agency comments will be made available to the public after NARA publishes the bulletin.

National Archives at College Park



8601 Adelphi Road College Park MD 20740-6001

November 13, 1998

[Redacted]

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b7C

Federal Bureau of Investigation
Room 4933
935 Pennsylvania Ave., NW
Washington, DC 20535

Dear [Redacted]

We are withdrawing and returning without action Job No. N1-65-99-1, covering North Atlantic Treaty Organization (NATO) documents. After reviewing these documents, appraisal archivist [Redacted] concluded that the records are covered under Classification 62 (item 20, Liaison With Foreign Governments and International Bodies) and are correctly scheduled as permanent. If you have any questions she may be reached at [Redacted]

Sincerely,

[Redacted Signature]

Supervisory Archivist
Life Cycle Management Division

Enclosure

66-HQ-1190059-75

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-65-99-1

DATE RECEIVED

10-21-98

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

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment)

Department of Justice

2. MAJOR SUBDIVISION

Federal Bureau of Investigation

3. MINOR SUBDIVISION

Information Resources Division

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE EXT.

DATE

ARCHIVIST OF THE UNITED STATES

11/13/98

WITHDRAWN

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6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

Archives Specialist

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

NORTH ATLANTIC TREATY ORGANIZATION DOCUMENTS / FILES

Documents/files which originated with the member organizations and/or organizational management structure of the North Atlantic Treaty Organization (NATO) resident within an administrative file of the Federal Bureau of Investigation (FBI) -- [FBI file 62-98719].

Documents/files are furnished to the FBI routinely as part of a cooperative liaison agreement between NATO and the FBI. Ownership and full control of the material continues with NATO as originator of the documents/files. The security classification level of the documents/files is maintained at various levels. In accordance with NATO regulations non-NATO holders of the material are obligated to reduce their holdings on an annual basis.

NATO regulation 112.a states as follows:

"All holders of NATO classified material shall review their holdings at least annually to ensure NATO classified material is reduced to the maximum extent possible. Holders shall not permanently retire NATO classified documents."

DISPOSITION: Review FBI file 62-98719 on an annual basis. Remove and destroy all NATO classified material when one year old or when all needs have expired whichever is later.

INSTRUCTIONS

GENERAL

Use Standard Form 115 (available from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115-A (available from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, DC 20408) to obtain authority to dispose of records or to request the scheduling of records for permanent retention. Detach the fifth copy from the set and keep it as your reference copy. Submit the first four copies of the set to the National Archives and Records Service (NARS). NARS will later return one copy to the agency as notification of the items authorized for disposal or scheduled for permanent retention. This copy will also indicate any items withdrawn or disapproved for disposition. Written approval from GAO must accompany each SF 115 requiring Comptroller General concurrence.

Offer nonrecurring series of records eligible for immediate transfer to the National Archives by submitting a Standard Form 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States. Do not submit an SF 115 to offer such records.

SPECIFIC

Entries 1, 2, and 3 should show what agency has custody of the records identified on the form and should contain the name of the department or independent agency and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 must be signed and dated on the four copies submitted by the agency official authorized to certify that the proposed retention periods reflect agency needs. Unsigned SF 115s will be returned to the agency without action. The number of pages involved in the request should be indicated.

One box under Entry 6A, GAO concurrence, must be checked. If neither box is checked, the form will be returned to the agency without action.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc. Subcomponents of items may be numbered consecutively as 1a, 1b, 1c, etc.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(1) Include centered headings for appropriate groups of items to indicate the office of origin if all records described on the form are not those of the same office or if they are records created by another office or agency as, for example, records inherited from a defunct agency.

(2) Identify any nontextual records, such as photographic records, sound recordings, maps, architectural drawings, or machine-readable tapes or disks, as separate and distinct items.

(3) Describe completely and accurately each series of records proposed for disposal or scheduled transfer to the National Archives. See 41 CFR 101-11.4 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(4) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records are to be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for permanent records, the time after which they will be transferred to the legal custody of the National Archives.

(5) If immediate disposal is requested for past accumulations of records, indicate the volume and inclusive dates of the records, and the Federal records center accession and box numbers, if applicable.

(6) If future or continuing disposal authority is requested for records that have accumulated or will continue to accumulate, express the retention period in terms of years, months, etc., or in terms of future actions or events. Ensure that any future action or event that must precede disposal is objective and definite. Instructions for scheduled transfer of permanent records to the National Archives must also follow these guidelines.

(7) If records are to be destroyed after microcopying or conversion to machine-readable media, schedule both the original paper copy and film or machine-readable file. If records are filmed, include on the SF 115 the certifications required by 41 CFR 101-11.5. Failure to do so will result in the return of the SF 115 without action.

Entry 9 must include the previous NARS job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 41 CFR 101-11.4. Leave column 9 blank only if the items are being scheduled for the first time. For all other items, it is mandatory to provide information on superseded schedules or GRS cross-references. If such information is missing from column 9, the SF 115 will be returned without action.

Entry 10 is for NARS use only and should be left blank.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 19, 1998

NWM 3.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: NARA Endorsement of DoD 5015.2-STD.

On November 18, 1998, the Archivist of the United States sent a letter to the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence), stating that Department of Defense (DoD) 5015.2-STD, *Design Criteria Standard for Electronic Records Management Software Applications* (DoD standard), conforms with the requirements of the Federal Records Act and the implementing records management regulations found in 36 Code of Federal Regulations, 1220-1238. The letter also stated that NARA would inform other Federal agencies that we endorse the DoD standard as establishing baseline requirements for automated record keeping. A copy of that letter is attached. A link to the DoD standard is found on NARA's records management web page [<http://www.nara.gov/records/>].

We are very pleased to be able to point to our partnership with DoD as an example of an effective collaboration that may provide benefits to the Federal government beyond our two agencies. NARA has worked closely with DoD on the DoD standard from the start, and our review of the standard was a second step in the process to see if we could recommend its use beyond DoD. This memorandum notifies you that we can. The third step, NARA's review of the software certification testing process, is under way and should be completed in the second quarter of FY 1999. We will report the results of that review in a future memorandum to records officers. For now, we must emphasize that NARA endorsement of the standard is not equivalent to endorsement of RMA software that has been certified as compliant with the DoD standard by the Joint Interoperability Test Command (JTIC) of the Defense Information Systems Agency.

Our endorsement approves the current DoD standard as one possible approach to managing electronic records. There may be other equally valid ways of doing things, especially in the area of automating individual work processes. NARA is working to facilitate the transition to electronic recordkeeping in the Federal sector. However, before moving to any electronic recordkeeping, agencies should fully investigate whether their business needs and the existing technology make electronic recordkeeping a good choice now. Agencies that want to begin the process of moving to electronic recordkeeping are encouraged to review this standard to see whether it will meet their needs.

This memorandum provides additional important information you will need if you decide to adopt or use the DoD standard to design an electronic recordkeeping system or to acquire commercial records management software products for your agency.

66-HQ-C1190059-76

1. The functional criteria in the DoD standard, taken together, represent an appropriate starting point for an automated records management system, but they do not cover all aspects of the records life cycle. The DoD standard is not a static document. It will be subject to periodic revision and NARA review of those changes. Already, NARA and DoD have agreed informally that two optional criteria in the current standard should be made mandatory in the next version. Optional requirement C3.2.11 is for a thesaurus to provide vocabulary control to be used by end users to help group records and is a means of minimizing errors in records management metadata entry. (While NARA believes that vocabulary control is an essential criterion, a thesaurus may not be the only way to achieve it.) Optional requirement C3.2.3, requiring the records management application (RMA) to have the capability to store and link different versions of the same record in the repository, would afford end users the ability to distinguish between versions of the same record. If you implement an RMA based on the current 5015.2-STD, we strongly encourage you to include these optional requirements in the software functionality specification.

DoD is also working on an extension to the standard to address national security classification marking and redaction. NARA is working with DoD to extend a future version of the standard to include transfer of permanent records to NARA.

2. The DoD standard and commercial RMA software packages are not “out-of-the box” easy or quick solutions for managing your electronic records. RMA software only operates in the context of an agency's records management program, policies, and procedures. For example, the DoD standard specifies “e-mail name” as part of the recordkeeping metadata associated with e-mail records. NARA's Office of General Counsel has interpreted the *Armstrong v. EOP* decision to require an intelligent representation of the e-mail account name (i.e., “Michael Miller” as opposed to “mmiller”). An RMA cannot do this automatically unless the e-mail package provides it. Steps must be taken when implementing an RMA built to 5015.2-STD specifications to ensure that intelligent representation of an e-mail userid account name is captured, either via modification of the automated interaction between the e-mail package and the RMA, or via implementation procedures requiring end users to supplement the information automatically passed between the applications.

DoD is developing a manual detailing procedures specific to the DoD environment to accompany the implementation of records management software to ensure that all of the statutory and regulatory requirements for managing Federal records are satisfied, including e-mail name representation and development of system administration procedures to minimize the persistence of deleted records on disaster recovery backups. Each agency must address the capabilities and limitations of the software package it selects and will need to update its procedures and train its users.

3. The DoD functional criteria need to be considered in toto, not as individual choices. If your system specifications for an electronic recordkeeping system do not include all of the DoD functional criteria, your system may not meet all of the requirements of the Federal Records Act and NARA regulations. Our review of the DoD standard to ensure that it met legal requirements was lengthy and detailed, and we are convinced that it is a standard that can be used by other agencies that are ready to begin implementing automated recordkeeping now. NARA does not

have the staff resources necessary to conduct similar detailed reviews of individual agency recordkeeping system specifications at the same time as we work to develop electronic records management guidance that benefits all agencies. Therefore, we will concentrate our efforts in the next year on electronic records partnerships and activities that have the potential for wide applicability.

NARA endorsement of DoD standard 5015.2-STD represents the beginning, and only one of the many NARA activities related to electronic records management. Internally, NARA is organizing and broadening the records management framework of its guidance and policy to address electronic records management issues. This effort, in part, requires the identification of salient records management questions related to each phase of the record life cycle for various formats of electronic records (e.g., text records, spreadsheets, video, databases, etc.). Some of the questions related to this framework have already been identified by previous research funded by NARA's National Historical Publications and Records Commission. Some will be identified and addressed in other venues.

Collaboration with the Department of Defense is another important mechanism by which NARA will advance electronic records management capability. DoD 5015.2-STD is an important, incremental step in addressing such issues. Next steps include completion of the NARA evaluation of the JITC software certification testing program and working with DoD to extend the existing standard to incorporate other records management functionalities. As the Archivist of the United States detailed in his September 21 statement in response to the report of the Electronic Records Work Group, there are a number of other joint projects with DoD that will further work in the arena of electronic records management, such as: working with the Defense Advanced Research Projects Agency to use the power of supercomputers to test records life-cycle management solutions for large quantities of data and working with the Army Research Laboratory on tools available to process records generated by office automation software.

Finally, as recommended by the Electronic Records Work Group, NARA is also establishing a follow-on group to begin the systematic development of necessary guidance on electronic records management issues. We will continue to inform you of additional developments regarding these and other partnerships. Please monitor NARA's web site [<http://www.nara.gov/records/>] for background information as well as recent documents on this topic.



MICHAEL L. MILLER
Director
Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NOV 18 1998

Honorable Arthur L. Money
Senior Civilian Official
Assistant Secretary of
Defense (Command, Control,
Communications and Intelligence)
6000 Defense Pentagon
Washington, DC 20301-6000

Dear Mr. Money:

In December, 1997, your predecessor and I signed a memorandum of understanding (MOU) establishing a partnership between DoD and NARA on records management initiatives. As a first step in this partnership, NARA agreed to "evaluate the DoD Baseline Requirements for Records Management Applications (RMA), with a view towards endorsing these requirements as an adequate and appropriate basis for addressing the basic challenges of managing records in the automated environment that increasingly characterizes the creation and use of records."

NARA has completed an intensive review of the DoD requirements, as embodied in Design Criteria Standard for Electronic Records Management Software Applications, DoD 5015.2-STD. We have determined that the DoD standard generally conforms with the requirements of the Federal Records Act and the implementing records management regulations found in 36 Code of Federal Regulations 1220-1238. I am pleased to inform you that NARA will endorse the use of the DoD standard by Federal agencies.

I am also pleased to send you the attached report of our evaluation. As the report details, we found no critical shortcomings in the DoD standard. However, during our review, we did identify four areas of concern. Two of the concerns can be addressed in the next iteration of the DoD standard, and the other two are most appropriately addressed through guidance supplementing the standard. Of particular note is an issue concerning the intelligent representation of user ID account names on e-mail records. This issue poses significant technical challenges given the current state of technology.

These findings in no way jeopardize our overall endorsement of the current DoD standard. However, DoD and NARA will need to address them in the future. We have shared these concerns and findings informally with your staff, and I understand they have responded positively. I am certain we can finalize a common approach to all four issues through the collaborative effort established in our MOU.

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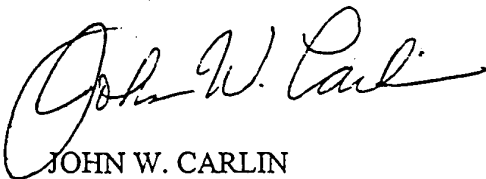
I will shortly communicate to other agencies that NARA does endorse the DoD standard as establishing baseline requirements for managing records. It must, however, be understood that this is not an exclusive endorsement. That is, while the DoD standard is an appropriate basis for records management, there may be other, equally valid ways to address this challenge. NARA is participating in other partnerships which are exploring such alternatives.

In announcing NARA's endorsement of the DoD standard, we will need to draw attention to the fact that, as DoD recognizes, DoD 5015.2-STD defines only a baseline set of requirements for automated records keeping. There are a number of additional questions that must be resolved in order to satisfy all the established requirements for managing federal records. Each agency must address some of these questions to fit their own environment, such as you are planning to do by developing a manual detailing procedures to accompany the implementation of any records management software. We recognize the necessity of this effort and concur with it. We will gladly offer our assistance to your staff during their development of this operational guidance. This guidance should be useful to other agencies which decide to adopt the DoD standard. We look forward to continued collaboration with DoD both on addressing these implementation issues and on extending the baseline, as provided in the MOU.

It must also be clear that NARA's endorsement of the DoD standard is not an endorsement of any of the products that may be certified as compliant with the standard. As provided in the memorandum of understanding, NARA has initiated a review of DoD's test and certification program for RMA products. I will inform you of the results of this second stage of our review as soon as possible.

The two part review of the DoD standard and the certification program will set the stage for further collaboration between our agencies in extending the baseline that DoD has established. I look forward to an extensive and fruitful partnership. These include extending the standard to accomplish both the management of records over their entire lifecycle and classification marking and redaction of records containing sensitive information.

Sincerely,



JOHN W. CARLIN
Archivist of the United States

Enclosure



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

June 8, 1999

[Redacted]

Assistant Branch Chief
Reference Service Branch
Washington National Records Center
National Archives and Records Administration
4205 Suitland Road
Suitland, Maryland 20746-8001

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Dear [Redacted]

The purpose of this letter is to provide authorization for [Redacted] Civilian Payroll Technician, assigned to the Payroll Administration and Processing Unit, Accounting Section, Finance Division, Federal Bureau of Investigation (FBI), to review official FBI records currently maintained at your facility.

The records to which [Redacted] will require access are FBI Payroll Cards previously transferred to the WNRC under Accession Number 065-76-0007. [Redacted] will contact the Reference Service Branch directly in order to arrange an appointment to review these records.

Your cooperation and assistance is greatly appreciated and any questions concerning this matter may be directed to me at [Redacted]

Sincerely yours,

b6
b7C

[Redacted]

Archives Specialist

- Dep. Dir. _____
- ADD Adm. _____
- ADD Inv. _____
- Asst. Dir.:
- Adm. Servs. _____
- Crim. Inv. _____
- Ident. _____
- Insp. _____
- Intell. _____
- Lab. _____
- Legal Coun. _____
- Rec. Mgnt. _____
- Tech. Servs. _____
- Training _____
- Cong. Affs. Off. _____
- Off. of EEO _____
- Off. Liaison & _____
- Int. Affs. _____
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____

66F-HQ-C1190059 - 77

[Redacted] Room 1885

[Redacted] Room 10475

MAIL ROOM



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

July 23, 1999

[Redacted]

Room 2100
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740

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Dear [Redacted]

Reference is made to the July 15, 1999, facsimile transmission, with attachments, from [Redacted] of the Life Cycle Management Staff of the National Archives and Records Administration (NARA) to [Redacted]

Please be advised that a thorough and complete search of the indices to the Federal Bureau of Investigation (FBI) Central Records System failed to disclose any record pertaining to Professor [Redacted]. Based on a review of the information provided in the referenced facsimile, a search was also conducted of the indices in the FBI Field Offices located in Kansas City, Missouri and San Francisco, California. These locations are the FBI field offices with the responsibility of handling matters related to activities at the Leavenworth and Alcatraz Federal Penitentiaries respectively. The indices searches in these field offices also failed to disclose any record relative to your inquiry.

Based on information obtained from FBI employees familiar with the procedures of the former Identification Division, now known as the Criminal Justice Information Services Division, information from the FBI fingerprint records was

- 1 - IRD Front Office, Room 5829
- 1 - Mr. Weaver, Room 9998
- 1 - [Redacted] Room 10475
- 1 - [Redacted] Room 10475
- 1 - [Redacted] Room 4933
- 1 - [Redacted] Room 4933

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- Dep. Dir. _____
- ADD Adm. _____
- ADD Inv. _____
- Asst. Dir.: _____
- Adm. Servs. _____
- Crim. Inv. _____
- Ident. _____
- Insp. _____
- Intell. _____
- Lab. _____
- Legal Coun. _____
- Rec. Mgnt. _____
- Tech. Servs. _____
- Training _____
- Cong. Affs. Off. _____
- Off. of EEO _____
- Off. Liaison & Int. Affs. _____
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____

WS:ws (8)

MAIL ROOM

66F-HQ-C1190059-78

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[redacted]
National Archives and Records Administration

furnished for "official use only" to law enforcement personnel and/or agencies and only in copy form. No original FBI records would have been provided to these individuals or agencies requesting such material.

I hope this information will assist NARA in resolving this matter. If you have any further questions, please contact me at [redacted] or FBI Archives Specialist [redacted]

[redacted] at [redacted]

Sincerely,

Dennis R. Weaver
Section Chief
Information Management Section
Information Resources Division



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

October 13, 1999

Regulation Comment Desk (NPOL)
Room 4100
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740-6001

To Whom It May Concern:

Reference is made to the Memorandum To Agency Records Officers (NWM 20.99) dated September 17, 1999, which requested information pertaining to the use of commercial records centers by Federal agencies.

Please be advised that the Federal Bureau of Investigation (FBI) currently has a contract with the National Underground Storage (NUS) Facility which is located near Boyers, Pennsylvania and operated by Iron Mountain, Incorporated.

At the present time, the FBI has approximately 1,100 cubic feet of records stored in this facility. These records include textual case files from the various foreign Legal Attache offices of the FBI which have been converted to microfiche, records which have been placed under seal by the United States District Court for the District of Columbia and personnel records of former FBI employees (circa 1920).

If you have any questions or require more information, please contact FBI Archives Specialist [redacted] at [redacted]

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Sincerely,

66F-HQ-C1190059-79

Dennis R. Weaver
Section Chief
Information Management Section
Information Resources Division

- Dep. Dir.
ADD Adm.
ADD Inv.
Asst. Dir.:
Adm. Servs.
Crim. Inv.
Ident.
Insp.
Intell.
Lab.
Legal Coun.
Rec. Mgnt.
Tech. Servs.
Training
Cong. Affs. Off.
Off. of EEO
Off. Liaison & Int. Affs.
Off. of Public Affs.
Telephone Rm.
Director's Sec'y

1 - Mr. Weaver, Room 9998
1 - [redacted] Room 10475
1 - [redacted] Room 10475

1 - [redacted] Room 4933
1 - [redacted] Room 4933

WS:WS (7)
MAIL ROOM

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 10/13/1999

To: Information Resources

Attn: [Redacted]

Room 5829

From: Information Resources

IMS/FSU/RDASU

Contact: [Redacted]

Ext. [Redacted]

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b7C

Approved By: Friedman Robert J Jr

Llewellyn A B

Weaver Dennis R

Drafted By: [Redacted]

✓**Case ID #:** 66F-HQ-1190059-80

Title: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
OFFICE OF REGIONAL RECORDS SERVICES (ORRS)

REQUEST ALLOCATION OF FUNDS FOR SERVICE
STORAGE OF FBI RECORDS MAINTAINED BY
NARA, ORRS, DURING FY 2000

Synopsis: To request funds in the amount of \$23,815 be approved and allocated in the FY 2000 IRD Spending Plan for Service/Storage of FBI records maintained by ORRS, NARA during FY 2000.

Enclosures: Copy of Routing and Transmittal Slip from D. M. Stanton, NARA, NR, to [Redacted] dated 9/23/1999; copy of letter from [Redacted] to Mr. Dennis R. Weaver, dated 5/24/1999; copy of National Archives and Records Administration Interagency Agreement; a description of baseline services to be provided under the reimbursable program; an updated FY 2000 cost estimate; and FD-369, (Requisition Number 914821).

Details: By letter dated 5/24/1999 (copy enclosed), the ORRS, NARA advised that effective 10/1/1999, a fully reimbursable records center program will commence. The FY 2000 annual service/storage rate will be 3.28 per box. The ORRS, NARA currently services and stores 6,346 boxes containing FBI files, some of which are deemed to be of historical value. IMS estimates that approximately 1,000 boxes will be shipped to NARA during FY 2000, at a cost of approximately \$3,000.

Also enclosed is an FD-369 (Requisition Number 914821) dated 10/6/1999, in the amount of \$23,815.

To: Information Resources From: Information Resources
Re: 66F-HQ-1190059, 10/13/1999

Therefore, it is requested that funds in the amount of \$23,815 be approved and allocated in the FY 2000 IRD Spending Plan and the enclosed FD-369, with appropriate documentation, be approved and forwarded to the Property Procurement and Management Section (PPMS), Finance Division (FD) for appropriate action.

It should be noted that enclosed NARA documentation was not received by Section Chief (SC) Dennis R. Weaver until 10/5/1999. SC Weaver was not apprised of this request prior to 10/5/1999.

To: Information Resources From: Information Resources
Re: 66F-HQ-1190059, 10/13/1999

LEAD (s):

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

To recommend that the Administrative Section, IRD approve and allocate funds in the amount of \$23,815 in the FY 2000 IRD Spending Plan and the enclosed FD-369, with appropriate documentation, be approved and forwarded to the PPMS, FD to cover the cost associated with the service and storage of FBI files currently maintained by the ORRS, NARA during FY 2000.

- 1 - IRD Front Office, Room 5829
- 1 - Mr. Llewellyn, Room 5648
- 1 - Mr. Weaver, Room 9998
- 1 - [redacted] Room 5869
- 1 - [redacted] Room 10475
- 1 - [redacted] Room 10475
- 1 - [redacted] Room 4961

b6
b7C

◆◆

ROUTING AND TRANSMITTAL SLIP

Date
Sep 23, 1999

TO (Name, office symbol, room number
building, Agency/Post)

Initials

Date

1. FBI

2.

3.

4.

5.

b6
b7c

Action	File	Note & Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	X For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

REMARKS

The attached material is forwarded for your info per our conversation. Also attached are the NARA Form 4000 (the financial agreement) and the Terms and Conditions which both need to be signed and returned. Thank you for your assistance.

(13 pages total)

1999 OCT 1

DO NOT use this form as a RECORD of approvals, concurrences, dispositions, clearances, and similar actions

FROM (Name, org. symbol, Agency/Post)

NARA, NR

8609 Adelphi Road
College Park, MD 20740-6001

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b7c

Room No. - Bldg.
3600, Archives II

Phone Number

Received 1³⁰ 10/05/99
DN

May 24, 1999

Mr. Dennis R. Weaver
Federal Bureau of Investigation
J. Edgar Hoover Building, Room 9998
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

Dear Mr. Weaver:

As the October 1, 1999, date for the beginning of the National Archives and Records Administration's (NARA) fully-reimbursable records center program approaches, I want to take this opportunity to update you on the latest actions we have taken to prepare for the coming transition.

Last December, I notified the Department of Justice of NARA's plans to meet with each of its customer agencies to discuss the transition to a fee-for-service records center program. Since notifying you of those plans, we have added [redacted] to our staff as a Management Analyst who will serve as NARA's customer service representative to the Department of Justice and the Federal Bureau of Investigation (FBI). [redacted] will work diligently with FBI staff to ensure that all of your records center service and storage needs are met. While NARA will continue to provide the same "baseline" services that your agency now receives, we want you to know that we are available to discuss any additional or special services that you might require. Although [redacted] will be your customer service representative, please feel free to call either [redacted] or me with any policy questions that you might have. [redacted] and I can be reached at [redacted]. For e-mail purposes, [redacted] e-mail address is [redacted]@arch2.nara.gov.

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On February 9, 1999, NARA staff participated in a productive meeting with officials of the Department of Justice and the FBI. During that meeting, NARA officials provided updated holdings information, described the baseline services that NARA would be providing under the reimbursable records center program, and discussed the development of an interagency agreement between NARA and the Department of Justice and the FBI. I am pleased to present, as attachments to this letter, some formal documentation on our progress in these areas.

Attached you will find three documents: an interagency agreement, a description of baseline services to be provided under the reimbursable program, and an updated FY 2000 cost estimate.

As discussed during the February 9th meeting, an interagency agreement is needed to describe the responsibilities of both organizations as we enter this new environment. The attached interagency agreement consists of two parts. The first part is a two-page NA Form 4000 which details administrative items required to effect a financial transaction between two Federal agencies. The second part describes the terms and conditions of the agreement, including a detailed discussion of the services to be provided and their costs.

Please review the interagency agreement carefully. If you agree with the terms and conditions of the agreement, please complete blocks 7, 15, 16, 18b, and 18d of the NA Form 4000, sign and date the last page of the terms and conditions (please add the appropriate signature block), and return the documents to:

[redacted]
National Archives and Records Administration
Office of Regional Records Services (NR - Room 3600)
8601 Adelphi Road
College Park, MD 20740

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If you have concerns about the terms and conditions of the interagency agreement, please contact [redacted] who will work with you to resolve any problems.

The second document is a concise description of the baseline services that NARA will provide under its fully-reimbursable records center program. These are the services that will be provided within the standard pricing structure referenced in the interagency agreement. Many of these services are described in greater detail in the terms and conditions of the interagency agreement, but we thought it might be useful to have something more concise to distribute to users of these services throughout your organization.

The final document is an updated FY 2000 cost estimate for your agency. As you review the interagency agreement, you will notice that the rates are different than those provided to your agency in May, 1998. Since that time, NARA has been successful in negotiating significant rent reductions from GSA, which has resulted in a reduction of our projected storage costs. We are now projecting our annual storage cost to be \$1.96 per box. In May, 1998, we projected the cost to be \$2.08 per box.

In May, 1998, we projected our annual cost of servicing records to be \$1.23 per box. However, because Federal employees received a higher than projected salary increase in FY 1999, our annual service rate increased to \$1.32 per box.

Overall, the combined impact of these rate adjustments nets an annual reduction of \$0.03 per box. The only other variable in estimating your agency's annual charges is any change in holdings that may have taken place since May, 1998. Your current holdings, as of April 30, 1999, are included in the updated cost estimate for your agency.

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In closing, let me say that the National Archives and Records Administration looks forward to continuing our effective working relationship with the FBI, a relationship that will result in an outstanding level of service for the records we hold in trust for you as well as an improved records management program in general.

Sincerely,

RICHARD L. CLAYPOOLE
Assistant Archivist for
Regional Records Services

Enclosures

**NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION
INTERAGENCY AGREEMENT**

1. Period of Agreement		
	Effective Date	Completion Date
Project Period	10/01/1999	09/30/2000
Budget Period	10/01/1999	09/30/2000

2. Agreement Number **NR00-0029** Amendment Number

3. Type of Agreement
New Agreement

4. Name and Address of NARA Organization
**OFFICE OF REGIONAL RECORDS SERVICES
8601 ADELPHI ROAD (ROOM 3600)
COLLEGE PARK, MD 20740-6001**

5. Name and Address of Other Organization
Federal Bureau of Investigation
J. Edgar Hoover Building, Room 9998
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

6. NARA Project Officer (Name and Title)
[Redacted] Management Analyst

7. Other Agency Project Officer (Name and Title)

Telephone/Fax/E-mail
[Redacted] (telephone)
[Redacted] (fax)
@arch2.nara.gov

Telephone/Fax/E-mail

Address
Same as block 4

Address

8. Project Title
Reimbursable Records Center Storage and Services

9. Purpose /Objective
See attached Terms and Conditions.

10. Responsibilities, Scope of Goods or Services to be Supplied by Performing Agency
See attached Terms and Conditions.

11. Responsibilities, Scope of Goods or Services to be Supplied by Ordering Agency
See attached Terms and Conditions.

CONTINUATION OF INTERAGENCY AGREEMENT

12. Special Provisions

TERMINATION PROCEDURES:

This agreement may be terminated by either Agency upon 90 days advance written notice.

All parties agree that revision or modification of the terms of this agreement may be made only with the consent of the authorizing officials of both agencies.

OTHER: This agreement is contingent upon the passage of a fiscal year 2000 appropriation for the customer agency and the passage of enabling legislation to enact NARA's fee-for-service records center program.

13. Estimated Costs

14. Billing Instructions

Request for payment will be made by:

- Itemized SF-1081
- Itemized SF-1080
- SIBAC
- OPAC
- Other (indicate) _____

15. Billing Address (Include Agency Locator Code)

Agency Locator Number (ALC): _____

16. Accounting Classification - Cite the following accounting information on all documentation:

(Paying Agency will Indicate Appropriation /Accounting Coding to be Charged)

NARA ACT Number (when applicable)

Not applicable

17. Authority

18. Approvals - Complete all that are required by agency procedures.

18a. Name and Title of NARA Financial Officer

[Redacted]

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**Assistant Archivist for
Administrative Services**

Signature

Date

18b. Name and Title of Other Agency Financial Officer

Signature

Date

18c. Name and Title of NARA Authorizing Official

[Redacted]

**Assistant Archivist for
Regional Records Services**

Signature

Date

18d. Name and Title of Other Agency Authorizing Official

Signature

Date

VIII. APPROVALS

For NARA:

[Redacted Signature Box]

Date

Assistant Archivist for
Regional Records Services

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[Redacted Signature Box]

Date

Assistant Archivist for
Administrative Services

For Federal Bureau of Investigation:

V. RATES - There are two cost components for which agencies shall be invoiced:

A. Storage - NARA shall charge the customer agency a rate equal to \$1.96 per year (approximately \$0.16 per month), per cubic foot for the storage of the customer agency's records. For billing purposes, NARA shall consider one standard NARA records center carton (14-3/4 x 12 x 9-1/2" NSN 8115-00-117-8249) to be the equivalent of one cubic foot.

B. Services - NARA shall charge the customer agency \$1.32 per year (approximately \$0.11 per month), per cubic foot for the servicing of records. For billing purposes, NARA shall consider one standard NARA records center carton (14-3/4 x 12 x 9-1/2" NSN 8115-00-117-8249) to be the equivalent of one cubic foot. This service charge covers all non-storage related costs including costs related to the *accessioning, disposal, permanent records transfer, referencing, refiling, and interfiling* of records.

C. Special Services [Reserved]

D. Adjustments - Rates may be adjusted or supplemental billings effected to reflect the actual costs of services provided.

VI. BILLING

A. NARA shall bill the customer agency on a monthly basis, unless otherwise negotiated and recorded in this agreement.

B. The storage charge component of the invoice shall be based on the total number of cubic feet that the customer agency has in NARA-provided storage on the last *business day* of each month, as reflected in the *NARS-5* inventory of the agency's holdings on that date. The monthly storage charge shall be computed by multiplying the holdings figure by the annual rent rate and dividing by twelve months.

C. The service charge component of the invoice shall be based on the total number of cubic feet that the customer agency has in NARA-provided storage on the last *business day* of each month. The monthly service charge shall be computed by multiplying the holdings figure by the annual service rate and dividing by twelve months.

D. NARA billings are processed by the General Services Administration. Requests for payment shall be made monthly via the On-line Payment and Collection (OPAC) system.

E. The NARA billing shall be supported by documentation which shall be forwarded to the address provided above. Questions regarding invoices should be directed to the customer agency's account representative at NARA. The account representative's name, address, telephone number, and e-mail address shall be provided on every invoice.

F. Payments are due upon receipt of invoice. If invoices are not paid within 30 days, NARA may impose additional fees to recover the costs associated with the delinquency.

VII. AUTHORITY

This agreement is contingent upon enactment of a statute requiring NARA's Federal records centers to operate on a reimbursable basis beginning October 1, 1999.

(2) When submitting *refiles*, the customer agency shall ensure that the records being returned to the NARA records center for refile remain in the same file folder that was previously recalled from the NARA records center. In these cases, the folder shall already be annotated with sufficient information to perform the refile (see paragraph III.B.1.d.(4) above). If the records to be *refiled* have been placed in new folders, the customer agency shall provide the NARA records center with sufficient information to perform the *refile*. Additional guidance on submitting *refiles* is available from each NARA records center.

(3) When submitting *interfiles*, the customer agency shall provide the NARA records center with sufficient information to perform the *interfile*. This information may be transmitted informally by attaching a paper transmittal to each document or set of documents to be *interfiled* in a specific folder. Additional information on submitting *interfiles* is available from each NARA records center.

(4) NARA shall *refile* records within five *business days* of receipt and *interfile* records within ten *business days* of receipt.

(5) For *refiles* and *interfiles* that cannot be serviced without corrective action, NARA shall contact the customer agency to resolve the problem. The customer agency shall provide a point of contact with a current telephone number with all *refiles* and *interfiles* it submits to the NARA records centers.

f. Quality Assurance

(1) NARA shall continuously and thoroughly review its records center services to ensure that the highest quality service is being delivered.

(2) All reference requests that are determined by NARA staff to be unserviceable shall be reviewed by NARA within one business day of the initial search to determine the appropriate corrective action.

g. Customer Orientation Services

(1) On a semi-annual basis, each NARA records center shall offer at least one workshop highlighting services offered by the records center. Customer agency personnel may attend these workshops free of charge. These workshops will usually be conducted on the premises of a NARA records center.

(2) NARA shall continue to offer free *CIPS* training for customer agencies interested in using this system to submit reference requests electronically.

(3) NARA shall continue to distribute field bulletins and other technical reference materials to customer agency personnel free of charge.

2. Special Services [Reserved]

IV. LOCAL AGREEMENTS [Reserved. These agreements may be attached or referenced here. See also Article II. COVERAGE]

Other acceptable methods of transmittal include but are not limited to mail through the United States Postal Service, express delivery services, fax, agency courier, or telephone. Additional guidance on submitting reference requests is available from each NARA records center.

(2) When submitting reference requests, the customer agency shall provide the NARA records center with sufficient information to locate the records. Additional guidance on submitting reference requests is available from each NARA records center.

(3) *Routine reference* requests shall be serviced within one *business day* of receipt by the NARA records center.

(4) When servicing reference requests, NARA records center staff may annotate each requested folder with the *accession* number, box number, and NARA records center shelf location number. This will facilitate refiling the folder at a later date.

(5) NARA shall expedite reference service (same day or less than one *business day* turnaround) for *emergency reference* requests without imposing additional fees, provided emergency requests are infrequent and limited in number (as determined by the NARA records center servicing the requests). The determination that a reference request qualifies as an emergency shall be made solely by the customer agency, but if the customer agency designates a request as an emergency, they must be willing to pick up the requested items within one *business day* or pay for overnight delivery service. On an as-needed basis, NARA staff will accommodate the customer agency by reading portions of a file over the telephone or sending, via fax, certain portions of a file to the customer agency. If it is determined, at the local level by the NARA records center involved, that emergency requests are being submitted by the customer agency frequently and in large numbers, NARA may require additional reimbursement from the customer agency to accomplish the increased workload.

(6) NARA's baseline service charge includes shipping routine reference requests to the customer agency. Each NARA records center shall absorb the shipping costs associated with the customer agency recall of up to ten boxes of records per customer agency address per day.

(7) For requests that cannot be serviced without corrective action, NARA shall contact the customer agency to resolve the problem. The customer agency shall provide a point of contact with a current telephone number on all reference requests it submits to the NARA records centers.

(8) Upon request, NARA shall provide on-site office space at each of its NARA records centers for customer agency personnel or other authorized individuals to review any records it retired into NARA's holdings. Appointments may be required.

c. *Refiles and Interfiles*

(1) Acceptable methods of submitting *refiles* and *interfiles* include but are not limited to mail through the United States Postal Service, express delivery service, or courier. Special guidance for the shipping and handling of classified records may be obtained from each NARA records center.

