

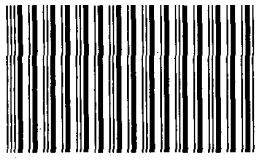
918504-2

JO

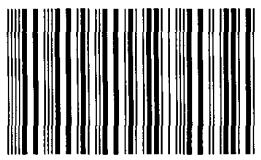
Folder Separator Sheet

File Batch ID : 125830

Folder # : 1



9999999999999999



00001258300001

REVISED 3-13-03

TOTAL # OF VOLUMES 20

BATCH# 125830

SCANNING TRACKING SHEET

FOIPA # 918504-2

SUBJECT National Archives

FILE # 66F-40-1190059

SECTION # all

(Please use a separate form for each section)

SERIAL # 3

LEGAL TECH
NAME

NPU
TEAM

EXT.

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b7C

DATE FORWARDED TO SCANNING 4/24/06

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

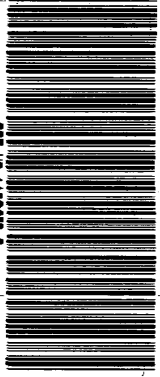
FEDERAL BUREAU OF INVESTIGATION
HEADQUARTERS

BBF- HQ-1190059

Serials 181-

BBF-HQ-1190059-3

Sec. 3



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.

DO NOT DESTROY
FOIPA # 918504-2

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, _____

File Number: 66F-HQ-119059 b2 Section 3

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: 5-16-00

ATTENTION

DO NOT REMOVE FROM FILE

LAST SERIAL: 347

FEDERAL BUREAU OF INVESTIGATION

163

Precedence: IMMEDIATE

Date: 03/04/2002

To: All Divisions

Attn: Assistant Director;
ADIC;
SAC;
Legat

From: Director's Office

Office of the General Counsel

Contact: Dep Gen Counsel P. W. Kelley/Ext.

b2

Approved By: Mueller Robert S *RS/3/10/02*
Collingwood John *JCE*
Hooton William *WH/PWC*
Parkinson Larry R *LR/PWC*

Drafted By: Kelley Patrick *WPWC*

Case ID #: 66F-HQ-C1190059 - 181

Title: PRESERVATION OF RECORDS PERTAINING TO ATTACKS OF 9/11/2001

Synopsis: This directs all divisions to take immediate steps to retain and preserve all records relating to the attacks of September 11, 2001.

Details: By Office of the General Counsel E.C., 66F-HQ-C1190059, of 01/22/2002, all divisions were reminded of their record keeping responsibilities with regard to documents, materials, and records related to knowledge, activities, and efforts relating to terrorism and counterterrorism, and their obligation to retain and preserve such documents, materials, and records in accordance with law and regulation.

The Senate Select Committee on Intelligence and the House Permanent Select Committee on Intelligence ("the Committees") have informed the Attorney General that they are conducting a joint inquiry into the 09/11/2001 terrorist attacks "to ascertain why the Intelligence Community did not learn of these attacks in advance, and to identify what, if anything, might be done to better position the Community to warn of, or prevent, terrorist attacks against the United States and address other emerging threats of the 21st Century."

To facilitate that inquiry, the Committees have requested the Attorney General "to take immediate steps to preserve any and all hardware, software, electronic media, or communications including e-mail, documents, agency records and/or

To: All Divisions From: Director's Office
Re: 66F-HQ-C1190059, 03/04/2002

materials of any type, including communications of any type to or from other Government agencies, that may relate to the attacks of September 11, 2001." Further, the Committees have requested the Attorney General to determine whether any relevant materials "have been altered, deleted, or destroyed."

This, consequently, directs all divisions immediately to preserve all material and information within the scope of the Committees' request whether or not it constitutes a record as defined under Federal law. Any previous alteration, deletion, or destruction of such material or information shall be reported by E.C. not later than 03/15/2002 to the FBI Records Officer, AD William Hooton (ext. [redacted])

Questions regarding records retention policy in general may be addressed to AD Hooton. Questions regarding the technological aspects of record keeping may be addressed to the Information Resources Division's [redacted] (ext. [redacted]) Legal aspects may be addressed to the Office of the General Counsel's Administrative Law Unit (ext. [redacted])

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b7C

To: All Division From: Director's Office
Re: 66F-HQ-C1190059, 03/04/2002

LEAD (s):

Set Lead 1: (Adm)

ALL RECEIVING OFFICES

Retain and preserve all hardware, software, electronic media, or communications including e-mail, documents, agency records and/or other materials of any type, including communications of any type to or from other Government agencies, that may relate to the attacks of September 11, 2001.

Set Lead 2: (Adm)

ALL RECEIVING OFFICES

Report by E.C. not later than 03/15/2002 the previous alteration, deletion, or destruction of such material or information to the FBI Records Officer, AD William Hooton.

CC: 1 - Mr. Parkinson
1 - Mr. Kelley

♦♦

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 03/06/2002

To: Investigative Services
Director's Office

Information Resources

Attn: IOS, IOU-I SSA [redacted]
Office of the General Counsel
DGC P. W. Kelley
FBI Records Officer
William Hooten

b6
b7C

From: Ankara

Contact: [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 66F-HQ-1190059-185
66F-AA-10-38

Title: PRESERVATION OF RECORDS PERTAINING TO
ATTACKS OF 9/11/2001

Synopsis: Response to directive to immediately retain and preserve all records relating to the attacks of 9/11/01.

Reference: 66F-HQ-1190059 Serial 182

Details: All relevant materials received at Legat Ankara are being retained until requested and none have been altered, deleted, or destroyed. This includes all hardware, software, electronic media, or communications, including e-mail, documents, agency records and/or materials of any type, including those to or from other Government agencies, that may relate to the attacks of September 11, 2001.

To: Investigative Services From: Ankara
Re: 66F-HQ-1190059, 03/06/2002

LEAD(s) :

Set Lead 1: (Adm)

ALL RECEIVING OFFICES

Read and clear.

records.ec

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FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 03/15/2002

Date: 03/14/2002

To: Director's Office

Attn: FBI Records Officer
AD William Hooton

Attn: Office of the General Counsel
Dep Gen Counsel P W Kelley

From: Charlotte

Contact: AO



Approved By: Swecker Chris



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b7C

Drafted By:

Case ID #: 66F-HQ-C1190059 ²⁰⁵
62F-CE-C86494 - 1000
66F-CE-A85922 - 12

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 09/11/2001

Synopsis: Response to lead requesting information on alteration, deletion or destruction of material related to 09/11 attacks.

Reference: 66F-HQ-C1190059 Serial 181

Details: The Charlotte Division maintains all records related to the 09/11/2001 attacks at Charlotte Headquarters City on Squad 5. The division has taken the following steps to ensure the integrity of the files are maintained:

- 1) All Resident Agencies forward paperwork to Sqd 5 for processing and record keeping;
- 2) All Rapid Start Lead sheets are placed into files and are labeled;
- 3) No records have been destroyed;
- 4) All documents that have been removed and transferred to Control file 62F-CE-C86494 are reviewed and approved by the Sqd 5 Supervisory Special Agent. these documents have been determined to be unrelated to the 09/11/2001 attacks. The trail of all communications is documented in ACS.

10143

RMD-71

To: Director's Office From: Charlotte
Re: 66F-HQ-C1190059, 03/14/2002

5) A separate X2 Rotor Filing Cabinet was purchased to maintain all documents relating to the 09/11 attacks. This cabinet provides a central and secure location for these documents.

6) The division set up a separate folder on the division's computer network for 09/11 paperwork. This computer database is utilized for uploading documents into ACS. This action allows the Division to keep all 09/11 computer documents on one database.

In addition, the division reviewed the paperwork to ensure leads are covered and documented in ACS.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 03/12/2002

To: All Divisions

Attn: Assistant Director;
ADIC;
SAC;
Legat;
CDC

From: Director's Office
Office of the General Counsel

Contact: Dep Gen Counsel P. W. Kelley/Ext.

b2

Approved By: Chiaradio Robert
Watson Dale
Collingwood John
Hooton William
Parkinson Larry

Drafted By: Kelley Patrick W

Case ID #: 66F-HQ-C1190059 - 217

Title: PRESERVATION OF RECORDS PERTAINING
TO ATTACKS OF 09/11/2001

Synopsis: This provides additional guidance regarding the retention and preservation of records pertaining to the attacks of September 11, 2001.

Details: By Director's Office E.C., of 03/04/2002, all divisions were directed to take immediate steps to retain and preserve all records relating to the attacks of September 11, 2001, in response to the joint request of the Senate Select Committee on Intelligence and the House Permanent Select Committee on Intelligence. "Records," for this purpose, was defined by the Committees to include "all hardware, software, electronic media, or communications including e-mail, documents, agency records and/or materials of any type, including communications of any type to or from other Government agencies, that may relate to the attacks of September 11, 2001." Several divisions have requested additional guidance regarding specific issues. That guidance follows:

* Scope: The purpose of the Committees' inquiry is "to ascertain why the Intelligence Community did not learn of these attacks in advance, and to identify what, if anything, might be done to better position the Community to warn of, or prevent, terrorist attacks against the United States and address other emerging threats of the 21st century." The Committees will,

UPLOADED ON
Date: 3/20/2002
By:

① 66F-HQ-1190059-217

To: All Divisions From: Director's Office
Re: 66F-HQ-C1190059, 03/12/2002

consequently, review records pertaining to events and activities occurring before as well as subsequent to the attacks of 09/11/2001.

* Hard drives: As the TRILOGY project advances, divisions are receiving new computers and related equipment. If the hard drives in the "old" equipment contain information within the scope of the Committees' inquiry, then they must be retained and preserved until the congressional inquiry on the 09/11/2001 attacks is completed. IRD will provide further instructions in this regard.

* Notes: Individual employees may have taken notes pertaining to related events. If not previously destroyed, all such notes must be retained and preserved, even if they do otherwise qualify as "records" under the Federal Records Act.

*E-mail. Relevant e-mail must be preserved. Such e-mail may have already been "deleted" by individual employees in the due course of business; even so, if it archived or otherwise retained in any medium, it must be preserved. IRD will provide additional instructions as warranted.

* Reporting prior deletion or destruction: The E.C. of 03/04/2002, required the previous alteration, deletion, destruction of relevant materials to be reported to the FBI Records officer, AD William Hooton by 03/15/2002. Responses may be categorized by type of material, document, or record. For example: "During the latter half of February 2002, all desk top computers in the division were upgraded to new models as part of the TRILOGY project. The hard drives of two of the computers so replaced were damaged during the change-over process." Or, for example: "Three SAs reported that, as part of their regular file-review process, they discarded personal notes of possible relevance to the inquiry that they took during meetings held from 10/1/2000 to 6/30/2001 because, in their view, the notes did not qualify as records under the Federal Records Act." Destroyed records of substantial significance to the inquiry should be described with particularity sufficient to permit the Committees to understand both the context and content of the missing records. Divisions unable to meet the 03/15/2002 deadline should request an extension from AD Hooton.

Questions regarding records retention policy in general may be addressed to AD Hooton (ext. [redacted]). Questions regarding the technological aspects of record keeping may be addressed to the Information Resource Division's Mark Tanner (ext. [redacted]). Legal aspects may be addressed to the Office of the General Counsel's Administrative Law Unit (ext. [redacted]).

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To: All Division From: Director's Office
Re: 66F-HQ-C1190059, 03/12/2002

LEAD (s):

Set Lead 1: (Adm)

ALL RECEIVING OFFICES

Continue immediate steps to retain and preserve all hardware, software, electronic media, or communications, including e-mail, documents, agency records and/or other materials of any type, including communications of any type to or from other Government agencies, that may related to the attacks of September 11, 2001.

Set Lead 2: (Adm)

ALL RECEIVING OFFICES

Report by E.C., not later than 03/15/ 2002, the previous alteration, deletion, or destruction of such material or information to the FBI Records Officer, AD William Hooton, unless granted an extension.

Set Lead 3: (Adm)

INFORMATION RESOURCES

AT WASHINGTON, DC

Provide additional guidance by E.C. to all divisions regarding the retention and preservation of computer hard drives and other electronic media, particularly that replaced pursuant to implementation of the TRILOGY project. Also provide additional guidance on the retention and preservation of e-mail.

CC: 1 - Mr. Levin
1 - Mr. Chiradio
1 - Mr. Collingwood
1 - Mr. Parkinson
1 - Mr. Hooton
1 - Mr. Kelley
3 - ALU

♦♦

FEDERAL BUREAU OF INVESTIGATION

Date: 03/22/2002

Precedence: IMMEDIATE

To: Director's Office

Attn: Patrick W. Kelley
Deputy General Counsel
OGC
IOS/IOU II
UC
SSA
LA

Investigative Services

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From: Canberra
Contact: [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 (Pending)

Title: PRESERVATION OF RECORDS
PERTAINING TO ATTACKS OF 09/11/2001

Synopsis: To advise that Legat Canberra is in compliance with Bureau policy regarding retention and preservation of all records which may relate to the attacks of 09/11/2001.

Reference: 66F-HQ-C1190059 Serial 216

Administrative: Legat Canberra considers leads one and two, serial 216 to be covered.

Details: All Legat Canberra personnel have been made aware of policy, as stated in the referenced EC, regarding preservation of all records related to the 09/11/2001 attacks, to include hard hardware, software, electronic media, e-mails, documents, agency records and/or materials of any type. Legat Canberra is unaware of any prior destruction, alteration, or deletion of relevant records.

<input type="checkbox"/>	Send BU letter fax (Secure)
<input type="checkbox"/>	Enclosures (Attachments)
<input checked="" type="checkbox"/>	Close Case Clear lead serial 216

To: Director's Office From: Canberra
Re: 66F-HQ-C1190059, 3/22/2002

LEAD(s) :

Set Lead 1:

ALL RECEIVING OFFICES

Read and clear.

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81heg01.ec

From:

To:

Subject:

[Redacted]
66F-HQ-C1190059

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03/22/2002

Reference is made to 03/04/2002 EC from the Director

Just a reminder to continue to ensure that all records relating to the attacks of September 11, 2001 are maintained and preserved. *Records* includes "...all hardware, software, electronic media or communications including e-mail, documents, agency records and or materials of any type, including communications of any type to or from other Government agencies, that may relate to the attacks of September 11, 2001."

I appreciate your cooperation and complete compliance with this directive.

[Redacted]

66F-HQ-C1190059
221

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/20/2002

To: Records Management

Attn: John M. Kelso, Jr.
Section Chief
Room 6296

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b7C

[Redacted]
Supervisory Paralegal Specialist
Room 6280

From: Records Management
Records Maintenance and Disposition/Records
Disposition and Archival/Room 10475
Contact: [Redacted] Extension [Redacted]

Approved By: Hooton William L *WHL 3/22/02*
Garrity Robert J Jr *RJG*

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 - 223

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION (NARA)
APPRAISAL OF FBIHQ AND FIELD
OFFICE RECORDS

Synopsis: Approval received from the National Archives and Records Administration (NARA) to maintain official records which have a short-term life cycle in an electronic medium in lieu of the maintenance of volumes of textual records.

Reference: 66F-HQ-C1190059 Serial 155

Details: The Freedom of Information Document Processing System (FDPS) is the automated system that allows personnel from the Freedom of Information Privacy Acts (FOIPA) Section of the FBI to electronically process FBI records for the public. When a request for FBI records is received from a member of the public, the request letter is scanned and cataloged into the FDPS. Upon receipt of the original case files, which have been determined to be responsive to the request, from the File Services Unit, Records Maintenance and Disposition Section, Records Management Division, these files are also scanned into the FDPS. Pursuant to the provisions of the FOIPA, information is then redacted from the images.

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

Upon completion of the processing, review by appropriate supervisor and release to the requester, the FDPS stores the original view (unmarked) of the scanned image, a redacted view (see-through redactions), and a sealed version (erased redactions) of all documents. These scanned images are easily accessible for viewing by records managers and can be printed when necessary. The FDPS users also have the ability to export the images to a directory from which CD-ROM can be created. Records, as released to the public, can be printed from the CD-ROM. It should be noted that there is no Top Secret or above information maintained within the FDPS.

The FBI is currently maintaining the paper copies of the released records at the [redacted] Files Services Facility as part of the Central Records System. This was necessary before the advent of FDPS. However, with FDPS there is no need any longer for the FOIPA Section to maintain paper and it currently presents a great burden to the FOIPA Section employees, as it would require the copying of all packages of records after the records are printed for release to the public. The FDPS is a self-contained electronic records storage system with easy access by FOIPA records managers for viewing and printing.

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By letter dated July 19, 2001, to [redacted] Modern Records Program, NARA, (66F-HQ-C1190059 Serial 155), approval was requested to maintain these official records which have a short-term life cycle in an electronic medium in lieu of the maintenance of volumes of textual records.

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Subsequent to the receipt of this letter, Appraisal Archivist [redacted] telephonically advised FBI Archives Specialist [redacted] that all of the material currently maintained within the FDPS could be considered temporary records and disposable in accordance with the NARA-approved General Records Schedule (GRS), Item 14, Paragraphs 11, 21 and 22. Inasmuch as Paragraphs 11, 21 and 22 generally pertain to textual records, [redacted] advised that GRS 14 is supported by GRS Item 20, Paragraph 3 which permits the disposal of electronic versions of textual records previously scheduled for disposal under other items of the GRS.

In view of these disposal authorities, [redacted] advised that there would not be any objection, by NARA, to maintain these records in an electronic medium in lieu of the maintenance of volumes of textual records. The applicable items of GRS 14 and 20 state as follows:

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering FOIPA programs.

11. FOIA Requests Files.

Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).
 - (1) Granting access to all the requested records.
Destroy 2 years after date of reply.
 - (2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.
 - (a) Request not appealed.
Destroy 2 years after date of reply.
 - (b) Request appealed.
Destroy as authorized under Item 12.
 - (3) Denying access to all or part of the records requested.
 - (a) Request not appealed.
Destroy 6 years after date of reply.
 - (b) Request appealed.
Destroy as authorized under Item 12.

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

21. Privacy Act Requests Files.

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

- a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

- b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

- c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

GENERAL RECORDS SCHEDULE 20

Electronic Records

3. Electronic Versions of Records Scheduled for Disposal.

- a. Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5.

Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later.

- b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.

- (1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

- (2) When the electronic record replaces hard copy records that support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

- (3) Hard copy printouts created for short-term administrative purposes.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

Additionally, [redacted] cautioned that should a determination be reached that any of the aforementioned records are identified as "PERMANENT" under the criteria set forth in the FBI Records Retention Plan and Disposition Schedules, steps must

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To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

be taken to ensure that the material is maintained and transferred to NARA at the appropriate time and in a format compatible with NARA standards. Established criteria which would result in a Classification 190 (FOIPA Matters) case file being identified as "PERMANENT" include, but are not limited to the following:

- (1) All control files other than "0" files;
- (2) "Ten Most Wanted" criminals;
- (3) All case files that have one or more separate sections of newspaper clippings (Sub A);
- (4) Code name or code word Captioned case files;
- (5) Multi-section case files with 20 sections or more;
- (6) Case files litigated before U. S. Supreme Court;
- (7) Case files 190-1 and 190-3;
- (8) "00" - Policy File;
- (9) "0" - Administrative File;
- (10) Systematic evidential sample [500];

Note: Method of choosing specific case files under this criteria will be established by NARA.

[redacted] advised that those records currently being maintained in both an electronic medium and a textual format could be reviewed and the "hard-copy" version of the records could be destroyed provided that the records are maintained in the electronic format are an exact version of the textual records.

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Any questions concerning the information set forth herein, should be directed to [redacted] FBI Archives Specialist, at extension [redacted]

To: Records Management From: Records Management
Re: 66F-HQ-C1190059, 03/20/2002

LEAD(s):

Set Lead 1:

RECORDS MANAGEMENT

AT WASHINGTON, DC

Based on NARA approval, FOIPA Section should commence to maintain official Classification 190 records, created within the FDPS, in an electronic medium in lieu of the maintenance of volumes of textual records.

Set Lead 2:

RECORDS MANAGEMENT

AT WASHINGTON, DC

As resources allow, FOIPA Section may commence the destruction of the textual copy of those Classification 190 records, created within the FDPS, and currently maintained fully in both an electronic medium and a textual format.

Set Lead 3:

RECORDS MANAGEMENT

AT WASHINGTON, DC

Coordinate any destruction efforts with the Records Disposition and Archival Unit, Records Maintenance and Disposition Section, Records Management Division to ensure that any case file(s) identified as "PERMANENT" under the criteria set forth in the Records Retention Plan and Disposition Schedules, is maintained for transfer, to NARA, at the appropriate time and in a format compatible with NARA standards.

CC: 1 - Mr. Hooton, Room 10143
1 - Mr. Garrity, Room 10143
1 - [redacted] Room 10475
1 - [redacted] Room 1302
1 - [redacted] Room 1302
1 - [redacted] Room 6994
1 - [redacted] Room 6359

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b7c

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 04/08/2002

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]

Case ID #: 66F-HQ-C1190059-239 (Pending)

Title: PRESERVATION OF RECORDS
PERTAINING TO THE ATTACKS
OF 09/11/2001 - SUPPLEMENTAL RESPONSE

Synopsis: This communication reports additional instances in which records relating to 9/11 were lost or destroyed.

Administrative: Reference is made to:

- 1) the 03/04/2002 electronic communication (EC) from the Director's Office;
- 2) the 03/15/2002 EC of the Pittsburgh Division; and
- 3) the 03/12/2002 EC from the Director's Office which was received in the Pittsburgh Division on 03/20/2002.

Details: The referenced 03/12/2002 EC provided additional guidance regarding the preservation of records pertaining to the attacks of 09/11/2001. Upon receipt of that communication on 03/20/2002, the Pittsburgh Division conducted a second canvass 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:

- 1) ASAC John Joyce worked at the Pittsburgh Division command post established after 09/11/2001. He took copious notes of command post activity and events that were communicated from headquarters in daily

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To: Information Resources From: Pittsburgh
Re: 66F-HQ-C1190059, 04/08/2002

telephonic briefings with the Deputy Director. His notes did not reflect investigative activity that he conducted himself. Not believing that these notes were "records" as defined under the Federal Records Act, he destroyed his command post notes after he no longer needed them.

2) Forfeiture Paralegal Specialist [redacted]
[redacted] took complaints from the general public after 09/11/2002. She reported that when she spoke with callers, she took contemporaneous notes concerning the subject matter of each call. She transcribed pertinent information to FD-822 rapid start forms. Not believing that these notes were "records" as defined under the Federal Records Act, she destroyed these notes just after the office moved to its present location in November, 2001.