(2) Records shall be destroyed within 90 calendar days of eligibility, as determined by the applicable records disposition schedule and NARA receipt of written concurrence from the customer agency, whichever comes later.

(3) If NARA is unable to accomplish the *disposal* of the customer agency's records within 90 calendar days of their becoming eligible for *disposal*, the customer agency shall not be responsible for the storage costs of these disposable records beyond the initial 90 day period. If, however, any records are retained beyond the 90-day period at the request of or for the benefit of the customer agency, including, but not limited to court-ordered freezes, normal storage charges shall continue to apply. Under circumstances where an ordered freeze has been lifted, NARA will negotiate with the customer agency to establish a reasonable time frame within which the disposal will be accomplished.

(4) NARA shall dispose of all temporary records in accordance with Federal regulations and as specified in the records schedule item cited on the disposal notice. NARA shall also ensure that access to the records is restricted throughout the *disposal* process. *Disposal* shall occur under contract with a wastepaper or other recycling company or by NARA.

(5) NARA shall provide *disposal* witnessing services when required by Federal regulations.

(6) NARA may require additional reimbursement from the customer agency for the *disposal* of nontextual media, textual records which contain a significant amount of non-textual material that must be removed prior to shredding (clips, binders, mylar, and other non-paper materials), or classified records. In such instances, NARA shall notify the customer agency in advance to amend this agreement to incorporate mutually agreeable terms to accomplish the additional workload.

(7) NARA shall follow the procedures established in the current NARA Information Security Manual and Executive Order 12958 - Classified National Security Information, for the disposition of security classified materials.

c. Transfer of Scheduled Permanent Records to the National Archives of the United States

(1) NARA will notify the customer agency when accessions become eligible for transfer to the National Archives of the United States (as determined by the applicable records schedule) by forwarding to the agency a SF 258, Agreement to Transfer Records to the National Archives of the United States.

(2) Records will be transferred to the National Archives of the United States (at NARA's expense) within 90 calendar days of return receipt by NARA of the SF 258, completed and signed by the customer agency.

d. Reference

(1) The customer agency may submit reference requests using an Optional Form 11 (OF-11) or other NARA approved forms. The preferred method of submitting reference requests is electronically through the Centers Information Processing System (CIPS).

but are not limited to mail through the United States Postal Service, express delivery services, or fax. (If submitting the *SF 135* via fax, the customer agency must ensure the *SF 135* bearing the original signature of the transferring agency official in block 2, along with a photocopy, is placed in the box 1 of the *accession* when the records are shipped). Proposed transfers of *scheduled permanent* and/or *unscheduled* records must include a detailed box listing attached to the *SF 135*. Additional guidance on transmitting *SFs 135* and preparing records for shipment is available from each NARA records center.

(2) NARA shall respond to *SFs 135*, either by approving the *accession* or initiating corrective action, within 10 business days of receipt.

(3) Once approval has been granted via the *SF 135*, the customer agency may ship the *accession(s)* to the appropriate NARA records center. Shipping methods include but are not limited to services provided by the United States Postal Service, express delivery services, or freight carriers. Additional guidance on labeling boxes and shipping records is available from each NARA records center. Some shipments may require providing advance notice to the NARA records center. Special arrangements for the shipping and handling of classified records may be made with the receiving NARA records center on a case-by-case basis. Shipping costs are the responsibility of the customer agency.

(4) If approved *accession(s)* are not received within 90 calendar days of approval of the *SF 135*, records center staff may contact the customer agency to determine the cause of the delay and recommend appropriate action.

(5) The customer agency shall maintain its own collection of *SFs 135* for all of the records it ships to NARA. However, each NARA records center shall maintain a comprehensive collection of *SFs 135* for the customer agency records in its holdings.

(6) *SFs 135* and extracts from automated reports shall be made available to the customer agency as needed. Each NARA records center shall provide the customer agency with up to ten photocopied pages per year of *SFs 135* free of charge, but may seek reimbursement for additional photocopies. NARA will generally provide extracts from automated reporting systems without requiring additional fees.

(7) The customer agency shall internally maintain a detailed box listing of, or index to, all records for each *accession* that is retired to a NARA records center. When practical, the customer agency shall provide NARA with a copy of this document by placing it in the first box of the *accession* to which it pertains. The copy provided to NARA shall serve as an off-site backup copy for the customer agency. As cited in item (1), proposed transfers of scheduled permanent or unscheduled records must include a detailed box listing attached to the *SF 135*.

b. Disposal

(1) Ninety calendar days prior to an *accession's* scheduled *disposal* date, NARA shall notify the customer agency by sending NA Form 1001 *Notice of Intent to Destroy Records* via certified mail to the customer agency's records officer or other designee in accordance with NARA Bulletin 99-03. It is the customer agency's responsibility to keep NARA informed of any address changes as they occur.

TERMS AND CONDITIONS

I. PURPOSE

This agreement sets forth the terms and conditions under which the National Archives and Records Administration's (NARA) records centers shall store and service records which remain in the legal custody of the Federal Bureau of Investigation, hereafter referred to in this document as the "customer agency." Terms in italics are defined in Attachment A to this agreement.

II. COVERAGE

This agreement shall become effective on October 1, 1999, and shall continue through September 30, 2000. This agreement covers customer *agency records* stored and serviced in NARA's records centers (including the Washington National Records Center and the National Personnel Records Center) where legal ownership of the records remains with the customer agency. In some instances, regional or local agreements may supersede or augment this agreement. This agreement shall be updated annually, but may be amended sooner if deemed necessary by NARA or the customer agency.

III. RECORDS CENTER SERVICES

A. Storage

1. NARA shall store records of the customer agency, which currently includes Record Group 65, in a safe and secure environment which meets the requirements outlined in 36 CFR part 1228. A copy of these facility standards can be found as Attachment B to this agreement.
2. Unless arrangements have been made with the customer agency, NARA shall store the customer agency's records in the NARA records center that is designated to serve the geographic area in which the records originated or were maintained by the customer agency. A directory which indicates the geographic areas served by each NARA records center can be found as Attachment C to this agreement.
3. [Reserved for specific agency storage requirements or locations]

B. Services

1. NARA shall provide the customer agency with the following baseline services:

a. Accessioning

(1) To initiate a retirement of records, the customer agency must submit a *Standard Form 135 (SF 135) Records Transmittal and Receipt*, to the appropriate NARA records center. (See Attachment C for addresses, phone numbers, names of contacts, e-mail addresses, and the geographic areas served by each center.) The SF 135 must be completed according to NARA instructions. Acceptable methods of transmittal include

National Archives and Records Administration***Fiscal Year 2000 Cost Estimate Prepared for:******Federal Bureau of Investigation (Dept. of Justice)***

<i>Center</i>	<i>Record Group</i>	<i>Volume</i>
St. Louis, CPR-Gen		
	065- Federal Bureau of Investigation	295
Sub-total for 'Center' = St. Louis, CPR-Gen (19 accessions)		295
Suitland		
	065- Federal Bureau of Investigation	6,051
Sub-total for 'Center' = Suitland (110 accessions)		6,051

<i>Center</i>	<i>Record Group</i>	<i>Volume</i>
Grand Total		6,346

Projected Charges for Fiscal Year 2000

FY 2000 Storage Rate: \$1.96 per box

Estimated FY 2000 Storage Charge: \$12,438.16

FY 2000 Service Rate: \$1.32 per box

Estimated FY 2000 Service Charge: \$8,376.72

Total Estimated FY 2000 Charges: \$20,814.88

(This estimate is based on holdings data as of April 30, 1999. For a more accurate projection, you may need to factor in an appropriate level of growth. Historically, NARA's records center holdings have grown at an annual rate of 2.5%. This may be a good factor to use in projecting your agency's annual charges.)

FEDERAL BUREAU OF INVESTIGATION

ORIGINAL

914821

REQ. #

REQUISITION FOR SUPPLIES AND/OR EQUIPMENT

PAGE _____ OF _____

Records Disposition
Archival Subunit/
File Services Unit

Dennis Weaver
IMS Dennis Weaver

DATE

ORDERING OFFICE/COST CODE

APPROVED BY

JULIAN DATE

SUPPLY TECHNICIAN:

PROGRAM MANAGER:

FUNDING APPROVED

COTR:

Room # & Ext:

CONTRACT SPECIALIST:

Date Received:

PPMS APPROVAL:

PURCHASE ORDER #

ITEM#	NATIONAL STOCK NUMBER	SER. #	FULL DESCRIPTION	UNIT OF ISSUE	QTY.	SUBJECT CLASS.	BI#	UNIT PRICE	TOTAL
			Purchase Order in the amount of \$23,815 with						
			the Office of Regional Records						
			Services, National Archives and						
			Records Administration to cover						
			annual costs associated with the						
			service and storage of FBI records						
			during the period 10/1/99 - 9/30/2000						
			Point of Contact: <input type="text"/>			b6			
			Ext. <input type="text"/>			b7C			
			Room 10475						

SPECIAL INSTRUCTIONS:

Ship to Code:

Delivery Restrictions:

Government's Estimate:

Previous PO #

Previous Contract #

JUSTIFICATION FOR THE PURCHASE OF NONEXPENDABLE ITEMS:

For service and storage of FBI records
during FY 2000.

See Instructions on Reverse



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

October 21, 1999

[Redacted]

Appraisal Archivist
Life Cycle Management Division
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740-6001

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Dear [Redacted]

Reference is made to the letter dated August 4, 1999, directed to Mr. Dennis Weaver, Section Chief, Information Management Section, Information Resources Division (IRD) from Marie Allen, Life Cycle Management Division, National Archives and Records Administration (NARA) which enclosed a copy of the NARA Agency Records Center Inspection Report pertaining to the Federal Bureau of Investigation (FBI) Records Center which is located on [Redacted]. This inspection was conducted on July 23, 1999, by [Redacted] Civil Engineer, Space and Security Management Division, NARA.

This inspection report has been thoroughly reviewed by representatives of IRD and the Planning, Design and Construction Management Unit, Facility Management and Security Section of the Administrative Services Division. The records space in the newest portion of the facility will comply with the findings of the report. This newest area is located at [Redacted] and was under construction at the time of the NARA inspection. Following completion of the construction and the occupation of this space, renovations will begin in the other two portions of the FBI Records Center. These other two areas are located at [Redacted].

- Dep. Dir. _____ 1 - IRD Front Office, Room 5829
- ADD Adm. _____ 1 - Mr. Weaver, Room 9998 *DW*
- ADD Inv. _____ 1 - Mr. Llewellyn, Room 5648
- Asst. Dir.:
- Adm. Servs. _____ 1 - [Redacted] Room 1B875
- Crim. Inv. _____ 1 - [Redacted] Room 10475 *NC*
- Ident. _____ 1 - [Redacted] Room 10475 *g*
- Insp. _____ 1 - [Redacted] Room 10475 *g*
- Intell. _____ 1 - [Redacted] WB950
- Lab. _____ 1 - [Redacted]
- Legal Coun. _____ 1 - [Redacted] Room 4933
- Rec. Mgnt. _____ 1 - [Redacted] Room 4933
- Tech. Servs. _____ 1 - [Redacted]
- Training _____
- Cong. Affs. Off. _____ WS:ws (11)
- Off. of EEO _____
- Off. Liaison & Int. Affs. _____ *g*
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____ MAIL ROOM

66F-HQ-C1190059-81

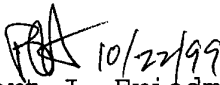
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[redacted]
Life Cycle Management Division
National Archives and Records Administration

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Please be advised that it is the intent of the FBI to comply with the findings of the NARA inspection report. The pace and the scope of our compliance efforts will, of course, be contingent upon the availability of fiscal and other resources. If you have any further questions, please contact [redacted] at [redacted] or FBI Archives Specialist [redacted] at [redacted]

Sincerely,

 10/22/99
Robert J. Friedman, Jr.
Acting Deputy Assistant Director
Information Resources Division

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 05/02/2000

To: Information Resources

Attn:

[Redacted]

Unit Chief
Mail Services Unit

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From: Information Resources

File Services/Information Management/Room 10475

Contact:

[Redacted]

Extension

[Redacted]

Approved By: OLeary Eugene J IIR *EJO*
Friedman Robert J Jr *RJF*
Weaver Dennis R *DWR*

[Redacted]

Drafted By:

Case ID #: 66F-HQ-C1186292 - 1170
66F-HQ-C1190059 - 82

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION
APPRAISAL OF FBIHQ AND FIELD
OFFICE RECORDS

Synopsis: To advise of receipt of approved disposition authority from the Archivist of the United States.

Enclosures: Standard Form (SF) 115 dated 9/13/99, bearing signature of the Archivist of the United States.

Details: On 4/26/2000, an approved SF-115 was received from the National Archives and Records Administration (NARA) granting disposition authority to the Information Resources Division (IRD) for the destruction/retention of cassette tape recordings created by the FBIHQ Switchboard Monitoring and Recording System, after certain conditions have been met. The official records are cassette tapes resulting from the operation of the recording and monitoring of incoming calls to the FBIHQ switchboard for operational purposes, i.e., to preserve possibly significant information pertaining to emergencies, threats or criminal activity.

Recording equipment automatically begins recording once the receiver is lifted and terminates recording once the switchboard employee hangs up. The system also captures call transactional data, i.e., if the number is published or not otherwise blocked by the subscriber. The main purpose of this

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 05/02/2000

system is to preserve possibly significant information pertaining to emergencies, threats or to criminal activity which may otherwise be lost because of the exigencies of the situation, such as the hurried or incoherent fashion in which communications of this nature are often conveyed. Procedures have been established which limit the recordings to those conversations which relate solely to the stated purposes.

The monitoring and recording of information voluntarily and knowingly provided to the FBI by individual callers is an appropriate administrative means to:

- (1) retrieve and review calls during which information is provided too quickly for FBI switchboard personnel to manually record,
- (2) preserve as evidence for prospective prosecutions those conversations in which callers threaten FBI space and/or personnel, or
- (3) preserve as evidence for prospective prosecutions the location from which the calls were made, or any other evidence the caller provides that relates to the commission of a crime.

Based on the NARA appraisal of these records, the disposition authority granted to IRD covers five separate circumstances based on the type of information gathered on the cassette recordings or the entity to which a copy of the original tape is distributed.

- 1) In the event that the information on the cassette pertains to an actual emergency, threat or to criminal activity, the original Digital Audio Tape (DAT) recording is preserved as evidence for prospective prosecutions and cassette tape copy with segregated excerpt(s), including transcripts (if extant) and placed in Washington Field Office (WFO) Office of Origin investigative case file. Final disposition for the WFO case file is commensurate with provisions of the NARA approved FBI Records Retention Plan and Disposition Schedule (NARA Job Number NC1-65-82-4).
- 2) Cassette tape, maintained by FBI Headquarters (FBIHQ) Telephone Center with segregated excerpt(s), including transcripts (if extant), which pertain to actual emergencies, threats or to criminal activity is placed in FBIHQ Telephone Center administrative case file and the final disposition is also commensurate with provisions of NARA Job Number NC1-65-82-4.

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 05/02/2000

3) Any cassette tape, maintained by FBIHQ Telephone Center, for reference primarily for expeditious review of prior calls and possible identification of repeat telephone calls may be destroyed when 1 year old or when administrative needs have expired, whichever is later.

4) Additional cassette tapes, distributed for informational purposes, to FBI Police Force and the Strategic Information and Operations Center may be destroyed when 10 days old or when administrative needs have expired, whichever is later.

5) Cassette tapes of recordings which do not constitute a criminal act or emergency may be destroyed or recycled when 30 days old or when administrative needs have expired, whichever is later.

It should also be noted that any field office switchboard with a similar system may also apply these same criteria for destruction or retention of the cassette recordings.

Prior to submission to NARA, this matter was coordinated with Electronic Surveillance (ELSUR) Program Manager [redacted] Field Services Unit, Information Management Section, IRD, for proper guidance for the handling of the original DAT cassette tapes and any copies being preserved as evidentiary material. In addition, this matter was also coordinated with Supervisory Special Agent (SSA) [redacted] Investigative Law Unit, Office of General Counsel. SSA [redacted] provided guidance concerning the initial set-up of the recording system on the FBIHQ Switchboard.

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Any questions concerning the disposition authority for the Switchboard Monitoring Systems may be directed to Archives Specialist [redacted] extensior [redacted]

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 05/02/2000

LEAD (s):

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

As authorized by NARA Mail Services Unit, Information Management Section should, on a continuing basis, dispose of cassette tapes within the FBIHQ Telephone Center.

- CC: 1 - Mr. O'Leary, Room 5829
1 - Mr. Friedman, Room 5835
1 - Mr. Weaver, Room 9998
1 - [redacted], Room 7326
1 - [redacted]
1 - [redacted] Room 10475
1 - [redacted] Room 10108
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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Agency

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-65-00-1	DATE RECEIVED 10/14/99
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or withdrawn" in column 10.	
2. MAJOR SUBDIVISION Federal Bureau of Investigation			
3. MINOR SUBDIVISION Information Resources Division			
4. NAME OF PERSON WITH WHOM TO CONFER [Redacted] b6 b7C	5. TELEPHONE [Redacted]	DATE 3-29-00	ARCHIVIST OF THE UNITED STATES [Signature]
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 09/13/1999	SIGNATURE OF AGENCY REPRESENTATIVE [Redacted]		TITLE FBI Archives Specialist Information Management Section
7. ITEM NO. 1	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION FEDERAL BUREAU OF INVESTIGATION SWITCHBOARD MONITORING AND RECORDING SYSTEMS Records are cassette tapes resulting from the operation of the recording and monitoring of incoming calls to the various FBI switchboards for operational purposes, i.e., to preserve possibly significant information pertaining to emergencies, threats or criminal activity. Recording equipment automatically begins recording once the receiver is lifted and terminates recording once the switchboard employee hangs up. The system also captures call transactional data, i.e., if the number is published or not otherwise blocked by the subscriber. The main purpose of this system is to preserve possibly significant information pertaining to emergencies, threats or to criminal activity which may otherwise be lost because of the exigencies of the situation. such as the hurried or incoherent fashion in which communications of this nature are often conveyed. Procedures have been established which limit the recordings to those conversations which relate solely to the stated purposes.	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

PAGE
2 OF **2**

7.
ITEM
NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR
SUPERSEDED
JOB
CITATION

10. ACTION
TAKEN
*(NARS USE
ONLY)*

The monitoring and recording of information voluntarily and knowingly provided to the FBI by individual callers is an appropriate administrative means to:

- (1) retrieve and review calls during which information is provided too quickly for FBI switchboard personnel to manually record,
- (2) preserve as evidence for prospective, prosecutions those conversations in which callers threaten FBI space and/or personnel, or
- (3) preserve as evidence for prospective prosecutions the location from which the calls were made, or any other evidence the caller provides that relates to the commission of a crime.

DISPOSITION

1) Segregated excerpts, including transcripts (if extant), from tapes of continuing value pertaining to emergencies, threats or to criminal activity.

Place in FBI case file and retain/destroy commensurate with provisions of NARA approved disposition schedule.

2) Cassette tapes with no information of continuing value.

TEMPORARY: Destroy/recycle when 30 days old or when administrative needs have expired, whichever is later.

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

PAGE 2 OF 2

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>The monitoring and recording of information voluntarily and knowingly provided to the FBI by individual callers is an appropriate administrative means to:</p> <ul style="list-style-type: none"> (1) retrieve and review calls during which information is provided too quickly for FBI switchboard personnel to manually record, (2) preserve as evidence for prospective, prosecutions those conversations in which callers threaten FBI space and/or personnel, or (3) preserve as evidence for prospective prosecutions the location from which the calls were made, or any other evidence the caller provides that relates to the commission of a crime. <p>DISPOSITION</p> <p>1) Original Digital Audio Tape (DAT) recording which is being preserved as evidence for prospective prosecutions and cassette tape copy with segregated excerpt(s), including transcripts (if extant), which pertain to emergencies, threats or to criminal activity.</p> <p>Place in Washington Field Office (WFO) Office of Origin investigative case file and retain/destroy commensurate with provisions of NARA approved disposition schedule as NARA Job Number NC1-65-82-4.</p> <p>2) Cassette tape, maintained by FBI Headquarters (FBIHQ) Telephone Center with segregated excerpt(s), including transcripts (if extant), which pertain to emergencies, threats or to criminal activity.</p> <p>Place in FBIHQ Telephone Center administrative case file and retain/destroy commensurate with provisions of NARA approved disposition schedule as NARA Job Number NC1-65-82-4.</p> <p>3) Cassette tape, maintained by FBIHQ Telephone Center, for reference primarily for expeditious review of prior calls and possible identification of repeat telephone calls.</p> <p>TEMPORARY: Destroy when 1 year old or when administrative needs have expired, whichever is later.</p> <p>4) Additional cassette tapes, distributed for informational purposes, to FBI Police Force and the Strategic Information and Operations Center.</p> <p>TEMPORARY: Destroy when 10 days old or when administrative needs have expired, whichever is later.</p> <p>5) Cassette tapes with no information of continuing value. OF RECORDINGS WHICH DO NOT CONSTITUTE A CRIMINAL ACT OR EMERGENCY</p> <p>TEMPORARY: Destroy/recycle when 30 days old or when administrative needs have expired, whichever is later.</p>		

per phone conversation with [redacted] on 2/9/07

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**RECOMMENDATION TO THE ARCHIVIST ON
RECORDS DISPOSITION REQUEST**

Job No. N1-65-00-1

Item Count: 3

SUMMARY

The Department of Justice's Federal Bureau of Investigation requests disposition authority for tapes created on the FBI switchboard monitoring and recording system. Items 1 through 4 cover digital audio tapes (DAT) and cassette tapes for phone calls in which the call itself constitutes a criminal act (bomb threat or threat to federal official, for example). Items 1 and 2 cover tapes that will be filed in the appropriate case file for the specific crime and disposed of or transferred to NARA according to the disposition for the case file. Items 3 and 4 cover tapes that are kept for short-term reference or operational needs.

Item 5 covers tapes of phone calls that do not constitute a criminal act. These calls are typically from persons requesting dispatch to another FBI office and persons wanting to contact FBI staff members. Crank calls are included in this category. If a call is received from a person reporting criminal activity, the information is forwarded to the appropriate FBI agent for immediate follow-up. The FBI proposes a 30 day retention period which meets their administrative need for the records.

Because the DAT and cassette copies documenting criminal activity are filed in the case file and (if the case file is scheduled for permanent retention) transferred to NARA under Job No. NC1-65-82-4, the other copies are correctly proposed as temporary. I recommend approval of this schedule as amended.

of Public Citizen Litigation Group requested a copy of this schedule, but did not comment.

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RECOMMENDATION

- 1. **APPROVED FOR DISPOSAL.** The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government
- 2. **APPROVED FOR PERMANENT RETENTION.** The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government. The agency will transfer these records to the National Archives as specified. **Items**
- 3. **DISPOSITION NOT APPROVED.** The records described under the following item or items are not approved for disposition.
- 4. **WITHDRAWN.** The records described under the following item or items have been withdrawn at the request of the agency and/or NARA.

FEDERAL REGISTER NOTICE

Not required.

Required — Publication Date: Dec. 29, 1999
Copies Requested: 0
Comments Received: 0

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SIGNATURE	TITLE	SIGNATURE	DATE
Appraisal	Appraiser		March 21, 2000
	Director, NWML		March 23, 2000
Concurrences	NWM		3/24/00
	NW		3-24-2000

To: Information Resources From: Information Resources
Re: 66F-HQ-C1186292, 05/02/2000

WORK COPY ROUTING SHEET

- CC: 1 - Mr. O'Leary, Room 5829
1 - Mr. Friedman, Room 5835
1 - Mr. Weaver, Room 9998
1 - [redacted], Room 7326
1 - [redacted]
1 - [redacted] Room 10475
1 - [redacted] Room 10108
1 - [redacted] Room 4933
1 - [redacted] Room 4933

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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

May 10, 2000

Mr. Michael Miller
Director
Modern Records Program - NWM
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740

Dear Mr. Miller:

Reference is made to your letter to Section Chief Dennis R. Weaver, dated April 4, 2000, in which you requested information concerning the FBI's efforts to retrieve official records "sucked out" of the FBI's Fort Worth Resident Agency when the greater Dallas-Fort Worth was struck by a violent tornado on March 28, 2000.

Please be advised that efforts are ongoing to determine what official records may have been lost or destroyed as a result of this tragic event. At this time, it is not possible to provide a full description of these records. In an effort to furnish your office a full report, in accordance with the provisions of Title 36, Code of Federal Regulations, Chapter 1228.104, representatives of the Information Resources Division will contact the management of the Dallas Field Office.

Any further questions concerning this matter may be directed to [redacted] FBI Archives Specialist at [redacted]

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Sincerely,

Eugene J. O'Leary, III
Acting Assistant Director
Information Resources Division

- Dep. Dir.
ADD Adm.
ADD Inv.
Asst. Dir.:
Adm. Servs.
Crim. Inv.
Ident.
Insp.
Intell.
Lab.
Legal Coun.
Rec. Mgnt.
Tech. Servs.
Training
Cong. Affs. Off.
Off. of EEO
Off. Liaison & Int. Affs.
Off. of Public Affs.
Telephone Rm.
Director's Sec'y

- Mr. O'Leary, Room 5829
- Mr. Friedman, Room 5835
- Mr. Weaver, Room 9998
[redacted] Room 4933
[redacted] Room 4933
[redacted] Room 10475

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66F-HQ-C1190059-83

APPROVED:
Crim. Inv.
CJIS
Finance
Director
Deputy Director
Inspection
Laboratory
National Sec.
Gen. Counsel
Info. Res.
Training
Off. of EEO
Affairs
Off. of Public & Cong. Affs.
Personnel

WS:WS (9)
MAIL ROOM

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 12/15/2000

Date: 12/01/2000

To: Dallas

Attn: Administrative Officer

[Redacted]

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From: Information Resources

Information Management/File Services/Room 1B327 Box 20

Contact: [Redacted]

Extension [Redacted]

Approved By:

Dies Bob E
Llewellyn Angus B
Weaver Dennis R

BEV/DW
ABL/DW
DW

[Redacted]

Drafted By:

Case ID #: 66F-HQ-C1190059 - 84

Title: DESTRUCTION OF RECORDS; NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION; APPRAISAL OF
FIELD OFFICE RECORDS

Synopsis: To provide the Dallas (DL) Field Office with the preliminary findings of the Information Resources Division (IRD), concerning the circumstances surrounding the accidental loss of official documents from the Fort Worth Resident Agency (RA).

Details: In accordance with the provisions of Title 36, Code of Federal Regulations, Part 1228, Section 104, Subpart G, it is the responsibility of the FBI to report any unlawful or accidental destruction, defacing, alteration, or removal of records in agency custody to the National Archives and Records Administration (NARA). The report shall include the following information:

- (1) A complete description of the records with volume and dates if known;
- (2) The office of origin;
- (3) A statement of the exact circumstances surrounding the alienation, defacing, or destruction of the records;
- (4) A statement of the safeguards established to prevent further loss of documentation; and

To: Dallas From: Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

- (5) When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.

In an effort to provide NARA with full details concerning the efforts to retrieve official records "sucked out" of the Fort Worth RA when the greater Dallas-Fort Worth area was struck by a violent tornado on March 28, 2000, Archives Specialist [redacted] Records Disposition/Archival and Micrographics Subunit, File Services Unit, Information Management Section, IRD, conducted an on-site inspection of the temporary location of the Fort Worth RA. In addition, [redacted] contacted and interviewed personnel who were assigned to the Fort Worth RA on the day of the tornado destruction. The on-site inspection and the interviews of the following Fort Worth personnel was conducted by [redacted] on 9/21/2000.

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[redacted]
Supervisory Special Resident Agent

[redacted]
Investigative Management Analyst (IMA)

[redacted]
Investigative Management Analyst

Based on the information gathered during the on-site inspection of the file holdings at the temporary location and through the interviews of the Fort Worth RA personnel a final report, will be prepared for NARA which will include the following information.

- **A complete description of the damaged/destroyed records with volume and dates if known.**

49A-DL-85045

This file is being reconstructed by the IMA from agents' working copies and the Automated Case Support (ACS) System. All of the serials except for serials 5, 7 and 10 had text in ACS. Serial 5 was a facsimile sent to the Assistant United States Attorney (AUSA) from the DL Field Office on 1/7/2000. Serial 7 was a letter sent to Parish National Bank from the AUSA on 1/11/2000. Serial 10 was a facsimile sent to the United States Attorneys' Office (USAO) from the DL Field Office on 3/1/2000.

66F-DL-76416

This administrative file contained material pertaining to various points of contacts, within the business community,

To: Dallas From Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

utilized as "sources of information" by the Fort Worth RA. The original records were within a manual file which was destroyed. However most of the information in this file was also sent to two other case files and can be located as needed.

164B-DL-73673

This file has been reconstructed by the IMA from agents' working copies and ACS. All of the serials except for serials 1, 2, 3, 5, and 6 had text in ACS. Serial 1 was an internal Electronic Communication (EC) handled within the DL Office on 9/18/95. Serial 2 was an EC sent to DL from the Portland (PD) Field Office on 9/25/95. Serial 3 was an EC sent to the DL Office from the PD Office on 10/10/95. Serial 5 was a subpoena sent to the GTE Corporation from the DL Office on 10/5/95. Serial 6 was a letter sent to the DL Field Office from the USAO on 10/5/95.

196C-DL-76876

This file has been reconstructed by the IMA from agents' working copies and ACS. Twelve of the serials did not have text associated with the documents within ACS. Serial 4 was a facsimile sent to the DL Office from [redacted] (not further identified) on 10/16/96. Serial 6 was a facsimile sent from the United States Probation Office to the DL Office on 10/15/96. Serial 7 was listed as an affidavit handled internally within the DL Office on 10/17/96. Serial 9 was a newspaper article from the Arlington (Texas) Star dated 10/19/96. Serial 12 was an FD-515 (Accomplishment Report) dated 2/7/97. Serial 13 was an FD-515 (Accomplishment Report) dated 2/7/97. Serial 16 was listed as "Other" handled internally within the DL Office on 2/25/98. Serial 18 was an FD-159 (Record of Information Furnished To Other Agencies) dated 2/26/99. Serial 19 was an FD-302 (Interview Form) dated 7/11/96. Serial 20 was a newspaper article from the Arlington (Texas) Star dated 4/17/99. Serial 21 was an FD-515 (Accomplishment Report) dated 5/5/99. Serial 23 was a letter sent to the DL Office from [redacted] (not further identified) on 12/29/99.

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196D-84740

This file has been reconstructed by the IMA from ACS. All of the serials except for serials 1 had text in ACS. Serial 1 was listed as "Other" handled internally within the DL Office on 7/6/99.

To: Dallas From: Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

196D-DL-85412

This file has been reconstructed by the IMA from agents' working copies and ACS. All of the serials except for serials 1, 17, 18 and 24 had text in ACS. Serial 1 was listed as "Other" handled internally within the DL Office on 9/30/99. Serial 17 was a letter sent to [redacted] (not further identified) from the AUSA on 12/27/99. Serial 17 was a letter sent to [redacted] (not further identified) from the AUSA on 12/29/99. Serial 24 was a subpoena sent to PCA of South Central Texas (not further identified) from the DL Office on 2/8/2000.

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209-DL-C63002

This file contained information on individuals, received from public sources such as the United States Department of Health and Human Services, who appeared to be pattern violators or repeat health care fraud offenders. The information was maintained within a control file and served as a "source of information" and a collection point of material which may eventually be used to charge the individual with a federal offense within the jurisdiction of the FBI. All of the material within this case file originated outside of the FBI and it has not been possible to re-construct this file.

282-DL-84491

This file has been reconstructed by the IMA from ACS. All of the serials except for serials 1, 2, 4 and 12 had text in ACS. Serial 1 was a FD-71 (Complaint Form) dated 6/22/99. Serial 2 was a facsimile handled internally within the DL Office on 6/22/99. Serial 4 was a FD-610 (Data Input For Civil Rights Cases) dated 7/9/99. Serial 12 was a newspaper article from the Times Records News on 12/27/99.

- **The office of origin.**

The DL FBI Field Office is considered to be the office of origin for all of the records damaged/destroyed during the tornado. The Fort Worth RA is permitted to maintain original records on-site in accordance with current FBI procedures.

- **A statement of the exact circumstances surrounding the alienation, defacing, or destruction of the records.**

On 3/28/2000, at approximately 6:10 p.m. Central Standard Time, the Fort Worth RA was destroyed when the greater Dallas-Fort Worth area was struck by a violent tornado. Inasmuch

To: Dallas From: Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

as the tornado struck outside of normal working hours, most of the records maintained in the Fort Worth RA had been secured in proper storage. However, due to the quickness and severity of the storm, as well as the concern for personal safety, the FBI employees still on duty were unable to fully secure the damaged/destroyed records.

- **A statement of the safeguards established to prevent further loss of documentation.**

The current policy within the FBI is that all official records are to be properly secured during off-hours. This policy is strictly enforced, especially in those facilities which operate in "shared space", i.e., FBI offices located within buildings which are also used by public accessible organizations or businesses. In view of the fact that the FBI operates on a 24-hour basis, it is not possible to have all records properly secured at all times. The current policy is reiterated to all FBI facilities on a regular basis.

- **When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.**

Subsequent to the storm, FBI personnel prepared an inventory of official records known to have been maintained within the Fort Worth RA. Following completion of the inventory, personnel systematically searched the remaining office area as well as conducting a "grid-search" of the surrounding areas outside of the office. Approximately 10 cubic feet of original records were storm damaged and after "drying out" are still usable. However, eight original case files were totally destroyed. Six of the case files have been reconstructed either from material within ACS, agents' working copies or from duplicate copies maintained in other case files. Two of the case files were fully lost/destroyed and can not be reconstructed.

Upon approval of the information, a full report, as required by Title 36, Code of Federal Regulations, Part 1228, Section 104, Subpart G, will be prepared for NARA.

To: Dallas From: Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

LEAD(s) :

Set Lead 1:

DALLAS

AT DALLAS, TEXAS

Prior to deadline, review information, with Fort Worth RA personnel, set forth in instant EC and furnish any additions/corrections to Information Management Section to insure accuracy of report being forwarded to NARA.

CC: 1 - Mr. Dies, Room 9939 *BEDIAN*
1 - Mr. Llewellyn, Room 9939 *ASL/DR*
1 - Mr. Weaver, Room 9998 *DR*
1 - [redacted]
1 - [redacted] Room 10475

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To: Dallas From: Information Resources
Re: 66F-HQ-C1190059, 12/01/2000

WORK COPY ROUTING SHEET

CC: 1 - Mr. Dies, Room 9939
1 - Mr. Llewellyn, Room 9939
1 - Mr. Weaver, Room 9998

1 - [redacted]
1 - [redacted] Room 10475

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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

December 18, 2000

Mr. Michael Miller
Director
Modern Records Program - NWM
National Archives and Records
Administration
8601 Adelphi Road
College Park, Maryland 20740

Dear Mr. Miller:

Reference is made to your letter to Section Chief Dennis R. Weaver, dated April 4, 2000, in which you requested information concerning the FBI's efforts to retrieve official records "sucked out" of the Fort Worth Resident Agency (RA) of the FBI's Dallas (DL) Field Office when the greater Dallas-Fort Worth was struck by a violent tornado on March 28, 2000. Reference is also made to the interim response letter from Acting Assistant Director Eugene J. O'Leary, III, dated May 10, 2000.

In an effort to furnish the National Archives and Records Administration (NARA) a full report, in accordance with the provisions of Title 36, Code of Federal Regulations, Chapter 1228.104, Archives Specialist [redacted] Records Disposition/Archival and Micrographics Subunit, File Services Unit, Information Management Section, Information Resources Division, conducted an on-site inspection of the temporary location of the Fort Worth RA on 9/21/2000. In addition to this inspection, [redacted] contacted and interviewed personnel who were assigned to the Fort Worth RA on the day of the tornado destruction.

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MAILED
12/18/2000

- 1 - Mr. Dies, Room 9939
- 1 - Mr. Weaver, Room 9998
- 1 - [redacted]
- 1 - [redacted] Room 4933
- 1 - [redacted] Room 4933
- 1 - [redacted] Room 1B327-Box 20

- Dep. Dir. _____
- ADD Adm. _____
- ADD Inv. _____
- Asst. Dir.:
- Adm. Servs. _____
- Crim. Inv. _____
- Ident. _____
- Insp. _____
- Intell. _____
- Lab. _____
- Legal Coun. _____
- Rec. Mgnt. _____
- Tech. Servs. _____
- Training _____
- Cong. Affs. Off. _____
- Off. of EEO _____
- Off. Liaison & Int. Affs. _____
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____

WS:ws (8)

66F-HQ-C1190059-85

MAIL ROOM

DRW

Mr. Michael Miller
National Archives and Records Administration

Based on the information collected during the on-site inspection of the file holdings at the temporary location and through the interviews of the Fort Worth RA personnel a final report is being furnished to NARA at this time.