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3) Forfeiture Paralegal Specialist [redacted]
[redacted] took complaints from the general public after 09/11/2002. She reported that when she spoke with callers, she took contemporaneous notes concerning the subject matter of each call. She transcribed pertinent information to records in investigative insert or EC form. Not believing that these notes were "records" as defined under the Federal Records Act, she disposed of these notes when she felt it was no longer necessary to retain them.

4) After 09/11/2001, SSA [redacted] the CDC, took notes concerning headquarters conference calls, media calls, meetings, administrative matters, and legal issues. He retained some notes, but disposed of the remainder believing that they were not "records" as defined under the Federal Records Act.

To: Information Resources From: Pittsburgh
Re: 66F-HQ-C1190059, 04/08/2002

LEAD(s) :

Set Lead 1:

INFORMATION RESOURCES

AT WASHINGTON, DC

For information. Read and clear.

◆◆

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 04/10/2002

To: Records Management

Attn: AD
DAD

From: Office of the General Counsel
Deputy General Counsel

Contact: Patrick W. Kelley/Ext.

163

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Approved By: Kelley Patrick W *PWK*

Drafted By: Kelley Patrick W *PWK*

Case ID #: 66F-HQ-C1190059 - *242*

Title: PRESERVATION OF RECORDS
PERTAINING TO ATTACKS OF 09/11/2001

Synopsis: This affirms that the Office of the General Counsel (OGC) has taken appropriate steps to preserve records and other materials relating to the attacks of September 11, 2001, and reports previous destruction or loss of some such material.

Details: Per OGC Electronic Communications of 03/04/2002 and 03/12/2002, division personnel have been informed of their obligation to take immediate and appropriate steps to preserve any and all hardware, software, electronic media, or communications, including e-mail, documents, records, or materials of any type, relating to the attacks of September 11, 2001. All such materials are maintained in OGC spaces. Some relevant materials, however, may have been previously lost or destroyed as described below:

* During late February, March, and early April, new computers were installed throughout much of OGC. Not only were individual desk top machines replaced with new computers, but the Information Resources Division (IRD) also changed the server servicing our e-mail and file accounts. As a result of the "upgrade," e-mails stored on individual machines were lost, at least so far as OGC's ability to retrieve them is concerned. Further, some files were "lost." To our knowledge, these files were not transferred from our "old" server to the "new" one even though they may still be extant on the "old" one. We have requested IRD representatives to maintain the "old" server and preserve one "legacy" desktop so that these files may be accessed through it. Additionally, some units have experienced difficulty in accessing files which, in theory, were transferred to the "new" server. We are unsure whether these files were actually

UPLOADED ON

Date: 4/11/02

By: *SF*

66F-HQ-C1190059-242

To: Records Management From: Office of the General Counsel
Re: 66F-HQ-C1190059, 04/10/2002

lost or whether our inability to retrieve the files is solely a technical, temporary matter.

* Prior to receipt of the guidance to preserve "any and all" information relating to the September 11, 2001, attacks, OGC followed general FBI guidance on preserving e-mail. General e-mail, however, was not specially preserved; rather it was archived by the GroupWise system administrator in IRD. As we understand it, older portions of that archive were eventually lost as it overwritten by new e-mail or similarly automatically purged in accordance with system administration policy. OGC has no control over such actions.

* OGC personnel participated in various aspects of the FBI's response to the attacks, ranging from SIOC watch standing to internal OGC meetings reviewing division responsibilities and actions. Many OGC personnel who assumed such roles took personal notes, produced or reviewed working drafts, or compiled personal binders which were subsequently destroyed by the individuals concerned when they no longer appeared to have any value. These notes or collections consisted of or pertained to telephone calls, "to do" lists, meeting notes, copies of general background documents or ticklers (see below) or similar material, and the like. Working drafts pertained to particular actions and ranged from administrative matters (such as preparation of SIOC watch lists) to declarations to be filed in support of detentions of particular suspects. None were considered to be of any particular significance to anyone other than the author who, as stated earlier, made the decision to destroy them on an individual basis after they were no longer needed. Matters of substance were adequately memorialized in final versions of documents. (Some employees have maintained such materials and will continue to do so until advised to the contrary.)

* "Tickler" copies of documents received by OGC personnel in the normal course of business were often discarded after the information contained therein was assimilated or noted by the individual to whom they were addressed. These were duplicates of documents that should otherwise be located in FBI files.

* A few OGC personnel were assigned to take notes during the 4:00 PM daily conference call between FBIHQ and field ADICs and SACs. These notes were taken in shorthand and then transcribed onto to a floppy disk provided by SIOC for that purpose. The disk was maintained by SIOC. After completion of the assignment, the original shorthand notes were disposed of in the confidential trash since it was believed that they were no longer needed.

To: Records Management From: Office of the General Counsel
Re: 66F-HQ-C1190059 04/10/2002

* Some OGC personnel participated in the "watch list" project. This entailed reviewing files to determine or assist in determining which individuals should be placed on or removed from the list of persons of investigative interest to the FBI, or to pass the name onto another agency. Handwritten notes taken by individual personnel participating in this aspect of the project were placed in several spiral notebooks. These notes were destroyed by the participating personnel at the conclusion of the project. The notes were taken from existing files or materials; no additional or new information was set forth in the notes.

* One OGC employee worked in SIOC on a team called the "Red Cell," whose task it was to produce a number of reports on a variety of terrorism-related issues. Reports were a collaborative effort and were not issued until a consensus among the group members was reached. Consequently, there were many drafts that were produced and then discarded at the working level. Other documents that the group produced should be in the record system.

To: Records Management From: Office of the General Counsel
Re: 66F-HQ-C1190059, 04/10/2002

LEAD(s) :

Set Lead 1: (Adm)

DIRECTOR'S OFFICE

RECORDS MANAGEMENT DIVISION

AT WASHINGTON, DC

Read and clear.

CC: 1 - Mr. Parkinson
 1 - Each OGC UC
 1 - Each OGC Deputy Gen Counsel

◆◆

Bill Hooton
RA 10143

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 04/12/2002

To: Office of General Counsel

Attn: IRD. *MC*

[Redacted]

From: Islamabad

Contact: LEGAT

[Redacted]

Approved By:

[Redacted]

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Drafted By:

Case ID #: 66F-HQ-C1190059 - *244*

Title: PRESERVATION OF RECORDS PERTAINING TO
ATTACKS OF 9/11/2001

Synopsis: Preservation of records at Legat Islamabad.

Reference: 66F-HQ-C1190059 Serial 181

Details: In referenced EC, record keeping responsibilities relating to the attacks of September 11, 2001 to all Divisions and Legats.

As all receiving offices are aware, Legat Islamabad is located in a high threat area. The U.S. Embassy is now operating under a "zero burn" policy. Hard copies of some documents are maintained in the office space, however, if an emergency evacuation is necessary, all files will be destroyed in compliance with U.S. State Department policy. Therefore in all investigations, including PENTTBOMB, this office will not retain interview notes, evidence, or other documentation related to any case. All of these items have been or will routinely be forwarded to the appropriate office.

SECTION 3
IN FILE

BW0901.ee

To: Office of General Counsel From: Islamabad
Re: 66F-HQ-C1190059, 04/12/2002

LEAD(s) :

Set Lead 1: (Adm)

ALL RECEIVING OFFICES

For information.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 04/16/2002

To: Richmond

Attn: SAC Donald W. Thompson, Jr.
ASAC Roy L. Tubergen
AO

From: Records Management
Records Maintenance and Disposition/Records
Disposition and Archives/Room 4933

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b7c

Contact:

Approved By: Hooton William L *WCH/K*
Garrity Robert J Jr. *RJ*

Drafted By:

Case ID #: 66F-HQ-C1190059 - 245

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); ASSESSMENT OF
FBI RECORDS MANAGEMENT PROGRAM;
VISIT TO RICHMOND (RH) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to RH in conjunction with joint FBI/NARA assessment of the FBI records management program.

Details: NARA and the FBI have agreed to work together to assess the FBI's current records management program and to recommend priorities for FBI action. This assessment will describe the current state of the records management program and environment. The resulting recommendations will be designed to assist the FBI in identifying deficiencies in the system and specify goals for improvement. A Memorandum of Understanding (MOU) has been executed between NARA and the FBI endorsing this project. The MOU was coordinated with the Office of General Counsel. This MOU requires all offices to cooperate with the NARA Targeted Assistance Team by setting aside time for interviews with office personnel and to allow the team to examine FBI records in all formats.

The NARA assessment commenced on January 23, 2002 and is expected to continued through July, 2002. The NARA representatives are presently working, on a regular basis, with employees of the Records Management Division (RMD). In addition to RH, the NARA representatives will be visiting at least three other field offices as well as the Criminal Justice Information Services Division, Clarksburg, West Virginia.

To: Richmond Fr [redacted] Records Management
Re: 66F-HQ-C1190059, 04/16/2002

On 4/22-23/2002, Archives Specialist [redacted]
[redacted] and the NARA Targeted Assistance Team involved in the
assessment will visit RH. The NARA representatives are:

Name:
SSN:
POB:
DOB:

Name:
SSN:
POB:
DOB:

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

During the visit on 4/22/2002, [redacted] and the
NARA representatives will provide a briefing to the management of
RH. Following the briefing, the NARA representatives will
conduct interviews with various personnel, both agent and
support, relative to records management issues within the field
office. It is anticipated that the duration of each interview
will be approximately 45-60 minutes. Coordination and scheduling
of this briefing and the interviews should be handled by RH
personnel. It has been requested by NARA representatives that
four interviews be scheduled for 4/22 and the remaining three
interviews be scheduled for 4/23. The individuals to be
interviewed will include the following:

Administrative Officer
Supervisory Administrative Specialist - Records
Information Management Analyst (2)
Special Agent (less than 3 years of service)
Special Agent (more than 10 years of service)
Computer Specialist (with E-Mail management
responsibility)

Any questions regarding the NARA records management
assessment and visit to RH should be directed to FBI Archives
Specialist [redacted]

To: Richmond Front Records Management
Re: 66F-HQ-C1190059, 04/16/2002

LEAD(s):

Set Lead 1:

RICHMOND

AT RICHMOND, VIRGINIA

Coordinate and schedule time and location for interviews by NARA Targeted Assistance Team.

Set Lead 2:

RICHMOND

AT RICHMOND, VIRGINIA

Provide necessary assistance to RMD and NARA representatives with lodging arrangements in vicinity of RH Field Office.

CC: 1 - Mr. Hooton, Room 10143
1 - Mr. Garrity, Room 10143
1 - Room 4933

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 04/18/2002

To: Kansas City

Attn: SAC Kevin L. Stafford
ASAC Monte C. Strait
ASAC Michael Tabman
AO [Redacted]

From: Records Management
Records Maintenance and Disposition/Records
Disposition and Archives/Room 4933
Contact: [Redacted]

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Approved By: Hooton William L *WHL/g*
Garrity Robert J Jr *RJG*

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 - 246

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); ASSESSMENT OF
FBI RECORDS MANAGEMENT PROGRAM;
VISIT TO KANSAS CITY (KC) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to KC in conjunction with joint FBI/NARA assessment of the FBI records management program.

Details: NARA and the FBI have agreed to work together to assess the FBI's current records management program and to recommend priorities for FBI action. This assessment will describe the current state of the records management program and environment. The resulting recommendations will be designed to assist the FBI in identifying deficiencies in the system and specify goals for improvement. A Memorandum of Understanding (MOU) has been executed between NARA and the FBI endorsing this project. The MOU was coordinated with the Office of General Counsel. This MOU requires all offices to cooperate with the NARA Targeted Assistance Team by setting aside time for interviews with office personnel and to allow the team to examine FBI records in all formats.

The NARA assessment commenced on January 23, 2002 and is expected to continued through July, 2002. The NARA representatives are presently working, on a regular basis, with employees of the Records Management Division. In addition to KC, the NARA representatives will be visiting at least three other

To: Kansas City Com: Records Management
Re: 66F-HQ-C1190059, 04/18/2002

field offices as well as the Criminal Justice Information Services Division, Clarksburg, West Virginia.

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On 4/29-30/2002, Archives Specialist [redacted] and the NARA Targeted Assistance Team involved in the assessment will visit KC. The NARA representatives are:

Name:
SSN:
POB:
DOB:

Name:
SSN:
POB:
DOB:

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

During the visit on 4/29/2002, [redacted] and the NARA representatives will provide a briefing to the management of KC. Following the briefing, the NARA representatives will conduct interviews with various personnel, both agent and support, relative to records management issues within the field office. It is anticipated that the duration of each interview will be approximately 45-60 minutes. Coordination and scheduling of this briefing and the interviews should be handled by KC personnel. It is requested by NARA that four interviews be scheduled for 4/29 and the remaining three interviews be scheduled for 4/30. The individuals to be interviewed will include the following:

Administrative Officer
Supervisory Administrative Specialist - Records Information Management Analyst (2)
Special Agent (less than 3 years of service)
Special Agent (more than 10 years of service)
Computer Specialist (with E-Mail management responsibility)

Any questions regarding the NARA records management assessment and visit to KC should be directed to FBI Archives Specialist [redacted]

To: Kansas City Room: Records Management
Re: 66F-HQ-C1190059, 04/18/2002

LEAD(s):

Set Lead 1:

KANSAS CITY

AT KANSAS CITY, MISSOURI

Coordinate and schedule time and location for interviews by NARA Targeted Assistance Team.

Set Lead 2:

KANSAS CITY

AT KANSAS CITY, MISSOURI

Provide necessary assistance to RMD and NARA representatives with lodging arrangements in vicinity of RH Field Office.

CC: 1 - Mr. Hooton, Room 10143
1 - Mr. Garrity, Room 10143
1 - Room 4933

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FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 04/26/2002

To: Director's Office

Attn: Dep Gen Counsel P.W. Kelley
Office of the General Counsel

From: Athens

Contact: [Redacted]

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Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 #250

Title: PRESENTATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: This communication confirms all pertinent records in the possession of Legat Athens have been preserved.

Reference: 66F-HQ-C1190059 Serial 217

Details: All materials pertinent to the Joint Intelligence Committee Inquiry as detailed in referenced EC and in the possession of Legat Athens have been preserved, inventoried, and prepared for shipment. There has been no alteration, deletion, or destruction of pertinent materials.

To: Director's Office From: Athens
Re: 66F-HQ-C1190059, 04/26/2002

LEAD(s) :

Set Lead 1:

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and Clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 04/26/2002

To: Director's Office

Attn: Dep Gen Counsel P.W. Kelley
Office of the General Counsel

From: Athens

Contact: [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 #250

Title: PRESENTATION OF RECORDS PERTAINING
TO ATTACKS OF 9/11/2001

Synopsis: This communication confirms all pertinent records in the possession of Legat Athens have been preserved.

Reference: 66F-HQ-C1190059 Serial 217

Details: All materials pertinent to the Joint Intelligence Committee Inquiry as detailed in referenced EC and in the possession of Legat Athens have been preserved, inventoried, and prepared for shipment. There has been no alteration, deletion, or destruction of pertinent materials.

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W. Arpa. EC

To: Director's Office From: Athens
Re: 66F-HQ-C1190059, 04/26/2002

LEAD(s) :

Set Lead 1:

DIRECTOR'S OFFICE

AT WASHINGTON, DC

Read and Clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: IMMEDIATE

Date: 05/13/2002

To: Los Angeles

Attn: ADIC Ronald L. Iden
SAC Gerald L. Mack
ASAC Herbert M. Brown
AO

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b7C

From: Records Management
Records Maintenance and Disposition/Records
Disposition and Archives/Room 4933
Contact:

Approved By: Hooton William L *WCH/TK*
Garrity Robert J Jr *RJG*

Drafted By:

Case ID #: 66F-HQ-C1190059 - **253**

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION (NARA); ASSESSMENT OF
FBI RECORDS MANAGEMENT PROGRAM;
VISIT TO LOS ANGELES (LA) FIELD OFFICE

Synopsis: Information pertaining to NARA visit to LA in conjunction with joint FBI/NARA assessment of the FBI records management program.

Details: NARA and the FBI have agreed to work together to assess the FBI's current records management program and to recommend priorities for FBI action. This assessment will describe the current state of the records management program and environment. The resulting recommendations will be designed to assist the FBI in identifying deficiencies in the system and specify goals for improvement. A Memorandum of Understanding (MOU) has been executed between NARA and the FBI endorsing this project. The MOU was coordinated with the Office of General Counsel. This MOU requires all offices to cooperate with the NARA Targeted Assistance Team by setting aside time for interviews with office personnel and to allow the team to examine FBI records in all formats.

The NARA assessment commenced on January 23, 2002 and is expected to continued through July, 2002. The NARA representatives are presently working, on a regular basis, with employees of the Records Management Division. In addition to LA, the NARA representatives will be visiting at least three other

RMD#36

To: Los Angeles om: Records Management
Re: 66F-HQ-C1190059, 05/13/2002

field offices as well as the Criminal Justice Information Services Division, Clarksburg, West Virginia.

On 5/20-22/2002, Archives Specialist [redacted] and the NARA Targeted Assistance Team involved in the assessment will visit LA. The NARA representatives are:

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Name:
SSN:
POB:
DOB:

Name:
SSN:
POB:
DOB:

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

During the visit on 5/20/2002, [redacted] and the NARA representatives will provide a briefing to the management of LA. Following the briefing, the NARA representatives will conduct interviews with various personnel, both agent and support, relative to records management issues within the field office. It is anticipated that the duration of each interview will be approximately 45-60 minutes. Coordination and scheduling of this briefing and the interviews should be handled by LA personnel. It is requested by NARA that four interviews be scheduled for each of the three days of the assessment. The individuals to be interviewed will include the following:

Administrative Officer
2 - Supervisory Administrative Specialists (with records background)
4 - Squad Operation Assistants (with Information Management Analyst background)
2 - Special Agents (with less than 3 years of service)
2 - Special Agents (with more than 10 years of service)
Computer Specialist (with E-Mail management responsibility)

The Office of General Counsel has advised that it is legally defensible for an FBI/NARA team to conduct a random audit of FBI employee E-Mail and that such an audit may be conducted without the consent of the employee whose E-Mail is being

To: Los Angeles om: Records Management
Re: 66F-HQ-C1190059, 05/13/2002

audited. The purpose of the audit is to assist NARA in ascertaining 1) if the E-Mail may be a federal record, and 2) if they are federal records, to determine if and how they have been preserved. Questions regarding this audit should be directed to either Attorney-Advisor [redacted] Supervisory Attorney-Advisor [redacted]

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Any questions regarding the overall NARA records management assessment and visit to LA should be directed to FBI Archives Specialist [redacted]

To: Los Angeles Room: Records Management
Re: 66F-HQ-C1190059, 05/13/2002

LEAD(s) :

Set Lead 1:

LOS ANGELES

AT LOS ANGELES, CALIFORNIA

Coordinate and schedule time and location for interviews by NARA Targeted Assistance Team.

CC: 1 - Mr. Hooton, Room 10143
1 - Mr. Garrity, Room 10143
1 - Room 4933

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 05/28/2002

To: Administrative Services

Attn: Leah M. Meisel
Section Chief
Human Resource Management

From: Records Management

Records Maintenance and Disposition/Records
Disposition and Archives/Room 4933

Contact: [Redacted]

Approved By: Hooton William L [Signature] 5/21/02
Garrity Robert J Jr [Signature]

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b7C

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059-254

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION (NARA)
APPRAISAL OF FBIHQ AND FIELD
OFFICE RECORDS

Synopsis: To advise of receipt of an approved "Request For Disposition Authority" from the Archivist of the United States.

Enclosure(s): Standard Form (SF) 115 dated 4/5/2002, bearing signature of Michael L. Miller, Director, Modern Records Program, on behalf of the Archivist of the United States.

Details: On 5/10/2002, an approved SF-115, bearing NARA Job Number N1-65-02-01, was received from the National Archives and Records Administration (NARA) granting final disposition authority to the Staffing Unit (SU), Human Resource Management Section (HRMS), Administrative Services Division (ASD) which permits the destruction of the documentation and recordings created as a result of FBIHQ and Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

The support selection documentation for each individual posting consists of the vacancy announcement, position applications from candidates, results of any tests or exercises, crediting plan(s), evaluations of applications, and communications containing lists of qualified candidates and final selection(s). If an interview was afforded to any of the candidates, the selection documentation will also include the

RMD#151

To: Administrative Services From: Records Management
Re: 66F-HQ-C1190059, 05/28/2002

interview questions, audio tapes, and score sheets. Support selection documentation is stored by vacancy announcement number. There is no indexing of a candidate's name or social security number.

Selection files are maintained solely to enable the SU, HRMS, ASD to reconstruct the selection process for a particular vacancy announcement in response to a grievance. Documentation and recordings are created and maintained at FBIHQ and in various FBI Field Offices. The documentary material and recordings may be destroyed five years after final determination of the Career Board or after final adjudication of litigation, whichever is later. Any electronic copies of these records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the aforementioned "hard-copy" textual records may be destroyed within 60 days after the record-keeping copy has been produced.

Any questions concerning the final disposition authority for the support personnel (non-agent) selection documentation and recordings may be directed to FBI Archives Specialist [redacted] Extension [redacted]

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To: Administrative Services From: Records Management
Re: 66F-HQ-C1190059, 05/28/2002

LEAD(s) :

Set Lead 1:

ADMINISTRATIVE SERVICES

AT WASHINGTON, DC

As authorized by NARA, SU, HRMS, ASD may immediately dispose of support personnel (non-agent) selection documentation and recordings five years after final determination of the Career Board or after final adjudication of litigation, whichever is later.

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CC: 1 - Mr. Hooton, Room 10143
1 - Mr. Garrity, Room 10143 b6
1 - Room 4933 b7C

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-065-02-1

DATE RECEIVED
10-05-01

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.