- A complete description of the damaged/destroyed records with volume and dates if known.

49A-DL-85045

This file is being reconstructed by the Investigative Management Analyst (IMA) from agents' working copies and the Automated Case Support (ACS) System. All of the serials except for serials 5, 7 and 10 had text in ACS. Serial 5 was a facsimile sent to the Assistant United States Attorney (AUSA) from the DL Field Office on 1/7/2000. Serial 7 was a letter sent to Parish National Bank from the AUSA on 1/11/2000. Serial 10 was a facsimile sent to the United States Attorneys' Office (USAO) from the DL Field Office on 3/1/2000.

66F-DL-76416

This administrative file contained material pertaining to various points of contacts, within the business community, utilized as "sources of information" by the Fort Worth RA. The original records were within a manual file which was destroyed. However most of the information in this file was also sent to two other case files and can be located as needed.

164B-DL-73673

This file has been reconstructed by the IMA from agents' working copies and ACS. All of the serials except for serials 1, 2, 3, 5, and 6 had text in ACS. Serial 1 was an internal Electronic Communication (EC) handled within the DL Office on 9/18/95. Serial 2 was an EC sent to DL from the Portland (PD) Field Office on 9/25/95. Serial 3 was an EC sent to the DL Office from the PD Office on 10/10/95. Serial 5 was a subpoena sent to the GTE Corporation from the DL Office on 10/5/95. Serial 6 was a letter sent to the DL Field Office from the USAO on 10/5/95.

196C-DL-76876

This file has been reconstructed by the IMA from agents' working copies and ACS. Twelve of the serials did not have text associated with the documents within ACS. Serial 4 was

Mr. Michael Miller
National Archives and Records Administration

a facsimile sent to the DL Office from [redacted] (not further identified) on 10/16/96. Serial 6 was a facsimile sent from the United States Probation Office to the DL Office on 10/15/96. Serial 7 was listed as an affidavit handled internally within the DL Office on 10/17/96. Serial 9 was a newspaper article from the Arlington (Texas) Star dated 10/19/96. Serial 12 was an FD-515 (Accomplishment Report) dated 2/7/97. Serial 13 was an FD-515 (Accomplishment Report) dated 2/7/97. Serial 16 was listed as "Other" handled internally within the DL Office on 2/25/98. Serial 18 was an FD-159 (Record of Information Furnished To Other Agencies) dated 2/26/99. Serial 19 was an FD-302 (Interview Form) dated 7/11/96. Serial 20 was a newspaper article from the Arlington (Texas) Star dated 4/17/99. Serial 21 was an FD-515 (Accomplishment Report) dated 5/5/99. Serial 23 was a letter sent to the DL Office from [redacted] (not further identified) on 12/29/99.

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196D-84740

This file has been reconstructed by the IMA from ACS. All of the serials except for serials 1 had text in ACS. Serial 1 was listed as "Other" handled internally within the DL Office on 7/6/99.

196D-DL-85412

This file has been reconstructed by the IMA from agents' working copies and ACS. All of the serials except for serials 1, 17, 18 and 24 had text in ACS. Serial 1 was listed as "Other" handled internally within the DL Office on 9/30/99. Serial 17 was a letter sent to [redacted] (not further identified) from the AUSA on 12/27/99. Serial 17 was a letter sent to [redacted] (not further identified) from the AUSA on 12/29/99. Serial 24 was a subpoena sent to PCA of South Central Texas (not further identified) from the DL Office on 2/8/2000.

209-DL-C63002

This file contained information on individuals, received from public sources such as the United States Department of Health and Human Services, who appeared to be pattern violators or repeat health care fraud offenders. The information was maintained within a control file and served as a "source of information" and a collection point of material which may eventually be used to charge the individual with a federal offense within the jurisdiction of the FBI. All of the material

Mr. Michael Miller
National Archives and Records Administration

within this case file originated outside of the FBI and it has not been possible to re-construct this file.

282-DL-84491

This file has been reconstructed by the IMA from ACS. All of the serials except for serials 1, 2, 4 and 12 had text in ACS. Serial 1 was a FD-71 (Complaint Form) dated 6/22/99. Serial 2 was a facsimile handled internally within the DL Office on 6/22/99. Serial 4 was a FD-610 (Data Input For Civil Rights Cases) dated 7/9/99. Serial 12 was a newspaper article from the Times Records News on 12/27/99.

- The office of origin.

The DL FBI Field Office is considered to be the office of origin for all of the records damaged/destroyed during the tornado. The Fort Worth RA is permitted to maintain original records on-site in accordance with current FBI procedures.

- A statement of the exact circumstances surrounding the alienation, defacing, or destruction of the records.

On 3/28/2000, at approximately 6:10 p.m. Central Standard Time, the Fort Worth RA was destroyed when the greater Dallas-Fort Worth area was struck by a violent tornado. Inasmuch as the tornado struck outside of normal working hours, most of the records maintained in the Fort Worth RA had been secured in proper storage. However, due to the quickness and severity of the storm, as well as the concern for personal safety, the FBI employees still on duty were unable to fully secure the damaged/destroyed records.

- A statement of the safeguards established to prevent further loss of documentation.

The current policy within the FBI is that all official records are to be properly secured during off-hours. This policy is strictly enforced, especially in those facilities which operate in "shared space", i.e., FBI offices located within buildings which are also used by public accessible organizations or businesses. In view of the fact that the FBI operates on a 24-hour basis, it is not possible to have all records properly secured at all times. The current policy is reiterated to all FBI facilities on a regular basis.

Mr. Michael Miller
National Archives and Records Administration

- When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.

Subsequent to the storm, FBI personnel prepared an inventory of official records known to have been maintained within the Fort Worth RA. Following completion of the inventory, personnel systematically searched the remaining office area as well as conducting a "grid-search" of the surrounding areas outside of the office. Approximately 10 cubic feet of original records were storm damaged and after "drying out" are still usable. However, eight original case files were totally destroyed. Six of the case files have been reconstructed either from material within ACS, agents' working copies or from duplicate copies maintained in other case files. Two of the case files were fully lost/destroyed and can not be reconstructed.

Any further questions concerning the FBI's efforts to retrieve official records "sucked out" of the FBI's Fort Worth Resident Agency or the FBI's full report, in accordance with the provisions of Title 36, Code of Federal Regulations may be directed to [redacted] FBI Archives Specialist at [redacted]

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Sincerely,

Bobby Edward Dies
Assistant Director
Information Resources Division

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 12/14/2000

To: Information resources

Attn: Information Management
File Services, Rm 1B327 Box 20
[Redacted] Ext [Redacted]

From: Dallas

Admin

Contact: [Redacted]

Approved By: [Redacted]
Drafted By: [Redacted]

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Case ID #: 66F-HQ-C1190059-86

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS ADMIN;
APPRAISAL OF FIELD OFFICE RECORDS

Synopsis: To provide Information Management Section with Dallas' appraisal of the information being provided to NARA re Fort Worth RA files.

Reference: 66F-HQ-C1190059 Serial 84

Details: On December 1, 2000, Information Resources set a lead to Dallas to review the details of an EC about the damage received to the Fort Worth files. This EC is being sent to NARA in accordance with the provisions of Title 36, Code of Federal Regulations, Part 1228, Section 104, Subpart G. After a complete review of the referenced EC with Fort Worth RA personnel, it has been determined that the information contained in the details section is accurate. Dallas cannot find any corrections or additional information to furnish to Information Resources. Dallas considers this lead covered.

To: Information Resources From: Dallas
Re: 66F-HQ-C1190059, 12/14/2000

LEAD(s) :

Set Lead 1: (Adm)

INFORMATION RESOURCES

AT WASHINGTON, DC

Read and Clear.

◆◆

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : DEC 22 1998
Reply to :
Attn of : NWM 04.99

Subject : MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION
To : RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group
(BRIDG) Meeting - January 26, 1999

The Modern Records Programs of the National Archives and Records Administration (NARA) will host the next BRIDG meeting on January 26, 1999, from 10:00 A.M. to noon in Room 105 of the National Archives Building, 7th and Pennsylvania Avenue NW, Washington, D.C. The purpose of the meeting is to discuss NARA's plans for developing electronic records management guidance.

Mike Miller, Director of NARA's Modern Records Program, will start the meeting by outlining NARA's high-level framework for managing electronic records in 1999, and the plan for developing needed guidance on electronic recordkeeping. The meeting will then continue the discussion on agency needs that began at the November BRIDG meeting.

To make the discussion most useful, we are requesting that agencies submit suggestions for needed guidance in advance. Some of the basic issues for discussion will be:

- What NARA guidance would be most helpful for your agency to have as you assess your electronic records management issues?
- How can we assist you better, or where are your particular concerns: in the system planning stages, with training needs, getting your CIO involved in an RMA implementation process, integrating records management with workflow, documenting your business needs, developing model schedules and directives, sharing information about best practices?
- How should NARA work with agencies to develop and make the guidance available (Web-based? Ways to obtain agency input?)

We encourage you to send all suggestions, either via e-mail to records.mgt@arch2.nara.gov, by fax to 301-713-6852, Attn: BRIDG, or write to:

Modern Records Programs, (NWM)
Attn: BRIDG, Room 2200
NARA
8601 Adelphi Road
College Park, MD. 20740-6001

66F-HQ-1190059-87

No suggestion is too broad or too narrow, and we look forward to hearing from you. We will compile all questions received before January 20, 1999, and distribute them for discussion at the meeting on January 26, 1999.

Enrollment is limited to 60 participants. To reserve a place for the BRIDG meeting, please provide your name and telephone number to [redacted] on [redacted] ext. [redacted] no later than January 20, 1999, or send an e-mail message to [redacted]@arch2.nara.gov.

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Enclosed are minutes of the November 10, 1998, BRIDG meeting on NARA's Baseline Project and the Office of Thrift Supervision's Records Management Application (RMA) Implementation.



MICHAEL L. MILLER
Director
Modern Records Programs

Enclosure

BRIDG Meeting Summary

November 10, 1998, Tuesday

10:00 a.m. - 12:00 p.m.

Room 105, Archives I, Washington, D.C.

Introduction

The Baseline Program

Open Discussion on Baseline Program

OTS Records Management Application (RMA) Implementation

Open discussion on OTS RMA Implementation

Conclusion

Introduction

Approximately 40 people were in attendance at the November 1998 BRIDG meeting. Mike Miller, (NARA) welcomed everyone to the discussions and gave the meeting overview of the two presentations. The first was about the National Archives and Records Administration's (NARA) Baseline Program and the second dealt with the Office of Thrift Supervision (OTS) "Lessons Learned" from their experiences implementing Tower's TRIM records management application as an electronic recordkeeping system.

The Baseline Program

Bill LeFurgy (NARA) led a 40 minute session on the Baseline Program. He opened his presentation by saying that NARA is very interested in responses to this new approach and invites any agency input. The program will gather information to develop a baseline assessment of the current state of records management in the Federal government. Many factors have influenced the development of the Baseline project. LeFurgy noted that the Government Performance and Results Act of 1993 (GPRA) and the Information Technology Management Reform Act of 1996 (Clinger-Cohen Act) call for measurements in federal government, including federal records management. Internally, NARA is compelled by its commitment to the Strategic Plan, by the need to selectively target our resources to improve records management in the government, to showcase what Federal agencies are doing in key areas, and assess how records management practices change over time.

In the past, NARA assessed federal records management by conducting in-depth agency evaluations. These evaluations, performed at a rate of two to four agencies per year, were both time and labor intensive. Although this approach resulted in improvements for individual agency records management programs, it did not produce systematic, comparable measurements, or gather data that is useful for measuring records management on the government-wide.

The Baseline Project will produce two types of measurement, one for individual agency records management programs and one for the federal records management program. By systematically collecting information on individual agencies, NARA will be able to identify agencies that need improvements and agencies that have "Best Practices." NARA will be able to

identify which program elements are successful and which are not. This data will be collected over time so that NARA can track changes in federal record management. This data will also provide a good check on current NARA regulations to see if they can be implemented or if they need to change.

NARA will conduct the Baseline program by sending agencies a form containing several questions relating to their records management programs. The questions, drawn from pertinent rules and regulations, fall into four broad categories: 1) program management and records management infrastructure, 2) guidance and training, 3) scheduling and implementation, and 4) electronic recordkeeping. The questions will require "yes or no" answers and some additional information. An example of a "yes or no" question might be "Do you have a records management directive?" A question involving additional information could be "How can NARA obtain a copy of this directive?" NARA staff will answer as many of the questions as they can with on-hand information, such as agency schedules and NARS-5. Both NARA headquarters and field offices will be involved in the data collection, since NARA will canvass headquarters and field units.

Many answers on the form will be rated on the following scale: best practice (outstanding), adequate (good), needs improvement (poor), does not exist (no answer). NARA will develop specific criteria for these ratings to ensure they are clearly understood and evenly applied. Agencies will have an opportunity to review all preliminary ratings.

NARA plans to send the Baseline form to approximately 150 agencies in FY99 (NARA will be one of them). NARA has not yet finalized this year's selection of agencies, however those agencies not chosen in FY99 will receive the form in FY00. Other next steps include refining the Baseline software and drafting procedures for completing the form and performing follow-up tasks.

Once the data has been collected, ratings assigned, comments reconciled, and reports generated, NARA plans to develop possible courses of action for its own records management activities. For example, the results of the input may feed into the Business Process Reengineering (BPR) Study on appraisal and scheduling. The results may point out a need to develop ways to more effectively provide high-level guidance for records management program assistance. NARA may need to change some business practices, amend current regulations or guidance, or change how it issues guidance to agencies. NARA plans to use the Baseline results to identify areas requiring further improvement government-wide. NARA will post the forms on the NARA records management web page <<http://www.nara.gov/records>> along with any relevant guidance and summary information.

Open Discussion on the Baseline Program

Will NARA share information that applies to all agencies, such as samples of agency record management directives?

This is a good suggestion. NARA will try to post some sample "best practices" or directives on the NARA records management web pages.

At what level will NARA send the forms to agencies, at the bureau or departmental level?
As a default, NARA plans to send forms at the bureau level; however, NARA will discuss the particulars of individual agencies with any concerned departmental records officers.

How will NARA handle contacting agency field components?
NARA will send an initial form to an agency headquarter's Records Officer as a point of contact with a request that the form be sent to field. How this will be handled and how the various field components' input will be handled is still under negotiation. Again, NARA staff will work with agencies to make sure accurate data is collected and represented in the Baseline system in a meaningful way.

Will feedback from the GRS 20 work be incorporated in the Baseline project?
Yes, NARA has heard the message to "reduce the burden" on agencies and realizes that some of the questions in the Baseline project will also be needed to perform scheduling tasks under the draft GRS 20 bulletin.

Will the Baseline project include agencies NARA has all ready evaluated or have all ready participated in the 1998 Baseline pilot?
Yes, all agencies will be sent Baseline forms, either in FY 99 or FY00, so that current and comparable data can be collected.

One records officer recommended NARA repeat the "CIO Approach" used during the GRS 20 comment period, since their program found the CIO involvement highly beneficial. Another records officer worried that when the CIO responds directly to OMB, rather than the Records Officer to NARA, the response is substantively reduced.

Will the assignment of a rating or ranking factor be a problem for BRIDG participants?
Two participants expressed the opinion that ratings themselves would not cause problems. In fact, a ranking may help garner more support for the records management program. An agency with poor records management should not be surprised to hear NARA offer constructive criticism of the program. One participant noted that comparing the record management programs of large and small agencies would be comparing apples to oranges. He recommended the outputs from the Baseline project compare similar agencies, not all federal agencies. NARA stated that the ratings will not be used to produced a numerical list of the best to worst agencies.

OTS Records Management Application (RMA) Implementation

Mary Rawlings-Milton (OTS) and Catherine Teti (formerly OTS, now with the Commerce Department) gave an hour presentation on their experiences in selecting and implementing an electronic records management application (RMA). They also provided a demonstration of their system as it works in OTS. As a bureau of Treasury Department, OTS has approximately 1,200 FTEs serving in headquarters and five field offices.

OTS needed more than just software implementation, they needed program implementation as well. Prior to the implementation of the RMA, OTS staff had to update policies, procedures, and manuals. They also had to make sure their file plans and schedules were current and usable.

Their goals for the program were to: implement file plans, capture all OTS records, provide safe storage and access for OTS electronic information, and provide OTS staff with automated records management tools. The long term goal is to share OTS information nationwide.

When selecting the records management software, OTS relied on the requirements in 36 CFR 1228, on the DoD 5015.2 certification, and the Memorandum of Understanding (MOU) between DoD and NARA. OTS selected Tower's TRIM software, since it could import their records control schedules and support the identification and disposition of all OTS records. Tower was able to convert the index of inactive records stored at the WNRC that OTS had in an Inmagic database, so that OTS did not have to start from scratch.

Looking back, OTS felt it would have been useful to have had guidance from NARA on archival standards for native formats, digital signatures, the certification of acceptable electronic recordkeeping systems, and model schedules and file plans for working with electronic recordkeeping systems.

When the TRIM software arrived, it came as a shell which OTS staff spent a great deal of time customizing to fit their needs. They were able to simplify the TRIM interface, making it user friendly, by reflecting how OTS staff store and retrieve information. Customizing included setting up hooks from existing desktop applications so that electronic records could be filed from word processing, spreadsheets, or any ODBC compliant software.

Each user decides whether or not a particular electronic document is a record and whether it belongs in the records management application's repository. This user choice is one of the strengths and weaknesses in TRIM. This customization, flexibility, and user choice helped get the program office's buy-in, but required more up-front records training. The OTS visited all program offices to explain how the system would assist the agency's records management and how it would work with the paper filing.

Once a user decides to "file" the electronic record, they have a series of "file folders" (a pick list) from which to choose. These folders reflect the OTS schedules and file plans and can only be modified by the system administrator. In addition, the system uses a thesaurus, which OTS customized, to assist users in filing and retrieving documents in a literal environment. OTS uses a series of virtual records containing the names of institutions or holding companies. The user can relate the electronic record being filed to an institution or holding company. This is important since most OTS records belong in files relating to these organizations.

Open discussion on OTS RMA Implementation

How large was the OTS initial pilot project?

For active filing, OTS will start 2 pilots projects before January 1999. Thirty people will participate from Research and Analysis, five to six from Enforcement, and ten from Administration. OTS is not rolling TRIM out to all 1,200 staff at the same time.

How difficult is changing or updating the file folders and disposition instructions?

OTS is moving to functional schedules and file plans and hopefully this will obviate the need to make constant changes. Adding new folders, changing disposition instructions or making minor edits is relatively easy. Difficulties arise when trying to totally revamp a schedule or file plan.

What type of resources has OTS invested in this system?

The software and training cost approximately \$100,000. This included unlimited licences for 400 employees in the Washington Office. This does not include staff time (3 staff members, none of whom could devote full-time to the project) or any additional hardware. The entire project, from start to implementation, was expected to last 5 years.

What was the evaluation criteria OTS used in selecting an RMA?

1. It needed to track both electronic and paper records. 2. It needed to function without a document management component, since OTS did not intend to purchase such a system. 3. It needed to fit into the OTS current IT infrastructure, OTS did not intend to purchase additional hardware. At the time of selection, only TRIM fit all three requirements.

Is OTS using internal or external databases?

OTS used the internal database that comes with TRIM, but is considering using Microsoft SQL server which the manufacturer recommends.

Will TRIM manage e-mail?

Yes, it uses the same set up as Top Drawer (the file folder component). It catalogues both the e-mail and any attachment.

Can TRIM produce file plans and labels? Can it produce 115s, 135s, and 258s?

According to the manufacturer, the system outputs include both plans and labels, but OTS has not yet used that function. OTS has talked to TRIM about generating OF11s and 135s, but no action has been taken to develop this element yet.

Conclusion

Mike Miller addressed the some of the areas that OTS noted could have helped in making their RMA selection: accessioning native formats, digital signatures, and certifying systems. NARA understands that certain electronic records can not be reduced to flat files. Two areas NARA is currently exploring acceptance of electronic records in native formats are the State Department cables and White House e-mail. NARA does not own the problem of digital signatures, but [redacted] has been representing NARA on Public Key Infrastructure (PKI)

issues. NARA could end up taking the position that, if an agency transfers electronic records, and vouches they are properly signed, NARA will accession the material. As for certifying system, NARA will be reviewing the DoD certification test bed. NARA has written a report on the DoD standard on which the test bed is based. A summary of this report was sent to Records Officers in the NARA memo NWM 3.99

On the GRS 20 front, the follow-on group, recommended in the final report of the Electronic Records Work Group, will be getting underway in the new year. As for the latest draft scheduling bulletin which was sent from both OMB and NARA, BRIDG participants noted that the CIOs asked for agency comment, but sent document to individual bureaus. Another problem was that since OMB, not NARA, asked for comments, many agency Records Officers limited their comments.

On the Reimbursable front, Miller reminded meeting participants that the Reimbursable Program is coming. His program will be responsible for processing any schedules that request changes to retention lengths. The earlier any such schedules are submitted, the better, since the agency appraisal archivists will also be processing GRS 20 schedules. Someone asked if it would be possible to put some approval authority into the hands of agency Records Officers? According to statute, the Archivist of the United States has records disposition authority for all Federal records. NARA will look at how much flexibility exists in delegating this authority. No matter who authorizes disposition, or how NARA streamlines its scheduling procedures, the need for public comment on all schedules has increased as result of the GRS 20 issue. Someone else asked if NARA plans to enter into a partnership with GAO to expedite the GAO participation in the scheduling process.

IRON MOUNTAIN
8200 PRESTON COURT, SUITE ONE
JESSUP, MARYLAND 20794
TELEPHONE: 800-394-1951
FAX: 410-792-0776



February 16, 1999

[Redacted]
Records Manager, Federal Bureau of Investigation
Department of Justice
J Edgar Hoover Building Rm 5342
Washington, DC 20530

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Dear [Redacted]

You are invited to attend a scheduled tour of Iron Mountain's Baltimore/Washington District Headquarters, located in Jessup, Maryland. During the months of March and April, Iron Mountain's largest district operation will be opening its doors to government agencies each Tuesday and Thursday to preview for you our full line of records management products and services.

From Iron Mountain's inventory workflow to our robust SafeKeeper Internet product, Department of Justice will be provided with an overview to evaluate effectively the options that using Iron Mountain holds for you now and in the future.

From March 2nd through April 27th each Tuesday and Thursday, scheduled tours will begin at 11 AM and 2:30 PM, lasting for approximately two hours. Please call [Redacted] at [Redacted] to register for a tour time. To accommodate all requests, we encourage you to register at least 24 hours in advance. [Redacted] can provide you with directions to the Jessup records center, as well.

To contact me with questions or to obtain additional information, you may call me at [Redacted] extension [Redacted] or e-mail me at [Redacted]@IronMountain.com.

Sincerely,

[Redacted Signature]

Regional Sales Manager

ELH/ksf

66F-HQ-0190059-88

*National Archives and
Records Administration*

Washington, DC 20408

NARA BULLETIN

NO. 99-03

February 24, 1999

TO: Heads of Federal Agencies

SUBJECT: Changes in disposition procedures at NARA's records center facilities

EXPIRATION DATE: February 28, 2001

1. What does this bulletin do? This bulletin provides information on changes in disposition procedures at NARA facilities storing agency-owned records. These changes have been put in place in response to NARA's report of April 24, 1998, titled *Inquiry into the Disposal of Records of the Naval Research Laboratory*.

2. What is the background to these procedures?

a. On November 13, 1997, the Chief of Naval Research wrote a letter to the Archivist of the United States which detailed how the Washington National Records Center (WNRC) had destroyed Naval Research Laboratory (NRL) correspondence and laboratory notebooks dating from the 1940s. On April 24, 1998, NARA issued a report titled *Inquiry into the Disposal of Records of the Naval Research Laboratory* (hereafter referred to as the *Report*). This *Report* can be accessed at the following web site: <http://www.nara.gov/records/nrlrpt.html>.

b. The *Report* found that NARA had followed procedures, but recommended changes in certain disposition procedures for agency records stored at NARA's records center facilities. This bulletin announces how NARA has implemented those recommendations.

3. What new procedures will NARA and my agency follow when formerly permanent or unscheduled items are re-scheduled as temporary?

a. Our records center facilities will notify your agency records officer by letter when agency accessions are to be recoded to temporary status in the NARS-5 system because of changes in disposition authority. The letter will contain the following information for each accession requiring recoding from permanent or unscheduled to temporary retention status: accession number, box number(s), current disposition authority, disposition code, and disposition date, and proposed disposition authority, disposition code, and disposition date. The procedures do not apply to records already coded as disposable (D code) or deferred disposable (B code).

b. The letter will request written concurrence from the agency records officer for each accession and box number(s) affected. Your records officer is responsible for coordinating the agency response to NARA, including any necessary contacts with the agency's regional records management or program staff. We will not reschedule (recode) these records for disposal unless we receive written concurrence from your records officer.

66F-HQ-C1190059-89

4. How can I keep up to date about the disposition status of my agency's records in NARA storage?

The first thing to remember is that under 36 CFR 1228.50 your agency is required annually to review and, if necessary, update your records schedules. We encourage agencies to maintain their records schedules and transfer documentation and to use them as information resources in determining disposition status. You may use the following tools to check the disposition status of your agency's records in NARA's records center facilities:

a. Individual center reports. NARA's records center facilities will provide upon request copies of the *Accession Number Master List* (01 Report), which shows a complete database listing of holdings from an agency in accession number order, and other useful reports such as the *Disposal Authority Report* (08 Report) which lists agency records in disposition authority order. In addition, you can request copies of Archivist-approved *Requests for Records Disposition Authority* (SFs 115) and *Records Transmittal and Receipt Forms* (SFs 135) from the NARA record center facility that stores your agency's records. Contact the appropriate facility from the attached listing for further information about these reports and others which may be useful. Information regarding costs for copies is also available from each facility.

b. Other specialized reports. For reports of system wide holdings or for reports in electronic form that can be customized, you should contact the Office of Regional Records Services (NR), National Archives at College Park, 8601 Adelphi Road, College Park, Md 20740-6001 (telephone number 301-713-7200).

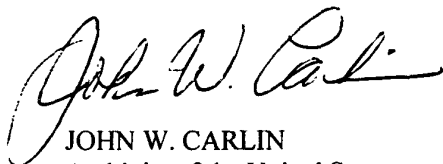
c. CIPS. Another excellent source for obtaining information on records stored in NARA's records center facilities is the Centers Information Processing System (CIPS). CIPS, used by most Federal agencies to reference their records currently stored in NARA's records center facilities, allows agencies to access the 01 Report as well as certain kinds of historical information about records previously stored in these facilities. For information on accessing these reports in CIPS, you should consult the *CIPS Manual: Interactive Reference Request Manual* of July 28, 1998, or the Internet website <<http://www.nara.gov/regional/cips.html>>.

5. How will NARA now send my agency Notices of Intent to Destroy, NA Form 13001?

a. In response to the *Report* recommendations, effective June 1, 1999, NARA will follow the policy of sending disposal notices by certified mail directly to your agency records officer or his/her designee(s). NARA's records center facilities will follow up with those agency officials from whom return receipts are not received within thirty days.

b. If your agency records officer decides to designate another person or persons to receive the notices, the records officer must notify NARA in writing of the designee(s) by June 1, 1999. The records officer may instruct NARA to continue its current practice of sending disposal notices to the office which retired the records or to another office designated on the SF 135. For regional facilities, notify the appropriate Regional Administrator. For the National Personnel Records Center and/or the Washington National Records Center, notify the Director. Their addresses are provided in the attached Directory of NARA Records Center Facilities.

6. Who can I contact for further information? Please direct questions or comments regarding records stored at NARA records center facilities to the individual facility or the Office of Regional Records Services as listed on the attached Directory of NARA Records Center Facilities.



JOHN W. CARLIN
Archivist of the United States

Attachment

DIRECTORY OF NARA RECORDS CENTER FACILITIES

Office of Regional Records Services
Richard L. Claypoole, Assistant Archivist
National Archives at College Park
Room 3600
8601 Adelphi Road
College Park, Maryland 20740-6001
Telephone: 301-713-7200
Fax: 301-713-7205

National Archives and Records Administration - Northeast Region
Diane LeBlanc, Regional Administrator
Frederick C. Murphy Federal Center
380 Trapelo Road
Waltham, Massachusetts 02452-6399
Telephone: 781-647-8745
Fax: 781-647-8088
E-mail: center@waltham.nara.gov

NORTHEAST REGION FACILITIES:

NARA's Northeast Region (Boston)
Frederick C. Murphy Federal Center
380 Trapelo Road
Waltham, Massachusetts 02452-6399
Telephone: 781-647-8108
Fax: 781-647-8112

E-mail: center@waltham.nara.gov
Area served: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island,
Vermont

NARA's Northeast Region (Pittsfield)
10 Conte Drive
Pittsfield, Massachusetts 01201-8230
Telephone: 413-445-6885
Fax: 413-445-7305
E-mail: archives@pittsfield.nara.gov
Area served: Selected Federal agencies nationwide

National Archives and Records Administration - Mid Atlantic Region

James Mouat, Regional Administrator

14700 Townsend Road

Philadelphia, Pennsylvania 19154-1096

Telephone: 215-671-9027

Fax: 215-671-8001

E-mail: center@philfrc.nara.gov

Area served: Delaware, Pennsylvania, and Federal courts in Delaware, Maryland, Pennsylvania, Virginia, and West Virginia

National Archives and Records Administration - Southeast Region

James J. McSweeney, Regional Administrator

1557 St. Joseph Avenue

East Point, Georgia 30344-2593

Telephone: 404-763-7474

Fax: 404-763-7059

E-mail: center@atlanta.nara.gov

Area served: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

National Archives and Records Administration - Great Lakes Region

David Kuehl, Regional Administrator

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

GREAT LAKES REGION FACILITIES:

NARA's Great Lakes Region (Chicago)

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

Area served: Illinois, Minnesota, and Wisconsin, and Federal courts in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

NARA's Great Lakes Region (Dayton)

3150 Springboro Road

Dayton, Ohio 45439-1883

Telephone: 937-225-2852

Fax: 937-225-7236

E-mail: center@dayton.nara.gov

Area served: Ohio, Indiana, and Michigan, except Federal courts in Ohio, Indiana, and Michigan

National Archives and Records Administration - Central Plains Region
Reed Whitaker, Regional Administrator
2312 East Bannister Road
Kansas City, Missouri 64131-3011
Telephone: 816-926-6920
Fax: 816-926-6982
E-mail: center@kansascity.nara.gov

CENTRAL PLAINS REGION FACILITIES:

NARA's Central Plains Region (Kansas City)
2312 East Bannister Road
Kansas City, Missouri 64131-3011
Telephone: 816-926-6920
Fax: 816-926-6982
E-mail: center@kansascity.nara.gov
Area served: Iowa, Kansas, Missouri, Nebraska

NARA's Central Plains Region (Lee's Summit)
200 Space Center Drive
Lee's Summit, Missouri 64064-1182
Telephone: 816-478-7089
Fax: 816-478-7623
E-mail: [redacted]@kccave.nara.gov
Area served: New Jersey, New York, Puerto Rico, the U.S. Virgin Islands, and for most of the Department of Veterans Affairs

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National Archives and Records Administration - Southwest Region
Kent Carter, Regional Administrator
501 West Felix Street, Building 1
Fort Worth, Texas 76115-3405
P. O. Box 6216
Fort Worth, Texas 76115-0216
Telephone: 817-334-5515
Fax: 817-334-5621
E-mail: center@ftworth.nara.gov
Area served: Arkansas, Louisiana, Oklahoma, Texas

National Archives and Records Administration - Rocky Mountain Region
Robert Svenningsen, Regional Administrator
Denver Federal Center, Building 48
Denver, Colorado 80225
P. O. Box 25307
Denver, Colorado 80225-0307
Telephone: 303-236-0801
Fax: 303-236-9297
E-mail: center@denver.nara.gov
Area served: Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, Wyoming

National Archives and Records Administration - Pacific Region
Sharon Roadway, Regional Administrator
1000 Commodore Drive
San Bruno, California 94066-2350
Telephone: 650-876-9249
Fax: 650-876-0920
E-mail: sharon.roadway@sanbruno.nara.gov

PACIFIC REGION FACILITIES:

NARA's Pacific Region (Laguna Niguel)
24000 Avila Road
1st Floor-East Entrance
Laguna Niguel, California 92677-3497
P.O. Box 6719
Laguna Niguel, California 92607-6719
Telephone: 949-360-2618
Fax: 949-360-2624
E-mail: center@laguna.nara.gov
Area served: Arizona, southern California, and Clark County, Nevada

NARA's Pacific Region (San Francisco)
1000 Commodore Drive
San Bruno, California 94066-2350
Telephone: 650-876-9015
Fax: 650-876-0920
E-mail: center@sanbruno.nara.gov
Area served: Northern California, Nevada (except Clark County), and selected Federal agencies in Hawaii and the Pacific Ocean area

National Archives and Records Administration - Pacific Alaska Region
Steven Edwards, Regional Administrator
6125 Sand Point Way NE
Seattle, Washington 98115-7999
Telephone: 206-526-6501
Fax: 206-526-6545
E-mail: center@seattle.nara.gov
Area served: Idaho, Oregon, Washington, and selected Federal agencies in Alaska, Hawaii, and the Pacific Ocean area

National Archives & Records Administration - National Personnel Records Center
David L. Petree, Director
9700 Page Avenue
St. Louis, Missouri 63132-5100
Telephone: 314-538-4201
Fax: 314-538-4005
E-mail: center@stlouis.nara.gov

NATIONAL PERSONNEL RECORDS CENTER FACILITIES:

NARA's National Personnel Records Center (Civilian Personnel Records)
111 Winnebago Street
St. Louis, Missouri 63118-4199
Telephone: 314-425-5722
Fax: 314-425-5719
E-mail: center@cpr.nara.gov

NARA's National Personnel Records Center (Military Personnel Records)
9700 Page Avenue
St. Louis, Missouri 63132-5100
Telephone: 314-538-4247
Fax: 314-538-4005
E-mail: center@stlouis.nara.gov

National Archives and Records Administration - Washington National Records Center
Ferris E. Stovel, Director
4205 Suitland Road
Suitland, Maryland 20746-8001
Telephone: 301-457-7000
E-mail: center@suitland.nara.gov
Fax: 301-457-7117
Area served: Washington, D.C., area, Maryland, Virginia, West Virginia, and armed forces worldwide, except records of the Federal courts of Maryland, Virginia, and West Virginia.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

March 5, 1999

NWM 08.99

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) January 26, 1999 Meeting Summary

There will be no Bimonthly Records and Information Discussion Group (BRIDG) meeting in March 1999. We will continue to keep you posted on the progress of other NARA initiatives as they develop and look forward to seeing you at the Records Administration Conference (RACO 99) on May 20, 1999.

A summary of the January 26, 1999 BRIDG meeting is attached. The topic of this meeting was the Fast Track Guidance Development Project (FastTrack) currently being initiated by the National Archives and Records Administration (NARA).

If you have additional electronic records questions, please submit them via e-mail, with "FastTrack" in the subject line, to records.mgt@arch2.nara.gov, or call [redacted] at [redacted] ext [redacted]. We appreciate your input and feedback toward this initiative.

MICHAEL L. MILLER
Director
Modern Records Programs

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66F-HQ-C1190059-90

Bimonthly Records and Information Discussion Group (BRIDG)

10:00 a.m. - 12:00 p.m., January 26, 1999
National Archives Building Theater, Washington, D.C.

TOPIC: Fast Track

Over 90 people attended the January 26, 1999 Bi-monthly Records Information Discussion Group (BRIDG) meeting held in the National Archives Theater in Washington, D.C. The discussion, led by Michael L. Miller, Director, Modern Records Programs, centered on Federal agencies' needs for electronic records guidance and projects currently underway at the National Archives and Records Administration (NARA) to develop this guidance.

Dr. Miller began the discussion with some introductory remarks on electronic records issues. The topic of electronic records can include diverse categories from electronic commerce to electronic access. These categories have a significant implication for developing electronic records guidance and they command the attention of Chief Information Officers (CIOs) and agency leaders. The high level of attention, expanding improvements in information technology (IT), and incorporation of IT into agency work processes are combining to push the Federal government toward electronic recordkeeping. Therefore, the need for reliable, up-to-date electronic records information is rapidly increasing.

NARA needs to ensure that such information is readily available. Much of NARA's previous electronic records guidance focused on database management and is either out of date or is under revision. As a first step to develop better electronic records guidance, NARA established the Electronic Records Work Group in 1998 to examine electronic records disposition issues. As a result of the recommendations contained in the Work Group's final report, NARA has taken several actions.

- First, NARA developed a draft bulletin with guidance on how to schedule electronic copies of records created on word processing and e-mail applications, especially those records formerly covered by GRS 20, items 13 and 14. The draft bulletin is currently under review in OMB.
- Second, NARA updated the entire GRS with authorities to dispose of the electronic copies covered by each particular schedule. The revised GRS, issued in December 1998 with Transmittal Memo Number 8, also includes new language for all previously unspecified disposition instructions.
- Third, NARA has drafted a new GRS to cover routine, administrative IT records. The draft IT GRS is undergoing internal NARA review and should be out for comment by March 1999.
- Finally, NARA has established a follow-on group to look at electronic records management issues.

The follow-on group is called the Fast Track Guidance Development Project (FastTrack). FastTrack will determine what products NARA can issue or develop regarding electronic records relatively quickly. While FastTrack will not solve all electronic records problems, it will provide an expedited method to address some of the problems. In a January 1999 press release, the Archivist of the United States stated that the FastTrack team will identify "best practices" currently available and provide information on electronic records issues that Federal managers can use now while work goes forward on developing more complete and longer-term solutions. Therefore, the FastTrack team will perform initial data collection to define what questions are suitable within the scope of the project. Other FastTrack products may include best practices, issue papers, models, how-to tools, or a compilation of frequently asked questions (FAQs).

FastTrack will consist of NARA staff, Federal agency experts, and consultants working in partnership. The NARA members are: Mark Giguere (Project Manager), Lisa Weber, and Mark Conrad. The agency members could not be announced at this BRIDG meeting because their participation had not been confirmed. As FastTrack makes progress identifying problems, selecting issues, and developing electronic records information, the NARA web page will be updated accordingly. Agencies who wish to follow the group's progress closely should monitor the site at <http://www.nara.gov/records>.

Other NARA actions taken with regard to electronic records are:

1. Changes in NARA's Life Cycle Management Division, which schedules and appraises all Federal records, including electronic records. The first change is a new team approach that allows archivists to pool their resources and expertise to advise agencies on electronic records appraisal issues. The second change is streamlining the approval procedures for scheduling records.
2. A Business Processing Reengineering project scheduled for this year to review the way NARA interacts with agencies at the front-end of the lifecycle of records.
3. Efforts to improve communications with agencies. NARA is developing a more user-friendly, high-content web site for records management programs. NARA is also investigating additional methods for using technology to interact with the Federal records management community.

Once Dr. Miller concluded his remarks about electronic records guidance, the meeting was opened to questions from all participants. Questions were posed by attendees who either submitted questions beforehand, asked them during the meeting, or wrote them down on 3 X 5 cards. Between these different methods, NARA received a number of excellent suggestions for areas needing guidance.

A sample of the questions regarding electronic records issues includes:

- What should agencies do with "native formats"?
- Why did NARA include media specific disposition instructions? The message should

be appraised, not the media.

- When is e-mail a 'non-record'? Will NARA issue guidance to help distinguish personal e-mail from organizational e-mail?

- When does NARA guidance stop and agency guidance begin?

- Which Records Management Application (RMA) is the best?

- Could NARA evaluate the top e-mail applications and issue a report on whether or not they meet records management needs? Many vendors are claiming their expanded packages meet these needs.

- Why doesn't NARA drive the standards for creating records management applications by stating what requirements such a product should meet? Why doesn't NARA work with OMB, DoJ, and GSA to establish such a standard for agencies to use?

- At what point does a web page become a record?

- Can NARA specify a date by which agencies must have full electronic records management capabilities?

- Can NARA provide a list of records management vendors who are experts in the field?

- Can NARA produce a baseline or minimum that agencies should be currently doing in electronic records management or that agency managers should be spending on electronic records management resources?

- How will NARA bring the CIO Council into electronic records management issues?

- Will NARA develop and support qualifications and standards for Federal Records Officers? Would NARA partner with the USDA Graduate School for such training?

Dr. Miller addressed many of these questions at the BRIDG meeting. All questions were recorded and sent to the FastTrack group. Please continue to submit any questions or concerns on electronic records guidance to NARA by sending an e-mail to records.mgt@arch2.nara.gov. Please use the subject line "FastTrack" in your e-mail messages. You can also phone in your questions by contacting [redacted] at [redacted] extension [redacted]

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These minutes will be posted to the NARA Records Management web site at <http://www.nara.gov/records>.

National
Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

March 17, 1999

NWM09.99

MEMORANDUM TO AGENCY RECORDS OFFICERS: NARA Bulletin 99-03, Changes in the disposition procedures at NARA's records center facilities

Enclosed please find a copy of NARA Bulletin 99-03, which outlines changes in procedures at NARA records center storage facilities that have been implemented in response to NARA's report of April 24, 1998, titled *Inquiry into the Disposal of the Naval Research Laboratory*.

This bulletin notifies you of changes in the handling of Notices of Intent to Destroy, NA Form 13001, which will be sent to you, or your designee, via certified mail requesting a return receipt. NARA will follow up on receipts that are not returned. If you wish to have the NA Form 13001 sent to someone other than yourself, you must notify us by June 1, 1999. Please see paragraph 5b of the bulletin for details.

The bulletin also reviews the new procedures when NARA records centers must re-code formerly permanent or unscheduled records as temporary because of changes in disposition authority. Please note that written concurrence from you, or your designee, is now required. To keep up to date about the disposition status of your records, the bulletin encourages the use of CIPS, includes a list of individual center reports, and refers to other customized reports that may be available.

If you have questions or need assistance regarding records stored at NARA records center facilities, please direct questions to the individual facility or the Office of Regional Records Services as listed on the Directory of NARA Records Center Facilities. A current Directory of NARA Records Center Facilities is attached as part of NARA Bulletin 99-03. A copy of this Directory is also posted on the NARA records management web site at <http://www.nara.gov/records/>.

We appreciate your cooperation in this matter.

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-91

Enclosures

NARA BULLETIN

NO. 99-03

February 24, 1999

TO: Heads of Federal Agencies

SUBJECT: Changes in disposition procedures at NARA's records center facilities

EXPIRATION DATE: February 28, 2001

1. What does this bulletin do? This bulletin provides information on changes in disposition procedures at NARA facilities storing agency-owned records. These changes have been put in place in response to NARA's report of April 24, 1998, titled *Inquiry into the Disposal of Records of the Naval Research Laboratory*.

2. What is the background to these procedures?

a. On November 13, 1997, the Chief of Naval Research wrote a letter to the Archivist of the United States which detailed how the Washington National Records Center (WNRC) had destroyed Naval Research Laboratory (NRL) correspondence and laboratory notebooks dating from the 1940s. On April 24, 1998, NARA issued a report titled *Inquiry into the Disposal of Records of the Naval Research Laboratory* (hereafter referred to as the *Report*). This *Report* can be accessed at the following web site: <<http://www.nara.gov/records/nrlrpt.html>>.

b. The *Report* found that NARA had followed procedures, but recommended changes in certain disposition procedures for agency records stored at NARA's records center facilities. This bulletin announces how NARA has implemented those recommendations.

3. What new procedures will NARA and my agency follow when formerly permanent or unscheduled items are re-scheduled as temporary?

a. Our records center facilities will notify your agency records officer by letter when agency accessions are to be recoded to temporary status in the NARS-5 system because of changes in disposition authority. The letter will contain the following information for each accession requiring recoding from permanent or unscheduled to temporary retention status: accession number, box number(s), current disposition authority, disposition code, and disposition date, and proposed disposition authority, disposition code, and disposition date. The procedures do not apply to records already coded as disposable (D code) or deferred disposable (B code).

b. The letter will request written concurrence from the agency records officer for each accession and box number(s) affected. Your records officer is responsible for coordinating the agency response to NARA, including any necessary contacts with the agency's regional records management or program staff. We will not reschedule (recode) these records for disposal unless we receive written concurrence from your records officer.

4. How can I keep up to date about the disposition status of my agency's records in NARA storage?

The first thing to remember is that under 36 CFR 1228.50 your agency is required annually to review and, if necessary, update your records schedules. We encourage agencies to maintain their records schedules and transfer documentation and to use them as information resources in determining disposition status. You may use the following tools to check the disposition status of your agency's records in NARA's records center facilities:

a. Individual center reports. NARA's records center facilities will provide upon request copies of the *Accession Number Master List* (01 Report), which shows a complete database listing of holdings from an agency in accession number order, and other useful reports such as the *Disposal Authority Report* (08 Report) which lists agency records in disposition authority order. In addition, you can request copies of Archivist-approved *Requests for Records Disposition Authority* (SFs 115) and *Records Transmittal and Receipt Forms* (SFs 135) from the NARA record center facility that stores your agency's records. Contact the appropriate facility from the attached listing for further information about these reports and others which may be useful. Information regarding costs for copies is also available from each facility.

b. Other specialized reports. For reports of system wide holdings or for reports in electronic form that can be customized, you should contact the Office of Regional Records Services (NR), National Archives at College Park, 8601 Adelphi Road, College Park, Md 20740-6001 (telephone number 301-713-7200).

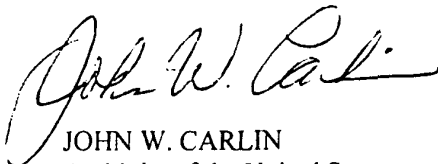
c. CIPS. Another excellent source for obtaining information on records stored in NARA's records center facilities is the Centers Information Processing System (CIPS). CIPS, used by most Federal agencies to reference their records currently stored in NARA's records center facilities, allows agencies to access the 01 Report as well as certain kinds of historical information about records previously stored in these facilities. For information on accessing these reports in CIPS, you should consult the *CIPS Manual: Interactive Reference Request Manual* of July 28, 1998, or the Internet website <<http://www.nara.gov/regional/cips.html>>.

5. How will NARA now send my agency Notices of Intent to Destroy, NA Form 13001?

a. In response to the *Report* recommendations, effective June 1, 1999, NARA will follow the policy of sending disposal notices by certified mail directly to your agency records officer or his/her designee(s). NARA's records center facilities will follow up with those agency officials from whom return receipts are not received within thirty days.

b. If your agency records officer decides to designate another person or persons to receive the notices, the records officer must notify NARA in writing of the designee(s) by June 1, 1999. The records officer may instruct NARA to continue its current practice of sending disposal notices to the office which retired the records or to another office designated on the SF 135. For regional facilities, notify the appropriate Regional Administrator. For the National Personnel Records Center and/or the Washington National Records Center, notify the Director. Their addresses are provided in the attached Directory of NARA Records Center Facilities.

6. Who can I contact for further information? Please direct questions or comments regarding records stored at NARA records center facilities to the individual facility or the Office of Regional Records Services as listed on the attached Directory of NARA Records Center Facilities.



JOHN W. CARLIN
Archivist of the United States

Attachment

DIRECTORY OF NARA RECORDS CENTER FACILITIES

Office of Regional Records Services
Richard L. Claypoole, Assistant Archivist
National Archives at College Park
Room 3600
8601 Adelphi Road
College Park, Maryland 20740-6001
Telephone: 301-713-7200
Fax: 301-713-7205

National Archives and Records Administration - Northeast Region
Diane LeBlanc, Regional Administrator
Frederick C. Murphy Federal Center
380 Trapelo Road
Waltham, Massachusetts 02452-6399
Telephone: 781-647-8745
Fax: 781-647-8088
E-mail: center@waltham.nara.gov

NORTHEAST REGION FACILITIES:

NARA's Northeast Region (Boston)
Frederick C. Murphy Federal Center
380 Trapelo Road
Waltham, Massachusetts 02452-6399
Telephone: 781-647-8108
Fax: 781-647-8112
E-mail: center@waltham.nara.gov
Area served: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island,
Vermont

NARA's Northeast Region (Pittsfield)
10 Conte Drive
Pittsfield, Massachusetts 01201-8230
Telephone: 413-445-6885
Fax: 413-445-7305
E-mail: archives@pittsfield.nara.gov
Area served: Selected Federal agencies nationwide

National Archives and Records Administration - Mid Atlantic Region

James Mouat, Regional Administrator

14700 Townsend Road

Philadelphia, Pennsylvania 19154-1096

Telephone: 215-671-9027

Fax: 215-671-8001

E-mail: center@philfrc.nara.gov

Area served: Delaware, Pennsylvania, and Federal courts in Delaware, Maryland, Pennsylvania, Virginia, and West Virginia

National Archives and Records Administration - Southeast Region

James J. McSweeney, Regional Administrator

1557 St. Joseph Avenue

East Point, Georgia 30344-2593

Telephone: 404-763-7474

Fax: 404-763-7059

E-mail: center@atlanta.nara.gov

Area served: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

National Archives and Records Administration - Great Lakes Region

David Kuehl, Regional Administrator

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

GREAT LAKES REGION FACILITIES:

NARA's Great Lakes Region (Chicago)

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

Area served: Illinois, Minnesota, and Wisconsin, and Federal courts in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

NARA's Great Lakes Region (Dayton)

3150 Springboro Road

Dayton, Ohio 45439-1883

Telephone: 937-225-2852

Fax: 937-225-7236

E-mail: center@dayton.nara.gov

Area served: Ohio, Indiana, and Michigan, except Federal courts in Ohio, Indiana, and Michigan

National Archives and Records Administration - Central Plains Region
Reed Whitaker, Regional Administrator
2312 East Bannister Road
Kansas City, Missouri 64131-3011
Telephone: 816-926-6920
Fax: 816-926-6982
E-mail: center@kansascity.nara.gov

CENTRAL PLAINS REGION FACILITIES:

NARA's Central Plains Region (Kansas City)
2312 East Bannister Road
Kansas City, Missouri 64131-3011
Telephone: 816-926-6920
Fax: 816-926-6982
E-mail: center@kansascity.nara.gov
Area served: Iowa, Kansas, Missouri, Nebraska

NARA's Central Plains Region (Lee's Summit)
200 Space Center Drive
Lee's Summit, Missouri 64064-1182
Telephone: 816-478-7089
Fax: 816-478-7623

E-mail: [redacted]@kccave.nara.gov
Area served: New Jersey, New York, Puerto Rico, the U.S. Virgin Islands, and for most of the Department of Veterans Affairs

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National Archives and Records Administration - Southwest Region
Kent Carter, Regional Administrator
501 West Felix Street, Building 1
Fort Worth, Texas 76115-3405
P. O. Box 6216
Fort Worth, Texas 76115-0216
Telephone: 817-334-5515
Fax: 817-334-5621
E-mail: center@ftworth.nara.gov
Area served: Arkansas, Louisiana, Oklahoma, Texas

National Archives and Records Administration - Rocky Mountain Region
Robert Svenningsen, Regional Administrator
Denver Federal Center, Building 48
Denver, Colorado 80225
P. O. Box 25307
Denver, Colorado 80225-0307
Telephone: 303-236-0801
Fax: 303-236-9297
E-mail: center@denver.nara.gov
Area served: Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, Wyoming

National Archives and Records Administration - Pacific Region
Sharon Roadway, Regional Administrator
1000 Commodore Drive
San Bruno, California 94066-2350
Telephone: 650-876-9249
Fax: 650-876-0920
E-mail: sharon.roadway@sanbruno.nara.gov

PACIFIC REGION FACILITIES:

NARA's Pacific Region (Laguna Niguel)
24000 Avila Road
1st Floor-East Entrance
Laguna Niguel, California 92677-3497
P.O. Box 6719
Laguna Niguel, California 92607-6719
Telephone: 949-360-2618
Fax: 949-360-2624
E-mail: center@laguna.nara.gov
Area served: Arizona, southern California, and Clark County, Nevada

NARA's Pacific Region (San Francisco)
1000 Commodore Drive
San Bruno, California 94066-2350
Telephone: 650-876-9015
Fax: 650-876-0920
E-mail: center@sanbruno.nara.gov
Area served: Northern California, Nevada (except Clark County), and selected Federal agencies in Hawaii and the Pacific Ocean area

National Archives and Records Administration - Pacific Alaska Region
Steven Edwards, Regional Administrator
6125 Sand Point Way NE
Seattle, Washington 98115-7999
Telephone: 206-526-6501
Fax: 206-526-6545
E-mail: center@seattle.nara.gov
Area served: Idaho, Oregon, Washington, and selected Federal agencies in Alaska, Hawaii, and the Pacific Ocean area

February 24, 1999

NARA Bulletin 99-03
Attachment

National Archives & Records Administration - National Personnel Records Center
David L. Petree, Director
9700 Page Avenue
St. Louis, Missouri 63132-5100
Telephone: 314-538-4201
Fax: 314-538-4005
E-mail: center@stlouis.nara.gov

NATIONAL PERSONNEL RECORDS CENTER FACILITIES:

NARA's National Personnel Records Center (Civilian Personnel Records)
111 Winnebago Street
St. Louis, Missouri 63118-4199
Telephone: 314-425-5722
Fax: 314-425-5719
E-mail: center@cpr.nara.gov

NARA's National Personnel Records Center (Military Personnel Records)
9700 Page Avenue
St. Louis, Missouri 63132-5100
Telephone: 314-538-4247
Fax: 314-538-4005
E-mail: center@stlouis.nara.gov

National Archives and Records Administration - Washington National Records Center
Ferris E. Stovel, Director
4205 Suitland Road
Suitland, Maryland 20746-8001
Telephone: 301-457-7000
E-mail: center@suitland.nara.gov
Fax: 301-457-7117

Area served: Washington, D.C., area, Maryland, Virginia, West Virginia, and armed forces worldwide, except records of the Federal courts of Maryland, Virginia, and West Virginia.



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

April 26, 1999

Mr. John E. Harris
Director
Office of International Affairs
Criminal Division
United States Department of Justice
Washington, D.C. 20530

Dear Mr. Harris:

Reference is made to your letter dated January 13, 1999, to [redacted] Unit Chief, International Relations Unit II, Federal Bureau of Investigation (FBI), requesting certification of a document obtained from the government of Argentina.

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As the Section Chief of the Information Management Section, Information Resources Division, FBI Headquarters (HQ), Washington, DC., I serve as the FBI's Records Policy Officer and have a full and complete knowledge of all records contained in the Central Records System at FBIHQ.

As Records Policy Officer, I have reviewed the record copy of the material furnished with your referenced letter and have compared these records with the material previously released under the provisions of Title 5, United States Code, Sections 552 and 552a, more commonly referred to as the Freedom of Information-Privacy Acts (FOIPA).

Please be advised that as a result of my review, I have determined that the enclosed document, with the FOIPA redactions,

Enclosure

- Dep. Dir. _____
- ADD Adm. _____
- ADD Inv. _____
- Asst. Dir.: _____
- Adm. Servs. _____ 1 - IRD Front Office, Room 5829
- Crim. Inv. _____ 1 - Mr. Weaver, Room 9998
- Ident. _____ 1 - [redacted] Room 10475
- Insp. _____ 1 - [redacted] Room 10475
- Intell. _____
- Lab. _____
- Legal Coun. _____ WS:ws (6)
- Rec. Mgnt. _____
- Tech. Servs. _____
- Training _____
- Cong. Affs. Off. _____
- Off. of EEO _____
- Off. Liaison & _____
- Int. Affs. _____
- Off. of Public Affs. _____
- Telephone Rm. _____
- Director's Sec'y _____ MAIL ROOM [initials]

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66F-HQ-C1190059-92

HAND-DELIVERED
To OGC 4/27/99

Mr. John Harris
Criminal Division

can be certified as a true copy of that material previously released.

If you need any further assistance, please do not hesitate to contact me at telephone number

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Sincerely,

Dennis R. Weaver
Section Chief
Information Management Section
Information Resources Division

Assoc. Dir.	_____
Dep. A. I. - Adm.	_____
Dep. A. D. - Inv.	_____
Asst. Dir.	_____
Adm. Serv.	_____
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ON SEPTEMBER 28, 1976, A CONFIDENTIAL SOURCE ABROAD [REDACTED] b1

[REDACTED] PROVIDED THE FOLLOWING INFORMATION: U

"OPERATION CONDOR" IS THE CODE NAME FOR THE COLLECTION, EXCHANGE AND STORAGE OF INTELLIGENCE DATA CONCERNING SO CALLED "LEFTISTS," COMMUNISTS AND MARXISTS, WHICH WAS RECENTLY ESTABLISHED BETWEEN COOPERATING INTELLIGENCE SERVICES IN SOUTH AMERICA IN ORDER TO ELIMINATE MARXIST TERRORIST ACTIVITIES IN THE AREA. IN ADDITION, "OPERATION CONDOR" PROVIDES FOR JOINT OPERATIONS AGAINST TERRORIST

105-307319-9
 SF-132

REC 90DE4 *185-789-20*

OCT 20 1976

185-789
 NOT RECORDED
 APR 17 1980

1cc made for hand to WFO
7/29/76

SIX

PAGE TWO BUE 109-2 109-9 ~~SECRET~~

TARGETS IN MEMBER COUNTRIES OF "OPERATION CONDOR." CHILE IS THE CENTER FOR "OPERATION CONDOR" AND IN ADDITION TO CHILE ITS MEMBERS INCLUDE ARGENTINA, BOLIVIA, PARAGUAY, AND URUGUAY. BRAZIL ALSO HAS TENTATIVELY AGREED TO SUPPLY INTELLIGENCE INPUT FOR "OPERATION CONDOR." MEMBERS OF "OPERATION CONDOR" SHOWING THE MOST ENTHUSIASM TO DATE HAVE BEEN ARGENTINA, URUGUAY AND CHILE. THE LATTER THREE COUNTRIES HAVE ENGAGED IN JOINT OPERATIONS, PRIMARILY IN ARGENTINA, AGAINST THE TERRORIST TARGET. DURING THE WEEK OF SEPTEMBER 20, 1976, THE [REDACTED]

[REDACTED] WITH RESPECT TO "OPERATION CONDOR." U.

⁵
A THIRD AND MOST SECRET PHASE OF "OPERATION CONDOR" INVOLVES THE FORMATION OF SPECIAL TEAMS FROM MEMBER COUNTRIES WHO ARE TO TRAVEL ANYWHERE IN THE WORLD TO NON-MEMBER COUNTRIES TO CARRY OUT SANCTIONS UP TO ASSASSINATION AGAINST TERRORISTS OR SUPPORTERS OF TERRORIST ORGANIZATIONS FROM "OPERATION CONDOR" MEMBER COUNTRIES. FOR EXAMPLE, SHOULD A TERRORIST OR A SUPPORTER OF A TERRORIST ORGANIZATION FROM A MEMBER COUNTRY OF "OPERATION CONDOR" BE LOCATED IN A EUROPEAN COUNTRY, A SPECIAL TEAM FROM "OPERATION CONDOR" U.

~~SECRET~~

PAGE THREE BUE 109-2 109-9 ~~SECRET~~

WOULD BE DISPATCHED TO LOCATE AND SURVEIL THE TARGET. WHEN THE LOCATION AND SURVEILLANCE OPERATION HAS TERMINATED, A SECOND TEAM FROM "OPERATION CONDOR" WOULD BE DISPATCHED TO CARRY OUT THE ACTUAL SANCTION AGAINST THE TARGET. SPECIAL TEAMS WOULD BE ISSUED FALSE DOCUMENTATION FROM MEMBER COUNTRIES OF "OPERATION CONDOR" AND MAY BE COMPOSED EXCLUSIVELY OF INDIVIDUALS FROM ONE MEMBER NATION OF "OPERATION CONDOR" OR MAY BE COMPOSED OF A MIXED GROUP FROM VARIOUS "OPERATION CONDOR" MEMBER NATIONS. TWO EUROPEAN COUNTRIES, SPECIFICALLY MENTIONED FOR POSSIBLE OPERATIONS UNDER THE THIRD PHASE OF "OPERATION CONDOR" WERE FRANCE AND PORTUGAL. U.

A SPECIAL TEAM HAS BEEN ORGANIZED [REDACTED] b1

[REDACTED] WHICH ARE BEING PREPARED FOR POSSIBLE FUTURE ACTION UNDER THE THIRD PHASE OF "OPERATION CONDOR." U.

~~CLASSIFIED BY 9931 XGDS-2 INDEFINITE.~~

~~SECRET~~

PAGE FOUR BUE 109-2 109-9 ~~SECRET~~
COORDINATED LOCALLY. U

IT SHOULD BE NOTED THAT NO INFORMATION HAS BEEN DEVELOPED INDICATING THAT SANCTIONS UNDER THE THIRD PHASE OF "OPERATION CONDOR" HAVE BEEN PLANNED TO BE CARRIED OUT IN THE UNITED STATES; HOWEVER, IT IS NOT BEYOND THE REALM OF POSSIBILITY THAT THE RECENT ASSASSINATION OF ORLANDO LETELIER IN WASHINGTON, D. C. MAY HAVE BEEN CARRIED OUT AS A THIRD PHASE ACTION OF "OPERATION CONDOR." AS NOTED ABOVE, INFORMATION AVAILABLE TO THE SOURCE INDICATES THAT PARTICULAR EMPHASIS WAS PLACED ON THE THIRD PHASE ACTIONS OF "OPERATION CONDOR" IN EUROPE, SPECIFICALLY FRANCE AND PORTUGAL. THIS OFFICE WILL REMAIN ALERT FOR ANY INFORMATION INDICATING THAT THE ASSASSINATION OF LETELIER MAY BE PART OF "OPERATION CONDOR" ACTION. U

BT

~~SECRET~~ (4)

JEH:GBS:MJB
182-10940 (Please repeat this number when responding)
MI1AR

By Messenger

[redacted] Unit Chief
International Relations Unit II
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W. — Room 7458
Washington, D.C. 20535

b6
b7C

Re: Request from Argentina for Assistance in the
Matter of [redacted] and Others

Dear [redacted]

Enclosed is a request from Argentina for assistance pursuant to the Treaty on Mutual Legal Assistance. In accordance with Article 5 of the treaty, your office is hereby designated to render the assistance requested for the reasons explained below.

The request seeks assistance in the investigation of an Argentine government conspiracy believed to have existed in Argentina between 1976 and 1983 during the "National Reorganization Process." As part of the conspiracy, children who were born to mothers held clandestinely by the Argentine military authorities in government detention centers or military hospitals were systematically kidnaped, concealed or otherwise removed from their mothers.

The request implies a connection between the conspiracy under investigation and "Operation Condor," an alleged affiliation of South American secret police organizations during the same period. The request asks for two things in connection with Operation Condor.

First, it requests a certified copy of the document attached hereto (see envelop), which on its face purports to be a declassified FBI cable that describes Operation Condor. I am sending this cable to you for two reasons: (1) to obtain, if possible, a certified copy of the document if it exists in FBI records so that I can execute this portion of the request; and (2) to alert you that Argentine authorities somehow have obtained this FBI internal document.1

Second, the request asks for "any other documents related to the so-called 'Operation Condor' . . . specifically in connection with the kidnapping of families and their small children and/or children born while their parents were in captivity which may have taken place during the de facto government called the 'National Reorganization Process.'" Because the attached document indicates that the FBI may have records on Operation Condor, and because the FBI currently is conducting a document review in connection with Spain's request for assistance in its prosecution of former Chilean General Augusto Pinochet² and others, which documents may be related to Operation Condor, I ask that you coordinate with the appropriate units within the FBI to determine (1) whether records exist on Operation Condor that might be responsive to the Argentine request in this matter, and (2) if so, whether these records may be produced as certified copies, and a rough timetable for when such a production would be possible.

If it is not possible for the FBI to execute this request, please advise me of that fact in writing and provide as much explanation as may be possible to convey to the Argentine authorities.

Both the Office of International Affairs and the law enforcement authorities in Argentina appreciate your assistance in this international criminal matter. Please contact me by e-mail, by telephone at [redacted] or by fax at [redacted] if you have any questions.

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b7c

[redacted]

Director
Office of International Affairs

By:

[redacted]

Trial Attorney
P.O. Box 27330
Washington, D.C. 20038-7330

Enclosure:

Treaty Request and attachment

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

MAY 3 1999

NWM 12.99

MEMORANDUM TO AGENCY RECORDS OFFICERS: Publication of proposed rules on agency records centers and storage of Federal records in the Federal Register

NARA published two proposed rules in Part VII of the April 30, 1999, Federal Register relating to the storage of Federal records. Enclosed is a paper copy of Part VII. The proposed rules may also be found at the NARA web site (<http://www.nara.gov/nara/pubcom.html>) in HTML format and at the Federal Register Online via GPO Access (http://www.access.gpo.gov/su_docs/aces/aces140.html) in plain text or PDF format.

The Agency Records Centers proposed rule would update the standards that records center storage facilities must meet to store Federal records. The proposed regulation would apply to all agencies, including NARA, that establish and operate records centers, and to agencies that contract for the services of commercial records storage facilities. The Storage of Federal Records proposed rule would amend NARA's records management regulations governing records creation, maintenance, and disposition to update provisions relating to the storage of Federal records. Current regulations focus on the use of NARA records centers for off-site storage. The proposed regulation would reflect what Federal agencies must do to manage their records wherever they are stored.

We encourage Federal agencies to review these proposed regulations carefully and submit comments by the June 29, 1999, public comment deadline.

We will have a presentation on these proposed rules at the next Records Administration Conference (RACO) on May 20. Information about the conference is available at <http://www.nara.gov/records/index.html>. If you need additional information about registering for the conference, please contact [redacted] on [redacted] extension [redacted]

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b7c

If you have questions about the proposed regulations, please contact [redacted] on [redacted] extension [redacted]

MARIE ALLEN
Director
Life Cycle Management Division

66F-HQ-C1190059-93

Enclosure

FRIDAY
APRIL 30
1999

Friday
April 30, 1999

Part VII

**National Archives
and Records
Administration**

36 CFR Parts 1220, 1222, and 1228
Agency Records Centers; Proposed Rules
Storage of Federal Records; Proposed
Rule

**NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION**

36 CFR Part 1228

RIN 3095-AA81

Agency Records Centers

AGENCY: National Archives and Records Administration (NARA).

ACTION: Proposed rule.

SUMMARY: NARA proposes to issue revised regulations updating the standards that records center storage facilities must meet to store Federal records. Since the regulations were last updated in 1982, there have been a number of advances in sprinkler systems and other general facility standards that significantly improve the environment and general safeguards for Federal records. This proposed rule also reflects updated information on certain measures that may prevent fire and water damage to records. NARA also recognizes the authority of agencies to contract with private entities for the storage of Federal records. NARA provides agencies with standards, procedures and guidelines for the use of such commercial records storage facilities. The regulation will apply to all agencies, including NARA, that establish and operate records centers, and to agencies that contract for the services of commercial records storage facilities.

DATES: Comments must be received by June 29, 1999.

ADDRESSES: Comments must be sent to Regulation Comment Desk (NPOL), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. Comments may be faxed to 301-713-7270.

FOR FURTHER INFORMATION CONTACT: Nancy Allard at (301) 713-7360, ext. 226.

SUPPLEMENTARY INFORMATION: Based upon advancements in technical knowledge and experience gained over the past two decades, NARA believes it is time to update the standards for the storage of Federal records in the legal custody of Federal agencies. For the first time, NARA's storage standards will be extended to cover NARA's records centers and commercial records storage facilities used by Federal agencies, as well as the currently covered centers operated and maintained by other Federal agencies. Regardless of where they are stored, it is the responsibility of each agency to ensure that records in their legal custody are stored in appropriate space. Agencies must

ensure that any records storage facility they use meets these updated standards. Agencies must obtain NARA's approval before establishing an agency records center or using an agency records center operated by another agency, and must provide to NARA documentation of compliance with the standards before transferring any agency records to a commercial records storage facility.

Federal records provide essential documentation of the Federal Government's policies and transactions and protect rights of individuals. These records must be stored in appropriate space to ensure that they remain available for their scheduled life. The proposed facility standards specify the required storage conditions when an agency's records are no longer maintained in agency office space. These proposed standards, which apply to records still in the legal custody of the agency, ensure that permanent records will be stored under environmental conditions equal to the office environmental conditions in which they were created.

The proposed basic facility standards outlined in § 1228.228 will apply to existing NARA and agency records centers and to commercial records storage facilities that are currently storing records. Any new NARA records center, any new agency-operated records center, and any new commercial records storage facility must also meet the standards for new facilities in these regulations.

All records storage facilities must meet the proposed fire-safety requirements in § 1228.230 when the rule becomes effective to protect against the loss of essential government evidence. We recognize that it may not be feasible to implement certain other provisions in existing facilities that met the standards in effect before this proposed change. Existing facilities must comply with requirements that minimize the risk of water damage to records from roof leaks or broken pipes within 10 years. Existing facilities that store permanent records prior to their transfer to the National Archives of the United States, unscheduled records, or sample/select records must meet the proposed environmental control standards within 10 years.

Because we believe that all newly acquired records storage space for Federal records should provide appropriate environmental controls and the best possible protection against records disasters, we are requiring that all new facilities that are used to store Federal records after the effective date meet certain higher or additional standards that reflect current knowledge

on protecting records from damage. For example, in proposed §§ 1228.230(b) and (e), we are proposing different fire protection specifications for walls and roofs that reflect experience over the past 15 years with fire suppression in records storage facilities. Professionally designed fire suppression systems function as designed in over 97 percent of all actual fires. However, in a small number of cases, either when the system has been deactivated, or the fire source far exceeded the design characteristics (e.g., arson with large quantities of gasoline), the suppression system may fail to contain the fire, resulting in a fire involving a full storage module. Since the contents of a 250,000 cubic foot module can burn at furnace heat for a day or more, venting a module that is totally involved in fire is necessary to prevent the spread of the fire to adjacent storage modules. Venting a fire which has involved an entire records storage module to the outside through an entire wall or roof relieves the heat and allows application of vast quantities of water directly to the fire, and allow firefighters to enter adjacent (protected) areas of the building to cool doors protecting wall openings with hose streams. Venting vast quantities of heat to the atmosphere and cooling with hose streams can enable a four hour fire wall to endure a fire that rages for many hours. For this reason, we require that new records storage facilities have one exterior wall of each stack area and the roof designed with a maximum fire rating of one-hour. The actual timing of wall or roof failure will depend on the specific fire characteristics: a one-hour wall may fail in 30 minutes in an extreme fire, or last several hours in a less extreme fire. However, it will fail substantially earlier than a four-hour wall, providing earlier venting and hose stream access. As the exterior walls and roofs play a significant role in protecting the contents from incursion of an exterior fire, we require, for new construction, walls and roofs rated at least 30-minutes but not more than one-hour.

NARA has developed the fire-related safety requirements in this proposed rule with the assistance of recognized experts in the field of fire suppression. These new performance-based standards for fire-suppression (sprinkler) systems limit the loss of records to a maximum of 300 cubic feet per incident. The standard has been set to reflect what current sprinkler technology can guarantee. The application of these performance-based standards offers significant protection for Federal records that are housed in records storage facilities. Our previously

established fire safety standards in Subpart K simply described the then-existing NARA-developed sprinkler fire suppression systems. The proposed rule describes a fire-suppression system that meets the new performance-based standard but allows the use of other systems if performance tests show they meet the new standard. See § 1228.232 which outlines the steps needed to certify a fire-safety detection and suppression system and § 1228.234 which outlines NARA's certified system.

Several new requirements reflect government-wide requirements imposed since the regulations were last updated in 1982. The building security requirements are those established by the Department of Justice for Level III Federal facilities. Seismic safety provisions are required by Executive orders and an integrated pest management program is mandated for Federal agencies by the Food Protection Act of 1996.

The proposed revision to subpart K also modifies the procedures for requesting NARA approval to establish or relocate an agency records center. The proposed procedures remove the requirement for agency justification of its choice of storage facility and provide that NARA will deny requests only if NARA determines that the proposed agency records center does not demonstrate full compliance with the standards in this subpart. No NARA approval is required for an agency to contract with a commercial records storage facility, but agencies must ensure that any such facility selected complies with NARA's requirements for the storage of Federal records. If an agency contracts with a commercial records storage facility, the agency must certify to NARA that the facility complies with Subpart K.

In a separate proposed rule published elsewhere in this separate part of the Federal Register, NARA is proposing to establish new definitions for "records center," "commercial records storage facility," and "records storage facility" that are referenced in this proposed rule. For the convenience of reviewers of this proposed rule, terms used in this regulation that are defined (or proposed for definition) elsewhere in NARA regulations are restated here:

Records storage facility is a facility used by a Federal agency to store Federal records, whether that facility is operated and maintained by the agency, by NARA, by another Federal agency, or by a private commercial entity. [proposed definition]

Commercial records storage facility is a private sector commercial facility that

offers records storage, retrieval, and disposition services. [proposed definition]

Records center is defined in 44 U.S.C. 2901 (6) as an establishment maintained and operated by the Archivist or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space. [proposed definition]

Permanent record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives of the United States and later increments of the same records, and those for which the disposition is permanent on SF 115s. Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. [proposed definition]

Unscheduled records are records the final disposition of which has not been approved by NARA. Unscheduled records are those that have not been included on a Standard Form 115, Request for Records Disposition Authority, approved by NARA; those described but not authorized for disposal on an SF 115 approved prior to May 14, 1973; and those described on an SF 115 but not approved by NARA (withdrawn, canceled, or disapproved). [36 CFR 1220.14]

This rule is a significant regulatory action for the purposes of Executive Order 12866, and has been reviewed by OMB. As required by the Regulatory Flexibility Act, we certify that this proposed rule will not have a significant impact on small entities.