DATE **4/15/02** 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 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

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DATE **09/26/2001** SIGNATURE OF AGENCY REPRESENTATIVE *[Redacted]* TITLE **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>FBI SUPPORT PERSONNEL (NON-AGENT) SELECTION DOCUMENTATION AND RECORDINGS</p> <p>A. Textual Records</p> <p>Documentation and recordings created as a result of FBIHQ and Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.</p> <p>The support selection documentation for each individual posting consists of the vacancy announcement, position applications from candidates, results of any tests or exercises, crediting plan(s), evaluations of applications, and communications containing lists of qualified candidates and final selection(s). If an interview was afforded to any of the candidates, the selection documentation will also include the interview questions, audio tapes, and score sheets. Support selection documentation is stored by vacancy announcement number. There is no indexing of a candidate's name or social security number.</p> <p>Selection files are maintained solely to enable the Pay Administration and Support Staffing Unit (PASSU), Administrative Services Division (ASD) to reconstruct the selection process for a particular vacancy announcement in response to a grievance. Documentation and recordings are created and maintained at FBIHQ and in various FBI Field Offices.</p> <p>DISPOSITION: Temporary. Destroy five (5) years after final determination of the Career Board or after final adjudication of litigation, whichever is later.</p>	<p>N1-65-01-2</p>	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

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>B. ELECTRONIC RECORDS</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the records covered by Item A of this schedule.</p> <p>DISPOSITION: Temporary. Destroy within 60 days after the record-keeping copy has been produced.</p>		

(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 07/23/2002

To: ~~Administrative Services~~

Attn: Micrographics Sub Unit 1B301
File Retention

From: Moscow

Contact:

Approved By:

Drafted By:

Case ID #: 66-F-HQ-C1190059-²⁰ (Pending)
66F-MC-21- (Pending)

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Title: FBI RECORDS RETENTION PLAN

Synopsis: Legat Moscow sending files and documents to be archived.

Package Copy: Being forwarded under separate cover two boxes of Moscow files and documents.

Details: Files and documents to be archived at FBIHQ. See files listed below:

Box 1 of 2

1C-MC-19
66F-MC-3 SUB A
66F-MC-8 VOL. 6
66F-MC-8 VOL. 7
242-MC-9 VOL. 3
66F-MC-18 VOL. 1
66F-MC-20 VOL 13
80-MC-28 VOL. 4
80-MC-28 SERIAL 3
80-MC-28 1A from Marjorie D. Robins
80-MC-28 SUB A SERIALS 13 & 14
281H-MC-36 SERIAL 49

Box 2 of 2

80-MC-26 SUB A 1/99-1/19/01
VOLUMES 8, 9, 10, 11, 12, 13

80-MC-28 VOL. 5 4/5/99 - 12/99
281-MC-36 VOL. 7 1/99 -12/99

HQ

To: Administrative Services From: Moscow
Re: 66-F-HQ-C1190059, 07/23/2002

To: Administrative Services From: Moscow
Re: 66-F-HQ-C1190059, 07/23/2002

LEAD(s):

Set Lead 1: (Adm)

ADMINISTRATIVE SERVICES

AT WASHINGTON, D.C.

Read and Clear.

◆◆

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-60

August 4, 1999

Mr. 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:

Thank you for taking the time to show my staff and NARA Civil Engineer [redacted] the FBI records center. We appreciate the importance of working closely together on this issue as well as the other issues discussed at our July 14 meeting. I understand that you have tentatively scheduled a September 10 meeting with [redacted] of my staff. This will be a good opportunity to begin to resolve some of the issues we discussed. We look forward to continuing to work closely with you and your staff.

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Enclosed is the National Archives and Records Administration's (NARA) inspection report regarding the FBI records center at [redacted] VA. Please review the report and notify us of any corrections and/or suggestions you would like to make to the report. If you would like to discuss the findings or other issues with [redacted] please contact [redacted] and she will make the necessary arrangements.

If you have any other questions or concerns please contact [redacted]

Sincerely,

Marie B. Allen
for MARIE B. ALLEN
Director
Life Cycle Management Division

Enclosures

66F-HQ-C1190059-258

RECEIVED
AUG 10 1999

National Archives at College Park



8601 Adelphi Road
College Park, Maryland 20740-6001

Date : July 26, 1999

Reply to

Attn of

Civil Engineer, NAS

Subject :

Inspection of Records Center

VA

To :

Appraisal Archivist, NWML

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On Friday, July 23, 1999, an inspection was conducted at the Government Records Center at Virginia. The purpose of the inspection was to review the records storage conditions for compliance with the current standards as listed in 36CFR, Subpart K, Section 1228.222 (all references to "Section 1228.222" or to "1228.222" in this report are taken from 36 CFR, Section 1228.222). The inspection had been requested by Appraisal Archivist (NWML). She and her supervisor, participated in a concurrent tour of the facility conducted by tenant agency representatives. The inspection began at approximately 9:00 a.m. and concluded approximately 11:00 a.m.

Prior to entering the facility, a general overview of the site was made. The facility appeared to be a single story masonry warehouse built on grade. It was noted that the facility is surrounded by similar structures and that the spacing of fire hydrants was more than adequate for compliance with Section 1228.222(b)(20). On the day of the inspection, the outside ambient temperature was approximately 85 degrees Fahrenheit.

After signing in, the records storage space at was inspected. The first space consisted of three bays of approximately 26,177 gross square feet (bays 5, 6, and 7 on the attached sketch). The space is a single story facility with 14 foot high metal shelving units. Files are placed directly on the shelving units and are not stored in boxes. Although some of the individual shelves appeared to have been overloaded at some point in time during their use, the shelving units all appeared to be braced against lateral movement.

As stated above, the facility appears to be on grade and there appeared to be no signs of structural problems at the facility except some minor "stair step" settlement cracking in the masonry walls which appears to have been recently repaired. The facility is constructed of non-combustible materials (masonry walls at the perimeter, steel columns with partial masonry enclosures, steel, open web truss beams and metal roof deck). The office space at the front of the facility was constructed of drywall partitions and suspended acoustical tile ceiling with 2'x4' lay in light fixtures. Although there was some staining of the interior

surface of the exterior walls at various locations, there did not appear to be any active leaks (although it should be pointed out that, at the time of the inspection, there had not been much rain for quite sometime). It was stated during the inspection that the roof on the facility was relatively new. The locations of the stains would indicate possible previous problems with roof perimeter flashings.

While the office space was air conditioned, the storage space had no air conditioning. When the inspection began, the roof top ventilators were not running (the hand-off-automatic switch was in the "off" position. These switches were placed in the "on" position (although it appeared that the system was designed to be left in the "auto" position with thermostats to bring on the fans when the temperature reached a set point temperature). The temperature of the space was measured by thermometer at 84 degrees Fahrenheit. The relative humidity measured with a Bacharach sling psychrometer was approximately 70%. These conditions are acceptable for the storage of non permanent records but they are less than ideal for the storage of permanent records.

In looking at the structure, there appeared to be a few deficiencies. First, Section 1228.222(a)(2) requires that the floor load limit be established by a structural engineer and that the limit be posted in a conspicuous location. As previously stated, there appeared to be no structural problems. If the floor slab is on grade, the capacity of the slab should be more than adequate, but the floor load capacity should be determined and should be posted as required.

Second, section 1228.222(b)(5) requires building columns to have 2-hour fire resistive protection "...from the floor to the point where they meet the ceiling or the roof framing system." The masonry around the steel columns appears to provide the required fire protection but, the masonry ends approximately 6 feet down from the roof deck. The fire resistive rating should extend to the underside of the roof deck.

Third, section 1228.222(b)(7) states that, "(w)here 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 ..." the top chord will be protected with a 10 minute fire resistive coating or that the structural system be protected by large drop sprinkler heads. Although it was not possible during this inspection to measure the dimensions of the bar joist, it was noted that the open web bar joists did not have any protective coating on the top chord. The current fire sprinkler system did not appear to provide the required large drop sprinkler protection.

The storage space is provided with gas unit heaters. Section 1228.222(b)(8) prohibits the use of open flame (oil or gas) equipment or unit heaters in records storage areas. In fact, the new draft standards prohibit running gas lines through records storage areas.

The area is protected by an intrusion alarm system that, according to the facility manager, sends a signal to the tenant's headquarters building in downtown Washington, DC (which is monitored 24 hours per day), who in turn contacts the Alexandria, Virginia police department. The response time from the police was indicated to be approximately 2 minutes.

Regarding firesafety, the entire space inspected at [redacted] was approximately 60,000 square feet. According to 1228.222(b)(1), storage spaces shall not exceed 40,000 square feet without fire separation. An 8 inch masonry wall was provided to separate the open shelving storage space from space containing file cabinets however, the opening did not qualify as a fire separation since it has two large framed openings without fire rated doors. There was another masonry partition separating the file cabinet storage area from adjacent mixed use storage and that wall did reduce the size of the total space to under the required maximum 40,000 square feet (1228.222(b)(1)). The wall did have a double door held open by door closures with fusible links. The rating of both leaves of the door appeared to be 1-1/2 hours based on the label on the door (this is a Class B labeled door). No fire rating was seen on the door frame. According to 1228.222(b)(2), openings in fire walls shall be avoided. If openings are required (such as in the case of this door) the door shall be a Class A fire door or equivalent (on each side of the wall opening). This opening may meet local fire codes but it does not meet 1228.222(b)(2). Further, it did not appear that the walls/ceilings separating the storage space from other auxiliary spaces were 2 hour rates per 1228.222(b)(1).

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The steel beam at the top of the masonry fire wall had a fire resistive coating (type of material and thickness could not be determined during this inspection). This steel beam did provide support to the roof structure. The storage space itself has a fire sprinkler system (upright pendant heads spaced approximately 10 feet on center in both directions). In looking at the incoming water service to the sprinkler system, it appears to be a dry pipe sprinkler system (water is held back by air pressure requiring the air to release from the line before water fills the line). Section 1228.22(b)(11) requires the fire sprinkler system to be a wet pipe system. During the inspection, test records were found that indicate the sprinkler system was tested on November 10, 1994 and on August 29, 1997.

The water cutoff valves for the fire sprinkler system had tamper switches and some had frangible locks to prevent unauthorized closure of the valves. Also, there appeared to be water flow switches in the piping. It should be verified that these water flow switches send a signal to a continuously staffed fire department or to a central station with responsibility for immediate response (refer to 1228.222(b)(14)).

It is important that the facility have a dependable water supply (refer to 1228.222(b)(17)). At the time of inspection it wasn't possible to determine if the facility had a backup water supply or if the facility is on a "loop" water supply system that would allow maintenance staff to close some water supply valves for service without completely shutting off water service to the facility. The adequacy of the water supply system needs to be verified to insure compliance with 1228.222(b)(17).

There appeared to be some carpet staining outside the fire sprinkler valve room (the stains were dry although there was some minor leakage on the floor of the valve room).

Spare sprinkler heads stored in a cabinet in the sprinkler valve room were rated at 165 degrees Fahrenheit (the previous standard allowed sprinkler heads rated at 286 degrees - the

new standards requires 165 degree quick response heads). The 165 degree sprinkler heads appear appropriate for this facility although it would be desirable that they be quick response heads.

Missing from the facility was a manual fire alarm system. Section 1228.22(b)(15) requires a manual fire alarm system connected to a central station or other means of notifying the municipal fire department. At a minimum, manual alarm pull stations are required adjacent to each exit.

The facility did not have any interior fire hose cabinets. The requirements for fire hose cabinets (whether they contain stored fire hoses or not) are outlined in 1228.222(b)(18).

Fire extinguishers have been provided and are generally located adjacent to exits. These extinguishers had tags indicating that they are checked and serviced every six months.

Following the inspection at [redacted] we reviewed another adjacent facility at [redacted]. This facility had many of the same deficiencies noted above. A complete inspection was not performed on Friday, July 23, 1999.

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After the space at [redacted] was inspected, we walked another adjacent facility that was under "fit out" construction. Since this space was under construction, it was premature to perform an inspection. It is recommended that the person or persons overseeing the construction review the electrical wiring installation for compliance with 1228.222(b)(10) - in particular to make sure that armored cable only be used as light fixture "whips" and only as permitted by the National Electrical Code.

If there are any questions concerning any of the items listed above, please contact [redacted]

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National Archives and Records Administration
Office of Administrative Services
Space and Security Management Division
Agency Records Center Inspection

Agency:	Federal Bureau of Investigations		
Facility:		Virginia	
Inspector:	<div style="border: 1px solid black; width: 100%; height: 100%;"></div>	<u>July 23, 1999</u> Date	
Civil Engineer, Space and Security Management Division			

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Facility description:

Single story warehouse located off of Virginia.
Exterior construction is brick (masonry), interior side of exterior walls is block (cmu).
Parking is adjacent to building on one side.

Roof -- metal deck. Built-up roofing?

Owner: CSM Management Corp
Rep.:

Compliance with 36 CFR §1228.222

Sub-para.	Requirement	OK	No	Part
(a)(1)(a)	Facility should be a single-story building, at or above grade level	√		
(a)(1)(b)	Facility shall be constructed with non-combustible materials.	√		
(a)(2)	Floor load limit shall be established for the records storage area by a structural engineer. The allowable load limit shall be posted in a conspicuous place and shall not be exceeded.		√	

Compliance with 36 CFR §1228.222				
Sub-para.	Requirement	OK	No	Part
(a)(3)(a)	Steel shelving or other open-shelf records storage equipment shall be braced to prevent collapse under full load in accordance with Federal Specifications AS-S-271 or AA-S-1047.	√		
(a)(3)(b)	The records storage height shall not exceed 15 feet.	√		
(a)(4)	The area occupied by the center shall be equipped with an anti-intrusion alarm system, or equivalent, to protect against unlawful entry after hours.	√		
(b)(1)(a)	All walls separating records areas from each other and from other storage areas in the building shall be four-hour fire resistant.		√	
(b)(1)(b)	The records areas shall not exceed 40,000 square feet each.	√		
(b)(1)(c)	Two-hour-rated firewalls shall be provided between the records storage areas and other auxiliary spaces.		√	
(b)(1)(d)	Penetrations in the walls shall not reduce the specified fire resistance ratings.	√		
(b)(2)	Openings in firewalls shall be avoided as far as possible but if openings are necessary they shall be protected by self-closing or automatic Class A firedoors, or equivalent, on each side of the wall openings		√	
(b)(3)	Roof support structures that cross or penetrate firewalls shall be cut and supported independently on each side of the firewall.	√		
(b)(4)	If firewalls are erected with expansion joints, the joints shall be protected their full height with No. 10 iron astragals lapping the opening on each side of the firewall.	√		
(b)(5)	Building columns in the records storage area shall be 2-hour fire resistant from the floor to the point where they meet the ceiling or roof framing system.		√	

Compliance with 36 CFR §1228.222				
Sub-para.	Requirement	OK	No	Part
(b)(6)	Automatic roof vents shall not be designed into new or existing buildings	n/a		
(b)(7)	Where lightweight steel roof or floor supporting members are present, they shall 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.		√	
(b)(8)(a)	Furnace or boiler rooms shall be separated from records storage areas by 4-hour rated firewalls, with no openings from these rooms to the records storage areas.	√		
(b)(8)(b)	No open flame (oil or gas) equipment or unit heaters shall be installed or used in any records storage area.		√	
(b)(9)	The arrangement of the records storage equipment shall be such that there are no dead-end aisles. Equipment rows running perpendicular to the wall shall terminate at least 18 inches from the wall.	√		
(b)(10)(a)	No oil-type electrical transformers, regardless of size, except thermally protected devices included in fluorescent light ballasts, shall be installed in records storage areas	√		
(b)(10)(b)	All electrical wiring shall be in metal conduit, except that armored cable may be used where flexible connections to light fixtures are required.	√		
(b)(11)	All records storage and adjoining areas shall be protected by automatic wetpipe sprinklers		√	
(b)(12)(a)	The sprinkler system shall be rated at 286 degrees Fahrenheit [rated at 165°]	√		
(b)(12)(b)	The sprinkler system shall be designed to provide 0.30 gpm per square foot for the most remote 1,500 square feet of floor space, with a minimum flowing pressure of 7.0 psi at the most remote sprinkler head. [Hydraulic calculations not reviewed]			

Compliance with 36 CFR §1228.222				
Sub-para.	Requirement	OK	No	Part
(b)(12)(c)	Installation shall be in accordance with Standard Number 13 of the National Fire Protection Association			
	Contractor's Material and Test Certificates per NFPA 13 chapter 8			
	Hydraulic Calculations			
(b)(13)(a)	Maximum spacing of the sprinkler heads shall be on a 10-foot grid.	√		
(b)(13)(b)	The positioning of the heads shall provide complete, unobstructed coverage, with a clearance of not less than 18 inches from the top of the highest stored materials.	√		
(b)(14)	The sprinkler system shall be equipped with a water-flow alarm connected to a continuously staffed fire department or central station, with responsibility for immediate response. [See note]			√
(b)(15)(a)	A manual fire alarm system shall be provided with central station services or other automatic means of notifying the municipal fire department		√	
(b)(15)(b)	A manual alarm pull station shall be located adjacent to each exit.		√	
(b)(16)	All water cutoff valves in the sprinkler system shall be equipped with automatic closure alarm connected to a continuously staffed station, with responsibility for immediate response. [see note]			√
(b)(17)	A dependable water supply free of interruption shall be provided. This normally requires a backup supply system having sufficient pressure and capacity to meet both firehose and sprinkler requirements for 2 hours. [see note]			

Compliance with 36 CFR §1228.222				
Sub-para.	Requirement	OK	No	Part
(b)(18)(a)	Interior firehose stations equipped with a 1½ inch diameter hose* shall be provided in the records storage areas, enabling any point in the records storage area to be reached by a 50-foot hose stream from a 100-foot hose lay.		√	
(b)(18)(b)	*The fire hose shall not be provided unless training in the handling and use of small hoses, protective gear, and breathing equipment has been given and these protective items are available for brigade members.		√	
(b)(19)	In addition to the designated sprinkler flow demand, 500 gpm shall be provided for hose stream demand. The hose stream demand shall be calculated into the system at the base of the main sprinkler riser.		√	
(b)(20)(a)	Fire hydrants should be located within 250 feet of each exterior entrance or other access to the records center that could be used by fire-fighters	√		
(b)(20)(b)	All hydrants should be at least 50 feet away from the building walls and adjacent to a roadway usable by fire apparatus	√		
(b)(21)	Portable water-type fire extinguishers (2½-gallon stored-pressure type) shall be provided at each fire alarm striking station [at exits]	√		
(b)(22)(a)	Where provided, the walking surface of the catwalks shall be of expanded metal. at least 0.09-inch thickness with a 2-inch mesh length.	n/a		
(b)(22)(b)	The sprinkler water demand for protection over bays with catwalks where records are not oriented perpendicular to the aisles shall be calculated to give 0.3 gpm per square foot for the most remote 2,000 square feet.	n/a		
(b)(23)	The storage of hazardous cellulose nitrate film is prohibited.	√		

Compliance with Federal Facility Security Standards, Level III				
Citation	Requirement	OK	No	Part
S1	Control of facility parking		√	
S2	Receiving/Shipping procedures			
S3	Intrusion detection system with central monitoring	√		
S4	Meets Life Safety Standards			
S5	Adequate exits from records storage areas	√		
S6	High security locks on entrances/exits			
S7	Visitor control/screening system			
S8	Prevent unauthorized access to utility areas			
S9	Provide emergency power to critical systems		√	
S10	Conduct background security checks and/or establish security control procedures for service contract personnel			
Notes				
Reference	Comments			
(a)(1)(b)	Floor slab -- concrete w/sealer, no signs of structural problems			
(a)(3)	14' high shelving in one section, six drawer file cabinets in another section, card storage in another section, and mixed storage in a fourth area.			
(b)(6)	Ventilation is flow through with roof mounted ventilators (fans) drawing air through the space out through the fans to the roof. Rear wall belt driven fans not in use.			
(b)(7)	Column spacing 25' -- open web steel joist support roof. Columns enclosed in cmu up to a point approximately 6' down from roof slab.			
(b)(8)(b)	Unit heaters, natural gas fired.			
(b)(10)	Electric panels -- typically 200 amp, 42 space panels feeding lights and fans. Some spare spaces.			

Notes	
Reference	Comments
(b)(11)	Spare sprinkler heads 165°. Fire alarm panel: Honeywell. Dry pipe sprinkler system tested 11/10/94 and 8/29/97 according to tickets. Static pressure 130/130 Residual water 120 psi. Sprinkler system -- penants (upright) ca. 10' o.c. Appears to be a dry pipe system
(b)(14)	Sounds exterior bell. No indication of central monitoring.
(b)(15) S-4	According to tenant, fire alarm (apparently a water flow since facility has no manual pull stations, smoke detectors, etc.) sounds a bell outside -- no bells inside facility
(b)(15)(b)	No manual pull stations.
(b)(16)	No indication of central monitoring. Sprinkler OS&Y and isolation valves have tamper switches and/or locks w/chains. Uncertain where alarm reports.
(b)(17)	Data not available at time of inspection. Documentation will be required prior to NARA approval.
(b)(21)	Fire extinguishers inspected 10/98 and 3/99; next inspection scheduled for Tuesday, July 27, 1999.
S3	[REDACTED]
S-4	Emergency lights w/battery packs (not tested) Supplemental exit signs -- pobably not adequate.
Lights	Light fixtures in storage areas -- 2 tube fluorescent suspended by chains from above.
Drains	Uninsulated roof drain lines run through space -- tenant says no problem with condensation.
Environ- ment	With roof fans running, storage space is at negative pressure w/outside -- possibly drawing in fumes.
Water Leaks	Staining on perimeter masonry walls may be from old leaks -- not active according to tenant.
Roof	According to tenant, roof is relatively new.
Additional	See memo to [REDACTED] NWML dated July 26, 1999 for additional narrative

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Notes

Reference	Comments
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National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

October 15, 2001

Federal Bureau of Investigation
J. Edgar Hoover Building
Room 1B327 Box 20
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

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Dear

Enclosed for your files are copies of three signed Standard Forms 258 (our numbers NN3-065-02-004, -006, and -007) for the recent transfers of Classes 65 and 101 and of the records of William P. Sessions. As indicated by my signature in block 16 of each form, these records have been accepted into the National Archives of the United States.

Thank you for your assistance. Copies of the forms covering the other classes transferred at the same time will be sent as soon as possible.

Sincerely,

A handwritten signature in cursive script, appearing to read "Ron".

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures

66F-HQ-C1190059-259

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

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.

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.

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

2A. AGENCY APPROVAL Signature: _____ Date: <u>9/20/01</u>	3A. NARA APPROVAL <i>NA 102201 Act. 10/4/01</i> Signature: _____ Date: <u>10/5/01</u>
2B. NAME, TITLE, MAILING ADDRESS _____ - FBI Archives Specialist Room 1B327 - Box 20 935 Pennsylvania Avenue, N.W. Washington, DC 20535	3B. NAME, TITLE, MAILING ADDRESS _____ b6 b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE Official Records of Former FBI Director William S. Sessions	
4B. DATE SPAN OF SERIES 11/2/1987 - 9/19/1993 (Attach any additional description.)	
5A. AGENCY OR ESTABLISHMENT U.S. Department of Justice	9. PHYSICAL FORMS <input checked="" type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input 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 type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____
5B. AGENCY MAJOR SUBDIVISION Federal Bureau of Investigation	10. VOLUME: _____ CONTAINERS _____ Cu. Mtr. _____ (Cu. Ft. 13.66) Number _____ Type _____
5C. AGENCY MINOR SUBDIVISION Office of the Director	
5D. UNIT THAT CREATED RECORDS _____	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES 9/26/2001
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: _____ Telephone Number: _____	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO (if no, attach limits on use and justification.)
6. DISPOSITION AUTHORITY: N1-65-82-4 Part E, Item 7 (A)	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.) <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input checked="" type="checkbox"/> NO <input checked="" type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO <input type="checkbox"/> Other _____ INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified	
8. CURRENT LOCATION OF RECORDS <input checked="" type="checkbox"/> Agency (Complete 8A only) <input type="checkbox"/> Federal Records Center (Complete 8B only)	14. ATTACHMENTS <input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional-Description <input type="checkbox"/> NA Form 14097-or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input checked="" type="checkbox"/> Other (specify): Inventory Diskette <input type="checkbox"/> SF(s) 135
8A. ADDRESS 935 Pennsylvania Avenue Washington, DC 20535	8B. FRC ACCESSION NUMBER CONTAINER NUMBER(S) FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION <i>Security Classified EO 12958-2</i>	RG 65
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature: <i>Ronald Edwards</i> Date: <u>10/15/01</u>	17. NATIONAL ARCHIVES ACCESSION NO. NN3-065-02-007

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)

IT 9206

Rec 2915

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

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.

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 copies 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.

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

2A. AGENCY APPROVAL

Signature _____

Date 9/20/01

3A. NARA APPROVAL

Signature _____

Date 10/5/01

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

65 Classification - Third Interim transfer of FBIHQ case files pertaining to investigations of Espionage

4B. DATE SPAN OF SERIES 1939 through 1944

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public and Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics Mtr. _____ (Cu. Ft. 41.66 Number _____ Type _____)

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

Name: _____

Telephone Number _____

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, Item 65

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

____ Federal Records Center (Complete 8B only)

8A. ADDRESS

935 Pennsylvania Avenue, N.W.

Washington, D.C. 20535

9. PHYSICAL FORMS

Paper Documents

Posters

Paper Publications

Maps and Charts

Microfilm / Microfiche

Arch / Eng Drawings

Electronic Records

Motion / Sound Video

Photographs

Other (specify): _____

10. VOLUME:

CONTAINERS

____ Mtr. _____ (Cu. Ft. 41.66 Number _____ Type _____)

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

9/28/01

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

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

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

Box 153 to be transferred later.

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

See entry Classified 50111 2903

RG

65

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

Signature _____

Date 10/15/01

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-065-02-004

ID 3303

Enc 2712

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

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.

These records will be processed 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.

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

2A. AGENCY APPROVAL

Signature _____

Date 9/20/01

3A. NARA APPROVAL

Signature _____

Date 10/5/01

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Department of Justice, Federal Bureau of
Investigation, 935 Pennsylvania Avenue, NW
Washington, D. C. 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

101 Classification - Second Interim FBIHQ case files pertaining to investigations of Hatch Act

4B. DATE SPAN OF SERIES 1942 thru 1953

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public & Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics

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

Name _____

Telephone Number: _____

6. DISPOSITION AUTHORITY:

NI 65-82-4 Part B, Item 101

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

____ Federal Records Center (Complete 8B only)

8A. ADDRESS

Department of Justice, Federal Bureau of
Investigation, 935 Pennsylvania Avenue NW
Washington, D. C. 20535

9. PHYSICAL FORMS

Paper Documents

Posters

Paper Publications

Maps and Charts

Microfilm / Microfiche

Arch / Eng Drawings

Electronic Records

Motion / Sound Video

Photographs

Other (specify): _____

10. VOLUME:

CONTAINERS

Cu. Mtr. _____ (Cu. Ft. 15.00) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

9/26/01

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

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

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

Box 114 to be transferred later.

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

Security Classified EOP 29035

RG

65

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

Signature _____

Date 10/15/01

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-065-02-006

ID 3315

Rec 2914

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 16, 2001

[Redacted]

b6
b7C

Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Room 1B327 Box 20
Washington, DC 20535-0001

Dear [Redacted]

Per our recent phone conversation we are returning without action Job No. N1-65-01-1 covering records mandated for destruction pursuant to the provisions of the Pretrial Diversion Program. We understand that currently the FBI does not have time and staff resources available to provide NARA with the background information needed to process this schedule. However, we look forward to receiving this schedule in the future.

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

Sincerely,

[Redacted Signature]

Life Cycle Management Division

Enclosure

66F-HQ-C1190059-260

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- 88 -1	
1. FROM (Agency or establishment) Department of Justice		DATE RECEIVED 12-18-2000	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Information Resources Division		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.	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
			WITHDRAWN b6 b7C

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 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
 is not required; is attached; or has been requested.

DATE 12/8/2000	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Archives Specialist Information Management Section
-------------------	--	--

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Files, index cards and related material maintained at FBI Headquarters and various FBI field offices. These records have been mandated for destruction pursuant to the provisions of the Federal Pre-Trial Diversion Program. Additionally, continued maintenance by the FBI may conflict with Title 5, United States Code, Section 552a (Privacy Act of 1974), as amended. This "Request For Records Disposition Authority" is being submitted inasmuch as the records subject to expungment have been identified as PERMANENT according to criteria set forth in Part A and Part D of the FBI Records Retention Plan and Disposition Schedules and as required by NARA Job N1-65-88-03, Item 1(B). FBIHQ 147-27262 (1 volume) Jackson 147-278 (3 volumes) DESTROY immediately		
	FBIHQ 89-0 (2 serials) Birmingham 89B-210 (2 volumes) DESTROY immediately		
	FBIHQ 147-27606 (1 volume) Jackson 147B-285 (2 volumes) DESTROY immediately		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

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>FBIHQ 250-0 (4 serials) Birmingham 250-9 (25 serials)</p> <p style="padding-left: 40px;">DESTROY immediately</p> <p>San Diego 52A-8186 Sub 224 (2 volumes - 1A only)</p> <p>San Antonio 46-3107 (17 volumes)</p> <p style="padding-left: 40px;">DESTROY immediately</p> <p>Chicago 196B-2467 (1 volume) Chicago 196B-3301 (1 volume)</p> <p style="padding-left: 40px;">DESTROY immediately</p> <p>FBIHQ 89-6033 (1 volume) San Diego 89B-483 (2 volumes)</p> <p style="padding-left: 40px;">DESTROY immediately</p>		



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

October 17, 2001

[Redacted]

b6
b7C

Federal Bureau of Investigation
Room 1B327 Box 20
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear [Redacted]

Attached for your files are copies of four signed Standard Forms 258 (our numbers NN3-065-02-001, -002, -003, and -005) for the recent transfers of records in Classes 40, 44, 50, and 74. As indicated by my signature in block 16 of each form, these records have been accepted into the National Archives of the United States.

Thank you for offering and delivering these records to us.

Sincerely,

[Redacted Signature]

Initial Processing/Declassification Division

Enclosures

66F-HQ-C1190059-261

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

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.

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 copies 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.

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

2A. AGENCY APPROVAL

3A. NARA APPROVAL

Signature _____ Date 9/20/01

Signature _____ Date 10/5/01

2B. NAME, TITLE, MAILING ADDRESS

3B. NAME, TITLE, MAILING ADDRESS

_____- Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535

b6
b7c

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

40 Classification - Interim transfer of FBIHQ case files pertaining to investigations of Passport and Visa Matters

4B. DATE SPAN OF SERIES 1920 through 1929

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public and Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics

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

Name: _____
Telephone Number: _____

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, Item 40

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535

9. PHYSICAL FORMS

Paper Documents

Paper Publications

Microfilm / Microfiche

Electronic Records

Photographs

Posters

Maps and Charts

Arch / Eng Drawings

Motion / Sound Video

Other (specify): _____

10. VOLUME:

CONTAINERS

6 Mtr. _____ (Cu. Ft. 3.33) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

9/26/01

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

14. ATTACHMENTS

Agency Manual Excerpt

Additional Description

Privacy Act Notice

Other (specify):

Diskette

Listing of Records Transferred

NA Form 14097 or Equivalent

Microform Inspection Report

SF(s) 135

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

Security Classified EOP 1d 29030

65

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

17. NATIONAL ARCHIVES ACCESSION NO.

Signature _____

Date _____

10/17/01
NN3-065-02-001

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

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 9/20/01

3A. NARA APPROVAL

Signature _____

Date 10/2/01

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification - Interim transfer of FBIHQ case files pertaining to investigations of Civil Rights

4B. DATE SPAN OF SERIES 1922 through 1964

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public and Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition Archival and Micrographics

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

Name _____

Telephone Number _____

6. DISPOSITION AUTHORITY:

N1- 65-82-04 Part B, Item 44

7. IS SECURITY CLASSIFIED INFORMATION PRESENT?

LEVEL: Confidential Secret Top Secret YES

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

935 Pennsylvania Avenue, N.W.

Washington, D.C. 20535

9. PHYSICAL FORMS

Paper Documents

Posters

Paper Publications

Maps and Charts

Microfilm / Microfiche

Arch / Eng Drawings

Electronic Records

Motion / Sound Video

Photographs

Other (specify): _____

10. VOLUME:

CONTAINERS

Mtr. _____ (Cu. Ft. 90.0) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

9/26/01

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

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

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

5000

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

Security Classified EOPIN 29031

RG

65

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

Signature _____

Date 10/18/01

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-065-02-002

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

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 9/20/01

3A. NARA APPROVAL

Signature _____

Date 10/5/01

2B. NAME, TITLE, MAILING ADDRESS

- Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W..
Washington, D.C. 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7c

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

50 Classification - Transfer of FBIHQ microfilm case files and indices records pertaining to investigations of Involuntary Servitude and Slavery

4B. DATE SPAN OF SERIES 1921 through 1950

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public and Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics

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

Name _____

Telephone Number: _____

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, ITEM 50

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

935 Pennsylvania Avenue, N.W.

Washington, D.C. 20535

9. PHYSICAL FORMS

Paper Documents

Posters

Paper Publications

Maps and Charts

Microfilm / Microfiche

Arch / Eng Drawings

Electronic Records

Motion / Sound Video

Photographs

Other (specify): 9 reels

10. VOLUME:

CONTAINERS

Cu. Mtr. _____ (Cu. Ft. 1.88) Number _____ Typ 26, 962 pgs

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

9/26/01

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

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

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

Security Classified EO 13526 29032

RG

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

Signature _____

Date 10/18/01

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-065-02-003

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

I. 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.

<p>2A. AGENCY APPROVAL</p> <p>Signature: _____ Date: <u>9/20/01</u></p>	<p>3A. NARA APPROVAL</p> <p>Signature: _____ Date: <u>10/5/01</u></p>
<p>2B. NAME, TITLE, MAILING ADDRESS</p> <p>Archives Specialist Federal Bureau of Investigation 935 Pennsylvania Avenue, N.W. Washington, D. C. 20535</p>	<p>3B. NAME, TITLE, MAILING ADDRESS</p> <p style="text-align: right;">b6 b7C</p>

RECORDS INFORMATION

<p>4A. RECORDS SERIES TITLE 74 Classification - Transfer of FBIHQ case files and indices records pertaining to investigations of Perjury</p> <p>4B. DATE SPAN OF SERIES 1924 through 1975 (Attach any additional description.)</p>											
<p>5A. AGENCY OR ESTABLISHMENT Department of Justice</p> <p>5B. AGENCY MAJOR SUBDIVISION Federal Bureau of Investigation</p> <p>5C. AGENCY MINOR SUBDIVISION Office of Public and Congressional Affairs</p> <p>5D. UNIT THAT CREATED RECORDS Records Disposition Archival and Micrographics</p>	<p>9. PHYSICAL FORMS</p> <table style="width: 100%;"> <tr> <td><input checked="" type="checkbox"/> Paper Documents</td> <td><input type="checkbox"/> Posters</td> </tr> <tr> <td><input type="checkbox"/> Paper Publications</td> <td><input type="checkbox"/> Maps and Charts</td> </tr> <tr> <td><input type="checkbox"/> Microfilm / Microfiche</td> <td><input type="checkbox"/> Arch / Eng Drawings</td> </tr> <tr> <td><input type="checkbox"/> Electronic Records</td> <td><input type="checkbox"/> Motion / Sound Video</td> </tr> <tr> <td><input type="checkbox"/> Photographs</td> <td><input type="checkbox"/> Other (specify): _____</td> </tr> </table>	<input checked="" type="checkbox"/> Paper Documents	<input type="checkbox"/> Posters	<input type="checkbox"/> Paper Publications	<input 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 type="checkbox"/> Photographs	<input type="checkbox"/> Other (specify): _____
<input checked="" type="checkbox"/> Paper Documents	<input type="checkbox"/> Posters										
<input type="checkbox"/> Paper Publications	<input 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 type="checkbox"/> Photographs	<input type="checkbox"/> Other (specify): _____										
<p>5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS</p> <p>Name: _____ Telephone Number: _____</p>	<p>10. VOLUME: _____ CONTAINERS _____ Mr. _____ (Cu. Ft. <u>8.77</u>) Number _____ Type _____</p>										
<p>6. DISPOSITION AUTHORITY: N1-65-82-04 Part B, Item 74</p>	<p>11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES 9/26/01</p>										
<p>7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input checked="" type="checkbox"/> NO <input checked="" type="checkbox"/> YES</p> <p>LEVEL: <input checked="" type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret</p> <p>SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO</p> <p>INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified</p>	<p>12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO (if no, attach limits on use and justification.)</p>										
<p>8. CURRENT LOCATION OF RECORDS</p> <p><input checked="" type="checkbox"/> Agency (Complete 8A only) <input type="checkbox"/> Federal Records Center (Complete 8B only)</p>	<p>13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>										
<p>8A. ADDRESS 935 Pennsylvania Avenue, N.W. Washington, D.C. 20535</p>	<p>14. ATTACHMENTS</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Agency Manual Excerpt</td> <td><input checked="" type="checkbox"/> Listing of Records Transferred</td> </tr> <tr> <td><input type="checkbox"/> Additional Description</td> <td><input type="checkbox"/> NA Form 14097 or Equivalent</td> </tr> <tr> <td><input type="checkbox"/> Privacy Act Notice</td> <td><input type="checkbox"/> Microform Inspection Report</td> </tr> <tr> <td><input type="checkbox"/> Other (specify): Diskette - filed with NN3-065-02-001</td> <td><input type="checkbox"/> SF(s) 135</td> </tr> </table>	<input type="checkbox"/> Agency Manual Excerpt	<input checked="" type="checkbox"/> Listing of Records Transferred	<input type="checkbox"/> Additional Description	<input type="checkbox"/> NA Form 14097 or Equivalent	<input type="checkbox"/> Privacy Act Notice	<input type="checkbox"/> Microform Inspection Report	<input type="checkbox"/> Other (specify): Diskette - filed with NN3-065-02-001	<input type="checkbox"/> SF(s) 135		
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<input type="checkbox"/> Other (specify): Diskette - filed with NN3-065-02-001	<input type="checkbox"/> SF(s) 135										
<p>8B FRC ACCESSION NUMBER _____</p>	<p>CONTAINER NUMBER(S) _____</p>										
<p>FRC LOCATION _____</p>											

NARA PROVIDES

<p>15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION</p> <p><i>Security Classified EOTW 29034</i></p>	<p>RG 65</p>
<p>16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES</p> <p>Signature: <u>Ronald E. Swartz</u> Date: <u>10/17/01</u></p>	<p>17. NATIONAL ARCHIVES ACCESSION NO. NN3-065-02-005</p>

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National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 23, 2001

NWM 03.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on November 15, 2001, and September 18, 2001, BRIDG Meeting Summary.

The next BRIDG Meeting will be held on Thursday, November 15, from 10 A.M. to noon at the Department of Energy Headquarters Building (Forrestal Building) at 1000 Independence Avenue, SW, Washington, DC. The Forrestal Building is accessible via the Smithsonian Metro stop (Orange and Blue Line access). Take the Independence Avenue exit and walk one block on Independence to the DOE Building. A registration table will be located in the visitors' lobby.

The meeting will include discussions of vital records/disaster recovery and NARA's new distance learning project, as well as updates on NARA initiatives.

To reserve a place for the meeting, please provide your name, telephone number, and number of attendees to [redacted] on [redacted] extension [redacted] (or email [redacted]@nara.gov), no later than noon on Friday, November 2, 2001. Capacity is limited, so please reserve early.

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A summary of the September 18, 2001 BRIDG meeting is attached. The topic of this meeting was "Current Recordkeeping and Records Use within the Federal Government Project."

A handwritten signature in cursive script that reads "Michael L. Miller".

MICHAEL L. MILLER
Director
Modern Records Programs

Enclosure

66F-HQ-C1190059-262

Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary
10:00 a.m. – 12:00 p.m., September 18, 2001
Department of Energy, Forrestal Building, 1000 Independence Ave., SW, Washington, DC

**TOPIC: "Current Recordkeeping and Records Use
within the Federal Government Project"**

Approximately 45 people attended the latest BRIDG meeting on September 18, 2001. Michael L. Miller, Director of Modern Records Programs, welcomed the participants and thanked the Department of Energy for hosting the meeting.

In his welcoming address, Mike Miller recognized that many records officers were directly affected by the September 11th terrorist attacks. Participants observed a moment of silence for the victims of this national tragedy.

Update on Current Recordkeeping and Records Use within the Federal Government Project – Dr. Lewis Bellardo, Deputy Archivist of the United States

Dr. Lewis Bellardo, Deputy Archivist of the United States discussed the status of the Current Recordkeeping and Records Use within the Federal Government Project. He began by reviewing the data collection process that began last December in an attempt to develop an accurate understanding of current practices of creation, use, maintenance, and disposition of records.

There were two parts to the data collection. In part one, the NARA contractor, SRA, interviewed CIOs, General Counsels and Inspector General staff, and held focus group meetings with records users and creators about their views and perceptions concerning records management. The contractor was also responsible for a web survey that had excellent results, with 70% participation in agencies throughout the DC area. In the second data collection, NARA staff visited agencies and examined work processes and records (a process we are calling "Records Systems Analyses," or "RSAs.") to determine how records are actually being managed. In order to have better coverage of the different types of Federal agencies and work processes, NARA is doing four additional RSAs.

The contractor will utilize data collected by both groups to submit a final, comprehensive report in December.

Dr. Bellardo shared some broad findings that will be further illuminated in the report. It was generally stated that the better defined and exacting a process, the more likely the records were being kept in accordance with disposition authorities. The less defined and more staff involved in a process, the more likely it was that records dispositions and authorities were not being properly implemented. Additionally, the more risk that is associated with a process, the more staff was inclined to have well defined procedures and records management practices.

These findings allude to several issues that NARA may need to examine. First, since it may be difficult to accommodate the needs of all Federal agencies in general guidance, NARA may need to develop different approaches for providing more specific guidance. Dr. Bellardo stated that he

wants to move ahead in some areas while we wait for the contractor report. For example, NARA needs to work with libraries and the Government Printing Office to be sure Government publications are appropriately disseminated and preserved. NARA is also moving ahead on web guidance and transfer standards for electronic records.

In response to remarks on the web survey about NARA's leadership role, one participant interjected that it would be good for NARA to be an advocate for records management with legislative and policy making groups and to encourage integrated information management in the Federal Government.

Dr. Bellardo also asked attendees for ideas on gaining entry into some agencies. Records Officers suggested that NARA work around the peak times for an agency, even if it required waiting six to eight months to gain access. NARA should also obtain contacts beyond the core person in case they cannot schedule interviews with the person originally identified.

Dr. Bellardo concluded his presentation by stating that he will keep records officers up-to-date on the project and thanked them for their support. Any ideas or questions should be directed to [redacted] Policy and Communications Staff at 301 713-7360, ext [redacted] or by email at [redacted]@nara.gov.

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NARA's Gaps Project – Bill LeFurgy

Bill LeFurgy, Modern Records Program, presented a report on the Gaps project.

Brief Review of Vital Records – Mike Miller

Because of recent events, Mike Miller addressed the audience on what NARA currently offered, and what NARA would offer in the future on vital records.

Mike Miller recommended that record officers look at the NARA website for the updated guidance on vital records and disaster recovery (www.nara.gov/records/vital.html). He also suggested looking at the web sites of several agencies that have good vital records and disaster recovery programs such as the EPA, Navy, USDA and Bonneville Power Administration.

Federal agencies in the New York City area that need assistance should contact the NARA-Northeast Region records management staff. The primary contact for assistance in the New York City area is Diane LeBlanc, the Regional Administrator for the NARA Northeast Region. Ms. LeBlanc can be reached at 781 647-8745. NARA's DC office is working with the Pentagon and has offered Washington National Records Center's drying chamber as well as office space to Pentagon employees. Record officers were also encouraged to contact their appraisal archivist (contact information available at: <http://www.nara.gov/records/comm/workgrp.html>.)

Regional offices regularly provide Disaster Recovery and Vital Records training. Locations can be found on the NARA website at http://www.nara.gov/records/tb_nr99.html#DPR.

NARA Headquarters is also considering Vital Records training and asked participants to send a message to the records management mailbox (recmgmt@nara.gov) to express their interest. Along with regular training, NARA is considering a free symposium on various aspects of vital records and disaster recovery. Topics under consideration are a review of current guidance, promoting a vital records program to staff and management, and providing examples of successful operation programs.

Suggestions for Future Briefings on CD-ROM – Mike Miller

Mike Miller stated that NARA was considering offering a CD-ROM presentation at RACO that would be similar to the PowerPoint presentation entitled, "Everything You Need to Know about Records – A Briefing for Managers." In response to his request for suggested topics, audience members said that they would like to see a presentation on records management for IT staff. Jean Keeting, NWM, stated that she was hoping that the IT GRS would be out by May which may assist agencies in talking to IT staff.

Review of Agency-Proposed Priorities for NARA Guidance Concerning Electronic Records Issues – Mike Miller

In response to previous requests for NARA to provide assistance to Federal agencies, six major issues have been identified. Mike Miller reviewed these items to verify that he understood the questions and gave updates, if available, on the following items:

- **Public Key Infrastructure (PKI).** Agencies want storage requirements and good recordkeeping practices for digital signatures. Agencies would like guidance at a useful level.
- **Systems certified by Department of Defense (DoD) Standard 5015.2.** Agencies are interested in NARA releasing a report on DoD certified COTS software and successful electronic record keeping projects.
- **Budgetary aspects of implementing an electronic recordkeeping system.** Agencies would like to know what the costs are for implementing an electronic recordkeeping system (ERK). NARA realizes that the costs of these systems are not really articulated in any guidance because there are specific agency processes and costs to consider when implementing an ERK.
- **Acceptable and unacceptable transfer formats for all electronic systems.** Agencies want current guidance for each format and assistance for designing future systems.
- **VCR tapes.** Agencies want guidance on storage and converting to professional-quality tapes for permanent series.
- **Permanent versus temporary electronic records systems.** Agencies would like assistance in determining what of their current systems produce permanent electronic records that NARA would like to accession.