List of Subjects in 36 CFR Part 1228

Archives and records.

For the reasons set forth in the preamble, NARA proposes to amend part 1228 of title 36, Code of Federal Regulations, as follows:

PART 1228—DISPOSITION OF FEDERAL RECORDS

1. The authority citation for part 1228 continues to read as follows:

Authority: 44 U.S.C. chs. 21, 29, and 33.

2. Revise subpart K to read as follows:

Subpart K—Facility Standards for Records Storage Facilities

Sec.

General

1228.220 What authority applies to this subpart?

1228.222 What does this subpart cover?

1228.224 Publications incorporated by reference.

1228.226 Definitions.

Facility Standards

1228.228 What are the facility requirements for all records storage facilities?

1228.230 What are the fire safety requirements that apply to records storage facilities?

1228.232 What does an agency have to do to certify a fire-safety detection and suppression system?

1228.234 What is NARA's certified fire-safety detection and suppression system for records storage facilities?

1228.236 What are the requirements for environmental controls for records storage facilities?

Approval and Inspection Requirements

1228.240 How does an agency request authority to establish or relocate records storage facilities?

1228.242 When may NARA conduct an inspection of a records storage facility?

Subpart K—Facility Standards for Records Storage Facilities

General

§ 1228.220 What authority applies to this subpart?

NARA is authorized to establish, maintain and operate records centers for Federal agencies under 44 U.S.C. 2907. NARA is authorized, under 44 U.S.C. 3103, to approve a records center that is maintained and operated by an agency. NARA is also authorized to promulgate standards, procedures, and guidelines to Federal agencies with respect to the storage of their records in commercial records storage facilities. See 44 U.S.C. 2104(a), 2904 and 3102. The regulations in this subpart apply to all records storage facilities Federal agencies use to store, service, and dispose of their records.

§ 1228.222 What does this subpart cover?

(a) This subpart covers the establishment, maintenance, and operation of records centers, whether Federally-owned and operated by NARA or another Federal agency, or Federally-owned and contractor operated. This subpart also covers an agency's use of commercial records storage facilities. Records centers and commercial records storage facilities are referred to collectively as records storage facilities. This subpart specifies the minimum structural, environmental, property, and life-safety standards that a records storage facility must meet when the facility is used for the storage of Federal records.

(b) Except where specifically noted, this subpart applies to all records storage facilities. Certain noted

provisions apply only to new records storage facilities.

§ 1228.224 Publications Incorporated by reference.

(a) *General.* The following publications cited in this section are hereby incorporated by reference into this part 1228. They are available from the issuing organizations at the addresses listed in this section. They are also available for inspection at the Office of the Federal Register, 800 North Capitol Street NW., suite 700, Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated as they exist on the date of approval, and a document indicating any change in these materials will be published in the Federal Register.

(b) *American Society of Testing and Materials (ASTM) standards.* The following ASTM standard is available from the American Society of Testing and Materials, 100 Barr Harbor Drive, West Conshohocken, PA, 19428-2959, or on-line at www.astm.org:

E-119 (1998), Standard Test Methods for Fire Tests of Building Construction and Materials.

(c) *National Fire Protection Association (NFPA) standards.* The following NFPA standards are available from the National Fire Protection Association, 1 Batterymarch Park, Quincy, MA 02269-9101, or on-line at www.catalog.nfpa.org:

NFPA 10 (1994), Standard for Portable Fire Extinguishers.

NFPA 13 (1996), Standard for the Installation of Sprinkler Systems.

NFPA 20 (1996), Standard for the Installation of Centrifugal Fire Pumps.

NFPA 40 (1997), Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film.

NFPA 42 (1997) Standard for Storage of Pyroxylin Plastics.

NFPA 72 (1996), National Fire Alarm Code.

NFPA 101 (1997), Life Safety Code.

NFPA 231 (1998), Standard for

General Storage.

NFPA 231C (1998), Standard for the

Rack Storage of Materials.

NFPA 232 (1995), Standard for the

Protection of Records.

NFPA 232A (1995), Guide for Fire

Protection of Archives and Records

Centers.

(d) *Underwriters Laboratory (UL) Standards.* The following UL standards are available from the Underwriters Laboratory at www.ul.com or from Global Engineering Documents, 15 Inverness Way East, Englewood, CO 80112:

UL 611, Central Burglar Alarm Systems.

UL 827, Central Fire Alarm Stations.

UL 1076, Proprietary Burglar Alarm Units and Systems.

(e) *American Society of Heating, Refrigerating and Air-Conditioning Engineers, Inc. (ASHRAE) Standards.* The following ASHRAE standards are available from ASHRAE at ASHRAE Customer Service, 1791 Tullie Circle NE, Atlanta, GA 30329 or online at www.ASHRAE.org:

ASHRAE 55-1992, Thermal Environmental Conditions for Human Occupancy.

ASHRAE 62-1989, Ventilation for Acceptable Indoor Air Quality.

(f) *American National Standards Institute (ANSI) standards.* The following ANSI standards are available from the American National Standards Institute, 11 West 42nd St., New York, NY 10036:

ANSI/PIMA IT9.11-1998 Imaging Materials—Processed Safety Photographic Films—Storage

ANSI/PIMA IT9.18-1996 Imaging Materials—Processed Photographic Plates—Storage Practices.

ANSI/PIMA IT9.20-1996 Imaging Materials—Reflection Prints—Storage Practices.

ANSI/PIMA IT9.23-1997 Imaging Materials—Polyester Base Magnetic Material—Storage Practices.

ANSI/PIMA IT9.25-1998 Imaging Materials—Optical Disc Media—Storage.

§ 1228.226 Definitions.

The following definitions apply to this subpart:

(a) The terms *must* and *provide* indicate that a provision is mandatory.

(b) The terms *should* or *may* indicate that a provision is recommended or advised but not required.

(c) *Records center* has the meaning specified in § 1220.14 of this chapter.

(d) *Commercial records storage facility* has the meaning specified in § 1220.14 of this chapter.

(e) *Records storage facility* has the meaning specified in § 1220.14 of this chapter.

(f) *New records storage facility* means any records center or commercial records storage facility established or converted for use as a records center or commercial records storage facility on or after October 1, 1999.

(g) *Existing records storage facility* means any records center or commercial records storage facility used to store records on September 30, 1999, and has stored records continuously since that date.

(h) *Permanent record* has the meaning specified in § 1220.14 of this chapter.

(i) *Temporary record* has the meaning specified in § 1220.14 of this chapter.

(j) *Unscheduled records* has the meaning specified in § 1220.14 of this chapter.

(k) *Sample/Select records* means records whose final disposition requires an analytical or statistical sampling prior to final disposition authorization, in which some percentage of the original accession will be retained as permanent records.

Facility Standards

§ 1228.228 What are the facility requirements for all records storage facilities?

(a) The facility must be constructed with non-combustible materials and building elements, including walls, columns and floors. An agency may request a waiver of this requirement from NARA for an existing records storage facility with combustible building elements to continue to operate until October 1, 2009. In its request for a waiver, the agency must provide documentation that the facility has a fire suppression system specifically designed to mitigate this hazard and that the system has been certified in accordance with § 1228.232 to meet the requirements of § 1228.230(s). Requests must be submitted to the Director, Space and Security Management Division (NAS), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001.

(b) A facility with two or more stories must be designed or certified by a licensed fire protection engineer to avoid catastrophic failure of the structure due to an uncontrolled fire on one of the intermediate floor levels.

(c) The building must be sited a minimum of five feet above and 100 feet from any 100 year flood plain areas, or be protected by an appropriate flood wall.

(d) The facility must be designed in accordance with regional building codes to provide protection from building collapse or failure of essential equipment from earthquake hazards, tornados, hurricanes and other potential natural disasters.

(e) Roads, fire lanes and parking areas must permit unrestricted access for emergency vehicles.

(f) A floor load limit must be established for the records storage area by a licensed structural engineer. The limit must take into consideration the height and type of the shelving or storage equipment, the width of the aisles, the configuration of the space, etc. The allowable load limit must be posted in a conspicuous place and must not be exceeded.

(g) All roof mounted equipment is prohibited. Place nothing on the roof that may cause damage to the roof membrane. The requirements in this paragraph are effective [effective date of final rule] in new records storage facilities. Existing facilities must meet this requirement no later than October 1, 2009.

(h) Piping (with the exception of fire protection sprinkler piping and storm water roof drainage piping) must not be run through records storage areas. If drainage piping from roof drains must be run through records storage areas, the piping must be run to the nearest vertical riser and must include a continuous gutter sized and installed beneath the lateral runs to prevent leakage into the storage area. Vertical pipe risers required to be installed in records storage areas must be fully enclosed by shaft construction with appropriate maintenance access panels. The requirements in this paragraph are effective [effective date of final rule] in new records storage facilities. Existing facilities must meet this requirement no later than October 1, 2009.

(i) The following standards apply to storage shelving:

(1) All storage shelving must be designed and installed to provide seismic bracing that meets the requirements of Executive Order 12941, Seismic Safety of Existing Federally Owned or Leased Buildings (3 CFR, 1994 Comp., p. 955), or Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction (3 CFR, 1990 Comp., p. 269);

(2) Steel shelving or other open-shelf records storage equipment must be braced to prevent collapse under full load. Each shelving unit must be industrial style shelving rated at least 50 pounds per cubic foot supported by the shelf;

(3) Compact mobile shelving systems (if used) must be designed to permit proper air circulation and fire protection (detailed specifications that meet this requirement can be provided by NARA by writing to Director, Space and Security Management Division (NAS), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001.).

(j) The area occupied by the records storage facility must be equipped with an anti-intrusion alarm system, or equivalent, meeting the requirements of Underwriters Laboratory Standard 1076, Proprietary Burglar Alarm Units and Systems, level AA, to protect against unlawful entry after hours and to monitor designated interior storage spaces. This intrusion alarm system

must be monitored in accordance with Underwriters Laboratory (UL) Standard 611, Central Burglar Alarm Systems.

(k) The facility must comply with the requirements for a Level III facility as defined in the Department of Justice, U.S. Marshals Service report Vulnerability Assessment of Federal Facilities dated June 28, 1995. These requirements are provided in Appendix A to this Part 1228.

(l) Records contaminated by hazardous materials, such as radioactive isotopes or toxins, infiltrated by insects, or exhibiting active mold growth must be stored in separate areas having separate air handling systems from other records.

(m) To eliminate damage to records and/or loss of information due to insects, rodents, mold and other pests that are attracted to organic materials under specific environmental conditions, the facility must have an Integrated Pest Management program as defined in the Food Protection Act of 1996 (Section 303, Public Law 104-170, 110 Stat. 1512). This states in part that Integrated Pest Management is a sustainable approach to managing pests by combining biological, cultural, physical, and chemical tools in a way that minimizes economic, health, and environmental risks. The IPM program emphasizes three fundamental elements:

(1) *Prevention.* IPM is a preventive maintenance process that seeks to identify and eliminate potential pest access, shelter, and nourishment. It also continually monitors for pests themselves, so that small infestations do not become large ones;

(2) *Least-toxic methods.* IPM aims to minimize both pesticide use and risk through alternate control techniques and by favoring compounds, formulations, and application methods that present the lowest potential hazard to humans and the environment; and

(3) *Systems approach.* The IPM pest control contract must be effectively coordinated with all other relevant programs that operate in and around a building, including plans and procedures involving design and construction, repairs and alterations, cleaning, waste management, food service, and other activities.

(n) New records storage facilities also must meet the requirements in this paragraph (n):

(1) Do not install mechanical and/or electrical equipment within records storage areas (either floor mounted or suspended from roof support structures).

(2) A redundant source of primary electric service such as a second

primary service feeder should be provided to ensure continuous, dependable service to the facility especially to the HVAC systems, fire alarm and fire protection systems;

(3) The facility must be kept under positive air pressure especially in the area of the loading dock. In addition, to prevent fumes from vehicle exhausts from entering the facility, air intake louvers must not be located in the area of the loading dock, adjacent to parking areas or in any location where a vehicle engine may be running for any period of time. Loading docks must have an air supply and exhaust system that is separate from the remainder of the facility.

§ 1228.230 What are the fire safety requirements that apply to records storage facilities?

(a) The fire detection and protection systems must be designed or certified by a licensed fire protection engineer.

(b) All walls separating records areas from each other and from other storage areas in the building must be 4-hour fire resistant. The records storage areas must not exceed a total capacity of 250,000 cubic feet of records each and must be constructed to prevent migration of fire and smoke to other spaces of the building.

(c) Fire walls that meet the following specifications must be provided:

(1) For existing records storage facilities, at least one-hour-rated fire walls must be provided between the records storage areas and other auxiliary spaces.

(2) For new records storage facilities, two-hour-rated fire walls must be provided between the records storage areas and other auxiliary spaces. One exterior wall of each stack area must be designed with a maximum fire resistive rating of 1 hour.

(d) Penetrations in the walls must not reduce the specified fire resistance ratings. The fire resistance ratings of structural elements and construction assemblies must be in accordance with American Society of Testing and Materials E-119, Standard Test Methods for Fire Tests of Building Construction and Materials.

(e) The fire resistive rating of the roof must be a minimum of 1/2 hour for all records storage facilities. For new records storage facilities, the fire resistive rating of the roof must also be a maximum of 1 hour.

(f) Openings in fire walls separating records storage areas must be avoided to the greatest extent possible but if openings are necessary they must be protected by self-closing or automatic

Class A fire doors, or equivalent, on each side of the wall openings.

(g) Roof support structures that cross or penetrate fire walls must be cut and supported independently on each side of the fire wall.

(h) If fire walls are erected with expansion joints, the joints must be protected to their full height.

(i) For new records storage facilities, building columns in the records storage areas must be 4-hour fire resistant from the floor to slab above or to the location where they connect to the roof framing system. For existing records storage facilities, the building columns must be at least 2-hour fire resistant.

(j) Automatic roof vents must not be designed into new records storage facilities.

(k) Where lightweight steel roof or floor supporting members (e.g., bar joists having top chords with angles 2 by 1 1/2 inches or smaller, 1/4-inch thick or smaller, and 1 3/16-inch or smaller web diameters) are present, they must be protected either by applying a 10-minute fire resistive coating to the top chords of the joists, or by retrofitting the sprinkler system with large drop sprinkler heads. If a fire resistive coating is applied, it must be a product that will not release (off gas) harmful fumes into the facility. If fire resistive coating is subject to air erosion or flaking, it must be fully enclosed in a drywall containment constructed of metal studs with fire retardant drywall. Retrofitting may require modifications to the piping system to ensure that adequate water capacity and pressure are provided in the areas to be protected with these large drop sprinkler heads.

(l) No open flame (oil or gas) unit heaters or equipment may be installed or used in any records storage area.

(m) For existing records storage facilities, boiler rooms or rooms containing equipment operating with a fuel supply (such as generator rooms) must be separated from records storage areas by 2-hour-rated fire walls with no openings directly from these rooms to the records storage areas. Such areas must be vented directly to the outside to a location where fumes will not be drawn back into the facility.

(n) For new records storage facilities, boiler rooms or rooms containing equipment operating with a fuel supply (such as generator rooms) must be separated from records storage areas by 4-hour-rated fire walls with no openings directly from these rooms to the records storage areas. Such areas must be vented directly to the outside to a location where fumes will not be drawn back into the facility.

(o) For new records storage facilities, fuel supply lines must not be installed in areas containing records and must be separated from such areas with 4-hour rated construction assemblies.

(p) Equipment rows running perpendicular to the wall must comply with the Life Safety Code (NFPA 101) with respect to egress requirements.

(q) No oil-type electrical transformers, regardless of size, except thermally protected devices included in fluorescent light ballasts, may be installed in the records storage areas. All electrical wiring must be in metal conduit, except that armored cable may be used where flexible wiring connections to light fixtures are required. Battery charging areas for electric forklifts must be separated from records storage areas with at least a 2 hour rated fire wall.

(r) Hazardous materials, including records on cellulose nitrate film, must not be stored in records storage areas. Nitrate motion picture film and nitrate sheet film may be stored in separate areas that meet the requirements of the appropriate NFPA standard, NFPA 40, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film, or NFPA 42, Standard for Storage of Pyroxylin Plastics.

(s) All records storage and adjoining areas must be protected by a professionally-designed fire safety detection and suppression system that is designed to limit the maximum anticipated loss in any single fire event to a maximum of 300 cubic feet of records destroyed by fire. Sections 1228.232 and 1228.234 provide alternate means of complying with this requirement.

§ 1228.232 What does an agency have to do to certify a fire-safety detection and suppression system?

(a) The NARA fire-safety detection and suppression system specified in § 1228.234 has been tested and certified to meet the requirement in § 1228.230(s).

(b) Other automatic extinguishing systems or protective measures may meet the requirement in § 1228.230(s) depending upon specific conditions, such as the type and stacking height of the storage equipment used, or how the space is designed, controlled, and operated. Standards, such as those issued by the National Fire Protection Association (see NFPA 13, NFPA 231, NFPA 231C, NFPA 232 and NFPA 232A), may be used to design an alternative system. The effectiveness of alternative designs in meeting the requirements of § 1228.230(s) must be supported by independent testing

(Factory Mutual, Underwriters Laboratories or equivalent).

(c) Send a description of the alternative fire-safety detection and suppression system and documentation of the independent testing results to the Director, Space and Security Management Division (NAS), 8601 Adelphi Road, College Park, MD 20740-6001. NARA will maintain a list of approved alternative systems.

§ 1228.234 What is NARA's certified fire-safety detection and suppression system for records storage facilities?

Fire-safety systems that incorporate all components specified in paragraphs (a) through (o) of this section have been tested and certified to meet the requirements in § 1228.230 for an acceptable fire-safety detection and suppression system for storage of Federal records.

(a) The records storage height must not exceed 15 feet.

(b) All records storage and adjoining areas must be protected by automatic wet-pipe sprinklers. Automatic sprinklers are specified herein because they provide the most effective fire protection for high piled storage of paper records on open type shelving.

(c) The sprinkler system must be rated at no higher than 285 degrees Fahrenheit utilizing quick response (QR) fire sprinkler heads and designed by a licensed fire protection engineer to provide 0.30 gpm per square foot for the most remote 2,000 square feet of floor area at the most remote sprinkler head in accordance with NFPA 13. For facilities with roofs rated at 15 minutes or greater, provide 1/2" QR sprinklers rated at no higher than 285 degrees Fahrenheit designed to deliver a density of 0.56 gpm per square foot. For unrated roofs, provide 0.64" QR "large drop" sprinklers rated at no higher than 285 degrees Fahrenheit. For facilities using 7 or 8 shelf track files, use QR sprinklers rated at no higher than 285 degrees Fahrenheit. For new construction and replacement sprinklers, NARA recommends that the sprinklers be rated at 165 degrees Fahrenheit. Installation of the sprinkler system must be in accordance with NFPA 13.

(d) Maximum spacing of the sprinkler heads must be on a 10-foot grid and the positioning of the heads must provide complete, unobstructed coverage, with a clearance of not less than 18-inches from the top of the highest stored materials.

(e) The sprinkler system must be equipped with a water-flow alarm connected to an audible alarm within the facility and to a continuously staffed fire department or an Underwriters

Laboratory approved central monitoring station (see UL 827, Central Fire Alarm Stations) with responsibility for immediate response.

(f) A manual fire alarm system must be provided with a Underwriters Laboratory approved (grade A) central monitoring station service or other automatic means of notifying the municipal fire department. A manual alarm pull station must be located adjacent to each exit. Supplemental manual alarm stations are permitted within the records storage areas.

(g) All water cutoff valves in the sprinkler system must be equipped with automatic closure alarm (tamper alarm) connected to a continuously staffed station, with responsibility for immediate response. If the sprinkler water cutoff valve is located in an area used by the public, in addition to the tamper alarm, the valves must be provided with frangible (easily broken) padlocks.

(h) A dependable water supply free of interruption must be provided including a continuous site fire loop connected to the water main and sized to support the facility with only one portion of the fire loop operational. This normally requires a backup supply system having sufficient pressure and capacity to meet both fire hose and sprinkler requirements for 2-hours. A fire pump connected to an emergency power source must be provided in accordance with NFPA 20 when adequate water pressure is not assured. In the event that public water mains are not able to supply adequate volumes of water to the site, on-site water storage must be provided.

(i) Interior fire hose stations equipped with a 1½ inch diameter hose may be provided in the records storage areas if required by the local fire department, enabling any point in the records storage area to be reached by a 50-foot hose stream from a 100-foot hose lay. If provided, these cabinets must be marked "For Fire Department Use Only."

(j) Where fire hose cabinets are not required, fire department hose outlets must be provided at each floor landing in the building core or stair shaft. Hose outlets must have an easily removable adapter and cap. Threads and valves must be compatible with the local fire department's equipment. Spacing must be so that any point in the record storage area can be reached with a 50-foot hose stream from a 100-foot hose lay.

(k) In addition to the designed sprinkler flow demand, 500 gpm must be provided for hose stream demand. The hose stream demand must be

calculated into the system at the base of the main sprinkler riser.

(l) Fire hydrants must be located within 250 feet of each exterior entrance or other access to the records storage facility that could be used by firefighters. All hydrants must be at least 50 feet away from the building walls and adjacent to a roadway usable by fire apparatus. Fire hydrants must have at least two, 2½ inch hose outlets and a pumper connection. All threads must be compatible with local standards.

(m) Portable water-type fire extinguishers (2½ gallon stored pressure type) must be provided at each fire alarm striking station. The minimum number and locations of fire extinguishers must be as required by NFPA 10 (1994), Standard for Portable Fire Extinguishers.

(n) Single level catwalks without automatic sprinklers installed underneath may be provided in the service aisles if the edges of all files in the front boxes above the catwalks are stored perpendicular to the aisle (to minimize files exfoliation in a fire). Where provided, the walking surface of the catwalks must be of expanded metal at least .09-inch thickness with a 2-inch mesh length. The surface opening ratio must be equal or greater than 0.75. The sprinkler water demand for protection over bays with catwalks where records above the catwalks are not perpendicular to the aisles must be calculated hydraulically to give .30 gpm per square foot for the most remote 2,000 square feet.

§ 1228.236 What are the requirements for environmental controls for records storage facilities?

(a) *Paper-based temporary records.* Paper-based temporary records must be stored under environmental conditions that prevent the active growth of mold. Exposure to moisture through leaks or condensation, relative humidities in excess of 70%, extremes of heat combined with relative humidity in excess of 55%, and poor air circulation during periods of elevated heat and relative humidity are all factors that contribute to mold growth.

(b) *Nontextual temporary records.* Temporary nontextual records, including microforms and audiovisual and electronic records, must be stored in records storage space that will ensure their preservation for their full retention period. New records storage facilities that store nontextual temporary records must meet the following requirements [effective date of final rule]. Existing records storage facilities that store nontextual temporary records must meet

the following requirements no later than October 1, 2009. At a minimum, temporary nontextual records must be stored in records storage space that meets the requirements for medium term storage set by the appropriate standard in this paragraph (b). In general, medium term conditions as defined by these standards are those that will ensure the preservation of the materials for at least 10 years with little information degradation or loss. Records may continue to be usable for longer than 10 years when stored under these conditions, but with an increasing risk of information loss or degradation with longer times. If temporary records require retention longer than 10 years, better storage conditions (cooler and drier) than those specified for medium term storage will be needed to maintain the usability of these records. The applicable standards are:

(1) ANSI/PIMA IT9.11-1998 Imaging Materials—Processed Safety Photographic Films—Storage;

(2) ANSI/PIMA IT9.23-1997 Imaging Materials—Polyester Base Magnetic Material—Storage Practices;

(3) ANSI/PIMA IT9.25-1998 Imaging Materials—Optical Disc Media—Storage;

(4) ANSI/PIMA IT9.20-1996 Imaging Materials—Reflection Prints—Storage Practices; and/or

(5) ANSI/PIMA IT9.18-1996 Imaging Materials—Processed Photographic Plates—Storage Practices.

(c) *Paper-based permanent, unscheduled and sample/select records.* Paper-based permanent, unscheduled, and sample/select records must be stored in records storage space that provides 24 hour/365 days per year air-conditioning equivalent to that required for office space. See ASHRAE Standard 55-1992, Thermal Environmental Conditions for Human Occupancy, and ASHRAE Standard 62-1989, Ventilation for Acceptable Indoor Air Quality, for specific requirements. New records storage facilities that store paper-based permanent, unscheduled, and/or sample/select records must meet this requirement [effective date of final rule]. Existing storage facilities that store paper-based permanent, unscheduled, and/or sample/select records must meet this requirement no later than October 1, 2009.

(d) *Nontextual permanent, unscheduled, and/or sample/select records.* All records storage facilities that store microfilm, audiovisual, and/or electronic permanent, unscheduled, and/or sample/select records must comply with the storage standards for permanent and unscheduled records in

parts 1230, 1232, and/or 1234 of this chapter, respectively.

Approval and Inspection Requirements

§ 1228.240 How does an agency request authority to establish or relocate records storage facilities?

(a) *General policy.* Agencies are responsible for ensuring that records in their legal custody are stored in appropriate space as outlined in this subpart. Under § 1228.156(a), agencies are responsible for removing records from space that does not meet these standards if deficiencies are not corrected within 6 months after initial discovery of the deficiencies by NARA or the agency.

(1) *Agency records centers.* Agencies must obtain prior written approval from NARA before establishing or relocating an agency records center. Each separate agency records center must be specifically approved by NARA prior to the transfer of any records to that individual facility. If an agency records center has been approved for the storage of Federal records of one agency, any other agency that proposes to store its records in that facility must still obtain NARA approval to do so.

(2) *Commercial records storage facilities.* An agency may contract for commercial records storage services. However, before any agency records are transferred to a commercial records storage facility, the transferring agency must ensure that the facility meets all of the requirements for an agency records storage facility set forth in this subpart and must submit the documentation required in paragraph (e) of this section.

(b) *Exclusions.* For purposes of this section, the term "agency records center" excludes NARA-owned and operated records centers. For purposes of this section and § 1228.242, the term "agency records center" also excludes agency records staging and/or holding areas with a capacity for containing less than 25,000 cubic feet of records. However, such records centers and areas, including records centers operated and maintained by NARA, must comply with the facility standards in §§ 1228.228 through 1228.236.

(c) *Content of requests for agency records centers.* Requests for authority to establish or relocate an agency records center must be submitted in writing to the Director, Space and Security Management Division (NAS), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. The request must identify the specific facility and must document compliance with the standards in this subpart.

(d) *Approval of requests for agency records centers.* NARA will review the submitted documentation to ensure the facility demonstrates full compliance with the standards in this subpart. NARA reserves the right to visit the facility, if necessary, to make the determination of compliance. NARA will inform the agency of its decision within 45 days after the request is received. Requests will be denied only if NARA determines that the facility does not demonstrate full compliance with the standards in this subpart. Approvals will be valid for a period of 10 years, unless the facility is materially changed before then or an agency or NARA inspection finds that the facility does not meet the standards in this subpart. Material changes require submission of a new request for NARA approval.

(e) *Documentation requirements for storing Federal records in commercial records storage facilities.* At least 45 days before an agency first transfers records to a commercial records storage facility, the agency must submit documentation to NARA that the facility complies with the standards in this subpart. The documentation may take the form of a copy of the agency's contract that incorporates this subpart in its provisions or a statement from the agency records officer that certifies that the facility meets the standards in this subpart. An agency must provide the documentation for each separate commercial records storage facility where its records will be stored. Documentation must be sent to the Director, Space and Security Management Division (NAS), National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. The agency must submit updated documentation to NARA every 10 years if it continues to store records in that commercial records storage facility.

§ 1228.242 When may NARA conduct an inspection of a records storage facility?

(a) At the time an agency submits a request to establish an agency records center, pursuant to § 1228.240, NARA may conduct an inspection of the proposed facility to ensure that the facility complies fully with the standards in this subpart. NARA may also conduct periodic inspections of agency records centers so long as such facility is used as an agency records center. NARA will inspect its own records center facilities on a periodic basis to ensure that they are in compliance with the requirements of this subpart.

(b) Agencies must ensure, by contract or otherwise, that agency and NARA officials, or their delegates, have the right to inspect commercial records storage facilities to ensure that such facilities fully comply with the standards in this subpart. NARA may conduct periodic inspections of commercial records storage facilities so long as agencies use such facilities to store agency records. The using agency, not NARA, will be responsible for paying any fee or charge assessed by the commercial records storage facility for NARA's conducting an inspection.

3. Appendix A is added to part 1228 to read as follows:

Appendix A to Part 1228—Minimum Security Standards for Level III Federal Facilities

Note: The full text of this appendix will appear in the final rule. Copies of the appendix may be obtained from the person listed in FOR FURTHER INFORMATION CONTACT.

Dated: February 25, 1999.

John W. Carlin,
Archivist of the United States.
[FR Doc. 99-10703 Filed 4-29-99; 8:45 am]
BILLING CODE 7515-01-P

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

36 CFR Parts 1220, 1222, and 1228

RIN 3095-AA86

Storage of Federal Records

AGENCY: National Archives and Records Administration.

ACTION: Proposed rule.

SUMMARY: NARA proposes to amend its records management regulations governing records creation, maintenance, and disposition to update provisions relating to the storage of Federal records. Current regulations focus on the use of NARA records centers for off-site storage and provide procedures for securing NARA approval of agency records centers. However, in addition to records centers operated by NARA and other Federal agencies, some agencies now use commercial records storage facilities for the storage of their records. Among the proposed changes is a new requirement that agencies maintain the same level of intellectual control over records stored in their own records centers and commercial records storage facilities, as is required for records stored in NARA records centers. As part of this requirement, agencies must report to NARA when permanent or unscheduled records are sent for storage to an agency records center or

commercial storage facility. The revised regulations specify that agencies must store Federal records in space with appropriate environmental controls to ensure their preservation until the expiration of their retention period (for temporary records) or until the date of transfer to the National Archives of the United States (for permanent records). In a separate related proposed rule published elsewhere in this separate part of the Federal Register, NARA is also proposing to update facilities standards for records storage facilities. **DATES:** Comments must be received by June 29, 1999.

ADDRESSES: Comments should be sent to Regulation Comment Desk (NPOL), Room 4100, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. Comments may also be faxed to 301-713-7270.

FOR FURTHER INFORMATION CONTACT: Nancy Allard at 301-713-7360.

SUPPLEMENTARY INFORMATION: The Federal Records Act assigns responsibility to NARA to provide guidance and assistance to Federal agencies regarding records creation, maintenance, and disposition, and to develop and issue standards, procedures, and guidelines for the proper management of Federal records (44 U.S.C. 2904). The law further charges NARA with responsibility for establishing standards for the identification of permanent records and assisting agencies in applying those standards (44 U.S.C. 2905). The law authorizes NARA to operate records centers (44 U.S.C. 2907) and requires NARA approval for records centers maintained and operated by Federal agencies (44 U.S.C. 3103). Finally, the law requires NARA approval for the disposal of records (44 U.S.C. 3303a).

Many agencies use the records centers operated by NARA for records storage. Some agencies operate their own records centers. In addition, some agencies may use commercial records storage facilities. NARA's oversight encompasses the protection and preservation of Federal records for as long as they are needed, wherever they are stored, in keeping with its statutory responsibility for records management oversight and for the identification and preservation of permanent records.

Over the past three months NARA has reviewed all of its records management regulations to identify provisions that related to records storage and is updating them here to reflect what agencies must do to manage their records wherever they are stored. These changes include:

- New definitions for "records storage facility" and "commercial records storage facility."

- Clarified definitions for "disposition," "permanent record," and "records center."

- A requirement that agencies maintain adequate records management controls over their records, wherever they are maintained. This requirement is implicit in current regulations. It is made explicit now because more agencies than in the past are operating large records centers, and other agencies are placing their records in commercial facilities for storage.

- A requirement that agencies report to NARA on permanent and unscheduled records transferred to storage. For records transferred to NARA records centers, the transfer documentation serves as the report. For records transferred to other records storage facilities, the agency must submit its report within 30 days of transferring the records.

- A requirement that agencies ensure that temporary records are destroyed according to schedule provisions and permanent records are transferred to NARA in accordance with schedule provisions, wherever the records may be at the time of final disposition. NARA takes responsibility for the proper disposition of records in NARA records centers under the provisions of records schedules, including initiating SF 258's for permanent records when they are eligible to be transferred to NARA's legal custody in the National Archives of the United States. Agencies need to ensure that records disposition is properly implemented for records that are not in NARA records centers.

- A requirement that agencies store records only in facilities that meet the standards specified in 36 CFR 1228 subpart K, as proposed for revision in a separate proposed rule published elsewhere in this separate part of the Federal Register. This requirement was implicit in the current subpart K and is emphasized here.

- A requirement that agencies obtain NARA approval to change the period of time permanent records will remain in the custody of the agency before transfer to the National Archives of the United States.

- Authorization for agencies to retain records for up to one year beyond their scheduled retention period if needed for administrative purposes such as audit or investigation without requesting formal approval from NARA. Currently, agencies must obtain approval from NARA for any temporary extension, but this approval has been handled

informally when records are stored at NARA records centers.

- A requirement that permanent records be transferred to the National Archives of the United States as individual series spanning one or more years. This requirement will ensure that permanent records stored in facilities that control records at the box level will be transferred to the National Archives of the United States in series order.

- Modification of some restrictions on storing unscheduled, contingent, and "frozen" records at NARA records centers.

NARA also is proposing other minor clarifications to existing regulations. These changes are not substantive. In addition, NARA proposes to remove some of the detailed instructions for storing and accessing records in NARA records centers. These instructions will be addressed in NARA bulletins and other guidance issuances.

This proposed rule would completely revise subpart I of Part 1228, add a new subpart J to Part 1228, redesignate the current subpart J as subpart L, and revise individual sections or paragraphs of other records management regulations in 36 CFR Chapter XII, Subchapter B. We have written subparts I and J in the plain language format required by the Presidential memorandum of June 1, 1998, Plain Language in Government Writing. We intend to rewrite the other records management regulations included in this proposed rule in plain language format in a future rulemaking. At this time, we have determined that piecemeal reformatting of individual sections or paragraphs is not appropriate.

This rule is a significant regulatory action under E.O. 12866 of September 30, 1993, and has been reviewed by OMB. As required by the Regulatory Flexibility Act, it is hereby certified that this rule will not have a significant impact on small entities.

List of Subjects in 36 CFR Parts 1220, 1222, and 1228

Archives and records.

For the reasons set forth in the preamble, NARA proposes to amend 36 CFR parts 1220, 1222, and 1228 as follows:

PART 1220—FEDERAL RECORDS; GENERAL

1. The authority citation for part 1220 continues to read as follows:

Authority: 44 U.S.C. 2104(a) and chs. 29 and 33.

2. In § 1220.14, revise the definitions of "Disposition", "Permanent record"

and "Recordkeeping requirements"; and add new definitions in alphabetical order for "Commercial records storage facility", "Records center", and "Records storage facility" to read as follows:

§ 1220.14. General definitions.

* * * * *

Commercial records storage facility is a private sector commercial facility that offers records storage, retrieval, and disposition services.

* * * * *

Disposition means those actions taken regarding records no longer needed for the conduct of the regular current business of the agency.

* * * * *

Permanent record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives of the United States and later increments of the same records, and those for which the disposition is permanent on SF 115s, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973.

* * * * *

Recordkeeping requirements means all statements in statutes, regulations, and agency directives or authoritative issuances, that provide general and specific requirements for Federal agency personnel on particular records to be created and maintained by the agency.

* * * * *

Records center is defined in 44 U.S.C. 2901(6) as an establishment maintained and operated by the Archivist or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space.

* * * * *

Records storage facility is a records center or a commercial records storage facility, as defined in this section, i.e., a facility used by a Federal agency to store Federal records, whether that facility is operated and maintained by the agency, by NARA, by another Federal agency, or by a private commercial entity.

* * * * *

3. In § 1220.18, revise the section heading, designate the existing text as paragraph (b), and add new paragraph (a) to read as follows:

§ 1220.18 Inspection of records.

(a) In order for NARA to conduct inspections and studies required in 44 U.S.C. Chapter 29 and records appraisals in 44 U.S.C. Chapter 33, agencies must provide access for authorized NARA staff members to records in the agency's legal custody, regardless of the physical location of the records.

* * * * *

4. Revise § 1220.36 to read as follows:

§ 1220.36 Maintenance and use of records.

(a) Agencies must institute adequate records management controls over the maintenance and use of records wherever they are located to ensure that all records, regardless of format or medium, are organized, classified, and described to promote their accessibility, and make them available for use by all appropriate agency staff for their authorized retention period. Agencies must also maintain permanent records in a format that will permit transfer to the National Archives of the United States.

(b) Agencies must ensure that they maintain adequate information about their records moved to an off-site records storage facility (see 36 CFR 1228.154). Agencies must also create and maintain records that document the destruction of temporary records and the transfer of permanent records to the National Archives of the United States. The disposition of records that provide such documentation is governed by General Records Schedule (GRS) 16.

(c) Agencies must also comply with GSA regulations on the maintenance and use of records found in 41 CFR part 101-11.

5. Revise § 1220.38 to read as follows:

§ 1220.38 Disposition of records.

(a) Agencies must ensure the proper, authorized disposition of their records, regardless of format or medium, so that permanent records are preserved and temporary records no longer of use to an agency are promptly deleted or disposed of in accordance with the approved records schedule when their required retention period expires. As an intermediate step when records are not needed for current day-to-day reference, they may be transferred to a records storage facility.

(b) Agencies must secure NARA approval of a records schedule or apply the appropriate General Records Schedule item before destroying any temporary records or transferring permanent records to the National Archives of the United States (see 36 CFR part 1228).

6. Revise § 1220.42 to read as follows:

§ 1220.42 Agency internal evaluations.

Each agency must periodically evaluate its records management programs relating to records creation and record keeping requirements, maintenance and use of records, and records disposition. These evaluations shall include periodic monitoring of staff determinations of the record status of documentary materials in all media, and implementation of these decisions. These evaluations should determine compliance with NARA regulations in this subchapter, including requirements for storage of agency records and records storage facilities in 36 CFR part 1228, subparts I and K, and assess the effectiveness of the agency's records management program.

PART 1222—CREATION AND MAINTENANCE OF FEDERAL RECORDS

7. In § 1222.20, remove the period at the end of paragraphs (b)(5), (b)(8), and (b)(9), and add a semicolon in its place, and add paragraph (b)(10) to read as follows:

§ 1222.20 Agency responsibilities.

* * * * *

(b) * * *

(10) Ensure that records storage facilities used to store the agency's records comply with the standards specified in 36 CFR part 1228, subpart K. The agency must also comply with 36 CFR 1228.240 by obtaining NARA approval of an agency records center or submitting documentation of compliance by a commercial records storage facility before the agency transfers records to that facility.

8. In § 1222.50, revise the section heading and add paragraph (c) to read as follows:

§ 1222.50 Records maintenance and storage.

* * * * *

(c) Agencies must ensure that records in their legal custody sent for off-site storage are maintained in facilities that meet the standards specified in 36 CFR part 1228, subpart K, and that the information requirements specified at 36 CFR 1228.154 are met. Agencies must remove their records from any records storage facility that is found to be non-compliant with the standards specified in 36 CFR part 1228, subpart K, if the facility is not brought into compliance within 6 months of initial discovery by NARA or the using agency.

PART 1228—DISPOSITION OF FEDERAL RECORDS

9. In § 1228.22, revise paragraph (d) to read as follows:

§ 1228.22 Developing records schedules.

(d) Based on agency need, develop specific recommended retention and disposition instructions for each records series or each part of an automated information system, including file breaks, retention periods for temporary records, transfer periods for permanent records, and instructions for the transfer of records to an approved records storage facility when appropriate.

10. In § 1228.24, revise paragraph (c)(2) to read as follows:

§ 1228.24 Formulation of agency records schedules.

(2) The removal to a records storage facility of records not eligible for immediate destruction or other disposition but which are no longer needed in office space. These records are maintained by the records storage facility until they are eligible for final disposition action;

11. In § 1228.32, add paragraph (c), to read as follows:

§ 1228.32 Request to change disposition authority.

(c) Agencies must secure NARA approval before changing the provision in a disposition instruction that specifies the period of time that permanent records will remain in agency legal custody prior to transfer to the National Archives of the United States.

12. In § 1228.50, revise paragraphs (a)(1) and (a)(3) to read as follows:

§ 1228.50 Application of schedules.

(1) Published schedules do not include nonrecurring records for which NARA has granted authority for immediate disposal or transfer to the National Archives of the United States. They do include general instructions for transfer of records to a records storage facility, transfer of records to the National Archives of the United States, and other retention and disposition procedures.

(3) Prior to issuance, agencies may consult with NARA concerning directives or other issuances containing approved schedules, instructions for use of NARA records centers, transfer of records to the National Archives of the United States, or other matters covered by NARA procedures or regulations.

13. In § 1228.54, revise paragraphs (a), (c)(4), and (e) and remove paragraphs (g) and (h) to read as follows:

§ 1228.54 Temporary extension of retention periods.

(a) Approved agency records schedules and the General Records Schedules are mandatory (44 U.S.C. 3303a). Records series or systems eligible for destruction must not be maintained longer without the prior written approval of the National Archives and Records Administration (NWML) except when:

(1) The agency has requested a change in the retention period for the records series or system in accordance with § 1228.32; or

(2) Records are needed for up to one year beyond the date they are eligible for disposal. When such records are in a records storage facility, the agency must notify the facility of the need for continued retention of the records.

(4) A statement of the current and proposed physical location of the records.

(e) Agencies must ensure that affected records storage facilities are notified when NARA approves an extension of the retention period beyond the period authorized in the records control schedule. Agencies must forward to NARA (NWML) two copies of all formally issued instructions which extend the retention periods.

14. In § 1228.100, revise paragraph (a) to read as follows:

§ 1228.100 Responsibilities.

(a) The Archivist of the United States and heads of Federal agencies are responsible for preventing the alienation or unauthorized destruction of records, including all forms of mutilation. Records may not be removed from the legal custody of Federal agencies or destroyed without regard to the provisions of agency records schedules

(SF 115 approved by NARA or the General Records issued by NARA).

15. Revise subpart I to read as follows:

Subpart I—Transfer of Records to Records Storage Facilities

- 1228.150 Where can a Federal agency transfer records for storage?
1228.152 Under what conditions may Federal records be stored in records storage facilities?
1228.154 What requirements must an agency meet when it transfers records to a records storage facility?
1228.156 What procedures must an agency follow to transfer records to an agency records center or commercial records storage facility?

Subpart I—Transfer of Records to Records Storage Facilities

§ 1228.150 Where can a Federal agency transfer records for storage?

Federal agencies may store records in the following types of records storage facilities, so long as the facilities meet the facility standards in subpart K of this part. Records transferred to a records storage facility remain in the legal custody of the agency.

(a) NARA records centers. NARA owns or operates records centers for the storage, processing, and servicing of records for Federal agencies under the authority of 44 U.S.C. 2907. These NARA records centers include a National Personnel Records Center which contains designated records of the Department of Defense and the Office of Personnel Management and other designated records pertaining to former Federal civilian employees. A list of NARA records centers is available from the NARA web site at http://www.nara.gov and also in the U.S. Government Manual, which is for sale from the Superintendent of Documents, U.S. Government Printing Office, Mail Stop: SSOP, Washington, DC 20402-9328, and is available on the Internet from http://www.access.gpo.gov/nara.

(b) Records centers operated by or on behalf of one or more Federal agencies other than NARA.

(c) Commercial records storage facilities operated by private entities.

§ 1228.152 Under what conditions may Federal records be stored in records storage facilities?

The following chart shows what records can be stored in a records storage facility and the conditions that apply:

Type of record	Conditions
(1) Permanent records	(i) Any storage facility that meets the provisions of subpart K of this part.
(2) Unscheduled records	(i) Any storage facility that meets the provisions of subpart K of this part. (ii) Also requires submission of SF 115 and its acceptance from NARA under the provisions of subpart B of this part.
(3) Temporary records (excluding Civilian Personnel Records and Military Personnel Records).	(i) Any storage facility that meets the provisions of subpart K of this part.
(4) Vital records	(i) Storage facility must meet the provisions of subpart K of this part and 36 CFR part 1236.
(5) Civilian Personnel Records and Military Personnel Records.	(i) May only be transferred to NPRC, St. Louis as required by this part.

§ 1228.154 What requirements must an agency meet when it transfers records to a records storage facility?

An agency must meet the following requirements when it transfers records to a records storage facility:

(a) Ensure that the requirements of subpart K of this part are met. Special attention must be paid to ensuring appropriate storage conditions for records on non-paper based media (e.g., film, audio tape, magnetic tape), especially those that are scheduled for long-term or permanent retention, as those records typically require more stringent environmental controls (see 36 CFR parts 1230 through 1234).

(b) To transfer unscheduled records, submit an SF 115 to NARA (NWML) prior to the transfer. The agency may transfer the records only after NARA has determined that the SF 115 meets the requirements specified in this part.

(c) Create documentation sufficient to identify and locate files.

(1) Such documentation must include for each individual records series spanning one or more consecutive years transferred to storage:

- (i) Creating office;
- (ii) Series title;
- (iii) Description (in the case of permanent or unscheduled records, the description must include a folder title list of the box contents or equivalent detailed records description);
- (iv) Date span;
- (v) Physical form and medium of records (e.g., paper, motion picture film, sound recordings, photographs or digital images);
- (vi) Volume;
- (vii) Citation to NARA-approved schedule or agency records disposition manual (unscheduled records must cite the date the SF 115 was submitted to NARA);
- (viii) Restrictions on access if applicable;
- (ix) Disposition ("permanent," "temporary," or "unscheduled; SF 115 pending");
- (x) Date of disposition action (transfer to the National Archives of the United States or destruction);

(xi) Physical location, including name and address of facility; and

(xii) Control number or identifier used to track records.

(2) In the case of permanent and unscheduled records, provide copies of such documentation to NARA.

(d) Ensure that NARA-approved retention periods are implemented properly and that records documenting final disposition actions (destruction or transfer to the National Archives of the United States) are created and maintained as required by 36 CFR 1220.36.

(1) Retain temporary records until the expiration of their NARA-approved retention period and no longer, except as provided for in § 1228.54.

(2) Transfer permanent records to the National Archives of the United States in accordance with § 1228.260.

(e) Provide access to appropriate NARA staff to records wherever they are located in order to conduct an evaluation in accordance with 36 CFR 1220.50 or to process a request for records disposition authority.

(f) Move temporary records that are subsequently reappraised as permanent to a facility that meets the environmental control requirements for permanent records in § 1228.236 within six months of their re-appraisal, if not already in such a facility. (Paper-based permanent records in an existing records storage facility that does not meet the environmental control requirements in § 1228.236(b) on October 1, 2009, must be moved from that facility no later than February 28, 2010.)

§ 1228.156 What procedures must an agency follow to transfer records to an agency records center or commercial records storage facility?

Federal agencies must use the following procedures to transfer records to an agency records center or commercial records storage facility:

(a) Agreements with agency records centers or contracts with commercial records storage facilities must incorporate the standards in subpart K of this part and allow for inspections by

the agency and NARA to ensure compliance. An agency must remove records promptly from a facility if deficiencies identified during an inspection are not corrected within six months.

(b) For temporary records, the agency must make available to NARA on request the documentation specified in § 1228.154. For permanent or unscheduled records, the agency must transmit this documentation to NARA (NWML) no later than 30 days after records are transferred to the agency records center or commercial records storage facility.

(c) Agencies must establish procedures that ensure that temporary records are destroyed in accordance with NARA-approved schedules and that NARA-approved changes to schedules, including the General Records Schedules, are applied to records in agency records centers or commercial records storage facilities in a timely fashion. Procedures must include a requirement that the agency records center or commercial records storage facility notify agency records managers or the creating office prior to the disposal of temporary records unless disposal of temporary records is initiated by the agency.

(d) Agencies must establish procedures to ensure that the agency records centers or commercial records storage facilities transfer permanent records to the National Archives of the United States as individual series spanning one or more years and in accordance with the provisions of § 1228.272.

(e) Agencies must ensure that records that are restricted because they are security classified or exempt from disclosure by statute, including the Privacy Act (5 U.S.C. 552a), or regulation are stored and maintained in accordance with applicable laws, executive orders, or regulations.

(f) Agencies must ensure that disposable records, including restricted records (security classified or exempted from disclosure by statute, including the Privacy Act, or regulation), are

destroyed in accordance with the requirements specified in § 1228.58.

(g) Agencies must ensure that emergency operating vital records, as defined in 36 CFR 1236.14, that are transferred to an agency records center or commercial records storage facility are available in accordance with 36 CFR part 1236.

16. Redesignate subpart J of part 1228 as subpart L of part 1228 as set forth in the following redesignation table:

Old section subpart J	New section subpart L
1228.180	1228.260
1228.182	1228.262
1228.183	1228.264
1228.184	1228.266
1228.186	1228.268
1228.188	1228.270
1228.190	1228.272
1228.192	1228.274
1228.194	1228.276
1228.196	1228.278
1228.198	1228.280
1228.200	1228.282

17. Add a new subpart J to read as follows:

Subpart J—Transfer, Use, and Disposition of Records in a NARA Records Center
Sec.

- 1228.160 How does an agency transfer records to a NARA records center?
1228.162 How does an agency transfer vital records to a NARA records center?
1228.164 What records must be transferred to the National Personnel Records Center (NPRC)?
1228.166 How does an agency transfer records to the National Personnel Records Center (NPRC)?
1228.168 How can records be used in NARA records centers?
1228.170 How are disposal clearances managed for records in NARA records centers?

Subpart J—Transfer, Use, and Disposition of Records in a NARA Records Center

§ 1228.160 How does an agency transfer records to a NARA records center?

An agency transfers records to a NARA records center using the following procedures:

(a) General. NARA will ensure that its records centers meet the facilities standards in subpart K of this part, which meets the agency's obligation in § 1228.154(a).

(b) NARA records centers will not accept records that pose a threat to other records or to the health and safety of users including hazardous materials such as nitrate film, radioactive or chemically contaminated records, records exhibiting active mold growth, or untreated insect or rodent infiltrated

records. Agencies may contact the NARA records center for technical advice on treating such records.

(c) Agencies may use any NARA records center (see § 1228.154(a)) if space is available for the storage of unclassified records. All NARA facilities are equipped to store classified records that have a national security classification up to Confidential, and certain NARA facilities can also accept Secret (or "Q") classified records. Only the Washington National Records Center is equipped to store records that have been assigned a national security classification of Top Secret, as defined in Executive Order 12958 (3 CFR, 1995 Comp., p. 333) and predecessor orders. For storage of restricted records requiring vault storage (regardless of the level of classification), agencies must contact the records center(s) they wish to use to find out if the center(s) can properly store the records.

(d) Transfers to NARA records centers must be preceded by the submission of a Standard Form 135, Records Transmittal and Receipt. Preparation and submission of this form will meet the requirements for records description provided in § 1228.154(c), except the folder title list required for permanent and unscheduled records. A folder title list is also required for records that are scheduled for sampling or selection after transfer.

(e) A separate SF 135 is required for each individual records series spanning one or more consecutive years with the same disposition authority and disposition date.

(f) For further guidance on transfer of records to a NARA records center, consult the NARA Records Management Web Site (<http://www.nara.gov>), or current NARA publications and bulletins by contacting the Office of Regional Records Services (NR), individual NARA regional facilities, or the Washington National Records Center (NWMW).

§ 1228.162 How does an agency transfer vital records to a NARA records center?

For assistance on selecting an appropriate site among NARA facilities for storage of vital records, agencies may contact NARA (NR), 8601 Adelphi Rd., College Park, MD 20740-6001. The actual transfers are governed by the general requirements and procedures in this subpart and 36 CFR part 1236.

§ 1228.164 What records must be transferred to the National Personnel Records Center (NPRC)?

General Records Schedules 1 and 2 specify that certain Federal civilian personnel, medical, and pay records

must be centrally stored at the National Personnel Records Center (Civilian Personnel Records), 111 Winnebago Street, St. Louis, MO 63118. An agency must transfer the following four types of records to the NPRC:

- (a) Official personnel folders of separated Federal civilian employees;
(b) Service record cards of employees who separated or transferred on or before December 31, 1947;
(c) Audited individual earnings and pay cards and comprehensive payrolls; and
(d) Employee medical folders of separated Federal civilian employees.

§ 1228.166 How does an agency transfer records to the National Personnel Records Center (NPRC)?

(a) Agencies must use the following procedures when transferring records to the NPRC:

- (1) Forward the official personnel folder (OPF) and the employee medical folder (EMF) to the National Personnel Records Center at the same time.
(2) Transfer EMFs and OPFs in separate folders.

(b) For further guidance consult the NPRC web site (<http://www.nara.gov/regional/cpr.html>).

(c) Consult the Office of Personnel Management web site (<http://www.opm.gov/feddata/html/opf.htm>) for the OPM publication The Guide to Personnel Recordkeeping for procedures on the transfer of OPFs and EMFs. (The Guide is also available from the Superintendent of Documents, U.S. Government Printing Office, Mail Stop: SSOP, Washington, DC 20402-9328.)

§ 1228.168 How can records be used in NARA records centers?

(a) Agency records transferred to a NARA records center remain in the legal custody of the agency. NARA acts as the agency's agent in maintaining the records. NARA will not disclose the record except to the agency which maintains the record, or under rules established by that agency which are not inconsistent with existing laws.

(b) Federal agencies must use Standard Form (SF) 180, Request Pertaining to Military Records, to obtain information from military service records in the National Personnel Records Center (Military Personnel Records). Agencies may furnish copies of that form to the public to aid in inquiries. Members of the public and non-governmental organizations also may obtain copies of SF 180 by submitting a written request to the National Personnel Records Center (Military Personnel Records), 9700 Page Boulevard, St. Louis, MO 63132. OMB

Control Number 3095-0029 has been assigned to the SF 180.

(c) Use Standard Form 127, Request for Official Personnel Folder (Separated Employee), to request transmission of personnel folders of separated employees stored at the National Personnel Records Center.

(d) Use Standard Form 184, Request for Employee Medical Folder (Separated Employee), to request medical folders stored at the National Personnel Records Center.

(e) Use Optional Form 11, Reference Request—Federal Records Center to request medical records transferred to other NARA records centers prior to September 1, 1984. The request must include the name and address of the agency's designated medical records manager.

(f) For any other requests, use the Optional Form 11, Reference Request—Federal Records Centers, a form jointly designated by that agency and NARA, or their electronic equivalents.

§ 1228.170 How are disposal clearances managed for records in NARA records centers.

(a) Records at the National Personnel Records Center covered by General

Records Schedules 1 and 2 will be destroyed in accordance with those schedules without further agency clearance.

(b) Other records of Federal agencies held by NARA records centers will be destroyed only with the concurrence of the agency having legal custody of the records.

(c) Documentation on the final disposition of records, as required in 36 CFR 1220.36, will be maintained by NARA records centers for the period of time required by General Records Schedule 16.

(d) When NARA approves an extension of retention period beyond the time authorized in the records schedule for records stored in NARA records centers, NARA will notify those affected records centers to suspend disposal of the records (see § 1228.54(e)).

18. In newly redesignated subpart L, revise the subpart heading to read as follows:

Subpart L—Transfer of Records to the National Archives of the United States

19. In newly redesignated § 1228.272, revise the section heading and paragraph (a) to read as follows:

§ 1228.272. Transfer of records to the National Archives of the United States.

(a) *Policy.* (1) Federal records will be transferred to NARA's legal custody into the National Archives of the United States only if they are listed as permanent on an SF 115, Request for Records Disposition Authority, approved by NARA since May 14, 1973, or if they are accretions (continuations of series already accessioned) to holdings of the National Archives. Transfers are initiated by submission of an SF 258, Agreement to Transfer Records to the National Archives of the United States.

(2) Each SF 258 must relate to a specific records series, as identified on the SF 115, Request for Records Disposition Authority, in accumulations of one or more consecutive years.

* * * * *

Dated: February 25, 1999.

John W. Carlin,

Archivist of the United States.

[FR Doc. 99-10704 Filed 4-29-99; 8:45 am]

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National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

MAY 4 1999

NWM 13.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Draft GRS for Information Technology Records

Attached for your review and comment is a revised draft General Records Schedule (GRS) for information technology (IT) records. An earlier version of this draft GRS was circulated to the CIO Council and selected records officers for initial reactions on whether the draft covered IT records being created by agencies and the usefulness of a different format for the schedule. Those agencies generally found the coverage of records to be appropriate but the format of the document and criteria for determining retention periods difficult to use. This revision follows the standard GRS format and sets specific proposed retention periods. We seek your comments especially on the adequacy of the proposed retention periods.

We anticipate that this is the last opportunity for agency comment before we seek OMB determination of significance under EO 12866 and publication in the Federal Register for a 45 day public comment period. We want to ensure that the draft published in the Federal Register is a general records schedule that agencies can use. Once NARA issues this GRS, the retention periods are mandatory -- you cannot destroy the records earlier or keep them longer without specific NARA approval.

Please send your comments by June 4, 1999, to [redacted] Policy and Communications Staff (NPOL) at [redacted]@arch2.nara.gov or by fax to [redacted] Contact [redacted] by e-mail if you would like a WordPerfect or Word version of the draft to circulate within your agency. If you have questions, please contact [redacted] on [redacted] ext. [redacted]. We encourage Federal agencies to review these proposed regulations carefully and submit comments by the June 29, 1999, public comment deadline.

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66F-HQ-C1190059-94

Enclosure

GENERAL RECORDS SCHEDULE 20

Information Technology Operations and Management Records

DRAFT version 7.2

April 29, 1999

This schedule provides disposal authorization for files that are created and maintained for the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996, 'information technology' includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. This schedule applies at the file level and only to files which are maintained SOLELY for the operation and management of information technology and related services.

Some documents that are kept in IT operations and management files are also needed as essential evidence of agency programs and administrative activities. Documents which need to be retained as records both of IT operations and management, on the one hand, and agency programs or administrative activities, on the other, include, but are not limited to:

- IT plans which explicitly address how IT will satisfy program and administrative requirements;
- IT policy records which relate policy development or implementation to program and administrative requirements;
- Records related to data administration for agency programs or other administrative functions;
- Audits and reviews which address how well IT systems or applications satisfy program or administrative requirements;
- Technical documentation that is needed to access, retrieve, use, or interpret other records of agency programs or administrative activities;

In order to ensure that the agency applies appropriate disposition authorities in the disposition of records related to the use, operation and management of information technology, agencies should follow these rules:

- The disposition of any files concerning agency programs may only be authorized under a records schedule that the agency has submitted to NARA and that NARA has approved. This rule applies even if such files are also used for IT operations or management.
 - If an agency maintains copies of documents in separate files that support IT operations or management on the one hand and agency programs on the other,

the IT operations or management files are authorized for disposal under this GRS, but the program files must be authorized under an agency-specific schedule.

- The disposition of any files concerning administrative activities other than IT operations or management must be authorized under an appropriate schedule, which may be either another GRS or an agency-specific schedule. This rule applies even if such files are also used for IT operations or management.
 - If an agency maintains copies of documents in separate files that support IT operations or management on the one hand and other administrative functions on the other, the IT operations or management files are authorized for disposal under this GRS, but the other administrative files must be authorized either under another GRS or under an agency-specific schedule.
- This GRS authorizes the disposition of the files described only when they are retained solely for IT operations or management.

This GRS does not cover all records which are used in IT operations and management. In particular,

- IT offices maintain many common administrative files covered by other GRS. The other GRS apply in IT offices as well as elsewhere.
- IT offices may maintain other administrative files whose disposition is authorized under records schedules applicable to the entire agency or component in which the IT office is located. IT offices should apply such schedules, as appropriate.
- IT offices may maintain unique files related to IT operations and management. Such files must be scheduled and the schedule approved by NARA.
- IT offices may maintain some records that provide essential evidence of agency mission and programs, such as IT strategic plans and Business Information Models. Such files must be scheduled and the schedule approved by NARA.

This schedule applies to the records described regardless of their physical form or characteristics. They may be retained on paper, in microform, or in electronic form.

Management of IT Organizations and Projects

1. IT Policy and Direction Files

Files related to the development and issuance of policies and directives for all aspects of the management of information technology and related assets and services. This includes:

- Files defining the organization's IT infrastructure;
- Records defining or adopting IT standards;
- Directives concerning the acquisition and use of IT assets, including those defining capital planning processes for major investments in information systems;
- Files defining quality assurance requirements and norms;
- Files defining IT asset controls and procedures; system integration requirements, performance requirements, resource and capacity planning; defining and establishing the change management system, including standards for categorizing, prioritizing and authorizing changes;
- Documents establishing the IT risk management program, determining its scope, and defining IT risk management methods and measurements; disaster recovery plans, risk action plans, IT continuity plan, backup and recovery procedures;
- System security files: definitions of access controls, standards for authorizations and authentication of users for specific system and applications;
- Files identifying environmental and physical controls required for IT equipment and media; concerning facility access requirements and authorizations;
- Documents defining standards and norms for IT operations: operations manuals and users manuals, and documentation concerning start-up and shift hand-over process processes, network services management; problem management and emergency procedures;
- Documents defining monitoring requirements: establishment of benchmarks, key performance indicators, critical success factors, reporting requirements;
- Policy and procedures concerning charges and payments for IT resources, charge rates;
- Requirements for documentation of IT applications.

This item does not cover IT policies and directives maintained in other files, such as a general directives system.

Close file when superseded or withdrawn.

Destroy/delete 3 years after close of file.

2. IT Planning Files

{This item does not cover IT strategic plans, business information models, or other IT planning files which relate IT explicitly either to agency mission, goals, and objectives,

or to specific business activities. Such records should be scheduled by each agency either as distinct series or together with other records related to the same business activity.}

- a. IT long-term plans, operational plans, technological infrastructure plans, and data processing services plans.

Close file when plan is superseded or terminated.

Destroy/delete 3 years after close of file.

- b. IT capital planning and investment management files documenting the agency's process for maximizing the value and assessing and managing the risks of acquisitions of IT infrastructure, facilities, and services.

{This item applies to IT investment management records in the offices of the Chief Information Officer or other official or body charged with reviewing and approving IT investments. It does not apply to IT investment management records in program offices which propose IT investments. The records in those offices must be scheduled as program records. It does not apply to records maintained for budget, property, expenditure or cost accounting covered in GRS 3 through 8.}

Close file annually.

Destroy/delete 3 years after close of file.

- c. IT project plans for specific initiatives undertaken in accordance with IT long-term plans, operational plans, technological infrastructure plans, and data processing services plans; such as projects for installation, upgrade or replacement of infrastructure components including hardware, software, and networks, that are not limited to an individual IT application which supports a specific program or administrative function.

(Management files related to individual IT applications which support specific program or administrative functions are covered in item 13, below.)

Close file when project is completed.

Destroy/delete 3 years after close of file or completion of any scheduled review or evaluation of it, whichever is later.

3. Implementation and compliance files:

Records on implementation, impact, and compliance with IT policies, directives and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities. Types of files include:

- performance measurements and benchmarks;
- audits and management reviews;
- certifications and accreditations;
- quality assurance reviews and reports;
- reports on implementation of plans;
- effectiveness evaluations, and compliance reviews;
- data measuring or estimating impact and compliance.

{This subitem does not apply to audit files of the agency's Inspector General.}

Destroy/delete 1 year after determination that there are no unresolved issues.

Management of IT Infrastructure and Services

Items 4 through 12 concern the management of IT infrastructure, such as host computers, servers, intranets, and extranets, and IT services that support a variety of applications and users. These items do not cover records related to individual applications that support specific program or administrative functions. Records related to individual applications that support specific program or administrative functions are covered in items 13 through 16.

4. Files related to determining and satisfying requirements for IT resources.
Records used to define and track requirements for IT resources, such as hardware, software, and services, that support more than one application; identify and evaluate options; analyze feasibility and costs and benefits; recommend actions; justify acquisitions; and determine criteria for acceptance.

- a. Cases where the final decision is not to implement recommendations.

Close file when final decision on recommendations is made.

Destroy/delete 1 year after close of file.

- b. Cases where one or more recommendations for satisfying IT requirements are implemented.

Close file when it is determined that the requirement no longer exists or that a new requirements analysis should be undertaken.

Destroy/delete 3 years after close of file.

5. Files related to installing and accepting or accrediting systems and components that support multiple applications, including plans and reports concerning installation, migration, conversion and acceptance of hardware, software and networks; related models, diagrams and schematics; and data and other files created to test performance; and related technical documentation.

- a. For systems or components that are not accepted or accredited.

Destroy/delete 1 year after final decision to reject the subject system or component.

- b. For systems or components that are accepted or accredited.

Destroy/delete 3 years after system or component is terminated or replaced.

6. IT facility and site management files

{This item applies only to files retained to ensure that buildings and rooms where IT equipment, systems and storage media are located are properly controlled and operated. This item does not apply to records of stores or plant accounting, which are covered in GRS 8, or for records of property disposal, which are covered in GRS 4.}

Files identifying IT facilities and sites; concerning implementation of IT facility and site management and support services provided to specific sites, including reviews, site visit reports, trouble reports, service histories, reports of follow-up actions, and related correspondence .

Destroy/delete when 3 years old.

7. IT asset and configuration management files

- a. Records identifying or inventorying IT assets; equipment control systems; inventories of network circuits and building or circuitry diagrams;

Close file when the subject assets are terminated, removed or destroyed.

Destroy/delete 1 year after close of file.

b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up and impact assessment. Including, but not limited to:

- Data and detailed reports on implementation of systems, applications and modifications; assessments of effectiveness, application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release management.
- Records of IT maintenance documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

Close file annually.

Destroy/delete 3 years after close of file.

c. Digital media management records including library systems and back-up management systems.

{This item does not cover files on records disposition, covered in GRS 16, 2.}

Destroy/delete when media volume or unit is removed from inventory.

8. Files related to maintaining the security of systems and data.

a. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

Close file annually.

Destroy/delete 3 years after close of file.

b. User identification, profiles, authorizations, and password files.

Place record in inactive file when user account is terminated or when profile or password is altered.

Destroy/delete inactive files when 3 years old.

c. Cryptographic key management files. *(reserved)*

- d. Security incident handling, reporting and follow-up.

Close file when all necessary follow-up to a security incident has been completed.

Destroy/delete 3 years after close of file.

9. IT operations records

- a. Schedules: workload schedules; run reports, run requests, and other records documenting the successful completion of a run; schedules of maintenance and support activities.

Close file annually.

Destroy/delete 1 year after close of file.

- b. Problem reports, user complaints and questions, proposals for changes and related decision documents.

Destroy/delete when 3 years old.

10. Files on usage and monitoring of IT systems, services, and resources

{This item does not apply to records created under procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and P.L. 97-255, the Federal Manager's Financial Integrity Act. Those records are scheduled under GRS 16, 14.}

Usage and monitoring data and reports, including but not limited to:

- Operations data, such as system event logging, log-in files, system usage files and audit trails, reports on workload management; incident reports and audit trails of problems and solutions.
- Reports on operations, including summary computer usage reports, measures of benchmarks, performance indicators, and critical success factors; error and exception reporting, self-assessments, service delivery monitoring, and management reports.

Close files annually.

Destroy/delete 3 years after close of file.

11. Financial records related to provision of IT resources and services

{If any of these records are necessary to support contracts, copies should be filed in procurement files and disposed of in accordance with GRS 3.}

- a. Service-level agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, non-disclosure agreements.

Close file when the agreement is superseded or terminated.

Destroy/delete 3 years after close of file.

- b. Files related to managing third-party services: control measures for review and monitoring of contracts, procedures for determining their effectiveness and compliance.

Close file when subject control measures or procedures are superseded or terminated.

Destroy/delete 3 years after close of file.

- c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services.

{This item only covers records that are outside of the agency's cost accounting system, which is covered in GRS 8, items 6 and 7.}

Close file annually unless there are outstanding issues concerning charges or payments. If there are outstanding issues, close file when they are resolved.

Destroy/delete 3 years after close of file.

12. Customer service files

Records related to providing service and support to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers; help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Close file annually.

Destroy/delete 1 year after close of file.

IT Applications

This section covers records maintained only for technical support of applications which serve program or administrative functions of the agency. The agency will need to maintain many of these records — including but not limited to user requirements, system specifications, data and process models, and user guides — in order to document the programs or administrative functions which the applications serve. Such records are necessary for adequate and proper documentation of agency programs or administration, other than IT operations and management, and should be retained under schedules authorized for records of those programs or administrative activities. This GRS applies only to separate copies of such records in files maintained solely for technical support.

13. Application development and implementation

- a. Application development case files. Records created and used in determining customer needs for applications, designing, developing, acquiring, or modifying applications including user requirements and specifications, system or subsystem specifications, system integration documents, application and data deployment strategies, status reports, records documenting acceptance of applications and modifications, and related correspondence.

Close file when application is terminated or when all records supported by the application are destroyed, whichever is later.

Destroy/delete 3 years after close of file.

- b. Installation and testing records for applications.

Close file when final decision on acceptance is made.

Destroy/delete 3 years after close of file.

14. Technical documentation, metadata, and software necessary to retain, access, retrieve, and use electronic records

- a. Data systems specifications, file specifications, data and process models, data dictionaries, codebooks, record layouts, user guides, output specifications, and other technical documentation supporting retrieval, access, use or interpretation

of the data, processing specifications for input, updating, retrieval, output, interpretation, and data conversion.

(If data or related output records or records of action are scheduled for permanent retention, one copy of the technical documentation must be maintained as part of the permanent records)

Close file when all data or records in a form or format specified in the documentation are destroyed or deleted.

Destroy/delete 1 year after close of file.

- b. Documents defining data quality controls, including source document, input, processing, and output controls.

Close file when subject controls are superseded or terminated.

Destroy/delete 3 years after close of file.

- c. Application software: Automated Program Listing/Source Code necessary to access, retrieve, use or maintain electronic records; program flowcharts, program maintenance log, change notices, and other records that document modifications to computer programs that support applications.

Close file when no longer needed to retrieve, use or interpret any records created by, or stored in the application.

Destroy/delete 1 year after close of file.

15. Temporary input/output files:

- a. Input records: Documents and files designed and used solely to create, update, or modify electronic records; including non-electronic documents or forms, digital input/source files; files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database; metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Close file when the creation, updating or modification of subject records is completed and verified.

Destroy/delete 1 year after close of file.

- b. Output records retained by IT service and support units; including extract, summary and aggregate data files derived from a data base in cases where it is possible to regenerate the extract, summary or aggregate from the data base; and copies of output reports produced for clients.

Destroy/delete upon verification of successful delivery and acceptance of outputs by client, or when 3 months old, whichever is sooner.

- 16. Work files and intermediate files: created in the production or use of other electronic records for the sole purpose of enabling, supporting or facilitating the use of the other records; for example, work files, valid transaction files, and print files.

Destroy/delete when the process in which the intermediate file is created or used is terminated.

- 17. Electronic mail and word processing system copies of records covered by this GRS xx.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of such records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 13, 1999

NWM 15.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS. Bimonthly Records and Information Discussion Group (BRIDG) Meeting on June 21, 1999.

The Life Cycle Management Division of the National Archives and Records Administration (NARA) will host the next BRIDG meeting on June 21, 1999, from 10:00 to noon in Room 105 of the National Archives Building, 7th and Pennsylvania Avenue NW, Washington, DC. The purpose of the meeting is to discuss a new NARA project on the reengineering of the records scheduling process.

On May 6, the Archivist announced a "business process reengineering" initiative to review and redesign the scheduling process and named Michael L. Miller as the project leader. At this BRIDG meeting, Mike will discuss initial plans for the project and provide information about how agency records officers can provide input. Records officers are encouraged to bring suggestions for improvements in the organization or administration of the current appraisal and scheduling process, whether within or outside the context of the current Federal statutory and regulatory structure for records management.

Enrollment is limited to 60 participants. To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to on extension or e-mail @arch2.nara.gov), no later than June 15, 1999.

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Marie B. Allen

MARIE B. ALLEN
Director
Life Cycle Management Division

66F-HQ-C1190059-95

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 10, 1999

NWM 14.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Correction in Date for Comments on Draft GRS for Information Technology Records

Last week you received copies of the revised draft General Records Schedule (GRS) for information technology (IT) records, with an incorrect due date listed for comment. Please send your comments by *June 7, 1999*, to [redacted] Policy and Communications Staff (NPOL) at [redacted]@arch2.nara.gov or by fax to [redacted]. Contact [redacted] by e-mail if you would like a WordPerfect or Word version of the draft to circulate within your agency. If you have questions, please contact [redacted] on [redacted] ext. [redacted].

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Marie B. Allen

MARIE B. ALLEN
Director
Life Cycle Management Division

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

MAY 24 1999

NWM 16.99

MEMORANDUM TO FEDERAL RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Inventorying and Scheduling Electronic Systems

Federal agencies are devoting substantial resources to ensure their computer systems will correctly process dates after January 1, 2000. During the course of addressing this "Y2K problem," each agency is reviewing its electronic systems to identify those that need to be modified, replaced, or retired. This process offers agencies an opportunity to determine the extent to which their systems are appropriately inventoried, scheduled, and otherwise under records management control.

NARA urges records officers to assert leadership in ensuring that agency systems identified through Y2K compliance efforts are included under proper records management control. Records in all agency systems must be: 1) managed under an approved schedule (SF-115, Request for Records Disposition Authority); and 2) maintained in a reliable, readable, and accessible format for their scheduled retention period. This is especially urgent for those Y2K systems slated for replacement or retirement, since decisions must soon be made about whether to preserve or dispose of the data in these systems. The work needed to meet these goals--particularly inventorying systems and developing management plans for them--coincides with the effort needed to address the overall Y2K problem. It makes sense to address the issues together.