Mike Miller asked for clarification on whether NARA was answering the right questions and if there were other topics that should be addressed. One member of the audience asked for training for the information technology professional. Miller responded that this could be a consideration for the training staff.

To capitalize on where NARA was right now with these issues, Miller stated that they were considering the legal force of FAQs versus bulletins, especially in regards to web guidance. One reaction to this idea was that some higher-level staff do not pay attention to communications unless they are outlined in a formal bulletin. It was also suggested that guidance be produced as NARA - "endorsed", "practice", or "suggested."

This led to a brief discussion on what type of guidance agencies need in regards the DoD 5015.2 Standard. Miller stated that what NARA has found through the current pilot with TruArc is that it depends on what the agency is trying to do, and how the implementation works with their architecture. He further stated that the NARA pilot runs through the end of October and that NARA would be providing lessons learned. Topics will probably include development of file plans, record definitions, and record schedules.

NARA Updates – Mike Miller

- Quicksilver is a large government wide, information technology initiative, headed by Mark Foreman, of the Office of Management and Budget. This initiative will address recordkeeping in the Federal Government as a whole rather than looking at specific agencies. The initiative will be looking at content across the Government, recordkeeping requirements, and system requirements. It will investigate how these systems can operate with each other. FIRM was also involved in providing input on the communication of information across Federal agencies.
- Bette Fugitt, Department of Agriculture, provided FIRM updates. Bette mentioned that they are trying to update the FIRM website on a weekly basis, which can be found at www.ocio.usda.gov/irm/records.
- The next BRIDG meeting will be held Thursday, November 15, 2001 at the Department of Energy, Forrestal Building. Additional information will be available on the NARA records management web site at <http://www.nara.gov/records/>, as well as via Agency Records Officer memos. Attendees must register in advance.



IRON MOUNTAIN

The Leader in Records & Information Management

30 YEARS OF TRUST
1951-2001

November 14, 2001

[Redacted]

FEDERAL BUREAU OF INVESTIGATIONS

10TH STREET & PENNSYLVANIA AVENUE,

WASHINGTON, DC 20535

Dear [Redacted]

I want to take this opportunity to introduce myself. I am the new Manager of Account Services for Iron Mountain. This is a new position for Iron Mountain in Pittsburgh. In addition to being responsible for the Account Management staff, my job is to ensure customer satisfaction and build win-win partnerships with our customers.

My first initiative is to increase customer communication. Over the coming months, you will see additional information arrive from Iron Mountain. There are many exciting things happening at Iron Mountain and we want to make sure that you are kept informed.

In addition, Iron Mountain continues to create new added value services. Are you aware that Iron Mountain provides free internet based access to the records you store with us? You can view your records inventory, order reports and much much more from the comfort of your own office using SafeKeeperPLUS.com.

The first new service that I would like to introduce to you is training for SafeKeeperPLUS.com (please see the enclosed information). These classes are provided to our customers at no cost. There are more advantages to attending our standard training than just learning the system. You can also:

1. Meet and share ideas with other Iron Mountain customers
2. Visit one of our sites and see where your material is stored
3. Meet some of the people you talk with on a regular basis

I look forward to seeing you at the SafeKeeperPLUS.com training or one of the many other activities that we sponsor.

Sincerely,

[Redacted Signature]

Manager of Account Services
Iron Mountain

Enclosure

66F-HQ-C1190059-263



IRON MOUNTAIN®
The Leader in Records & Information Management

Iron Mountain News

SafeKeeperPLUS.com Training

Iron Mountain announces a scheduled training program for the industries leading software platform SafeKeeperPLUS.com. As an Iron Mountain customer, you have FREE access to SafeKeeperPLUS.com and the world of information it provides.

If you would like to get information about your records from your office via the internet, we welcome you to attend one of our scheduled training classes.

To register for one of these FREE sessions, please contact Mark Battaglia at 724-742-1360 extension 6326 or mark.battaglia@ironmountain.com. Don't wait, space is limited.

Scheduled Sessions for 2001

⇒ Date: November 28

Location: Cranberry Township, PA

Time: 9:00am – 12:00am

⇒ Date: December 6

Location: Boyers, PA

Time: 1:00pm – 4:00pm

⇒ Date: December 18

Location: Pittsburgh, PA (West Carson Street)

Time: 9:00am – 12:00am



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

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Federal Bureau of Investigation
J. Edgar Hoover Building
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear 

The Records Center Program is off to another great start this fiscal year! We have added new space to our national holdings. We have increased our staff and continue to make improvements in customer service. We also have many new and exciting plans for the coming year. One of the new services we are starting this fiscal year is the INFORM Service.

The INFORM service provides agency representatives with an electronic listing of their records center holdings. Record Center Program staff will prepare an INFORM database in MS Access with a built-in user interface that will allow you to perform sophisticated searches of your holdings. The database will also allow you to print a listing of your agency's holdings, sort holdings by records center and disposal authority, and export data to other applications.

Included with this letter is a CD-ROM with the INFORM database, a Microsoft Excel spreadsheet containing the holdings information, and a text file containing database instructions and code definitions. Also included are basic instructions on using the INFORM database (Enclosure 1). If you need technical assistance with using the features of MS Access, we recommend that you contact your agency's Information Technology Office. If you have questions regarding the data contained in the database, please feel free to contact your account representative.

Future distribution of the INFORM service will be sent each month via e-mail. Therefore, we ask that if you're interested in receiving the database, please follow the directions in the attached INFORM registration sheet (Enclosure 2). We will initially offer this service to Departmental Records Officers. If you would like other agency representatives to receive the database, please include their names and contact information with the registration information. All individuals that register will receive the complete listing of your agency's holdings. The INFORM service will also be provided by our regional records centers in the next few months. To receive regional specific INFORM information, agency representatives should contact the Records Center

66F-HQ-C1190059 - 264

Director at the records center that services their records (Enclosure 3). The INFORM service is also available to sub-units within an agency at the record group level.

As always, I encourage you to contact your account representative to discuss your satisfaction with the program, the services we offer, and any concerns you may have relative to your agency's records storage needs [redacted] and I look forward to working with you and your agency this year. We can be reached by telephone on [redacted]

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Sincerely,

[redacted]

Program Manager

Enclosures (3)



at the
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION

INFORM

USING THE CD-ROM INSTRUCTIONS

This CD-ROM contains a Microsoft Access database of agency records stored in Federal Records Centers. It can be run from the CD but you will not be able to save any changes or queries. Therefore, we recommend that it be installed on a PC's hard drive.

To install it on a PC, copy the Access file from the CD to your hard drive. Using Windows Explorer, or My Computer, select the file name on your hard drive and right-click your mouse. Choose Properties and remove the attribute Read Only. Then open the file with MS Access.

The database opens to a search form for simple searching. To see a complete listing of all accessions simply click on the Search Data by Criteria at Right button. To narrow your search you may enter data in any, or several, of the search fields at the top of the screen and click on the Search button. The Clear Search button will blank all the search fields and the displayed data. Pre-configured buttons to the right are independent of the search criteria or results.

Deleting records from the database can be done from the search form by highlighting the row marker on the left and pressing the delete key.

Enclosure 1



at the
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION

INFORM

REGISTRATION INSTRUCTIONS

Registration for this service is very simple.

We ask that you send an e-mail message to your Account Representative at @nara.gov. The e-mail must contain the name, title, agency name, address, phone number and the **e-mail address** of the agency representatives that would like to begin receiving the INFORM service. All information requested must be provided for each recipient.

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That's it!

Agency representatives listed will be added to the monthly e-mail distribution of the INFORM database. The individuals listed will receive the complete listing of your agency's holdings. If contact information changes, please notify the Account Representative. Look for the next database to arrive at the end of the month.

Enclosure 2

Record Center Directors

Atlanta – Frederick Abahamian, (Acting) Director(404) 763-7231
NARA's Southeast Region, 1557 St. Joseph Ave, East Point, GA 30344-2593

Boston – Paul Palermo, Director(781) 647-8108
NARA's Northeast Region, 380 Trapelo Road, Waltham, MA 02452-6399

Chicago – Pamela Wegner, Director(773) 581-9685 Ext 151.
NARA's Great Lakes Region, 7358 Pulaski Road, Chicago, IL 60629-5898

Dayton – David Cornelisse, Director(937) 225-2878
NARA's Great Lakes Region, 3150 Springboro Road, Dayton, OH 45439-1883

Denver – Genola Smith, Director(303) 236-0827
NARA's Rocky Mountain Region, Building 48 –Denver Federal Center, Denver, CO 80225

Fort Worth – Leonard Harmon, Director(817) 334-5515 Ext 256
NARA's Southwest Region, 501 West Felix Street, P.O. Box 6216, Fort Worth, TX 76115-3405

Kansas City – Linda Stubbs, Director(816) 823-5022
NARA's Central Plains Region, 2312 East Bannister Road, Kansas City, MO 64131-3011

Laguna Niguel – Bruce MacVicar, Director(949) 360-6334
NARA's Pacific Region, 24000 Avila Road, First Floor-East Entrance, Laguna Niguel, CA 92677-3497

Lee's Summit – Dean Donovan, Director(816) 823-5230
NARA's Central Plains Region, 200 Space Center Drive, Lee's Summit, MO 64064-1182

Philadelphia – David Roland, Director(215) 671-8074
NARA's Mid-Atlantic Region, 14700 Townsend Road, Philadelphia, PA 19154-1025

Pittsfield – Edmund Kelly, Director(413) 445-6885 x14
NARA's Northeast Region, 10 Conte Drive, Pittsfield, MA 01201-8230

San Francisco – Gary Cramer, Director(650) 876-7912
NARA's Pacific Region, 1000 Commodore Drive, San Bruno, CA 94066-2350

Seattle – Steve Ourada, Director(206) 526-6501
NARA's Pacific Alaska Region, 6125 Sand Point Way NE, Seattle, WA 98115-7999

St. Louis – (Military Personnel Records), Scott Levins, Assistant Director.....(314) 538-4246
NARA's National Personnel Records Center, 9700 Page Avenue, St. Louis, MO 63132-5100

St. Louis – (Civilian Personnel Records), Clifford Amsler, Assistant Director.....(314) 538-5722
NARA's National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118-4126

Washington National Records Center- (Suitland), Alan Krammer, Director (301)-457-7000
4205 Suitland Road, Suitland, MD 20746-7000.

Enclosure 3

December 3, 2001

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

DEC 4 2001

NWM 04.02

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION
RESOURCES MANAGERS: Vital Records Program Training Sessions

In his memo to heads of agencies after the September 11 attacks (see www.nara.gov/records/vitalmemo.html), the Archivist of the United States reminded agencies that they need to have an active disaster preparedness and recovery program for the vital records needed to provide essential government services and protect legal rights. He also announced that the National Archives and Records Administration (NARA) would hold no-cost vital records management training.

I am pleased to provide details on that training in this memorandum. NARA will offer three no-cost special ½ day training sessions in the Washington, DC, metropolitan area that will discuss vital records in general, how to establish and implement a vital records program, and where this program fits in an agency's disaster planning efforts. These sessions will be held on January 22 and 30 and February 7, 2002 and are open to anyone with an interest in or responsibilities for Federal records. The enclosed announcement sheet contains information about the course dates, times and locations, details about the sessions' contents, and registration information. Please register soon to ensure a spot at one of the sessions.

NARA looks forward to working with you to ensure that the vital information needed by our Government is secure and accessible. If you have any questions, please email either of the addresses indicated on the announcement.

Mike

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-265

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

VITAL RECORDS SEMINARS

Choose from 3 sessions:

Tuesday, January 22, 2002
1:00 pm – 4:30 pm

Federal Deposit Insurance Corporation
801 17th Street NW, Washington DC
1 block from Farragut West Metro stop

Wednesday, January 30, 2002
~~9:00 am – 12:30 pm~~

Department of Agriculture, Jefferson Auditorium
~~14th and Independence Avenue SW, Washington DC~~
Independence Avenue exit from Smithsonian Metro stop

Thursday, February 7, 2002
9:00 am – 12:30 pm

National Archives and Records Administration
8601 Adelphi Road, College Park, MD
Accessible via the R-3 bus from the Prince George Plaza Metro stop; limited on-site parking is also available

Topics to be covered:

- ☐ What are Vital Records?
- ☐ Why are Vital Records important?
- ☐ Laws, regulations, and guidance on Vital Records
- ☐ Essential elements of a Vital Records Program
- ☐ Important first steps to take in response to a disaster

- ☐ How to identify and protect Vital Records
- ☐ Risk Assessment
- ☐ Implementing the Vital Records Program
- ☐ The necessity of periodically reviewing a Vital Records Program
- ☐ "Real Life" Vital Records Program Scenarios

For more information or to register:

Email joseph.bymes@nara.gov or nancy.fortna@nara.gov
Please include your name, telephone number, agency name,
and the session date you prefer.





National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

DEC 06 2001

[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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Dear [Redacted]

We are pleased that you continue to use the NARA Records Center Program as your provider of choice for records storage and services. We are committed to providing your agency with superior records services and look forward to a strong partnership now, and in the future. However, I am writing today to determine the status of the FY2002 interagency agreement that we sent to you in August. As of this date, we have not received your signed interagency agreement. The interagency agreement identifies the cost of storing and servicing your agency records for FY 2002 as well as describing what the Federal Bureau of Investigation can expect of the NARA Records Center Program during the fiscal year.

NARA can only continue to provide the Federal Bureau of Investigation with superior, efficient and cost effective records services upon receipt of the signed interagency agreement. Please return your signed interagency agreement as soon as possible, but no later than December 17, 2001. Doing so will allow us to continue providing you and your colleagues with the quality records services you have come to expect, and enable both NARA and the Federal Bureau of Investigation to be compliant with Public Law 106-58.

If you have any questions concerning this matter, please contact [Redacted] of my staff, at [Redacted] extension [Redacted] or via e-mail at [Redacted]@nara.gov. I, too, welcome your inquires (301-713-7200, extension [Redacted]@nara.gov) regarding NARA's Records Center Program and how we can better serve you and your agency.

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Sincerely,

[Redacted Signature]

Program Manager

66F-HQ-C1190059-266

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 7, 2001

NWM 05.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCES MANAGERS: RACO 2002, Best Practices In Records Management Awards Criteria and Nomination Procedures

NARA presents Best Practices in Records Management Awards at our annual records conference, RACO, to recognize outstanding records management program activities in Federal agencies. These awards not only honor the "best in the field," but also provide a way for agencies to learn about noteworthy records activities, which can be used as models for similar undertakings in other organizations.

This year, Best Practices Awards in Records Management are available in one or more of the following categories:

- Agency-wide Records Management Programs
- Managing Electronic Records
- Records Management Training or Promotion
- Records Scheduling

Attached are criteria for each of the four categories. They describe the elements NARA will use to make the awards selections and provide guidance to help you determine eligibility. Any Federal government headquarters or regional entity is eligible for consideration for an award.

Anyone is eligible to make a nomination. You may nominate any entity you think is deserving of an award, including your own agency. Award selections are made based on evaluations of the nominations received by NARA.

Please use the attached form to submit nominations to NARA. NARA must receive all required information no later than February 15. Forms may be submitted by mail, fax, or email to:

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National Archives and Records Administration
Life-Cycle Management Division
NWML—Room 5320
8601 Adelphi Road
College Park, MD 20740

66F-HQ-C1190059-267

Fax: 301-713-6850

Email: [redacted]@nara.gov.

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If you have any questions or need additional information, please contact [redacted] at [redacted] ext. [redacted] or by email at [redacted]@nara.gov.

Additional information about RACO 2002, including conference registration information, is available at the NARA web site at <http://www.nara.gov/records/raco2002.html>. We will periodically update this site, as more information becomes available.

I look forward to seeing you at RACO 2002 on Tuesday, May 14, 2002, at the International Trade Center—Ronald Reagan Building, 1300 Pennsylvania Avenue, Washington, DC.



MICHAEL L. MILLER
Director
Modern Records Programs

**BEST PRACTICES AWARDS CRITERIA
FOR
AN AGENCY-WIDE RECORDS MANAGEMENT PROGRAM**

This category covers elements of an agency's overall records management program as established in 44 U.S.C. Chapters 31 and 33, and 36 CFR 1220.32, 1228 Subparts B and D, and 1234.10.

To be considered for a RACO Best Practices Award in this category, an agency's records management program must provide a model for other Federal records management programs. Examples of model program activities include:

- establishment of a program of regular records management briefings for new employees, including political appointees;
- submission to NARA of complete and accurate schedules that cover important new programs, programs with newly defined responsibilities, or programs with schedules that are 10 years old or older;
- transfers to NARA of permanently valuable records as identified in agency records schedules in accordance with approved schedules; and
- published directives or other agency procedures that ensure that the records management program is routinely involved in the management of electronic records systems.

To be considered for a RACO Best Practices Award in this category, an agency's records management program must incorporate all of the following;

1. Substantial progress in scheduling core mission records.
2. Records management training for employees.
3. The application of records dispositions in accordance with approved schedules.
4. Cooperation between Records Management and Information Technology staff to address issues relating to electronic records.
5. A process that ensures the implementation of NARA guidance in a timely manner.

**BEST PRACTICES AWARDS CRITERIA
FOR
MANAGING ELECTRONIC RECORDS**

This category covers the management of electronic records as established in 36 CFR Part 1234. The scope of this award category covers the management of records that are "born digital" such as automated information systems, e-mail, web sites, and data warehouses throughout the life cycle.

To be considered for a RACO Managing Electronic Records Best Practices Award, an agency must demonstrate its long-term commitment to electronic records management. Examples of outstanding electronic records management activities include:

- establishing a comprehensive directive that integrates aspects of electronic records management with other records and information resources management programs of the agency;
- implementing an agency wide initiative aimed at scheduling electronic systems including the proper disposition of temporary e-records and the transfer of permanent electronic systems to NARA; and,
- incorporating records management for each electronic system listed in the agency's 5-year strategic information technology plan.

To be considered for a RACO Best Practices Award, the agency must meet the following criteria:

1. Requirements for the management of electronic records are included in the agency's records management directive or in a separate directive or issuance.
2. Electronic records management training is available to records management staff.
3. Major program related systems are scheduled and up-to-date system documentation is maintained.
4. The agency has a plan to ensure that newly developed electronic records systems are scheduled in a timely manner.

**BEST PRACTICES AWARDS CRITERIA
FOR
RECORDS MANAGEMENT TRAINING OR PROMOTION**

This category covers training or promotional activities that further records management objectives as described in 44 U.S.C. 2902. The scope of this award covers both short-term and long-term training or promotional activities regardless of media presentation.

To be eligible for this award, an agency must demonstrate its commitment to furthering good records management practices through training or promotional activities. Examples of noteworthy training or promotional activities include:

- > introductory classes on basic records management tools and techniques for all new agency staff;
- > promotional poster campaign to raise awareness of quality and control of records in a downsizing environment; and
- > a brown-bag lunch series on records management issues open to all staff.

To be considered for a RACO Best Practices Award in this category, the agency must meet all the following criteria;

1. Training or promotion activities must be directed towards staff for whom records management is not the primary responsibility.
2. Training or promotion activities must be designed to introduce or reinforce records management issues and concepts.
3. Short-term events, such as poster campaigns, must have taken place within 2 years prior to nomination. Longer-term activities, such as introductory classes for new hires, must to be in place for a full year prior to the nomination.

**BEST PRACTICES AWARD CRITERIA
FOR
RECORDS SCHEDULING**

This category covers an agency's scheduling program for its records, both permanent and temporary, as established in 36 CFR Part 1228, Subpart B. Examples of noteworthy scheduling activities include:

- The agency has ensured that schedules have been created and approved that cover records in a newly established program.
- The agency has totally revised records schedules to reflect current programs and corresponding records.
- The agency has a plan in place that provides for the continuing updating of schedules to reflect changes in record keeping.

To be considered for a RACO Best Practices Award in this category, an agency must meet the following criteria:

1. SF 115s submitted to NARA are complete and accurate: Series titles and descriptions are accurate; disposition instructions are appropriate; and other requirements specified in 36 CFR 1228 Subpart B are met.
2. Submitted SF 115s cover records in all media, and reflect actual record keeping practices of the agency.
3. There is a plan to ensure that records schedules are routinely reviewed and updated as necessary and that newly created records are scheduled in a timely manner.
4. NARA records scheduling guidance is accurately implemented in a timely manner.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 10, 2001

[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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Dear [Redacted]

On Tuesday, December 4, 2001, the Washington National Records Center experienced a small fire in one of its records storage areas. Although your agency's records were not affected by the fire, I am writing all of our customers to ensure they have accurate information about what occurred.

Fortunately, no staff were injured, and the loss of records is minimal. The fire alarm and sprinkler systems were immediately activated, and those records impacted by the fire were removed from the Washington National Records Center and were frozen until they could be treated and dried. Dehumidification and air drying efforts are now underway, and staff from NARA's Conservation Lab are directing all recovery efforts.

Security forces from NARA, GSA, ATF, and the Federal Protective Service, as well as the Prince Georges County Fire Department all responded quickly to the emergency. The cause of the fire is being investigated, and is being treated as suspected arson. We are, of course, very concerned about the protection of NARA staff, visitors, and your records. In the past year we made significant security enhancements, and Archivist [Redacted] has announced a \$50,000 reward for information leading to the arrest and conviction of those responsible for the fire of December 4. Please be assured that NARA will continue to pursue all avenues to minimize this event occurring in the future.

If you have any questions regarding the events of December 4th, please contact me on (301) 713-7210, extension [Redacted]. Your Account Representative, [Redacted] is also available to address your concerns and can be reached on (301) 713-7210, extension [Redacted].

Sincerely,

[Redacted Signature]

Records Center Program Manager

66F-HQ-C1190059-268



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 12, 2001

[Redacted]

Federal Bureau of Investigation
Room 1B327 Box 20
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

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Dear [Redacted]

Enclosed for your files are copies of two signed Standard Forms 258 (our numbers NN3-065-02-013 and NN3-0675-02-015) for the records in Classes 44 and 65 that you transferred to us recently. As indicated by my signature in block 16 of the forms, these records have been accepted into the National Archives of the United States. The accession of the records relating to Martin Luther King, Jr. (NN3-065-02-014) is being handled separately, and you will receive a copy of the 258 under separate cover.