When new systems are adopted, agencies may decide to migrate data from superseded Y2K systems to new systems. If the data will not be migrated, the agency must ensure that the records remain reliable, readable, and accessible throughout their scheduled retention period. If the records are not scheduled, or if the retention period must be shortened, it is necessary to submit an SF-115 to NARA. It is also critical for agencies to submit an SF-258, Agreement to Transfer Records to the National Archives of the United States, to NARA for any permanent electronic records that will not be incorporated into systems that will remain operational after 1999.

NARA will carry this message to the Chief Information Officers (CIO) Council and other appropriate groups. For additional information please call me or your designated contact in the Life Cycle Management Division on (301) 713-7100.

MARIE B. ALLEN
Director
Life Cycle Management Division

66F-HQ-C1190059-96

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 28, 1999

NWM 17.99

MEMORANDUM TO AGENCY RECORDS OFFICERS: Changes in records disposal procedures

The procedures contained in this memorandum supplement NARA Bulletin 99-03, Changes in disposition procedures at NARA's records center facilities, and NWM 09.99, which transmitted a copy of the bulletin to you. Those issuances notified you that NARA records centers would be sending disposal concurrence notices, Notice of Intent to Destroy (NA Form 13001), to you via certified mail with a return receipt requested. That procedure will provide assurance that the notices reached the agency.

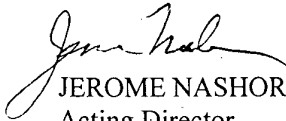
This memorandum describes a further modification of NARA's records disposal policy. In the past, NARA has assumed agency concurrence in the disposal of records unless the agency notified the records center to hold the records because they were needed longer for operational purposes, investigation, audit, litigation, or other agency business. In line with the revised records management regulations (see NWM 12.99), NARA has modified its records disposal policy, as follows:

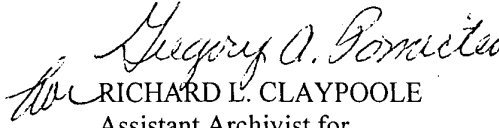
Beginning with the October 1, 1999, disposal cycle, NARA records centers will wait to receive written agency concurrence before destroying records. That means that when you or your designee receives the NA Forms 13001 that NARA records centers will mail in July 1999, you must respond in writing to notify the records center that your agency concurs in the disposal. You may annotate the forms or provide the list of accession numbers in a memorandum or letter to the records center. NARA will destroy no records before receiving written concurrence. The returned certified mail receipt signed when the agency received the Notices will not be accepted as disposal concurrence.

All the documents referenced in this memorandum can be accessed from NARA's records management web site at <<http://www.nara.gov/records/index.html>>.

If you have any questions about this change, please contact [redacted] in the Office of Regional Records Services at [redacted] extension [redacted] or by electronic mail at [redacted]@arch2.nara.gov> or the Director of Records Center Operations at your local NARA records center.

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JEROME NASHORN
Acting Director
Life Cycle Management Division


RICHARD L. CLAYPOOLE
Assistant Archivist for
Regional Records Services.

66F-HQ-C1190059-97

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 10, 1999

Dennis R. Weaver, Section Chief
Information Management Section - Room 9998
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear Mr. Weaver:

We recently received reports from anonymous sources that records stored at the Federal Bureau of Investigation (FBI) [redacted] are mismanaged and subject to damage and potential unauthorized destruction due to poor storage conditions. Under 44 U.S.C. 2905, the Archivist of the United States is required to notify the head of a Federal agency of any "actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency that shall come to his attention," and assist the agency in initiating any appropriate action. We are especially concerned about these allegations because it is our understanding that permanent records are among those maintained at the [redacted] facility.

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According to our information, the facility's heating and cooling system has caused water damage to the records. Files are supposedly shelved dangerously close to overhead lighting fixtures, resulting in fires involving records. The records are alleged to be seriously disorganized, with files frequently missing. In addition, we were informed that some FBI managers are unaware that Federal records may be disposed of only in accordance with a records disposition schedule approved by the Archivist of the United States.

As you know, Federal agencies are required to maintain effective records management programs, which includes providing for the integrity, safety, and disposition of records. Agencies are authorized to maintain and operate records centers for the storage, servicing, and disposal of their own noncurrent records when these centers are approved by the Archivist (44 U.S.C. 3103). Facility standards for agency records centers are provided in 36 CFR 1228.222.

We would be happy to offer our assistance in investigating and resolving this matter. NARA staff are available to help FBI records managers examine the [redacted] facility and recommend necessary steps to address any problems that may exist. NARA can also provide management briefings regarding regulatory requirements and good records management practices.

66F-HQ-C1190059-98

Please advise us by June 24, 1999 of your plans to investigate these allegations. Please contact [redacted] at [redacted] or [redacted] if you have any questions or wish to discuss receiving assistance from NARA in this matter.

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Sincerely,



MICHAEL J. KURTZ
Assistant Archivist
for Records Services-Washington, DC



U.S. Department of Justice

Justice Management Division

Information Management and Security Staff

Washington, D.C. 20530

JUN 14 1999

MEMORANDUM FOR BUREAU RECORDS MANAGEMENT OFFICERS AND
RECORDS MANAGEMENT LIAISONS, OFFICES, BOARDS AND
DIVISIONS

FROM:

Jerry G. Ormaner *Jerry G. Ormaner*
Assistant Director
Information Security & Records Management
Information Management and Security Staff

SUBJECT:

Inventorying and Scheduling Electronic Systems

The guidance issued in the attached memorandum from the National Archives and Records Administration (NARA) reminds us that Department of Justice systems identified through Year 2000 (Y2K) compliance efforts must be included under proper records management control. Y2K systems slated for replacement or retirement that includes data not migrated to a new system, must be properly scheduled for disposition (SF-115, Request for Records Disposition Authority). Electronic records appraised by NARA as permanent, and not incorporated into new systems, may require transfer to NARA via SF-258, Agreement to Transfer Records to the National Archives of the United States.

Y2K senior officials and working group members in your component have been furnished a copy of the NARA memorandum. You should coordinate this effort with your Y2K representative. If you have any questions, please contact [redacted] on [redacted]

Attachment

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66F-HQ-C 1190059 - 99

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

MAY 24 1999

NWM 16.99

MEMORANDUM TO FEDERAL RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Inventorying and Scheduling Electronic Systems

Federal agencies are devoting substantial resources to ensure their computer systems will correctly process dates after January 1, 2000. During the course of addressing this "Y2K problem," each agency is reviewing its electronic systems to identify those that need to be modified, replaced, or retired. This process offers agencies an opportunity to determine the extent to which their systems are appropriately inventoried, scheduled, and otherwise under records management control.

NARA urges records officers to assert leadership in ensuring that agency systems identified through Y2K compliance efforts are included under proper records management control. Records in all agency systems must be: 1) managed under an approved schedule (SF-115, Request for Records Disposition Authority); and 2) maintained in a reliable, readable, and accessible format for their scheduled retention period. This is especially urgent for those Y2K systems slated for replacement or retirement, since decisions must soon be made about whether to preserve or dispose of the data in these systems. The work needed to meet these goals--particularly inventorying systems and developing management plans for them--coincides with the effort needed to address the overall Y2K problem. It makes sense to address the issues together.

When new systems are adopted, agencies may decide to migrate data from superseded Y2K systems to new systems. If the data will not be migrated, the agency must ensure that the records remain reliable, readable, and accessible throughout their scheduled retention period. If the records are not scheduled, or if the retention period must be shortened, it is necessary to submit an SF-115 to NARA. It is also critical for agencies to submit an SF-258, Agreement to Transfer Records to the National Archives of the United States, to NARA for any permanent electronic records that will not be incorporated into systems that will remain operational after 1999.

NARA will carry this message to the Chief Information Officers (CIO) Council and other appropriate groups. For additional information please call me or your designated contact in the Life Cycle Management Division on (301) 713-7100.

MARIE B. ALLEN
Director
Life Cycle Management Division

RECEIVED
1999 MAY -1 PM 1:55

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 25, 1999

Dennis R. Weaver, Section Chief
Information Management Section - Room 9998
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear Mr. Weaver:


It is our understanding that the item description for Classification 105 (Counterintelligence) in the FBI Records Retention Plan is now classified; however, we have never received formal notification of this decision.

Several months ago NARA sent the item description and class profile for Classification 105 to the FBI for review. Your office returned it promptly marking both documents "~~Secret~~". We were confused by the FBI's determination that the item description is now classified because in the past the same document was determined to be unclassified. According to John Faibisy, NARA's archivist formerly responsible for FBI records, and [redacted] the FBI's archives specialist, around 1996 the FBI determined that the item description for Classification 105, including the country name, was unclassified. About a dozen FBI Records Retention Plans were subsequently sent to NARA and are currently stored in several custodial units within the Archives. Each copy is unclassified, yet includes the country name for Classification 105.

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If the FBI has determined that the country name for Classification 105 is now classified, we would like written notification. Upon receiving formal notification, NARA will amend our copies of the FBI Records Retention Plan (i.e. delete the country name for this classification) and maintain a copy of the FBI notification in NARA's official files.

If you have any questions about this matter, please contact [redacted] at [redacted] ext. [redacted]


MARIE B. ALLEN
Director
Life Cycle Management Division

66F-HQ-C1190059-100



Washington National Records Center

4205 Suitland Road Suitland, MD 20746-8001

August 4, 1999

Dear Records Officer:

We will close our FY 99 accession register on October 1, 1999. We will not approve any Standard Forms 135 (SFs 135) that are received in this office after September 30, 1999, with a FY 99 accession number. We will return all SFs 135 for corrections. This includes ones that have been returned for deficiencies and are being resubmitted with a FY 99 number.

We suggest that you begin assigning fiscal year 2000 accession numbers to new SFs 135 if you are not certain that we will receive them by the deadline of September 30, 1999.

It is also very important that your boxes are ready for shipment when you submit your SF 135. We are assigning space when we approve your SF 135 and it is important that the volume is correct. You are also reminded that you have 90 days from the date of approval to send your records into the center. If they are not received within 90 days, the space is no longer reserved.

Please remember to submit the original and one copy of the SF 135, have it in our office by September 30, 1999, have your records ready for shipment and send your records into the center within 90 days of approval.

If you have any questions, please call on

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Sincerely,

JUDITH A. BARNES
Chief, Accession and Disposal Branch

66F-HQ-C1190059-101



U.S. Department of Justice

Justice Management Division

Information Management and Security Staff

Washington, D.C. 20530

August 6, 1999

MEMORANDUM FOR RECORDS MANAGEMENT OFFICERS
RECORDS LIAISON OFFICERS

FROM:

Bernard W. Berglind
Information Management
and Security Staff, IRM
Justice Management Division

SUBJECT:

Change of Address

Please be advised that effective August 9, 1999, the mailing address for [redacted] and myself will be as follows:

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Department of Justice
JMD/IRM/IMSS
National Place Building, Suite 1220
1331 Pennsylvania Avenue, NW
Washington, DC 20530

Components in Record Group 060 should use this address in block 5 of Standard Form 135, Records Transmittal and Receipt.

Our telephone numbers remain the same. [redacted] can be reached on [redacted] and I can be reached on 202-514-6283. Please call me if you have any questions.

66F-HQ-C1190059-102

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 24, 1999

NWM 19.99

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Records Management Training Calendar for FY 2000

The National Archives and Records Administration (NARA) recently issued its *Records Management Training Calendar for Fiscal Year 2000*, which lists a variety of training opportunities for Federal records and information managers. Copies of the calendar are enclosed and are also available on NARA's records management Web site at <http://www.nara.gov/records/fy00cal.html>.

The calendar includes classes on Federal Records Management, Records Scheduling and Disposition, Managing Electronic Records, and related subjects. These classes are designed to meet the needs of records managers at all levels of expertise and experience.

Please contact [redacted] at (301) 713-6677, extension [redacted] with any questions about class content. [redacted] 301-713-7100, extension [redacted] is available to answer registration questions. Address E-mail inquiries to records.mgt@arch2.nara.gov. Please plan to register early, since space is limited and registrations are accepted in the order received.

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Also attached, for your information, are the minutes of the June 21, 1999 BRIDG meeting on NARA's scheduling and appraisal business process reengineering project.

Marie B Allen

Marie B. Allen
Director
Life Cycle Management Division

Attachments

66F-HQ-C1190059-103

National Archives and Records Administration
Records Management

Records Management Class Calendar FY2000		
DATE	CLASS	LOCATION
October 21, 1999	Using WNRC Services	WNRC
November 15-19, 1999	Federal Records Management	Archives II
November 29, 1999	Introduction to Records Management	Archives II
Nov. 30-Dec. 2, 1999	Managing Electronic Records	Archives II
December 6-7, 1999	Scheduling Records	Archives II
December 9, 1999	Using WNRC Services	WNRC
January 10-11, 2000	Basic Records Operations	Archives II
January 12, 2000	Advanced Records Operations	Archives II
January 13-14, 2000	Scheduling Records	Archives II
January 25-27, 2000	Risk Management & Benefit Analysis for Records Managers	Archives II
February 7, 2000	Introduction to Records Management	Archives II
February 8-10, 2000	Managing Electronic Records	Archives II
February 11, 2000	Managing Microform Records	Archives II
February 24, 2000	Using WNRC Services	WNRC
March 6-7, 2000	Creating & Maintaining Adequate and Proper Documentation	Archives II
March 8-9, 2000	Records Scheduling and Disposition	Archives II
March 10, 2000	Evaluating and Promoting Records Management	Archives II
April 13, 2000	Using WNRC Services	WNRC
April 17-18, 2000	Basic Records Operations	Archives II

April 19, 2000	Advanced Records Operations	Archives II
April 20-21, 2000	Scheduling Records	Archives II
April 24-28, 2000	Federal Records Management	Archives II
May 23, 2000	Records Administration Conference (RACO)	Ronald Reagan Building & International Trade Center
June 5-7, 2000	Risk Management & Benefit Analysis for Records Managers	Archives II
June 15, 2000	Using WNRC Services	WNRC
June 19-23, 2000	Federal Records Management	Archives II
July 17-18, 2000	Basic Records Operations	Archives II
July 19, 2000	Advanced Records Operations	Archives II
July 20-21, 2000	Scheduling Records	Archives II
August 10, 2000	Using WNRC Services	WNRC
August 14, 2000	Introduction to Records Management	Archives II
August 15-17, 2000	Managing Electronic Records	Archives II
August 28-29, 2000	Creating & Maintaining Adequate and Proper Documentation	Archives II
August 30-31, 2000	Records Scheduling & Disposition	Archives II
September 1, 2000	Evaluating & Promoting Records Management	Archives II
September 18-22, 2000	Federal Records Management	Archives II

The cost is \$150 per day for the classes listed above. The cost for customized classes will be negotiated separately.

For training outside the Washington, DC area contact [redacted] Training Coordinator, Office of Regional Records Service (NR), [redacted]

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Registration

To register for the classes listed in this brochure an agency should send an authorized form or document for purchasing Government training to the address listed below, unless a different address is specified in the class description. Payment may also be made by check, made payable to the National Archives and Records Administration, or by U.S. Government VISA or MasterCard credit card.

Training Registrar (Classes)
National Archives at College Park
Room 2200 (NWML)
8601 Adelphi Road
College Park, MD 20740-6001

FAX: 301-713-6144

To register for the RACO 2000 conference, send a training form, check or credit card payment to:

Training Registrar (RACO)
National Archives at College Park
Room 5320 (NWML)
8601 Adelphi Road
College Park, MD 20740-6001

FAX: 301-713-6852

Training registration coordinator [redacted] is available to answer procedural and registration questions at 301-713-7100, extension [redacted]. For questions about class content, contact [redacted] at 301-713-7100, extension [redacted]. Address e-mail inquiries about classes or RACO 2000 to records.mgt@arch2.nara.gov.

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Registration and requests for information for the two free workshops, "Using Washington National Records Center Services" and "Washington National Records Center CIPS Workshop," should be directed to

Training Coordinator
Washington National Records Center (WNRC)
4205 Suitland Road
Suitland, MD 20746-8001

Telephone: 301-457-7035
FAX: 301-457-7117

We encourage participants to register as early as possible because many classes fill quickly. Walk-in registrants will not be accepted.

Allow 4 weeks advance notice to ensure special arrangements for persons with vision, hearing, or mobility impairments. Contact registration coordinator [redacted] to

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arrange for special needs.

Persons registering at least 3 weeks before the class begins will receive a confirmation letter, along with written information about class times and location.

Substitution of a different attendee is permissible at any time before the class begins. Agencies will be billed for no-shows, however, unless registration is canceled at least 5 working days before the class begins.

Unless otherwise announced under individual class descriptions, classes meet from 8:30 a.m. to 3:45 p.m. at the National Archives at College Park, MD. Some classes will be given at more than one site. Classes do not meet when an unscheduled [or liberal] leave policy is in effect for U.S. Government employees in the Washington, DC, area. NARA reserves the right to cancel classes at any time.

Participants from outside the Washington, DC, area are responsible for making their own hotel reservations. A list of lodging options can be provided upon request.

Although classes are primarily for federal employees, they are open to federal contractors and to employees of state and local governments and of international organizations.

Directions to NARA Training Facilities

National Archives at College Park, MD (Archives II)

This facility is located at 8601 Adelphi Road, near the University of Maryland College Park campus. Take Interstate 495 (the Capital Beltway) to exit 28 south (New Hampshire Avenue). From New Hampshire turn left at the second stoplight onto Adelphi Road. The entrance to the Archives is on the left after you pass Metzert Road but before you come to University Boulevard. Free parking for training class attendees is available.

Washington National Records Center, Suitland, MD (WNRC)

This facility is located in the Suitland Federal Complex in Suitland, MD. Take Interstate 495/95 (also part of the Capital Beltway) to exit 7 north onto Branch Avenue. From Branch Avenue turn right onto Silver Hill Road. After about 2 miles turn left onto Suitland Road. Turn left into the Federal Complex at the northernmost entrance (Gate 9) and continue on the circular drive to Building 4205, the Washington National Records Center. Free visitor parking for training class attendees is available; however all cars must be registered at the guard's desk in the entrance lobby.

National Archives and Records Administration
Records Management

Bimonthly Records and Information Discussion Group (BRIDG)

10:00 a.m. - 12:00 p.m., June 21, 1999
Room 105, National Archives Building, Washington, DC

TOPIC: NARA's Scheduling and Appraisal Business Process Reinvention Project

About 30 people attended the June 21, 1999, BRIDG meeting to discuss NARA's Business Process Reinvention (BPR) Project to study the process of scheduling and appraising Federal records. After Michael Miller, NARA's BPR Project Director, provided an overview of the project, two representatives from the Federal records management (RM) community shared their views on the need for changes to the scheduling and appraisal process. The BPR dialogue continued with a question and answer session and small group discussions.

The NARA BPR perspective

Michael L. Miller, the BPR Project Director, began by introducing members of the BPR project team that were in attendance: [REDACTED]

[REDACTED] have been detailed to work full time on the BPR project. The project should take 18 months to 2 years to complete.

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The project will look at all facets of NARA's current scheduling and appraisal process, examine basic policy issues, and review steps in records identification, appraisal, schedule development, and schedule approval. The project will consider dramatic improvements that could assist in meeting critical performance measures. The BPR Team will assess the application of enabling technology, where appropriate, to support processes.

The BPR is a high priority project for NARA. Top-level management support, considerable resources, and dedicated staff have been committed to the project. Miller noted that various people may hold different, and sometimes competing, expectations regarding the outcome of this project, so open, honest, and continuous communication will be especially important, and encouraged, on this project.

Records Management Community perspectives

Two members of the Federal records management community made remarks. The first person expressed his personal opinions regarding the BPR project including the hope that NARA will stop scheduling records based on media, start showcasing best practices for other agencies to use in the scheduling process, and recognize that agencies should have authority, and ultimately responsibility, for their own records. He also hoped that the BPR would be a springboard for a more inclusive, government-wide approach to records management and a catalyst for change in NARA's culture.

The second person stated that NARA should 1) recognize existing agency competencies, 2) give agencies delegated or expedited disposition authority based on those competencies, 3) concentrate more effort on validating agencies RM programs and less on records series, and 4) emphasize NARA's role as a knowledge center rather than regulatory body.

The Question and Answer Session

- One participant felt that the current mechanism for resolving problems with submitted schedules was inadequate.

- Someone asked if NARA had identified electronic records management vendors as a stakeholder community and source of information.
- Another person asked about the possible BPR support contract and its time table.

Several questions revolved around keeping the RM community informed. Miller noted that in addition to informational meetings, such as this BRIDG meeting, the BPR team has its own e-mail address (scheduling_bpr@arch2.nara.gov) and will have a web page on the NARA site. Other communication channels recommended by the RM community would be considered.

One question noted that no Agency Records Officers were serving on the project. Miller explained that three of the team members had served in Federal agencies records management programs, two members of the team were former Agency Records Officers, and that the opinions and needs of the RM community would be gathered and collated in a systematic manner. Focus groups, interviews, and questionnaires were but a few of the information gathering tools the BPR team had already identified. Miller reiterated that the team would entertain ideas on other methods as well.

The BRIDG group discussions

The BRIDG meeting participants broke up into four smaller groups, each with one of the BPR team members, to discuss the BPR and six questions posed by Miller. The questions served as a starting point for the group discussions. Some of the opinions and ideas expressed by records officers during the discussions include the following:

1. What would you most want the BPR to accomplish?

- NARA should revisit the legal definition of records. It should be briefer and clearer.
- What information does NARA actually need on the SF-115? Focus on the content, not the form.
- NARA should develop guidelines on what an agency will need to create, purchase, or implement an electronic record keeping system. The guidelines and systems should be tied to scheduling records. Some records officers are worried that NARA will require electronic record keeping, others think that's exactly what NARA should do. [NARA is developing advice on electronic recordkeeping systems through its Fast Track project.
- The Archivist should delegate the disposal authority for temporary records.

2. What worries you the most?

- Records officers are worried that the BPR will put work back on agencies lacking the knowledge, tools, and resources to handle the workload.
- Records officers are worried that the BPR will be overtaken by events. Due to advances in technology, changes occur with great frequency in Federal offices and it will be a different world after NARA takes 5 years to re-engineer.
- Records officers are worried that the project will not meet its goals.
- Records officers worried about "change blockers" within NARA who would resist or prevent implementation of the recommendations.

3. What should we try to achieve?

- NARA should use retention bands classes for three types of records: 1) long-term, temporary records 2) short-term, temporary records 3) permanent records. Let agencies worry about the first two, and NARA should only worry about permanent records.
- NARA should develop a training program for certifying agency RM programs and officers. If agencies were certified as competent in records management, NARA could streamline the scheduling process for those agencies and focus on assistance efforts with the remaining, uncertified agencies.
- NARA should have a different process for new, continually-created records series than it does for old records found in an office requiring a one-time disposition schedule.
- NARA should move toward being able to effectively and quickly approve schedules on electronic records, web pages, systems, e-mail, and databases.
- Once a records schedule is submitted to NARA, record officers should be able to track it to find out exactly where and what is happening with it.

4. What should we try to preserve? (What's working well now?)

- Though NARA should streamline the schedule review process, it should not eliminate the scheduling process because it helps records officers raise their programs' profile and records management awareness.
- NARA should develop a one-on-one client focus. The comments were unanimous about being pleased with the NARA liaisons. The words used to describe the NARA appraisal archivists they worked with were "accessible", "people/client-oriented", and "knowledgeable".

5. What should we try to avoid?

- Records officers are concerned that changes in agency processes due to 99-04 will have to be changed again due to the BPR's recommendations.

6. How should we involve you in the future?

- NARA should develop a Frequently Asked Questions (FAQ) for the BPR web site to answer questions most records officers have or will have as the project develops.
- Separately from the BPR, there was continued interest in NARA hosting a listserv for records officers to discuss topic of interest among themselves and to keep updated on various RM projects.

Conclusion

Miller thanked everyone for coming and for being willing to participate in the BPR process. For those who missed the session or wish to make additional comments, e-mail messages may be sent to scheduling.bpr@arch2.nara.gov or made by phone to [redacted] at [redacted]

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[Top of Page](#)
[Records Management Home](#)

National Archives and Records Administration home page
URL: <http://www.nara.gov/records/br062199.html>
webmaster@nara.gov
Last updated August 19, 1999

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 17, 1999

NWM 20.99

MEMORANDUM TO AGENCY RECORDS OFFICERS: Pending regulation on agency records centers

The September 15 *Federal Register* contained an Initial Regulatory Flexibility Analysis relating to the proposed Agency Records Centers regulation in the *Federal Register* for public comment. NARA developed this Analysis in response to comments received on the proposed regulation. A copy of the *Federal Register* notice is posted on NARA's web site at <http://www.nara.gov/nara/pubcom.html>.

We welcome your comments on the Analysis. In particular, if your agency has contracts with private sector records centers, we ask that you send the following information to the NARA Regulation Comment Desk to assist us in evaluating the impact of the proposed rule on small businesses.

- Is your contract with a large or small business records center? and Iron Mountain are considered large businesses.)
- Approximately how many cubic feet of your agency's records are stored in commercial records centers? If you use more than one center, it would be helpful to know approximately how many cubic feet are in each center or the range in size of holdings.

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By October 15, please send any comments to Regulation Comment Desk (NPOL), Room 4100, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. Alternatively, comments may be faxed to

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Thank you for your cooperation in this matter.

Marie B. Allen

MARIE B. ALLEN
Director
Life Cycle Management Division

66F-HQ-C1190059-104

*National Archives and
Records Administration*

Washington, DC 20408

NARA BULLETIN

NO. 99-05

September 24, 1999

TO: Heads of Federal Agencies

SUBJECT: Disposition of electronic records (NARA Bulletin 98-02)

EXPIRATION DATE: October 1, 2001

1. What does this bulletin do? This bulletin notifies agencies to continue to submit records schedules covering new or revised series to NARA using the procedures established by NARA Bulletin 98-02. It also reminds agencies of their general recordkeeping responsibilities.

2. What are the procedures for submitting records schedules for new or revised series? New and revised items on SF 115s, Request for Records Disposition Authority, submitted for NARA approval must include provision for the disposition of both the copy of a record that resides on electronic mail or other office automation application, and the copy maintained in the recordkeeping system:

a. When new and revised items include records generated on office automation applications, the description on the proposed schedule should indicate that records were generated using office automation, AND


b. For each such item the proposed schedule should provide separate disposition instructions for the recordkeeping system described in the schedule and for the electronic copy created by the office automation application.

3. What are agency recordkeeping responsibilities? NARA regulations in 36 CFR ch. XII, Subchapter B provide guidance and requirements on recordkeeping policies and practices to assist agencies in ensuring adequate and proper documentation of agency activities. To support operational needs, protect rights, and allow accountability, agencies must create and preserve complete records in designated recordkeeping systems.

a. To ensure complete documentation, records (including those generated electronically with office automation applications) should include proper identification of originators and recipients, appropriate dates, and any other information needed by the agency to meet its business needs. Records generated with an office automation application must be copied to a recordkeeping system where they will be maintained as long as they are needed by the Government.

b. Proper recordkeeping systems organize or index records to provide context and to allow appropriate staff access to all records relating to a specific transaction, project, study, or subject. Recordkeeping systems may be in paper, micrographic, or electronic format.

4. Who do I contact for further information? Address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.


JOHN W. CARLIN
Archivist of the United States

66F-HQ-C1190059-105

**Join us for Federal Government Day at ARMA 1999 in Cincinnati
Tuesday, October 19, 1999, 9:00 am -4:00 pm**

Regal Hotel Cincinnati Conference Room

Records management is a critical issue today as automated work processes expand within Federal agencies. Automation is producing an ever growing volume of electronic records that the government must manage to meet business needs, ensure accountability, and provide for appropriate public access. For records with long term or permanent value, it is vital to provide for their preservation in a manner that enables ongoing retrieval, access, and interpretation. The National Archives and Records Administration (NARA), in partnership with all Federal agencies, is working to develop the strategies and tools needed to meet these challenges.

Come to ARMA Federal Government Day to learn the latest about the latest Federal records management issues, options, and solutions. Topics will include:

NARA Bulletin 99-04: Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)

Insight into future records management directions

Business Process Reengineering the records appraisal and scheduling function

NARA Fast Track Electronic Records Guidance Project

Targeted agency assistance

Registration for the one-day ARMA Federal Government Day workshop is included in ARMA Cincinnati Conference registration.

Plan to Attend "ARMA Federal Government Day 1999" in Cincinnati on October 19, 1999 and prepare to position yourself and your agency for success in the new century!

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NOV 2 1999

Mr. Dennis R. Weaver
Section Chief
Information Management Section
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

Dear Mr. Weaver:

Representatives of the National Archives and Records Administration, the FBI, and the Department of Justice have been working together for several months to develop a plan for the declassification of FBI records and transfer of the records to the National Archives. On October 22 members of the staff of the Office of Records Services met with representatives of the FBI and the Department of Justice to discuss declassification priorities, accessioning practices, and the records disposition schedule for FBI records. This letter is a follow-up to that meeting and provides information that the FBI and DOJ participants requested.

We were asked to provide a list of FBI case file classifications that our researchers have expressed the most interest in. We were also asked if we would accession records prior to their being eligible for transfer according to the FBI's records disposition schedule. This early accessioning would be in accordance with the terms of the 1995 Memorandum of Understanding signed by the Director of the Information Security Oversight Office and the Attorney General concerning Executive Order 12958.

I have enclosed a list that identifies the classes of FBI case files that are most frequently requested by researchers. I have also enclosed a list of classes that have been accessioned by the National Archives. We would appreciate any efforts the FBI can make to give the most frequently requested records a high priority for declassification review, particularly those from the earlier date periods.

We will be happy to accession records as they are declassified. Please be aware, however, that accessioning will not necessarily mean immediate public access. Over the course of the next year we will be transferring into the National Archives approximately 300,000 cubic feet of records from the Washington National Records Center in Suitland, Maryland. This huge influx of accessions will divert many of our resources so we may not be able to process fully the FBI records that come to us for several months. Nevertheless, we will continue to work closely with the FBI to ensure that the declassified records are brought into our custody as soon as they are offered.

Another topic that was discussed on October 22 was the relationship between the FBI records disposition schedule and the 1995 Memorandum of Understanding concerning EO 12958. The MOU

66F-HQ-C1190059-106

mandates the transfer of records to NARA 25 years after close of case, while the FBI records disposition schedule specifies different dates of transfer. Depending on the classification, the schedule requires that FBI records be transferred when they are 30 or 50 years old.

As you know, the Bureau's records disposal program came under intense judicial scrutiny in 1980-81 when both the FBI and NARA were defendants in *American Friends Service Committee, et al., v. William H. Webster, et al.* Under federal court order, a special NARA task force developed a comprehensive records schedule for FBI Headquarters and field office records which the court approved in November 1981. The Bureau has been using the 1981 schedule for records disposal authority; however, that document is now almost 20 years old and needs revision. The FBI's records schedule does not reflect current FBI records management practices. For example, the FBI has eliminated the creation of FBI Headquarters case file and is using the Automated Case Support (ACS) system, an electronic system, to create case files.

One approach to reconcile the different transfer instructions of the MOU and the schedule is for NARA and the FBI to work in partnership on a project to update the FBI's records schedule effective Oct. 1, 2001. NARA has recently initiated a targeted assistance program to help agencies with their critical records management needs. Although all projects have already been selected for FY2000, the FBI could apply for assistance with the updating of the schedule for consideration as an FY2001 targeted assistance project. Appraisal archivist [redacted] can advise you on the format and requirements for submitting such applications.

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Meanwhile, we encourage you, where practicable, to review the high priority classes in accordance with the terms of the MOU and to transfer these records at 25 years.

I commend the FBI for expediting the transfer of records to NARA and look forward to working closely with you and your staff when we update the FBI records schedule.

Sincerely,

[redacted signature box]

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Assistant Archivist for
Records Services – Washington, DC

Enclosures

FBI Records Accessioned by the National Archives

Class	Title	Dates	Comments
1	National Academy Matters	1935-41	HQ and FO
7	Kidnapping	1932-37	HQ
15	Theft from Interstate Shipment	1920-67	HQ and FO
25	Selective Service Act	1922-67	HQ and FO
26	Interstate Transportation of Stolen Motor Vehicles and Stolen Aircraft	1931-63	HQ and FO
32	Fingerprint Matters (Federal Building Sites)	1923-41	HQ and FO
34	Lacy Act	1921-43	HQ
35	Civil Service	1921-43	HQ
36	Mail Fraud	1921-49	HQ
38	Naturalization Matters (Application for Pardon to Restore Civil Rights)	1921-35	HQ
42	Deserter; Deserter Hoarding	1920-60	HQ and FO
44	Civil Rights	1951-55	HQ
61	Treason	1921-36	HQ
87	Interstate Transportation of Stolen Property	1934-40	HQ and FO
88	Unlawful Flight to Avoid Prosecution	1938-52	HQ and FO
91	Bank Robbery	1931-66	HQ and FO
95	Laboratory Examinations	1937-40	HQ
100	Domestic Security	1942-76	HQ and FO
176	Anti-Riot Law	1968-71	HQ and FO

Plus

Miscellaneous Classes/case files relating to World War II

Special Cases: MLK, Hobson, CISPES, JFK

Classes recommended as priorities for 25-year declassification review and transfer to NARA:

1. Continuations of classes already accessioned:

44--Civil Rights 1959-75
61--Treason 1937-75
176--Anti-Riot Law 1972-75

2. Additional classes

157--Civil Unrest 1959-75
173--Civil Rights of 1964 1964-75
65---Espionage 1920's-1975
105---Foreign Counterintelligence 1938-75
74---Perjury 1924-75
92---Racketeering Enterprise Investigations 1936-75

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 2, 1999

NWM 03.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Records Center Regulations

The final rules on Agency Records Centers and Storage of Federal Records were published in the December 2, 1999, *Federal Register* at Part II. The regulations go into effect on January 3, 2000, except for three provisions in the Agency Records Centers rule for which additional comment is invited. You can view the regulations electronically from the link in the document http://www.access.gpo.gov/su_docs/fedreg/a991202c.html. The Agency Records Center final rule and request for comment is also available electronically at <http://www.nara.gov/nara/pubcom.html>.

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-107

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 30, 1999

NWM 02.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Five Fast Track Guidance Products Now Available

We are pleased to announce that the first five Fast Track products have been posted to the NARA Records Management web page at <http://www.nara.gov/records/fastrak/ftprod.html>. The first round of Fast Track products focused on producing brief documents and checklists that may be used by Agency Records Officers to answer strategic questions asked by CIOs or IT personnel regarding electronic records management and recordkeeping.

The completed products are:

- Context for Electronic Records Management
- What is Electronic Recordkeeping?
- Why Federal Agencies Need to Move toward Electronic Recordkeeping
- Preliminary Planning for Electronic Recordkeeping: Checklist for IT Staff
- Preliminary Planning for Electronic Recordkeeping: Checklist for RM Staff

After you have reviewed these products, we would welcome your comments and suggestions via email to fastrack@arch2.nara.gov or by fax to 301-713-6852. Please let us know how they could be improved or revised to assist you better. Comments received by February 4, 2000, will be used in our next update of these products.

I'd like to take this opportunity to thank all the members of the Fast Track Guidance Development Project for their hard work and insightful consideration of the issues to make these products possible.

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-108

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 5, 1999

NWM 01.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on December 7, 1999.

The Modern Records Programs of the National Archives and Records Administration (NARA) will host the next BRIDG meeting on December 7, 1999, from 10:00 a.m. to noon, in Room 105 of the National Archives Building, 7th and Pennsylvania Avenue, NW, Washington, DC. As an interim step until the records appraisal and scheduling reinvention project is completed, NARA intends to make interim improvements to our process for approving records schedules. The purpose of the meeting is to describe our plan and receive feedback from agency staff. The meeting will also include a discussion of the NARA "Best Practices in Records Management" awards, and provide information about the process through which a Federal agency can nominate all or a portion of its program for this award.

NARA proposes four target areas for interim improvements:

- (1) Improve the Management of Schedules Received by NARA
- (2) Improve Communications with Customers
- (3) Improve the Quality of Incoming Schedules
- (4) Identify Ways to Reduce the Scheduling Burden on Agencies and NARA

Specific questions and further information about the discussion will be posted one week before the meeting on NARA's records management web page at

<http://www.nara.gov/records/bridg.html>

Enrollment is limited to 60 participants. To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to on extension (or e-mail @arch2.nara.gov), no later than November 30, 1999.