Thank you for arranging this transfer and for delivering the records. If you have any questions between now and January 3, 2002, please let me know (telephone, 301-713-7160, [Redacted] or e-mail, [Redacted]@nara.gov). For questions relating to the 258 for the King records, you may contact [Redacted] (telephone, 301-713-7160, [Redacted] or e-mail [Redacted]@nara.gov).

Sincerely,

[Redacted Signature]

Initial Processing/Declassification Division

66F-HQ-C1190059-269

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

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 1 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.

<p>2A. AGENCY APPROVAL</p> <p>Signature: _____ Date: <u>11/21/01</u></p>	<p>3A. NARA APPROVAL <i>NW 11/27/01</i></p> <p>Signature: _____ Date: <u>11/28/01</u></p>
<p>2B. NAME, TITLE, MAILING ADDRESS</p> <p><u>Archives Specialist</u> Federal Bureau of Investigation 935 Pennsylvania Avenue, NW Washington, DC 20535</p>	<p>3B. NAME, TITLE, MAILING ADDRESS</p> <p>_____</p>

RECORDS INFORMATION

<p>4A. RECORDS SERIES TITLE</p> <p>65 Classification - Fourth interim transfer of FBIHQ case files pertaining to investigations of espionage violations.</p>	
<p>4B. DATE SPAN OF SERIES 1936 - 1943 (Attach any additional description.)</p>	
<p>5A. AGENCY OR ESTABLISHMENT Department of Justice</p> <p>5B. AGENCY MAJOR SUBDIVISION Federal Bureau of Investigation</p> <p>5C. AGENCY MINOR SUBDIVISION Office of Public and Congressional Affairs</p> <p>5D. UNIT THAT CREATED RECORDS Records Disposition/Archival and Micrographics</p>	<p>9. PHYSICAL FORMS</p> <p><input checked="" type="checkbox"/> Paper Documents <input type="checkbox"/> Posters</p> <p><input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts</p> <p><input type="checkbox"/> Microfilm / Microfiche <input type="checkbox"/> Arch / Eng Drawings</p> <p><input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion / Sound Video</p> <p><input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____</p>
<p>5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS</p> <p>Name: _____ Telephone Number: _____</p>	
<p>6. DISPOSITION AUTHORITY:</p> <p>N1-65-82-04 Part B, Item 65</p>	
<p>7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES</p> <p>LEVEL: <input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Secret <input type="checkbox"/> Top Secret</p> <p>SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO</p> <p>Other: _____</p> <p>INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified</p>	
<p>8. CURRENT LOCATION OF RECORDS</p> <p><input checked="" type="checkbox"/> Agency (Complete 8A only)</p> <p><input type="checkbox"/> Federal Records Center (Complete 8B-only)</p>	
<p>8A. ADDRESS</p> <p>Federal Bureau of Investigation 935 Pennsylvania Avenue, NW Washington, DC 20535</p>	
<p>10. VOLUME: _____ CONTAINERS</p> <p>Cu. Mtr. _____ (Cu. Ft. 90.00) Number _____ Type _____</p>	
<p>11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES</p> <p>11/27/2001</p>	
<p>12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO (if no, attach limits on use and justification.)</p>	
<p>13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?</p> <p>(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>	
<p>14. ATTACHMENTS</p> <p><input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred</p> <p><input type="checkbox"/> Additional Description <input type="checkbox"/> NA Form 14097 or Equivalent</p> <p><input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report</p> <p><input checked="" type="checkbox"/> Other (specify): Diskette - Filed with NN3-065-02-013 <input type="checkbox"/> SF(s) 135</p>	
<p>8B. FRC ACCESSION NUMBER _____ CONTAINER NUMBER(S) _____ FRC LOCATION _____</p>	

NARA PROVIDES

<p>15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION</p> <p><i>Security Classified EOP # 29060</i></p>		<p>RG</p> <p>65</p>
<p>16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES</p> <p>Signature: <i>Ronald Swartz</i> Date: <u>12/12/01</u></p>		<p>17. NATIONAL ARCHIVES ACCESSION NO.</p> <p>NN3-065-02-015</p>

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

INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 1 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: 11/21/01

3A. NARA APPROVAL

Signature: _____ Date: 11/28/01

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

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RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification - Second interim transfer of FBIHQ case files pertaining to investigations of civil rights violations.

4B. DATE SPAN OF SERIES 1964 - 1975

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Office of Public and Congressional Affairs

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics

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

Name: _____
Telephone Number: _____

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, Item 44

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

INFORMATION STATUS: Other _____

Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

9. PHYSICAL FORMS

- | | |
|---|---|
| <input checked="" type="checkbox"/> Paper Documents | <input type="checkbox"/> Posters |
| <input type="checkbox"/> Paper Publications | <input 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 type="checkbox"/> Photographs | <input type="checkbox"/> Other (specify): _____ |

10. VOLUME: 91.33 CONTAINERS

Cu. Mtr. _____ (Cu. Ft. ~~98.88~~) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

11/27/2001

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

14. ATTACHMENTS

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

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

Security Classified GO #id: 29058

RG

65

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

Signature: *Ronald Swerzede* Date: 12/2/01

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-065-02-013

ITD 2160

Rec'd 2995

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 14, 2001

NWM 07.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS, CHIEF INFORMATION OFFICERS AND INFORMATION RESOURCE MANAGERS: Request for comment on "Report on Current Recordkeeping Practices within the Federal Government".

As you know, NARA began a major nationwide project this year to examine our record management policies and procedures in light of the current Federal recordkeeping environment. We have reported the progress of this endeavor to you through our Bi-Monthly Records and Information Discussion Group (BRIDG) meetings. We are now nearing the final stages of the first of three initiatives comprising this project. Our contractor, SRA, International, has delivered its final product, "Report on Current Recordkeeping Practices within the Federal Government." We plan to use the information in this report as we analyze NARA's current records management policies, and re-design as needed the scheduling and appraisal process.

With SRA's support, we used individual interviews, focus groups, and an Internet survey to find out how agency officials and staff viewed records management and what they perceived its role to be in today's modern office. More than 40 Federal agencies participated in the interviews and focus groups, and more than 475 individuals replied to the Internet survey. Additionally, using a process called Records Systems Analyses, or RSAs, teams from both the Washington area and Regional Archives examined selected business processes in Federal agencies to determine how records are actually being created and managed. For its final report, we asked SRA to analyze the results of both studies, to identify patterns in records management and to develop situational models explaining those patterns, and to identify points where NARA and agencies could effectively intervene to improve records management.

The report has significant implications for NARA's future policies and procedures. As the Deputy Archivist and his review team examine the report and its conclusions, we invite you to read and comment on it as well. The report is available from the project homepage at <http://www.nara.gov/records/rmi.html>. In particular, we would like your overall assessment of SRA's conceptual model in which they point out that "situational factors" drive the overall quality of records management within Federal agencies, as well as comments on the situational factors they have identified and the possible intervention scenarios they propose.

Please send your written comments by January 31, 2001, to [redacted]@nara.gov (email), to [redacted] (fax), or to the Policy and Communications Staff (NPOL), Room 4100, 8601

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66F-HQ-C1190059-270

Adelphi Rd., College Park, MD 20740-6001, ATTN: [redacted] If you have questions,
please contact [redacted] prior to January 31 on 301-713-7360, ext [redacted]

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As we near the completion of this first initiative, we also wish to thank those records officers who participated in the web survey, the contractor interviews and also the 11 RSA projects. Your assistance in this project is appreciated, and greatly contributed to the ongoing success of this project.



MICHAEL L. MILLER
Director
Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 18, 2001

NWM 06.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on February 21, 2002, and November 15, 2001, BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting scheduled on Thursday, February 21, 2002, from 10:00 a.m. to noon. The topic will be the ISO 15489, Information and Documentation – Records Management and NARA Updates. The meeting will be held at the Federal Deposit Insurance Corporation (FDIC) Building at 801 17th Street, NW, Washington, DC. The FDIC Building is on the corner of 17th and H streets, one-half block from the Farragut West subway stop (17th Street exit). Once in the building, take the elevator down one flight or walk down stairs.

Due to security requirements, an RSVP will be required. To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] on 301-713-7110, extension [redacted] or email [redacted]@nara.gov, no later than noon on Tuesday, February 19, 2002. The NARA Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 a.m. before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact [redacted] at 301-713-7200, extension [redacted] (or email [redacted]@nara.gov).

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A summary of the November 15, 2001, BRIDG meeting is attached. The topic of this meeting was "Vital Records" and "Distance Learning." We invite you to submit comments on these topics and additional suggestions the programs via electronic mail to records.mgt@nara.gov.

We sincerely appreciate that FDIC offered to host this event, as the National Archives Building, at 7th and Pennsylvania Avenue, NW, Washington, DC, is undergoing renovations.

I look forward to seeing you at the February 21 BRIDG Meeting at the FDIC Building.

A handwritten signature in cursive script, appearing to read "M. Miller".

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-C1190059-271

Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary
10:00 a.m. – 11:30 p.m., November 15, 2001
Department of Energy, Forrestal Building, 1000 Independence Ave., SW, Washington, DC

TOPIC: "Vital Records"
"Distance Learning"

Approximately 60 people attended the latest BRIDG meeting on November 15, 2001. In his welcoming address, Michael L. Miller, Director of Modern Records Programs, thanked Toby Henderson of DOE for hosting the meeting. He also commended the NARA-Northeast Region records management staff for the vital records and disaster recovery assistance they have provided to Federal agencies since the September 11th attacks. More information is available on the NARA website, including contact information for reconstructing records.

Michael Miller spoke about the National Archives and Records Administration's (NARA) upcoming Vital Records Seminars. In addition, he gave a briefing on establishing and maintaining a Vital Records Program. Joseph Byrnes, Training Specialist in the Modern Records Programs, gave an update on NARA's distance learning project titled "Project E-Learning E-Training (PELET)."

Vital Records – Michael Miller

Mike announced that NARA would offer three special training sessions in January and February. These free seminars will address disaster mitigation and recovery for Federal records, and provide additional guidance to agencies on establishing a vital records program. For information on seminar dates, locations and topics, please see

<http://www.nara.gov/records/vitalseminars.html>. For more information or to register, contact [redacted] [redacted] at [redacted]@nara.gov or [redacted] at [redacted]@nara.gov. Please include your name, telephone number, agency name, and the session date you prefer. Mike also expressed that all suggested topics would be considered as the agenda was still being developed.

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Bette Fugitt of the FIRM counsel also made an announcement that FIRM would be holding an all day forum on Vital Records on the 27th of November. She asked that interested parties send her an e-mail at bette.fugitt@usda.gov. She noted that Edward Arnold, Michael Miller, Alice Gannon, and Carol Brock would be speaking.

Following the seminar announcements, Mike gave a briefing on establishing and managing a Vital Records Program. Key topics covered were vital record definitions, identification, laws, and authorities. The presentation also included information on looking at types of threats, risks, and protection methods. He also stressed upon the attendees the importance of managing a vital records program by establishing operating procedures, promoting the program, reviewing, and testing the program. The entire power point presentation can be accessed through the NARA web site at <http://www.nara.gov/records/brVR.ppt>.

Several Records Officers shared their approaches for setting up a vital records program. It was stressed that limits on resources and time can be a determining factor in the success of the program.

Distance Learning – Joseph Byrnes

Joseph Byrnes, Life Cycle Management Division, gave an update on Project E-Learning E-Training (PELET), the distance learning training initiative. NARA staff have been researching electronic learning options, developing plans and products to enhance records management training, and defining how to integrate PELET modules with on-going training. They have hired a contractor, Windwalker, to conduct a needs analysis of records management personnel in the Federal government. Windwalker will also analyze technology-enabled training and delivery technologies. Records Officers are encouraged to participate in the Windwalker survey and the in-depth interviews that will coincide with the needs analysis. Interested participants may contact Joe Byrnes at joseph.byrnes@nara.gov. Comments, suggestions, or requests are welcomed. Joe's power point presentation can be accessed through the NARA web site at <http://www.nara.gov/records/brDL.ppt>.

NARA Updates

- Nancy Allard, Policy and Communications Staff

- **Web Guidance.** An external focus group is reviewing the proposed Web Guidance and FAQs. Once the focus group has commented, the draft documents will be sent to OMB for review. Sometime after the beginning of the calendar year, the review process will be opened to a wider Federal agency audience. It was emphasized that these guidances will go beyond scheduling and will address the management of web records.
- **IT GRS.** Comments have been received on the draft proposed GRS for Information Technology Records. Agencies that had questions or comments about the schedule will be individually contacted. NARA is working with OMB and hopes to publish this new GRS in the Federal Register for public comment sometime this winter.
- **Advanced Notice of Proposed Rulemaking (ANPRM).** The advance notice of proposed rulemaking seeks comments from Federal agencies and the public on issues raised in a petition for rulemaking concerning the management, scheduling and preservation of documents created in electronic form. Agencies are urged to provide comments to assist NARA in determining: whether a regulatory amendment should be proposed; whether some other action should be taken; or, whether no changes should be made to NARA's regulations and other issuances. Comments are due by January 8, 2002.
- **Proposed Rule on Records Disposition.** Comments have been received on the proposed rule on records disposition. Two revisions to 36 CFR Part 1228 were proposed. One, agencies could submit manuals electronically. Two, if the agency has an existing records disposition authority for an item covered by a new GRS, then the agency can decide whether to use the existing schedule or the GRS. NARA is reviewing the comments and will need to consult with OMB before the final rule is published.

- **NARA Bulletin 2002-02.** The Archivist has signed a recent bulletin on NARA accepting the transfer of permanent records via two additional electronic records transfer methods, File Transfer Protocol (FTP) and Digital Linear Tape (DLT), Type IV. The bulletin is posted at http://www.nara.gov/records/policy/b2002_02.html.

- Michael Miller

- **E-Gov Initiative (Quicksilver).** OMB recently announced that it had selected 23 E-Government Initiatives to improve customer service and efficiency. The initiatives are designed to maximize federal government productivity gains from technology, eliminate redundant systems, and significantly improve government's quality of service for citizens and businesses over the next 18 to 24 months. NARA will lead the initiative that will establish government-wide procedures and tools for assessing, establishing and implementing an eXtensible Markup Language (XML) based approach to electronic records management (ERM).

Other Items

- Mike asked for input on the future format of RACO. Some ideas are offering an optional one or two day seminar and changing the larger sessions to smaller workshops.
- The next BRIDG meeting time and place will be announced at a later date. Due to the Vital Records Seminars there will be an adjustment in the schedule. Additional information will be available on the NARA records management web site at <http://www.nara.gov/records> as well as via Agency Records Officer memos.

PO. BOX 1920
CRANBERRY TOWNSHIP, PENNSYLVANIA 16066
PHONE: 724-742-1360
FAX: 724-742-1022
www.ironmountain.com



January 8, 2002

[Redacted]

Federal Bureau of Investigation
10th St. & Pennsylvania Ave.
Washington, DC 20535

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Dear [Redacted]

I want to take this opportunity to extend my appreciation in regards to your contribution to the Iron Mountain client survey. I assure you that your input will help us to better serve you and all of our clients on the local level. It is possible that you may have, or will receive in the future, a survey from our corporate offices. This survey will be given to a cross section of Iron Mountain clients worldwide. However, the survey I conducted through our local office will help us obtain a more immediate sense of our client's needs. As always, it is important to us to maintain lasting relationships with our clients through open lines of communication. Your participation in our survey is just one more way to help us reach our goal of providing customer-focused, reliable records and information management solutions while delivering superior customer service, at a reasonable cost. Thank you again for your continued cooperation, and we look forward to hearing from you again in the future.

Sincerely,

[Redacted Signature]

Iron Mountain

66F-HQ-C1190059-272



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

JAN 28 2002

[Redacted]

Federal Bureau of Investigation
J. Edgar Hoover Building
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

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Dear [Redacted]

In September 2001, the NARA Records Center Program forwarded to the Federal Bureau of Investigation an interagency agreement to cover the cost of storing and servicing records for Fiscal Year 2002. To date we have not received a signed interagency agreement from the Federal Bureau of Investigation. The NARA RCP can only continue to provide your agency with superior, efficient and cost effective records services upon receipt of the signed interagency agreement.

NARA's Records Center Program became a fully reimbursable program on October 1, 1999, per Public Law 106-58. OMB Circular A-11 instructed agencies that they would need to reimburse NARA for storing and servicing records through an interagency agreement. We are committed to implementing Public Law 106-58 and ask that you please give this matter a high priority. A copy of a proposed interagency agreement and a cost estimate is enclosed.

In the interim, it is imperative that you at a minimum provide us with the proper accounting code so we can bill you for the first quarter of FY 2002. Your NARA Account Representative will call you shortly to discuss this further. If we do not receive either the signed interagency agreement or the proper accounting code by February 11, 2002, it will be necessary for us to suspend all records center services. We are, of course, reluctant to go to such extreme measures. However, we must be able to collect payments for services rendered so we can continue to operate the NARA records center system.

If you have any questions concerning this matter, please contact [Redacted] of my staff, at 301-713-7210, extension [Redacted] or via e-mail at [Redacted]@nara.gov.

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Sincerely,

DAVID M. WEINBERG
Program Manager

Enclosure

66F-1HQ-C1190059-273



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

[Redacted]

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U.S. Department of Justice
J. Edgar Hoover Building
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

Dear [Redacted]

Per our recent letter to you, we are forwarding a proposed interagency agreement and cost estimate for Fiscal Year 2002 for the storage and servicing of records. The proposed Fiscal Year 2002 agreement is very much similar to our existing agreement with a few small changes:

- The storage rate has increased from the current \$1.96 per cubic foot per fiscal year to \$2.00 per cubic foot per fiscal year. This modest price increase is the first time we have had to raise the storage rate and is caused exclusively by inflation factors.
- The service rate has increased from the current \$1.38 per cubic foot per fiscal year to \$1.43 per cubic foot per fiscal year. This increase stems from the pay raise and other inflation factors.
- We have added text requiring our customer agencies to return a fully executed interagency agreement by October 31, 2001. If an agreement or other payment arrangements is not in place within a reasonable period of time, then the NARA RCP reserves the right to suspend records center services until the situation is resolved. We regret having to add this language, since many of our customers have been very prompt in securing fully executed agreements.

Please review the enclosed Fiscal Year 2002 interagency agreement. If you agree with the terms and conditions, please complete and/or verify blocks 4, 6, 8, 12, 13, and 15a-15c of the NA Form 4000A, sign and date the last page of the Terms and Conditions and return the documents to:

[Redacted]

National Archives and Records Administration
Office of Regional Records Services (NR - 3600)
8601 Adelphi Road
College Park, MD 20740

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. [Redacted] can be reached at (301) 713-7210 or via e-mail at [Redacted]@nara.gov.

We are, of course, always happy to meet with the Federal Bureau of Investigation staff to discuss any concerns you may have and to discuss the future of the Records Center Program.

We appreciate your continued support of NARA's Records Center Program and we look forward to continuing our relationship with the Federal Bureau of Investigation as we both seek to build on our shared commitment to Federal records management.

Sincerely,

DAVID M. WEINBERG
Records Center Program Manager

Enclosures

**NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION
INTERAGENCY AGREEMENT
(When NARA is providing goods/services)**

1. PERIOD OF AGREEMENT	Effective Date	Completion Date
Performance Period	10/01/2001	10/02/2002
Budget Period	10/01/2001	10/02/2002

2. AGREEMENT NO. / MODIFICATION
NR-02-0029

3. NAME AND ADDRESS OF NARA ORGANIZATION
Office of Regional Records Services
Attn: [Redacted] (Room 3600)
8601 Adelphi Road
College Park, MD 20740-6001

E-Mail Address: edward.dukes@nara.gov
Phone: (301)-713-7210 Ext [Redacted] Fax: [Redacted]

4. NAME AND ADDRESS OF CLIENT AGENCY
[Redacted] b2
Federal Bureau of Investigation b6
J. Edgar Hoover Bldg., Room 9998 b7C
Pennsylvania Avenue, NW
Washington, DC 20535-0001

E-Mail Address:
Phone: [Redacted] Fax: [Redacted]

5. NARA PROGRAM MANAGER (Name, Address, Phone No., Fax, E-mail address)
See Block #3

E-Mail Address:
Phone: Fax:

6. CLIENT AGENCY PROGRAM MANAGER (Name, Address, Phone No., Fax, E-mail)
Federal Bureau of Investigation
Property Procurement & Management
Room 6842, JEH F.B.I Building
Washington, DC 20535-0001
E-Mail Address:
Phone: Fax:

7. PRODUCT/SERVICE TO BE PERFORMED:
See Attached Terms and Conditions

Attachments:
 Terms and Conditions
 Other

8. ESTIMATED COSTS
\$25,889.64

9. STATUTORY AUTHORIZATION:
 Economy Act 31 U.S.C. 1535
 Other: Public Law 106-58

10. PAYMENT METHOD
 OPAC
 Credit Card
 Deduct from Advance

11. BILLING SCHEDULE
 Annual Advance
 Quarterly Advance
 Monthly Advance
 Monthly Actual

12. CLIENT AGENCY BILLING OFFICE ADDRESS, PHONE NO., FAX NO.
Federal Bureau of Investigation
J. Edgar Hoover Building
[Redacted] Room 10475
935 Pennsylvania Avenue, NW
Washington, DC 20535
Agency Location Code (ALC): 15-02-0001
BOAC:

13. ACCOUNTING CLASSIFICATION - (Paying Agency will indicate appropriation/accounting coding/reference number to be charged)

14. AUTHORIZED SIGNATURES (NARA)
14A. SIGNATURE, NAME, AND TITLE OF NARA FINANCIAL OFFICER
[Redacted]
Assistant Archivist for
Administrative Services

15. AUTHORIZED SIGNATURES (CLIENT AGENCY)
15A. SIGNATURE, NAME, AND TITLE OF CLIENT FINANCIAL OFFICER

14B. SIGNATURE, NAME, AND TITLE OF OTHER NARA AUTHORIZING OFFICIAL
[Redacted]
Assistant Archivist for
Regional Records Services

15B. SIGNATURE, NAME, AND TITLE OF PERFORMING AGENCY AUTHORIZING OFFICIAL

14C. SIGNATURE, NAME, AND TITLE OF OTHER NARA AUTHORIZING OFFICIAL

15C. SIGNATURE, NAME, AND TITLE OF CLIENT AGENCY PROGRAM OFFICIAL

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 Investigations, 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, 2001, and shall continue through September 30, 2002. 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.