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MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-109

NARA BULLETIN

NO. 2000-02

December 27, 1999

TO: Heads of Federal agencies

SUBJECT: Disposition of electronic copies; suspension of NARA Bulletin 99-04

EXPIRATION DATE: December 31, 2001

1. What is the purpose of this bulletin? This bulletin:

- Notifies you that NARA Bulletin 99-04, Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS), is suspended. That bulletin covered electronic copies that were created using word processing or electronic mail software that remain on the "live" computer system after the recordkeeping copy is produced. For agencies that have already submitted Bulletin 99-04 schedules or who still wish to submit such schedules, we will continue to process Standard Forms (SF) 115, Request for Disposition Authority, prepared in accordance with that bulletin, as outlined in paragraph 6 of this bulletin 2000-02.
- Clarifies when the GRS 20 disposition authority for electronic copies (items 13 and 14) may be used. GRS 20, items 13 and 14, which apply to word processing and electronic mail copies, may be used only for electronic copies of scheduled records, and only after a recordkeeping copy has been produced and filed in a recordkeeping system. See in particular paragraph 4 of this bulletin.
- Reminds you that NARA Bulletin 99-05, Disposition of electronic records (NARA Bulletin 98-02), issued on September 24, 1999, remains in effect. That bulletin states that new and revised items on SF 115s, Request for Records Disposition Authority, submitted for NARA approval must include provision for the disposition of both the copy of a record that resides on electronic mail or other office automation applications, and the recordkeeping copy maintained in the recordkeeping system.
- Informs you how NARA is further addressing GRS 20, items 13 and 14. See paragraph 2 of this bulletin.

Please read this entire bulletin carefully to ensure that you do not destroy electronic copies of records without appropriate disposition authority.

66F-HQ-C1190059-110

2. Why is NARA suspending Bulletin 99-04? Several factors were involved in our decision to suspend Bulletin 99-04:

- On August 6, 1999, a three-judge panel of the U.S. Court of Appeals for the District of Columbia unanimously upheld General Records Schedule 20 (GRS 20). We believe there may be better alternatives to GRS 20 for disposition authority for electronic copies of program records and expect to develop those alternatives as part of a comprehensive review of the policies and procedures for scheduling and appraisal of records in all formats. The Court decision provides the Government time to include electronic copies in this overall review. Our review may result in significant changes in the way that agencies schedule their records in the future. When we have completed this review, we will promulgate new guidance.
- Agency resources that would be expended to develop and submit schedules under Bulletin 99-04 are needed to schedule previously unscheduled records and to plan for the implementation of electronic recordkeeping. The Government Paperwork Elimination Act (GPEA), which takes effect in FY 2004, provides a strong impetus for agencies to develop the capability of managing records electronically for their full legal retention period. Under the GPEA (Pub. L. 105-277), by October 2003, agencies must give persons and entities that are required to maintain, submit, or disclose information to the Federal Government the option of doing so electronically when practicable as a substitute for paper, and to use electronic authentication (electronic signature) methods to verify the identity of the sender and the integrity of electronic content.

3. How long will the suspension period for Bulletin 99-04 last? When we complete our scheduling and appraisal review in FY 2001, we will evaluate whether Bulletin 99-04 should be revised or replaced with an alternative scheduling procedure.

4. What electronic copies of records are covered by GRS 20? GRS 20, items 13 and 14, authorize only the disposal of electronic copies of scheduled records, and only after a recordkeeping copy has been produced and filed in an electronic, paper or microform recordkeeping system. Scheduled records are those records that are covered by a NARA-approved agency records schedule or by a General Records Schedule.

5. What must I do to get disposition authority for electronic copies of unscheduled records? Follow the instructions in paragraph 2 of NARA Bulletin 99-05, Disposition of electronic records. You are reminded that agencies are required by 36 CFR 1222.20 and 1222.32 to periodically review their records schedules and by 36 CFR 1228.26 to submit schedules to NARA covering records of new or changed programs within one year of the implementation of the change.

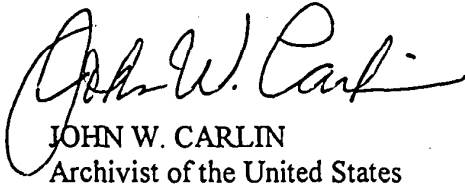
6. Can my agency still submit Bulletin 99-04 schedules?

a. Yes, NARA will accept and process SF 115 packages prepared in accordance with Bulletin 99-04, Attachment B, that are submitted after December 27, 1999. We also will continue to process Bulletin 99-04 schedules that were submitted prior to this date. We will continue to adhere to the deadlines for NARA action specified in paragraph 14a of Bulletin 99-04.

b. If you have not begun preparing Bulletin 99-04 schedules and intended to submit a plan on February 1, 2000, you do not have to submit either a plan or Bulletin 99-04 schedules.

7. Where can I get copies of NARA Bulletin 99-05 and GRS 20? Your agency records officer should have paper copies of NARA Bulletin 99-05 and GRS 20. These documents are also available electronically on the NARA web site. NARA Bulletin 99-05 is posted at <http://www.nara.gov/records/policy/b9905.html> and GRS 20 is posted at <http://ardor.nara.gov/grs/grs20.html>.

8. Who do I contact for further information? Your records officer should address questions to the NARA appraiser or NARA records analyst with whom your agency normally works. A list of the appraisal and scheduling work groups is posted at <http://www.nara.gov/records/comm/workgrp.html>.



JOHN W. CARLIN
Archivist of the United States

*National Archives and
Records Administration*

Washington, DC 20408

NARA BULLETIN
NO. 2000-01

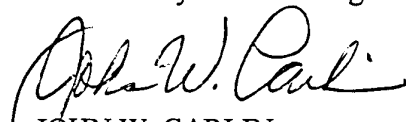
December 27, 1999

TO: Heads of Federal agencies

SUBJECT: Checklist of NARA bulletins

EXPIRATION DATE: September 30, 2000.

1. What is the purpose of this bulletin? This bulletin lists National Archives and Records Administration (NARA) bulletins that are in effect.
2. What are NARA bulletins? NARA bulletins contain guidance about records and information management subjects to help you comply with laws and regulations in these areas. You can find more information about NARA's records and information management regulations in Chapter XII of Title 36 of the Code of Federal Regulations.
3. How can I get more information about NARA bulletins? For more information about specific NARA bulletins, call the Modern Records Programs at 301-713-7110 or send your question to <records.mgt@arch2.nara.gov>.
4. How do I obtain copies of NARA bulletins?
 - a. Paper copies. We send paper copies of our bulletins to the heads of Federal agencies and to Federal agency records officer. You can obtain additional paper copies at a discount from the Government Printing Office (GPO) by submitting a requisition to the GPO at the beginning of each fiscal year.
 - b. Electronic copies. We post all NARA bulletins on the NARA web site at <<http://www.nara.gov/records/index.html>>.
5. How do I correct any mistakes in the mailing address? To correct the mailing address for the head of your Federal agency, call 301-713-7360.


JOHN W. CARLIN
Archivist of the United States

66F-HQ-C1190059-111

The following NARA bulletins remain in effect:

<u>Bulletin Number and Title</u>	<u>Issued</u>	<u>Expires</u>
95-03 Government Information Locator Service	02/16/1995	Unlimited
99-02 Withdrawal of General Records Schedule (GRS) 22, Inspector General Records	12/21/1998	12/31/2000
99-03 Changes in disposition procedures at NARA's records center facilities	02/24/1999	02/28/2001
99-04 Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)	03/25/1999	Suspended by NARA Bulletin 2000-02
99-05 Disposition of electronic records (NARA Bulletin 98-02)	09/24/1999	10/01/2001

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 03/15/2002

Date: 03/13/2002

To: Information Resources

Attn: ✓ William Hooton
FBI Records Officer

From: Las Vegas
Legal Unit

Contact: CDC [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

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Case ID #: 66F-HQ-C1190059-189
265D-NY-280350-LV-3738 (Pending)
LV 197-0-456

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 09/11/2001

Synopsis: To notify FBIHQ that no Las Vegas materials pertaining to the 09/11/2001 attacks have been altered, deleted or destroyed.

Administrative: Re EC from the Office of the General Counsel to All Divisions dated 03/04/2002 and captioned as above.

Details: Referenced EC requested that field offices notify Records Officer William Hooton of any alteration, deletion, or destruction of material relating to the 09/11/2001 attacks.

Las Vegas has not altered, deleted or destroyed any material relating to the 09/11/2001 attacks.

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RHD-3

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/13/2002

To: Director's Office

Attn: Office of the General Counsel
Deputy General Counsel
Patrick W. Kelley
FBI Records Officer
AD William Hooton

From: Baltimore
SS

Contact: [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

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b7C

Case ID #: 66F-HQ-C1190059 - 191
265- NY-280350 BA-8424
66F-BA-101852 - 1

Title: PRESERVATION OF RECORDS
PERTAINING TO THE ATTACKS OF
9/11/2001

Synopsis: To advise the FBI Records Officer of the retention and preservation of all hardware, software, electronic media, or communications including e-mail, documents, agency records and/or other material of any type, including communications of any type to and from other Government agencies, that may relate to the attacks of September 11, 2001. Also, to report the previous alteration, deletion, or destruction of material or information.

Administrative: Re Bureau EC to All Divisions dated 3/4/02, captioned as above, and AO [Redacted] telephone calls to SSA [Redacted] and FBI Records Officer, AD William Hooton on 3/12/02.

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Details: This EC is to advise that the Baltimore Division will retain and preserve any and all hardware, software, electronic media, or communications including e-mail, document, agency records and/or other materials of any type, including communications of any type to and from other Government agencies that may relate to the attacks of September 11, 2001, that we now have and will have in the future. Baltimore has implemented a procedure in which all personnel will be reminded of this policy semi-annually, and that the preservation of all records outlined above is mandatory.

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RMD-55

To: Director's Office From: Baltimore
Re: 66F-HQ-C1190059 03/13/2002

Furthermore, the Baltimore Division has determined that there has been no alteration, deletion, or destruction of such material related to the attacks of September 11, 2001.

To: Director's Office From: Baltimore
Re: 66F-HQ-C1190058 03/13/2002

LEAD(s):

Set Lead 1:

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and Clear.

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 03/15/2002

Date: 03/15/2002

To: Director's Office

Attn: Office of General Counsel
Deputy General Counsel
P.W. Kell y, Room 7176
AD William Hooton, Rm 10134

Information Resources

From: New Haven

Contact: SSA [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059-194
66F-NH-A39570

87

b6
b7C

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: New Haven's response to directive regarding the
preservation of records pertaining to the attacks of 9/11/01.

Reference: 66F-HQ-C1190059 Serial 181

Details: Per request in referenced EC, all New Haven personnel
were directed by E-mail, dated 3/14/02, to retain any and all
records relating to the attacks of 9/11/01, to include all
hardware, software, electronic media, or communications including
e-mail, documents, agency records and/or materials of any type,
to include communications to or from other Government agencies.
Employees were also requested to advise SAC, New Haven, of the
destruction of any of the records described above.

New Haven acknowledges that documents, electronic
messages and certain other forms of Bureau paperwork produced in
the regular course of business were not all retained prior to the
date of referenced EC. Further, New Haven believes those records
are the type which would not have been retained under existing
Bureau policy, i.e. informal e-mails, notes taken during
interoffice and intra office briefings, duplicate copies of
Bureau documents, and documents replaced (via Permanent Charge
Out) in ACS due to errors in the initial original document. New
Haven deems that these records cannot be recreated, but
emphasizes those records were not maintained per general
operating procedures.

RWDS

To: Director's Office From: New Haven
Re: 66F-HQ-C1190059 03/15/2002

No alteration, deletion or destruction of described material or information was conducted by New Haven, other than previously described.

To: Director's Office From: New Haven
Re: 66F-HQ-C1190059 03/15/2002

LEAD(s):

Set Lead 1: (Adm)

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and clear.

Set Lead 2: (Adm)

INFORMATION RESOURCES

AT WASHINGTON, DC

Read and clear.

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/15/2002

To: Information Resources

Attn: FBI Records Officer
William Hooton
Room 10143

From: Pittsburgh
Squad 1 - Chief Division Counsel (CDC)

Contact: [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

b6
b7C

Case ID #: 66F-HQ-C1190059 (Pending) -196

Title: PRESERVATION OF RECORDS
PERTAINING TO THE ATTACKS
OF 09/11/2001

Synopsis: This communication reports:

- 1) the Pittsburgh Division took steps to preserve records pertaining to the attacks of 09/11/2001; and
- 2) several instances in which records relating to 9/11 were lost or destroyed.

Administrative: Reference is made to the 03/04/2002 electronic communication (EC) from the Director's Office.

Details: The referenced EC directed all divisions to take steps to preserve records pertaining to the attacks of 09/11/2001, and directed all divisions to report any previous alteration, deletion, or destruction of such records to the FBI Records Officer.

By EC dated 03/08/2002, all Pittsburgh Division supervisors were directed to take steps to preserve records pertaining to the attacks of 09/11/2001.

Each Pittsburgh employee was canvassed to determine if any records pertaining to the attacks of 9/11/2001 were altered, deleted, or destroyed. The findings of this canvass are as follows:

10143
RMD-54

To: Information Resources From: Pittsburgh
Re: 66F-HQ-C1190059 03/15/2002

1) Unless archived by the individual employee, or unless an individual employee's system was pre-set to archive, all e-mail communications are automatically deleted and purged by the Pittsburgh Division e-mail server.

2) The original notes from an interview with [redacted] a telephone caller, were placed in a 1A envelope. The 1A envelope was lost in transit. This loss was documented, and copies of the original notes were submitted.

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b7C

3) ASAC Roland Corvington worked at the command post at the United Airlines Flight 93 crash site in Somerset. He reported that he destroyed his command post notes and documents after he no longer needed them.

4) SSA [redacted] worked at the command post at the United Airlines Flight 93 crash site in Somerset. He reported that he destroyed his command post notes after he no longer needed them.

5) The original document containing subscriber information from Cellco Partnership, dba Verizon Wireless, for telephone number [redacted] was lost. But pertinent information concerning this matter was relayed to the New York Office before the document was found to be missing.

To: Information Resources From: Pittsburgh
Re: 66F-HQ-C1190059 03/15/2002

LEAD(s) :

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

For information. Read and clear.

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/15/2002

To: Records Management

Attn: AD William Hooton, Rm 10143

From: Portland

Contact: [Redacted]

b6
b7C

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059-198

Title: PRESERVATION OF RECORDS PERTAINING TO ATTACKS OF 9/11/2002

Synopsis: All Portland employees notified of requirement to retain records pertaining to 9/11/2001 attacks.

Reference: 66F-HQ-C1190059 Serial 181

Details: The Portland Field Office notified its employees that two Congressional intelligence committees recently asked the Attorney General to preserve and retain all records pertaining to the events surrounding the 9/11/2001 terrorist attacks.

The referenced EC also asked Divisions to report instances where records pertinent to 9/11/2001 have been previously "altered, deleted, or destroyed." Portland has not, at the time of the deadline, received a report from any employee noting that documents pertaining to 9/11/2002 have been destroyed. Portland notes, however, that in the ordinary course of business, E-mail messages deleted by individual employees are backed up nightly and the tape retained for thirty days, at which time it is purged. It is quite possible that some individual E-mail messages pertaining to 9/11/2002 have been deleted by employees months ago and yet no record remains and the employee does not remember the pertinent message.

Since the language in the referenced EC is so broad and all encompassing, Portland requests that FBIHQ provide clearer and more detailed instructions addressing all the different formats in which official information regarding 9/11/2001 can be held.

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RMD-7

FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 03/15/2002

Date: 03/15/2002

To: Records Management

Attn: Mr. Hooton

From: Inspection
AEAS/Rm 7648

Contact: Kevin L. Perkins, x [redacted]

Approved By: OConnor John P. [signature]
Locke Thomas Bernard [signature]
Perkins Kevin L. [signature]

[handwritten mark]

b2
b6
b7c

Drafted By: [redacted]

Case ID #: 66F-HQ-1245493 - 326
66F-HQ-C1190059 - 202

Title: PRESERVATION OF RECORDS PERTAINING
TO THE ATTACKS OF 09/11/2001

Synopsis: The Inspection Division (INSD) has taken steps to retain and preserve all material that may relate to the attacks of 09/11/2001 and at this time has not identified any original information or material that has been previously altered, deleted or destroyed.

Reference: 66F-HQ-C1190059 Serial 181

Details: In response to the referenced EC, the INSD initiated a division wide canvas of all personnel requesting that steps be taken to thoroughly inspect all work areas and to identify any and all material that pertains to the attacks of 09/11/2001. Once identified, INSD staff are taking steps to retain the information.

Additionally, a request was made to identify whether any 09/11 related material had been altered, deleted or destroyed. The routine destruction and deletion of information that was not original in nature, such as working copies and email received/sent during the investigation, was common and took place on a regular basis, but was not considered to apply to this request.

To date, no personnel assigned to the INSD have reported the alteration, deletion, or destruction of any original material pertaining to the referenced event other than the routine deletion of email or draft copies of original documents, hard copy and electronic, received or generated during the

RMD-11

To: Records Management From: Inspection
Re: 66F-HQ-1245493, 03/15/2002

investigation. Additionally, no original documents dealing with the investigation have been located and identified for retention by any INSD personnel.

At this time, the INSD is actively engaged in field office inspections. Personnel assigned to these inspections have been unavailable to comply with the directive to inspect their work area and therefore the INSD can not certify at this time that there has been no alteration, destruction, or deletion of original material. As these personnel return from inspection travel status over the next two weeks and, are able to completely inspect their work areas, the INSD will issue a communication with the results.

To: Records Management From: Inspection
Re: 66F-HQ-1245493 03/15/2002

LEAD(s) :

Set Lead 1: (Adm)

RECORDS MANAGEMENT

AT WASHINGTON DC

Read and clear

CC: Mr. O'Connor
Mr. Locke
Mr. Hulon
Mr. Perkins
Each INSD Unit Chief

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/13/2002

To: Records Management

Attn: FBI Records Officer,
AD William Hooton

From: Buffalo
Squad 1/Legal Unit

Contact: [Redacted]

Approved By: Ahearn Peter J
Borgia Stanley J. [Signature]

[Redacted]

b6
b7C

[Signature]

Drafted By:

Case ID #: 66F-HQ-C1190059-213
66F-BF-34029-237

Title: PRESERVATION OF RECORDS PERTAINING TO
ATTACKS OF 09/11/2001

Synopsis: This EC is to inform the Office of the General Counsel of the preservation of documents by the Buffalo Division.

Reference: 66F-HQ-C1190059 Serial 181

Details: The Buffalo Division disseminated the referenced Electronic Communication to all Division personnel via e-mail and legal conference, informing them of the necessity to preserve records as outlined in the referenced communication.

The Buffalo Division has, and will continue to preserve all documentation relating to the attacks of 09/11/2001 as outlined in the referenced communication. It has not altered, deleted or destroyed any such material.

RHD-16

To: Records Management From: Buffalo
Re: 66F-HQ-C1190059, 03/13/2002

LEAD(s) :

Set Lead 1: (Adm)

RECORDS MANAGEMENT

AT WASHINGTON, DC

For information only. Please read and clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/15/2002

To: Information Resources

Attn: AD William Hooton

From: Washington Field

Approved By: Harp Van A

Drafted By:



b6
b7C

87

Case ID #: 66F-HQ-C1190059 -207

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: To report information from WFO relative to the retention/destruction of records relating to the attacks of 9/11/2001.

Reference: 66F-HQ-HQ-C1190059 Serial 181

Details: Referenced communication advised all offices that all material and information within the scope of a request set forth by Congressional Committees should be preserved for potential production. Any previous alteration, deletion, or destruction of such material or information was to be reported to FBIHQ.

WFO reports that all "records" as defined within the FBI Records system have been preserved as appropriate.

WFO reports the potential deletion of some information that was not previously required to be preserved within the FBI system of records:

- non-archived e-mail;
- command post notes which generated filed and retained Rapid Start sheets;
- hard drives of desk top computers recently replaced during "Trilogy";
- superceded Powerpoint presentations were deleted to save diskette and/or drive space.

WFO has advised all employees of the current non-destruction/alteration policy for records and all other non-record "material and information."

RMD-8

To: Information Resources From: Washington Field
Re: 66F-HQ-C1190059- 03/15/2002

CC: 2 - FBIHQ
4 - WFO

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/14/2002

To: Director's Office

Attn: AD William Hooten

From: Los Angeles

CDC

Contact: ADC [REDACTED]

b6
b7C

Approved By: [REDACTED]

Drafted By: [REDACTED]

Case ID #: 66F-HQ-C1190059 (Pending)

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 09/11/2001

Synopsis: Report of deletion of emails possible pertinent to Congressional request.

Reference: 66F-HQ-C1190059 Serial 181

Details: In response to the direction provided by referenced E.C., all FBI Los Angeles employees have been advised through email and by their supervisors that all documents, records and materials related to the attacks of 9/11/2001 are to be maintained indefinitely.

It has come to FBILA's attention that an unknown number of emails with unknown contents which were possibly responsive to this request have been routinely deleted since 09/11/2001. All email currently on the system and those which were deleted during the prior 30 days have been preserved. All additional email created in the future will also be preserved indefinitely.

Please contact ADC [REDACTED]
with any questions or concerns regarding this matter.

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b7C

To: Director's Office From: Los Angeles
Re: 66F-HQ-C1190059 03/14/2002

LEAD(s) :

Set Lead 1: (Adm)

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/18/2002

To: Director's Office

Attn: Dep. Gen. Counsel P.W. Kelley
Office of General Counsel

Information Resources

AD William Hooten
FBI Records Officer

From: Albany

Squad 1

Contact: CDC

[Redacted]

WR

Approved By:

[Redacted]

b6
b7C

Drafted By:

Case ID #: 66F-HQ-C1190059 -219

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: Albany Division employees have been advised to take immediate steps to retain and preserve all records pertaining to the attacks of September 11, 2001. No information has developed suggesting that any such records have been altered, deleted, or destroyed.

Details: On 03/15/2002, a priority e-mail was sent to all Albany Division employees. The e-mail advised employees of the Attorney General's request and the nature of the Senate and House Committees' inquiry. The e-mail instructed all employees to preserve all records pertaining to the terrorist attacks of 09/11/2001. Employees were instructed to retain all records, whether or not they constitute records as defined under Federal law. Computer Specialists were instructed to take appropriate steps to ensure the preservation of GroupWise and other electronic media. Employees were also asked to contact the Chief Division Counsel (CDC) if any records regarding the 09/11/2001 attacks had been altered, deleted, or destroyed. To date, no information has developed suggesting that any records, even records not required to be retained by Federal law, have been altered, deleted or destroyed. If any information develops suggesting the contrary, FBIHQ, Office of General Counsel; and FBI Records Officer, AD William Hooten, will be notified immediately.

RMD-15

To: Director's Office From: Albany
Re: 66F-HQ-C1190059, 03/18/2002

LEAD(s):

Set Lead 1: (Adm)

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/20/2002

To: General Counsel

Attn: AD William Hooton
Records Officer

From: Butte ITC

Contact: [REDACTED]

b6
b7c

Approved By: [REDACTED]

Drafted By: [REDACTED]



Case ID #: 66F-HQ-C1190059 - 220

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: Response re 9/11/2001 materials.

Reference: 66F-HQ-C1190059 Serial 181

Details: Referenced EC instructed all receiving offices to retain and preserve all hardware, software, electronic media, or communications, including E-Mail, documents, agency records and/or other materials of any type to or from other Government agencies, that may relate to the attacks of 9/11/2001. For information, the Butte ITC has not altered, deleted, or destroyed any material or information pertaining to this matter.

240-17

To: General Counsel From: Butte ITC
Re: 66F-HQ-C1190059 03/20/2002

LEAD(s) :

Set Lead 1: (Adm)

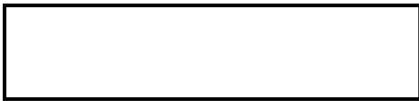
GENERAL COUNSEL

AT WASHINGTON, DC

For information. Read and clear.

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1 -



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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/22/2002

To: Information Resources

Attn: AD William Hooton

From: Oklahoma City

SAC

Contact: [Redacted]

Ext. [Redacted]

b6
b7c

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059-224 (None)

Title: PRESERVATION OF RECORDS
ATTACKS OF SEPTEMBER 11, 2001

Synopsis: To request an extension to report any alteration, deletion or destruction of records pertaining to the attacks of September 11, 2001.

Details: Pursuant to Director's Office E.C. dated 3/4/2002 Oklahoma City took immediate steps to retain and preserve all records relating to the attacks of September 11, 2001.

In light of ongoing Trilogy installation and mandatory inspection deadlines for upcoming Inspection, Oklahoma City requests an extension in reporting the alteration, deletion or destruction of the requested records until April 1, 2002 in order to review the responses from each employee.

To date, Oklahoma City has not identified the destruction, alteration or deletion of any records of substantial significance to the inquiry.

RMD-21

To: Information Resources From: Oklahoma City
Re: 66F-HQ-C1190059- 03/22/2002

LEAD(s) :

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

IRD is requested to grant an extension to Oklahoma City until April 1, 2002 to report the destruction, alteration or deletion of requested records.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 03/22/2002

To: Information Resources

Attn: AD William Hooton

From: CIRG

Rapid Deployment Logistics Unit (RDLU)

Contact: [Redacted]

Approved By: [Redacted]

b6
b7C

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059; 229
66F-IR-A5937; 138

Title: PRESERVATION OF RECORDS PERTAINING TO ATTACKS OF 09/11/2001

Synopsis: CIRG response to HQ inquiry regarding alteration, deletion, or destruction of material related to the 09/11/2001 terrorist attacks.

Reference: 66F-HQ-C1190059 Serial 181

Administrative: EC follow up to 03/11/2002 telcall between SSA [Redacted] and AD Hooton.

b6
b7C

Details: The RDLU is responsible to provide FBI field offices and LEGATS with Rapid Start Information Management System (RSIMS) support. This routinely includes the deployment of portable automation kits consisting of laptop computers, local area networking (LAN) equipment, servers, printers, scanners, copiers and Fax machines. This equipment may be shipped alone or accompanied by CIRG Case Information Management Specialists (CS) if requested.

During investigative operations the RSIMS LAN is utilized to process and analyze case specific information which is ultimately uploaded into the Automated Case Support (ACS) system. Each RSIMS record (FD-822) is electronically converted to EC format and becomes a serial in the appropriate case file.

All generated data resides on the deployed server, none is ever contained on the hard drive of the individual lap top computers. Upon completion of each mission a CIRG or field office CS makes a copy of the data base which is placed on a disk, CD or jaz drive and retained by the field office as a 1A

*uploaded
3/27/02
425*

RMD-28

To: Information Resources From: CIRG
Re: 66F-HQ-C1190059 03/22/2002

exhibit. Although each RSIMS record has been serialized into ACS, this electronic copy allows the field office to reactivate the LAN or continue to develop specific reports if required.

Once the deployed server is returned to the RDLU, any existing data base is deleted. No copy is retained at the CIRG. During the PENTTBOMB investigation CIRG equipment was utilized to support NYO and SF investigations. Upon verification that these offices had followed the above procedures, the associated data bases were deleted from the CIRG servers.

Additionally, it should be noted that during PENTTBOMB the RSIMS data bases generated by AT, BS, NYO and the Strategic Information Operations Center (SIOC) were placed onto an IRD server located at FBIHQ. Throughout the incident these individual files were updated on a daily basis. This procedure was discontinued on or about 12/12/2001. The ME field office data base was also placed onto the IRD server, but this was a single entry. A second version of the SIOC data base which included lead dispositions from the ACS serials was also added. These files currently remain on the IRD server which is controlled by Division 4.

During RSIMS support deployments no information is generated by the CIRG. It is the product of other field office investigative activities and retained within their records. Consequently, subsequent to referenced telcal with AD Hooton, the CIRG will continue the above procedures which are consistent with FBI record retention policies.

To: Information Resources From: CIRG
Re: 66F-HQ-C1190059 03/22/2002

LEAD(s) :

Set Lead 1: (Adm)

INFORMATION RESOURCES

AT WASHINGTON, DC

Read and clear.

CC: 1 - SSA
1 - SSA
1 - SCS



b6
b7C

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/29/2002

To: Information Resources

Attn: AD William Hooton

From: Oklahoma City

SAC

Contact:

[Redacted contact information]

Handwritten initials

Approved By:

[Redacted signature]

b6
b7C

Drafted By:

Case ID #: 66F-HQ-C1190059⁻²³¹ (None)
66-OC-63323

Title: PRESERVATION OF RECORDS
ATTACKS OF SEPTEMBER 11, 2001

Synopsis: To report the previous alteration, deletion or destruction of records pertaining to the attacks of September 11, 2001.

Reference: 66F-HQ-C1190059 Serial 181

Details: Pursuant to Director's Office E.C. dated 3/4/2002 Oklahoma City took immediate steps to retain and preserve all records relating to the attacks of September 11, 2001 and to notify all employees of their obligation to preserve any such records.

To date, several Oklahoma City employees reported that some e-mail messages pertaining to the attacks of September 11, 2001 had been deleted from their e-mail. The deletion of this e-mail occurred prior to notification of the Attorney General's preservation order. In addition, employees reported that work papers, work copies and drafts of documents had been destroyed in the normal course of business after final versions were completed and preserved in the appropriate file.

Other than documents referenced above, Oklahoma City has not identified the destruction, alteration or deletion of any records of significance to the inquiry.

RMD-57

To: Information Resources From: Oklahoma City
Re: 66F-HQ-C1190059 03/29/2002

LEAD(s):

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

Read and clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/26/2002

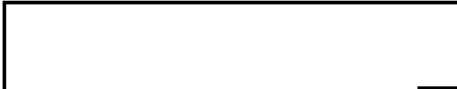
To: Director's Office

Attn: Office of General Counsel
Deputy General Counsel
Pat Kelley, Room 7176

Information Resources

AD William Hooton
Room 10134

From: Dallas
Squad 1
Contact:



Chief Division Counsel



b6
b7C

Approved By:



Drafted By:

Case ID #: 66F-HQ-C1190059 - 252 (Pending)

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: Dallas' response to the directive regarding the preservation of records pertaining to the attacks of 9/11/2001.

Reference: 66F-HQ-C1190059 Serial 181, and telcall to AD William Hooton, 3/25/2002.

Details: Referenced communication advised all offices that all material and information within the scope of a request set forth by Congressional Committees should be preserved for potential production. Any previous alteration, deletion, or destruction of such material or information was to be reported to FBIHQ.

All Dallas personnel were directed by E-mails to retain any and all records relating to the attacks of 9/11/2001, to include all hard drives, notes, e-mails etc. Dallas employees were also requested to immediately advise CDC Dallas if any such records were altered, deleted or destroyed.

Dallas reports that prior to receiving the Bureau's EC, some documents, electronic messages and other forms of Bureau paperwork produced in the regular course of business, were not retained. Dallas believes that these records contained either information that was not pertinent to the attacks of 9/11/2001, or information that was supported or based on information in other documents and/or records that have been preserved and maintained. It is believed that these particular records, e-

RMD-00

To: Office of General Counsel From: Dallas
Re: 66F-HQ-C1190059 (Pending)
03/26/2002

mails, and notes cannot be identified, retrieved or re-created, but were the type which would not have been retained under existing Bureau policy. In accordance with FBIHQ's instructions, Dallas notes the potential deletion of some information that was not previously required to be preserved within the FBI system of records. Examples of such deletions include the following:

- Non-archived e-mail. Deleted material sent to an employee's "trash" is automatically purged after seven days;
- b6
b7C ASAC Luis Fratacilli and SSA's [redacted] reported they destroyed hand written notes taken during the daily conference calls with FBIHQ when they were no longer needed;
- A number of Supervisors and members of various Penttbomb related projects [Names, American Airlines, Pilots, Sabre, Command Post personnel/Assignments], reported that they destroyed their personal hand written notes of interoffice and intra office meetings when they were no longer needed;
- As part of the conversion to TRILOGY, in the latter part of February 2002, 322 desk top computers (in Dallas) were replaced with new equipment. Computers for the Resident Agencies are expected to arrive in June 2002. The old computers will be sent to FBIHQ for destruction. Gentronics, a private company contracted by FBIHQ, was responsible for "stripping" the hard drives;
- b6
b7C On September 11, 2001, five computers in the Dallas Command Post (CP) were designated to input all Rapid Start information. These computers were also recently replaced as part of the TRILOGY project. However, each of the five hard drives were removed and are being maintained in a safe by Supervisory Computer Specialist [redacted] until further notice;
- A number of employees reported the destruction of duplicate copies of bureau documents to include ECs, 302's, and Rapid

To: Office of General Counsel From: Dallas
Re: 66F-HQ-C1190059 (Pending)
03/26/2002

Start Lead sheets, all of which have been uploaded into ACS.

- ASAC Edward Lueckenhoff was one of the On Scene Commanders of the Dallas CP. On a daily basis he made handwritten notes regarding conversations with others in the CP, as well as FBIHQ, and created "to do" lists. Many of the handwritten notes were discarded after the task was completed.
- Financial Analyst (FA) [redacted] reported he shredded numerous documents pertaining to "Silent Hit", reservation information received from the SABRE company reservation system. The documents included copies of "Silent Hit" FBI forms, copies of Passenger Name Records (PNR's) from SABRE and Access database reports pertaining to the silent hit forms. The "Silent Hit" information was loaded into an Access database and queried in several different ways to try to identify airline reservation connections among members on the FAA watch list. The documents were destroyed as they did not qualify as records under the Federal Records Act or Bureau retention policy. However, all information from SABRE has been uploaded into ACS.
b6
b7C
- SA [redacted] reported that he was working on a "Hotels" project and shredded a number of documents relating to the analysis of records received from Pegasus Solutions. The information was paper copies of data already stored on computer disks (which are presently maintained in Dallas' ELSUR). All information received was attached to EC's and forwarded to interested divisions.

CDC Dallas has advised all employees of the current non-destruction/alteration policy for records and all other non-record "material and information." Other than what has been described above, Dallas has not altered, deleted or destroyed any material relevant to the attacks of 9/11/2001.

To: Office of General Counsel From: Dallas
Re: 66F-HQ-C1190059 (Pending)
03/26/2002

LEADS (s):

Set Lead (1)

FBIHQ

AT OFFICE OF GENERAL COUNSEL

Read and Clear

Set Lead (2)

FBIHQ

INFORMATION RESOURCES

Read and Clear

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/14/2002

To: Director's Office

✓ Attn: AD William Hooton
FBI Records Officer

From: Denver

Legal Unit

Contact: Paralegal Specialist

Approved By:

Drafted By:

b6
b7C

Case ID #: 66F-HQ-C1190059-236
DN 197-0

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: To report preservation status of material or information pertaining to the attacks of 9/11/2001 per OGC directive.

Reference: 66F-HQ-C1190059 Serial 181

Details: Referenced EC has been transmitted to all Denver Division employees with instructions to preserve the described records.

Denver has canvassed the field office and is not aware of any deliberate or intentional alteration, deletion, or destruction of any information or materials that may relate to the attacks of 9/11/2001. All records generated by the Denver Division as a result of the investigation related to the events of 9/11/01 have been retained and preserved.

Denver notes that prior to receipt of the referenced EC, informal communications and documents such as e-mails between agents in the Division and handwritten notes taking during briefings have not been retained. Denver would not be able to recreate these records as they were discarded in the usual course of business.

cc: 1 - Deputy General Counsel Pat Kelley

RMD4

To: Director's Office From: Denver
Re: 66F-HQ-C1190059 03/14/2002

LEAD (s):

Set Lead 1: (Adm)

DIRECTOR'S OFFICE

AT WASHINGTON, DC

For the information of FBI Records Officer, AD William Hooton, to comply with BUDED of 3/15/2002. .

♦♦

From: [Redacted]
 To: HOOTON, WILLIAM
 Date: Tue, Mar 19, 2002 2:04 PM
 Subject: re EC dated 3/04/02 Case ID # 66F-HQ-C1190059

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This is in response to our telephone conversation on Friday 3/18/02, regarding the activities of the Disaster Squad immediately following Sept 11, 2002.

I have contacted each of the Supervisory Fingerprint Specialists who participated in the identification of the remains of the victims in the crash of AA Flt 77 into the Pentagon: AA Flt 11 into the north tower of the World Trade Center: UA 175 into the south tower of the World Trade Center and UA Flt. 93 in Pennsylvania.

They each advised that the information and/or records obtained by them would have been with regard to the identification of the victims only. This information would have consisted of identifying information to be used to obtain antemortem prints, and would not have been associated with any other investigative process.

They are all of the opinion that although there may have been handwritten notes destroyed at the time, the information obtained is available in databases which are still maintained as part of the Laboratory case file. These records will be maintained in the LPU or the appropriate Laboratory file.

If there are any further questions feel free to contact me.

[Redacted]
 Supervisory Fingerprint Specialist /
 Program Manager
 Major Incident Management
 Latent Print Unit II
 Room 10981

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Pager [Redacted]

CC: [Redacted]

66F-HQ-C1190059-237

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