A fully executed agreement or an acceptable substitute (such as a purchase order) is to be in place by October 31, 2001. If an agreement or an acceptable substitute is not in place by October 31, 2001, then NARA may institute a policy of suspending records center services until the agreement or an acceptable substitute is in place.

III. RECORDS CENTER SERVICES

A. Storage

1. NARA shall store records of the customer agency, which currently include Record Groups 065, in a safe and secure environment which meets the requirements outlined in 36 CFR part 1228.
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 B 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 B 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 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 13001 *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.

(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 non-textual 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*). 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.

e. *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) When submitting *refiles*, the customer agency shall ensure that the records being returned to the NARA records center for refiling 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]

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 \$2.00 per year (approximately \$0.167 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 \$1.43 per year (approximately \$0.12 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 Service 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 representatives 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

Public Law 106-58

VIII. APPROVALS

For NARA:

_____ Date
Assistant Archivist for
Regional Records Services

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_____ Date
Assistant Archivist for

Administrative Services

For: Federal Bureau of Investigations

Date

National Archives and Records Administration

Fiscal Year 2002 Cost Estimate Prepared for:

Federal Bureau of Investigation (NR020029)

Center	Volume (c.f.)
St. Louis, CPR-Gen	295
Suitland	7,253
Grand Total	7,548

Projected Charges for Fiscal Year 2002

FY 2002 Storage Rate: \$2.00 per box

Estimated FY 2002 Storage Charge: \$15,096.00

FY 2002 Service Rate \$1.43 per box

Estimated FY 2002 Service Charge: \$10,793.64

Total Estimated FY 2002 Charges: \$25,889.64

(This estimate is based on holdings data as of June 30, 2001. 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.)

Holdings by Records Center

NR010029 Federal Bureau of Investigation (Dept. of Justice)

NRP-Civilian-Gen

<i>RG</i>	<i>Record Group Title</i>	<i>Volume</i>
065	Federal Bureau of Investigation	295
<i>Sub-total for 'Center' = NRP-Civilian-Gen</i>		295

WNRC

<i>RG</i>	<i>Record Group Title</i>	<i>Volume</i>
065	Federal Bureau of Investigation	7253
<i>Sub-total for 'Center' = WNRC</i>		7253
Grand Total for 'Agreement' = NR010029		7548



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

February 11, 2002

[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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Dear [Redacted]

Three weeks ago, I wrote to advise you of the Federal Bureau of Investigation's delay in signing an interagency agreement with NARA's Records Center Program to cover the cost of storing and servicing records for Fiscal Year 2002. To date we have not received a signed interagency agreement from the Federal Bureau of Investigation. NARA's Records Center Program can only continue to provide your agency with superior, efficient and cost effective records services upon receipt of the signed interagency agreement.

As there has been no response from the Federal Bureau of Investigation, we are forced to suspend all records center services, effective February 12, 2002. This suspension of services will remain in effect until your agency has submitted the signed interagency agreement or provided us with the proper accounting code so we can receive payment for services already rendered. As a result of the suspension of services, we will no longer accept any new accessions, or fulfill any reference requests, interfiles, or refiles except if a matter of life, safety, or national security is at stake.

We regret having to take this action. However, under Public Law 106-58 and OMB Circular A-11, NARA's Records Center Program can no longer continue to incur costs where we have no indication that payment will be made.

We certainly would like to continue to be your records center provider of choice and hope that your agency will be able to take immediate action to submit your interagency agreement or the necessary accounting code.

If you have any questions regarding this notice, please feel free to call me or [Redacted] your agency's account representative, at 301-713-7210, extension [Redacted] or via e-mail at [Redacted]@nara.gov

Sincerely,

DAVID M. WEINBERG
Records Center Program Manager

66F-HQ-C1190059-274



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

March 11, 2002

[Redacted]

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b7C

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, DC 20535

Dear [Redacted]

Enclosed for your files are copies of three signed Standard Form 258s (our numbers NN3-065-02-020, -021, -022) for records of Classification 44 (MLK Jr.), Classification 40 (Passport and Visa) and Classification 44 (Civil Rights Violations) that were recently transferred to us. As indicated by my signature in block 16 of the form, these records have been accepted into the National Archives of the United States.

If you have any questions regarding this transfer, please let me know (telephone 301-713-7160, [Redacted] or e-mail [Redacted]@nara.gov.

Sincerely,

[Redacted Signature]

Initial Processing/Declassification Division

Enclosures

66F-HQ-C1190059-275

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

INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 1 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 2/25/02

3A. NARA APPROVAL

Signature _____ Date 3/1/02

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification - Transfer of Field Office case files pertaining to investigation of the assassination of Martin Luther King, Jr - April 4, 1968.

4B. DATE SPAN OF SERIES 1968 - 1978

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Information Resources Division

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival Micrographics

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

Name: _____

Telephone Number: _____

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part D, Item 44

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other _____

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

Federal Bureau of Investigation

935 Pennsylvania Avenue, NW

Washington, DC 20535

9. PHYSICAL FORMS

Paper Documents Posters

Paper Publications Maps and Charts

Microfilm / Microfiche Arch / Eng Drawings

Electronic Records Motion / Sound Video

Photographs Other (specify): _____

10. VOLUME:

CONTAINERS

Cu. Ft. 19.32 Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

2/28/2002

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

14. ATTACHMENTS

Agency Manual Excerpt Listing of Records Transferred

Additional Description NA Form 14097 or Equivalent

Privacy Act Notice Microform Inspection Report

Other (specify): Diskette

SF(s) 135

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

65

Security Classified Eo# 29094

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

Signature Don M...

Date 3/11/02

17. NATIONAL ARCHIVES ACCESSION NO

NN3-065-02-020

**AGREEMENT TO TRANSFER RECORDS TO
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<p>2A. AGENCY APPROVAL</p> <p>Signature: _____ Date: <u>2/25/02</u></p>	<p>3A. NARA APPROVAL <i>Don M...</i></p> <p>Signature: _____ Date: <u>3/1/02</u></p>
<p>2B. NAME, TITLE, MAILING ADDRESS</p> <p>_____ Archives Specialist Federal Bureau of Investigation 935 Pennsylvania Avenue, NW Washington, DC 20535</p>	<p>3B. NAME, TITLE, MAILING ADDRESS</p> <p>_____ b6 b7C</p>

RECORDS INFORMATION

<p>4A. RECORDS SERIES TITLE</p> <p>40 Classification - Second interim transfer of FBIHQ case files and indices pertaining to investigations of Passport And Visa Matters.</p> <p>4B. DATE SPAN OF SERIES 1967 thru 1974 (Attach any additional description.)</p>																			
<p>5A. AGENCY OR ESTABLISHMENT</p> <p>Department of Justice</p> <p>5B. AGENCY MAJOR SUBDIVISION</p> <p>Federal Bureau of Investigation</p> <p>5C. AGENCY MINOR SUBDIVISION</p> <p>Information Resources Division</p> <p>5D. UNIT THAT CREATED RECORDS</p> <p>Records Disposition/Archival and Micrographics</p> <p>5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS</p> <p>Name: _____ Telephone Number: _____</p> <p>6. DISPOSITION AUTHORITY:</p> <p>N1-65-82-04 Part B, Item 40</p> <p>7 IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES</p> <p>LEVEL: <input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Secret <input type="checkbox"/> Top Secret</p> <p>SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO</p> <p>Other: _____</p> <p>INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified</p> <p>8. CURRENT LOCATION OF RECORDS</p> <p><input checked="" type="checkbox"/> Agency (Complete 8A only)</p> <p>_____ Federal Records Center (Complete 8B only)</p> <p>8A. ADDRESS</p> <p>Federal Bureau of Investigation 935 Pennsylvania Avenue, NW Washington, DC 20535</p>	<p>9. PHYSICAL FORMS</p> <table style="width:100%;"> <tr> <td><input checked="" type="checkbox"/> Paper Documents</td> <td><input type="checkbox"/> Posters</td> </tr> <tr> <td><input type="checkbox"/> Paper Publications</td> <td><input type="checkbox"/> Maps and Charts</td> </tr> <tr> <td><input type="checkbox"/> Microfilm / Microfiche</td> <td><input type="checkbox"/> Arch / Eng Drawings</td> </tr> <tr> <td><input type="checkbox"/> Electronic Records</td> <td><input type="checkbox"/> Motion / Sound Video</td> </tr> <tr> <td><input type="checkbox"/> Photographs</td> <td><input type="checkbox"/> Other (specify): _____</td> </tr> </table> <p>10. VOLUME: _____ CONTAINERS _____</p> <p>Cu. Mtr. _____ (Cu. Ft. <u>25.33</u>) Number _____ Type _____</p> <p>11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES</p> <p>2/28/2002</p> <p>12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO (if no, attach limits on use and justification.)</p> <p>13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?</p> <p>(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p> <p>14. ATTACHMENTS</p> <table style="width:100%;"> <tr> <td><input type="checkbox"/> Agency Manual Excerpt</td> <td><input type="checkbox"/> Listing of Records Transferred</td> </tr> <tr> <td><input type="checkbox"/> Additional Description</td> <td><input type="checkbox"/> NA Form 14097 or Equivalent</td> </tr> <tr> <td><input type="checkbox"/> Privacy Act Notice</td> <td><input type="checkbox"/> Microform Inspection Report</td> </tr> <tr> <td><input checked="" type="checkbox"/> Other (specify): Diskette</td> <td><input type="checkbox"/> SF(s) 135</td> </tr> </table>	<input checked="" type="checkbox"/> Paper Documents	<input type="checkbox"/> Posters	<input type="checkbox"/> Paper Publications	<input 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 type="checkbox"/> Photographs	<input type="checkbox"/> Other (specify): _____	<input type="checkbox"/> Agency Manual Excerpt	<input type="checkbox"/> Listing of Records Transferred	<input type="checkbox"/> Additional Description	<input type="checkbox"/> NA Form 14097 or Equivalent	<input type="checkbox"/> Privacy Act Notice	<input type="checkbox"/> Microform Inspection Report	<input checked="" type="checkbox"/> Other (specify): Diskette	<input type="checkbox"/> SF(s) 135
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<input checked="" type="checkbox"/> Other (specify): Diskette	<input type="checkbox"/> SF(s) 135																		
<p>8B FRC ACCESSION NUMBER _____ CONTAINER NUMBER(S) _____ FRC LOCATION _____</p>																			

NARA PROVIDES

<p>15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION</p> <p><i>Security Classified EOP/la 29095</i></p>	<p>RG</p> <p><u>65</u></p>
<p>16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES</p> <p>Signature: <i>Don M...</i> Date: <u>3/1/02</u></p>	<p>17. NATIONAL ARCHIVES ACCESSION NO</p> <p>NN3-065-02-021</p>

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

INTERIM CONTROL NO. (NARA Use Only)

JRC

TERMS OF AGREEMENT

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2A. AGENCY APPROVAL

Signature

Date

2/25/02

3A. NARA APPROVAL

Signature

Date

3/1/02

2B. NAME, TITLE, MAILING ADDRESS

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

b6
b7c

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification - Third interim transfer of FBIHQ case files pertaining to investigations of civil rights violations.

4B. DATE SPAN OF SERIES 1962 -1966

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Information Resources Division

5D. UNIT THAT CREATED RECORDS

Records Disposition/Archival and Micrographics

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

Name

Telephone Number:

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, Item 44

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

9. PHYSICAL FORMS

Paper Documents

Posters

Paper Publications

Maps and Charts

Microfilm / Microfiche

Arch / Eng Drawings

Electronic Records

Motion / Sound Video

Photographs

Other (specify):

10. VOLUME:

CONTAINERS

Cu. Mtr. _____ (Cu. Ft. 180.00) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

2/28/2002

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

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(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

YES NO

14. ATTACHMENTS

Agency Manual Excerpt

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Additional Description

NA Form 14097 or Equivalent

Privacy Act Notice

Microform Inspection Report

Other (specify):

SF(s) 135

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

Security Classified EOP# 29096

65

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

Signature

Don McIlhenny

Date

3/1/02

17. NATIONAL ARCHIVES ACCESSION NO

NN3-065-02-022

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Bo... 2002

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

MAR 18 2002

NWM 08.02

MEMORANDUM FOR AGENCY RECORDS OFFICERS AND INFORMATION RESOURCES MANAGERS: RACO

The National Archives and Records Administration (NARA) invites you to attend our annual records management conference, RACO 2002, on Tuesday, May 14. The conference will be held at the International Trade Center—Ronald Reagan Building in downtown Washington, DC. For your convenience, we are enclosing conference brochures and posters providing information about the program, logistics, and registration. Please share the brochures and posters with others in your agency who may be interested in attending RACO. If you would like additional copies of either item, please contact [redacted] on 301-713-7100 ext. [redacted] or by email at [redacted]@nara.gov.

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RACO 2002 program and registration information are also available on NARA's web site, www.nara.gov/records/raco_index.html or registration inquiries can be directed to the RACO Registrar at 301-713-7100 ext. 264 or by email at records.mgt@nara.gov. The RACO registration form, along with an authorized training form or document for purchasing Government training may be faxed to 301-713-6852. Payment can also be made by check, payable to the National Archives and Records Administration, or by U.S. Government VISA or MasterCard credit card.

To accommodate those people who have to travel from outside the metropolitan Washington, DC area to attend RACO, and who would like to take advantage of other training opportunities at the same time, we are offering a two-day version of our "Managing Electronic Records (MER)" class immediately after RACO on May 16 and 17. The cost of the class is \$300.

To register for this MER class, please send an authorized training form or document for purchasing Government training to Training Registrar (Classes), Room 5320 (NWML), 8601 Adelphi Road, College Park, MD 20740-6001. Forms may be faxed to 301-713-6850. Payment may be made by check, payable to the National Archives and Records Administration, or by U.S. Government VISA or MasterCard credit card. Allow 4 weeks advance notice to ensure special arrangements for persons with hearing, vision, or mobility impairments. Contact registration coordinator [redacted] at 301-713-7100, ext. [redacted] to arrange for special needs.

66F-HQ-C1190059-276

I look forward to seeing you at RACO 2002 on May 14 and, if possible, at our MER class on May 15 and 16.

William G. DeFuria / for

MICHAEL L. MILLER
Director
Modern Records Programs

Enclosures
RACO 2002 Brochure
RACO 2002 Poster

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

March 21, 2002

NWM 09.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on April 23, 2002 and February 21, 2002 BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting that is scheduled for Tuesday, April 23, from 10 A.M. to noon at the Department of Agriculture Jefferson Auditorium, 14th and Independence Avenue SW, Washington DC (Independence Avenue exit from Smithsonian Metro stop). The topic will be lessons learned and needs analysis in regards to Record Management Applications (RMAs).

To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] on 301-713-7110, extension [redacted] or email [redacted]@nara.gov, no later than noon on Friday, April 19, 2002.

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Please note that there will not be a NARA Records Center Forum before this BRIDG meeting. For information on the next scheduled Records Center Forum, please contact [redacted] at 301-713-7200, extension [redacted] (or email [redacted]@nara.gov).

A summary of the February 21, 2002 BRIDG meeting is attached. The topic of this meeting was "ISO STANDARD 15489-1: Information and Documentation – Records Management."

I look forward to seeing you at the April 23 BRIDG Meeting.

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQ-1190059 - 277

Bimonthly Records and Information Discussion Group (BRIDG)
10:00 a.m. – 12:00 p.m., February 21, 2002
FDIC, 801 Seventeenth Street, NW, Washington, DC

Topic: ISO STANDARD 15489-1
Information and Documentation – Records Management

Approximately 70 people attended the latest BRIDG meeting on February 21, 2002. Michael L. Miller, Director of Modern Records Programs, welcomed the participants and thanked Ed Barrese and the Federal Deposit Insurance Corporation (FDIC) for hosting the meeting.

ISO Standard - Dr. Lewis Bellardo, Deputy Archivist of the United States

Dr. Lewis Bellardo, Deputy Archivist of the United States discussed the *ISO STANDARD 15489-1 Information and Documentation – Records Management*. He reviewed the history, approach, and development of this internationally adopted standard. The standard began as a proposal from the Australian Archives, who with support from private organizations, determined that an international standard was needed for records management compliance. Other countries negotiated the use of broader principles so that the standard could apply internationally and across all legal frameworks.

The general focus of the standard is to have trustworthy records. It includes high-level principles such as determining what information should be created and maintained to do business. It also includes principles such as ensuring that information is kept in a safe and secure environment and has the following characteristics: authenticity, accountability, reliability, integrity and usability.

Future standards are also being considered. One potential standard is the development of a tool that can be used to identify metadata needed for business and records management purposes. Another possible standard being considered is the development of documents that relate records management to other information management disciplines such as document management and knowledge management.

In relation to cross discipline issues, AIIM has asked Tim Sprehe of Sprehe Information Management Associates to chair a committee that will examine the necessity and feasibility of combining the functional requirements in the DoD 5015.2 Standard and the AIIM Standard for Document Management.

Report on Current Recordkeeping Practices - Dr. Lewis Bellardo

Dr. Lewis Bellardo discussed the status of the NARA project on Current Recordkeeping and Records Use within the Federal Government. The first phase of the project collected data about the current practices of creation, use, maintenance, and disposition of records. The NARA contractor, SRA, submitted a final, comprehensive report in December that has been available for public comment at <http://www.nara.gov/records/rmi.html>.

In the current phase, NARA has been conducting phone interviews with government archives and private sector organizations that have innovative records programs. With this information NARA plans to develop a records management (RM) model for use across Federal agencies. NARA is hoping to have this evolve into the development of automated tools for scheduling, appraisal, and accessioning.

Dr. Bellardo shared some broad findings from the report. It was generally stated that better recordkeeping was found in the more mission critical processes and those associated with citizens rights. Poorly implemented recordkeeping systems were more often found in programs with less defined work processes, electronic records, and those requiring the transfer of permanent records. Several conclusions were made from these findings. There are huge volumes of records in a variety of formats that need to be scheduled. Schedules are out of date. There is very little transfer of permanent records to any archives. And, there is a very limited amount of resources for solving these problems.

One business case for records management used to be the dilemma of storage space and costs. When a paper collection was too large, then records were either disposed of or transferred to a records center. Since business needs have changed as more records are created electronically, NARA needs to find a way to support agency business needs by developing tools for the control and transfer of records that will minimize risk and help agencies find what they need.

One concept under consideration is that of triaging agency programs in order to focus energy and resources at potentially important records. NARA will analyze the records in terms of permanent value, citizen rights and government accountability, and risk. Perceived risk to the records will be determined by reports from the Congress, GAO, the public, or the NARA staff. As long as the rights and accountability issues have been taken into account, NARA will not require any greater level of detail, such as inventories or file level descriptions, than the agency requires for its own business need. If there appears to be documentation of permanent value, then NARA and the agency will work to define and write descriptions for just these records. Another consideration is to include more items in the GRS, such as temporary records created to facilitate agency programs.

There are also regulatory and statutory options that are being analyzed. One idea is to make sure that retention periods are reviewed and approved by stakeholders earlier in the process. NARA is also considering exercising its statutory responsibility and reporting to Congress when NARA identifies agencies that do not appear to be running good records and information management programs. Finally, NARA is considering removing the requirement that permission is needed from NARA when an agency wants to extend its disposal time on records.

Generally there appeared to be strong approval of these potential approaches. Several Records Officers commented that these approaches validate and document what they've been thinking all along. It was stressed that limits on resources and time can be a determining factor in the success of the program. Since there are now greater volumes of records, most Record Officers agreed that consolidating schedules, regardless of medium, would be a good approach. One participant stated that in making recordkeeping as simple as possible, especially with electronic systems, that there is a greater possibility of user buy-in. The only issue where the audience

appeared to be divided was on the extended disposal requirement. Some agencies would support this change, and others would not.

Dr. Bellardo concluded his presentation by stating that he will keep records officers up-to-date on the project and thanked them for their support. Any ideas or questions should be directed to [redacted] Policy and Communications Staff at [redacted]@nara.gov.

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RACO 2002 – Marie Allen, Lifecycle Management Division

Marie Allen, the Director of the Lifecycle Management Division, announced that RACO 2002 would be held on May 14th at the Ronald Reagan Building - International Trade Center. The title is "Forging Partnerships: Records Management in the 21st Century." Mark Forman, Associate Director for Information Technology and e-Government, Office of Management and Budget, will be the keynote speaker. There will also be 3 or 4 panels on topics such as vital records, web records, and program promotion. The conference offers a full day of education on current issues. With over 600 attendees as the norm, it also provides ample networking opportunities. Marie encourages those interested to register early as this is a popular event and capacity is limited.

For more information or to register please contact [redacted] at [redacted]@nara.gov or 301-713-7110 x [redacted]. More information is also available on the NARA website at http://www.nara.gov/records/raco_index.html.

Marie also stated that, along with the awards for Best Practices, NARA would like to recognize the retirement of Federal Records Officers. Please notify [redacted] at [redacted]@nara.gov if you are aware of anyone's retirement.

Vital Records Seminars – Marie Allen

In response to increased interest in vital records after the September 11th attacks, NARA offered 3 free Vital Records classes for almost 500 Federal records and information managers. Marie wished to thank all those involved in providing sites or speakers for this successful series. There is a CD available for those who were not able to attend. The CD contains power point presentations, speaker's notes, text of the Executive Orders related to Vital Records, Federal Preparedness Publications and NARA's Vital Records Publication. Please contact [redacted] at 301-713-7110 x [redacted] or [redacted]@nara.gov if you are interested in obtaining a CD.

In addition, NARA is considering holding another Vital Records seminar after RACO. The seminar will be announced when plans have been finalized. Marie also stated that suggestions and comments on these seminars are welcome.

NARA Updates – Michael Miller, Director Modern Records Programs

- **Positions Available.** There are currently five GS-14 positions advertised. NARA is looking for candidates with technical expertise that could translate into the records management and archives disciplines.

- **Web Guidance.** Agencies provided useful comments the Draft Web Guidance. NARA is currently incorporating these comments in a draft that will be sent to OMB for review. More information will be available by the next BRIDG meeting. For those agencies that need immediate assistance, ROs are encouraged to contact their appraisal archivists.
- **IT GRS.** Many comments were received on the draft proposed GRS for Information Technology Records. NARA is currently incorporating these recommended changes in the next draft.
- **E-Gov Initiative (Quicksilver).** NARA is actively involved in the Records Management piece of the E-Gov initiative. By the next BRIDG meeting, NARA should be able to provide more information.
- **Final Rule on Records Disposition.** OMB is currently reviewing the final rule on records disposition. This rule is in regards to the electronic submission of manuals and whether an agency can use existing records disposition authority for an item that is covered by a new GRS.
- **Irradiated Mail.** The preservation unit at NARA is developing guidance on how to handle irradiated mail. Issues being examined are deterioration, timelines, and preservation methods.
- **Expanding Transfers.** In an effort to expand transfer options, NARA is eager to work with agencies to transfer permanent records that are in formats such as electronic mail with attachments, GIS, web, born-digital, scanned, digital video, and other records that are not in currently accepted formats. NARA would like to begin test transfers of these items in order to learn how NARA, Federal agencies, and eventually ERA, will manage these records. Various types of records are being considered, even those not currently ready for immediate legal transfer. Please contact Michael Miller at 301-713-7110 ext. 229 or micheal.miller@nara.gov if you are interested in participating in this effort.
- **Adobe/PDF.** NARA and Adobe are discussing legal, archival, and technical issues involved in using PDF for permanent records.
- **ERA.** ERA, headed by Ken Thibodeau, is developing a concept of operations, functional requirements and an overall high-level vision on how to manage permanent and temporary records. In addition ERA is considering how to eventually share the technology with Federal agencies.

Other Items

- Bill Hooten of the FBI stated that they have several RM positions available. Those interested should look at the FBI website for more information.

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- There are no current updates on the Tobacco Litigation. It was recommended that ROs contact their NARA representative in regards to whether the freeze has been lifted on their particular records.
 - The next BRIDG meeting will be held on **April 23rd** at the Department of Agriculture, Jefferson Auditorium, 14th and Independence Avenue SW, Washington DC. The topic will be lessons learned and needs analysis in regards to Record Management Applications (RMAs). Additional information will be available on the NARA records management web site at <http://www.nara.gov/records> as well as via Agency Records Officer memos.
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National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

April 26, 2002

NWM 10.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS, CHIEF INFORMATION OFFICERS, AND INFORMATION RESOURCES MANAGERS: Request for comment on Proposed NARA guidance on new transfer standards for electronic records.

As many of you know, NARA is working with OMB to implement the President's Management Agenda's expanded electronic government initiative. NARA has been designated as the managing partner for the Electronic Records Management [ERM] initiative, one of the twenty-four e-gov initiatives. As confirmed by records management community-at-large in an April 3 public meeting, one issue area to be addressed by the ERM initiative is "transfer of permanent e-records to NARA."

As the next step in the work on this issue area, NARA has begun discussions with Federal agencies in an effort to identify additional electronic record application classes for transfer of permanent records to NARA. NARA's current transfer standards requirements for electronic records can be found in 36 CFR 1228.270.

To facilitate the transfer of additional types of permanent electronic records into the National Archives, we need agencies to identify the three data formats for which NARA transfer guidance is most critical to the agency. We have identified the following six formats as those for which agency staff have expressed the most interest:

- born-digital images (i.e., digital photography)
- email with attachments
- GIS records
- PDF
- scanned images
- web records

Please let us know the three highest priority data formats from this list, or identify other high-priority formats in which your agency has created permanent records. Send your list via email to records.mgt@nara.gov by May 10, 2002. We will compile the suggestions and meet to discuss next steps.

NARA is looking for agency partners on this transfer format project. To be a partner, the agency must be willing to commit staff or other resources to work with us on developing the guidance. One way to do this is to commit to send "test" transfers of the electronic records formats identified via this process to NARA at a later point in time this fiscal year as the ERM initiative

66F-14A-C1190059-278

progresses. If you currently have electronic records in any of these previously identified six formats, and would like to participate in a test transfer of those previously identified classes of electronic records, please let us know by May 31.

I look forward to receiving your list of priority formats for electronic records, as well as nominations for participating partners and possible test transfers. If you have any other questions regarding this memo, please contact [redacted] at [redacted] or via email at [redacted]@nara.gov. We will keep you informed of the progress of our work on this initiative.

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MICHAEL L. MILLER

Director

Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 16, 2002

NWM 11.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Records management regulations NARA recently published two final rules relating to records management in the *Federal Register*.

The first rule, published as Part III of the May 9 *Federal Register* beginning on page 31692, updates the standards referenced in 36 CFR part 1230, Micrographic Records Management. In addition, the part has been rewritten in plain language format. This rule was republished without substantive change in a new, two-column format as Part IV of the May 14 *Federal Register* beginning on page 34574. The rule will be effective June 10.

The second rule, beginning on page 31961 of the May 13 *Federal Register*, contains two substantive changes to the records disposition regulations, as well as updated references. This rule will be effective June 12.

36 CFR 1228.42

This section was amended to eliminate the requirement that agencies request authority to continue using a disposition authority approved in an agency schedule when a new or revised General Records Schedule covers the same records. Agencies, however, must notify NARA within 90 days of the issuance of the GRS if they intend to continue to use the agency-specific disposition authority.

36 CFR 1228.50

This section was changed to accommodate electronic distribution of agency published schedules. Agencies may submit published schedules to NARA in either hard copy or electronic form. Currently, agencies may send published schedules to NARA in the following electronic formats:

- Word for Windows (all versions through Word 2000)
- Rich Text Format (RTF)
- Portable Document Format (PDF)
- Hypertext Markup Language (HTML)

66F-HQ-C1190059-279

If you have published schedules in a different electronic format, please contact your records appraisal liaison (see <http://www.nara.gov/records/comm/workgrp.html>) or call 301-837-3570. NARA will notify agencies of any changes to the list of acceptable formats.

These rules are available online through *GPO Access* at http://www.gpo.gov/su_docs/aces/aces140.html. You may download copies in text or PDF format. If you cannot access the online version, you may request a printed copy by sending an email message to records.mgt@nara.gov.

Please note that NARA telephone numbers have changed. If you have any questions about either of these final rules, contact at telephone number or fax number

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MICHAEL L. MILLER
Director
Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 30, 2002

NWM 12.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on June 18, 2002, and April 23, 2002, BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting scheduled on Tuesday, June 18, 2002, from 10:00 a.m. to noon. The topic will be an update on the progress of the "Transfer of Permanent Electronic Records to NARA" issue area of the ERM initiative and NARA Updates. The meeting will be held at the Federal Deposit Insurance Corporation (FDIC) Building at 801 17th Street, NW, Washington, DC. The FDIC Building is on the corner of 17th and H streets, one-half block from the Farragut West subway stop (17th Street exit). Once in the building, take the elevator down one flight or walk down stairs.

Due to security requirements, an RSVP will be required. To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] at [redacted] (or email [redacted]@nara.gov), no later than noon on Monday, June 17, 2002.

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The NARA Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 a.m. before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact [redacted] at [redacted] (or email [redacted]@nara.gov).

A summary of the April 23, 2002 BRIDG meeting is attached. The topic of this meeting was "Records Management Applications: Needs Analysis and Lessons Learned."

We sincerely appreciate that FDIC offered to host this event, as the National Archives Building, at 7th and Pennsylvania Avenue, NW, Washington, DC, is undergoing renovations.

I look forward to seeing you at the June 18 BRIDG Meeting at the FDIC Building.

MICHAEL L. MILLER
Director
Modern Records Programs

66F-HQC1190059-280

Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary

10:00 a.m. – 12:00 p.m., April 23, 2002

USDA Jefferson Auditorium

TOPIC: Records Management Applications: Needs Analysis and Lessons Learned

Approximately 60 people attended the latest BRIDG meeting on April 23, 2002. Michael Miller welcomed everyone and gave a special thanks to Bette Fugitt and USDA for hosting the meeting. The topic for this BRIDG meeting was the experiences of the Office of the Comptroller of the Currency (OCC) and NARA with Records Management Applications. Susan Sallaway, Electronic Records Specialist from OCC and Richard Marcus, NARA Records Officer, were the speakers.

Susan Sallaway - OCC Needs Analysis

Approximately 10 months ago, Susan Sallaway left NARA to work at the Comptroller of the Currency. Her first project was to conduct a study of the current records management program at OCC, and determine if OCC needed to implement an electronic records management system.

Ms. Sallaway described the OCC records management environment to set the stage for her discussion. OCC has a very strong records management program already in place. Sherry Smith, the OCC Records Officer, has a good relationship with higher levels of the agency, and is able to accomplish many goals of her RM program. The staff and customers of OCC are technologically savvy, work processes are currently under modernization, and OCC is already using a quasi-document management system for some of the bank examination information.

The Needs Analysis at OCC involved looking at the current RM program to assess how records are captured and managed. Is anything falling through the cracks? Is the program ready for the transition to an electronic management system? If an RMA is implemented, what first steps need to be accomplished to ease the transition? They focused on reviewing two mission-critical systems for the study.

A cross-functional team was assembled to assist in the project planning. Money was also needed and OCC estimated it would cost approximately \$100,000 - \$150,000. OCC hired Millican and Associates to provide a professional, independent and expert view and to study whether an RMA was necessary, and if so, how to smooth the transition to electronic recordkeeping.

There were many discussions while attempting to develop a methodology for the Needs Analysis. At first, OCC and the consultant disagreed on how to implement a potential RMA because Millican felt that OCC should start with email management, while OCC did not. Both OCC and the consultant learned a great deal from this project. As part of the Needs Analysis, a strategy for short, middle and long term goals were also developed.

The second step of the Needs Analysis was to determine what would it take to successfully implement an RMA. The RM program would need to work within the agency to increase education and awareness of records management across the staff. This study required a full-time effort from Susan and approximately half-time help from the records officer.

The consultant was tasked with looking at current electronic records management practices and compare that with the ideal state or best case scenario for the agency. Gaps in these two areas were then identified. The consultant also reviewed OCC's strategic plan, current policies, websites, training programs, etc. OCC wanted the focus the study on mission critical records, and therefore identified for the contractor the systems to be analyzed. All of this work again required cooperation between the RM staff and the consultants.

The next step was to interview OCC staff. All the most important departments of the agency were represented in this process. Individuals were invited to participate in the study from the legal department, IT staff, and program area staff. By inviting a variety of high-level individuals to participate, OCC hoped to solicit a variety of ideas as well as to create a buzz around the agency about the project. As more management staff talked about the RM Program, Susan and Sherry hoped to build consensus throughout the agency. By the time the project was ready to begin, staff were ready and willing to participate in the study.

Over 50 key staff members were interviewed in headquarters and in the field. Interviews were held both with large groups and individuals. Two sets of questions were developed. The first set focused on how work is accomplished. Questions were asked such as: How is work accomplished? Where do you file? Where is the information that you use generated? Is there any public access to this information? Is this information subject to FOIA?

The second set of questions focused specifically on bank examination records: What percentage of your records should be filed in the National Filing System (NFS)? What percentage is actually filed? Do you know what should be filed, and are you following current policy? Interviews were one hour each, and were all completed in approximately three months. It took the consultants another three months to compile all of the information and write and review the deliverables.

At the end of six months, the OCC had a number of products to review, including the Needs Analysis report and the Gap Analysis. The contractor also developed policy and procedure recommendations and software selection requirements and criteria that would meet OCC needs. The overall findings of the consultant was that the OCC's records management program was sound, but that the current "print and file policy" was not adequate for their long term electronic recordkeeping goals.

Since the end of the Needs Analysis project, OCC has held internal and external briefings to educate, increase awareness, and build consensus as they begin to plan an RMA pilot. They have submitted a budget request, developed the business case, hosted several product demonstrations to introduce the technology, and worked on developing an audit program, a training program, and risk methodology. They have also begun the process to assess current retentions on some schedules and discuss limiting document formats and applying standards. Additionally, OCC is working hard to connect and share information with other agency folks who have tried or are trying to implement an RMA, as well as continuing to work closely with their program folks, the Legal department, and IT staff.

Richard Marcus - NARA's RMA 2000 Project

NARA began its RMA pilot program as a test. It was not meant to be a full implementation of an RMA program, due to the lack of experience of NARA staff with using and implementing an RMA system. The goal was to conduct this pilot with specific staff and offices, and then make a decision on implementing an RMA across NARA, based on the experiences and findings of the pilot. The main goal of the pilot was to gain experience, and to learn enough about the system to support a decision on an agency-wide implementation in the future. While conducting this test, NARA staff continued to file hard copies of their records according to the file plan. The electronic filing was conducted only as a test, and was not meant to replace the hard copy recordkeeping practices.

The pilot project included 30 end users from 7 different offices, including the Deputy Archivist, General Counsel, CIO, Regional Archives headquarters, and staff from the Modern Records Program. The pilot focused on records produced in the Microsoft Office 97 suite (Microsoft Word, Excel, Power Point and GroupWise Email). The pilot did not include databases. Planning for the pilot took a great deal of time. NARA staff conducted market research to determine which software package to choose. A study on how to configure current systems to ease implementation of the program was also conducted. The actual testing phase lasted six months. NARA used Foremost as its RMA product. This should not be construed as an endorsement of the product; it was chosen because Foremost was the only product available at the time which included an integrated autofile classification capability. NARA was particularly interested in testing this capability.

The results of this RMA pilot at NARA represent NARA's own experience, and do not represent any generalizations of the Foremost product or RMA programs as a whole.

There were three major Records Management "lessons learned" from the pilot:

1. The paper-based records management file plan was not appropriate for use with the RMA. NARA anticipated that the file plan currently used for paper records would work with the RMA without any adjustment. This was not the case. Granular file plans for paper records did not work well with the RMA because they are too cumbersome. To alleviate this burden, the file plans were adapted within the RMA to include larger "buckets" which made the file plan less granular.
2. User filing is more likely to occur if filing is integrated easily with the user's work processes. If there were documents needed for part of a work process, users were more likely to file, rather than taking the time to file each individual email or Word document. This finding is not unique to NARA.
3. The amount of metadata users are required to supply should be kept to a minimum. The more fields that a user was required to complete, the less likely they were to file. NARA adapted the Foremost program to automatically enter default information into a number of

metadata fields. These fields would pop up upon filing, but their contents would be filled in automatically by the system and would remain constant until changed by user input.

There were also three major IT "lessons learned":

1. The RMA program was intrusive. The program was slow and wreaked havoc with user's desktops. Each computer had to be re-baselined to accept the program. This process was slow and disruptive to work.
2. Make sure the product is DoD certified for the environment you use. NARA uses GroupWise for its email package, and not Microsoft Outlook. The Foremost program did not integrate well with GroupWise.
3. Don't deploy an immature product. This is particularly important in the case of autofiling. An immature product led to many delays in use and delivering results. The autofiling capability was not delivered until much later after the start of the pilot.

Project Management "lessons learned":

1. When you develop your statement of work and contracts, identify key personnel and how much knowledge the contractor is bringing to the project. In NARA's case, key contractor IT personnel left their company after a few months into the pilot. Their replacements were not as well educated on the product, NARA's system, or NARA's needs.
2. Include a performance clause in your statement of work and contract.
3. Carefully plan your product rollout! Technical problems early on led to slow and problematic rollout. This prevented everyone in the pilot from starting at the same time. The records management office should work out any problems before roll out begins.

One important factor of the NARA RMA test was the use of the "autofile" feature. The autofile module was designed to identify a document (with no user interaction), analyze its contents, and file it in the proper electronic file folder. For the test, however, users continued to manually file their documents as well. After its accuracy was verified, this manually filed body of records became the yardstick against which "autofiled" were compared and evaluated. "Autofile" worked in the background, therefore encouraging users to continue filing manually.

The "autofile's" confidence levels could be tuned to increase its filing accuracy. The autofiling was tested at three confidence levels— 25%, 50%, and 75%. The higher the level of confidence required, the greater level of accuracy. However, the increased level of confidence resulted in fewer documents being filed.

The NARA RMA pilot concluded with a number of findings. Implementing an RMA system is not easy. A lot of work and time must go into the implementation, including interviews,

evaluating and restructuring configuration plans, and greater education of users. Finally, the biggest factor to consider when rolling out an RMA (either in pilot form as a final product) is the human element. If the product is cumbersome or distracting to use in everyday work environments, people will easily become frustrated. Individuals at higher levels will have to come to accept an additional work burden which was once delegated to their secretaries. There needs to be a "buy-in" of all users for any RMA to be successful.

NARA Updates – Mike Miller

1. Please note that all phone numbers at Archives II have changed. The NARA website has been updated to reflect these new phone numbers.
2. NARA is the lead on the Electronic Records Management E-Gov Initiative, one of OMB's 24 E-Gov initiatives. The NARA-led initiative has four issue areas: Correspondence Management, Enterprise-wide ERM systems, tools for overcoming interoperability barriers, and transfer of permanent electronic records to NARA.
3. As part of the last issue area mentioned above, we are looking for input on improving the current status of transferring permanent electronic records to NARA. See NWM 10.2002 (<http://www.nara.gov/records/nwm10-02.html>) for details.

The next BRIDG meeting will be on June 18, 2002 from 10am until noon at the FDIC building at 801 17th Street, NW, Washington, DC. Please contact [redacted] at [redacted]@nara.gov or [redacted] if you would like to attend. We will be discussing the progress of the Transfer of Permanent Electronic Records to NARA issue area of the ERM Initiative, as well as taking your comments on how you would like to see the guidance structured when it is published for each format.

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National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 3, 2002

NWM 13.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Irradiated Records

In response to the discovery of mail contaminated with anthrax spores last October, the U.S. Postal Service began irradiating mail addressed to Federal agencies in certain Washington, DC zip codes. Most agencies headquartered in Washington, DC, receive mail that has been irradiated. NARA's records management and preservation staffs have prepared the attached "Frequently Asked Questions About Irradiated Records," to address records management issues that may be associated with such mail.

NARA has also posted these FAQs on its records management web page at http://www.archives.gov/records_management/policy_and_guidance/frequently_asked_questions_irradiated_mail.html.

For records management information and assistance, contact the Office of Records Services - Washington, DC, Modern Records Programs at 301-837-3560. The last FAQ contains additional contact information.

MICHAEL L. MILLER
Director
Modern Records Programs

Attachment

66F-HQ-C1190059-281

FREQUENTLY ASKED QUESTIONS ABOUT IRRADIATED MAIL

The following questions focus on handling irradiated mail from a records management point of view. The U.S. Postal Service and the General Services Administration provide mail management information relating to irradiated mail on their web sites.

How can I tell if my agency receives irradiated mail?

The U. S. Postal Service has announced that it is irradiating the following types of mail with postage stamps that are addressed to specific Government offices in Zip Codes 20200 through 20599:

- First class business and letter-size envelopes and flats
- Express and Priority mail
- Other packages.

Mail with postage meter strips and mail that is insured, registered, or certified are not irradiated.

Currently all mail directed to the White House, Congress, and the Library of Congress is being irradiated.

Evidence of irradiation includes weakened or discolored (yellowed) envelopes, visibility of adhesive through the paper, and transfer of inks.

How does irradiation affect mail?

In the process of irradiation, mail is exposed to extreme heat. Paper is weakened and may appear to have been aged, with discoloration (e.g., yellowing), and brittleness. Pages may break, crumble, or fuse to other pages. Documents bound with glue may have loose pages. The printing on pages may be distorted or offset onto adjacent pages. If tape is affixed to address labels, the address may be illegible.

Materials other than paper may also be affected. Plastics and inks may melt and fuse. Irradiation can affect such enclosures as photographic films, transparencies, and prints; compact disks, audio cassettes, and electronic, digital, and magnetic media; compact disk jewel cases; and credit cards.

What are the records management concerns with irradiated mail?

The contents of irradiated mail may be needed to conduct agency business and thereafter maintained in agency files for a period of time until their scheduled disposition. If the information is illegible, it will not be available to the agency. If the documents are so dry that they crumble or break apart, they will not last as long as the other contents of the file.

Do I need to keep irradiated records even if they are clearly damaged?

As with records damaged by fire or water, you should assess the condition of irradiated records and, if possible, recover the information. If the documents are legible, you need to decide whether they need to be copied to ensure that they will remain legible and usable under normal handling for the time period they are needed by the agency, as specified in the records schedule. If the records are only partly legible or illegible, you may need to determine how to acquire replacement copies, such as asking the sender to resubmit using a transmission method other than the U.S. mail.

How long will irradiated records last?

NARA does not know how long irradiated records will last, though the usable life of such materials has likely been considerably reduced by exposure to the irradiation and high temperatures.

Can the records be re-hydrated to restore their original strength?

Once the fibers have been weakened by high heat, re-hydration cannot restore strength. Even if such action would be effective, it would be more economical to copy the records.

If I decide to copy the records, do I need NARA approval before discarding the damaged originals?

No. NARA approval is not needed to discard damaged original Federal records; exact duplicates are an acceptable replacement for damaged temporary and permanent Federal records.

If I determine that the original irradiated records are adequate for agency needs, and the records are scheduled for transfer to the National Archives of the United States, will NARA accept them?

The agency must ensure that the records are legible and intact for the period of time they remain in agency custody, including off-site storage. When permanent records are transferred to the National Archives of the United States, NARA will take appropriate preservation measures to ensure their continued availability. The agency should notify NARA at the time of transfer if the records have been irradiated.

Where can I get additional information?

Information on records management assistance from NARA is available on its web site at <http://www.nara.gov/records/faqs/assist.html>.

GSA has posted information on irradiated mail on its web site at
http://www.gsa.gov/Portal/content/orgs_content.jsp?contentOID=22920&contentType=1005&PMTM=1.

Technical information on the effects of radiation is available on the Smithsonian Institution web site at http://www.si.edu/scmre/mail_irradiation.html and http://www.si.edu/scmre/irradiate_exam.html.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 7, 2002

NWM 14.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Status of NARA e-gov Initiative interest area - Transfer of Permanent Electronic Records to NARA

As you know, NARA was asked by the Office of Management and Budget (OMB) to be the Managing Partner on the E-Gov initiative relating to electronic records management (ERM). This ERM Initiative falls within the Internal Efficiency and Effectiveness Portfolio. [redacted] (of NARA's Modern Records Programs), and [redacted] (of NARA's Policy and Communications Staff), are the Co-Managers of the Initiative.

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This initiative will provide the tools that agencies will need to manage their records in electronic form, addressing specific areas of electronic records management where agencies are having major difficulties. This project will provide guidance on electronic records management applicable government-wide and will enable agencies to transfer electronic records to NARA in a variety of data types and formats so that they may be preserved in for future use by the government and citizens. (from E-Government Strategy, February 27, 2002)

There are four issue areas within the ERM Initiative, each with a lead partner agency:

1. Correspondence management/tracking (lead DOE)
2. Enterprise-wide ERM (lead EPA)
3. Tools Supporting Interoperability (lead DOD)
4. Transfer of Permanent E-records to NARA (lead NARA)

NARA is the lead agency on the "transfer of permanent electronic records to NARA" issue area. I have been asked to be the lead for this issue area, and [redacted] of Modern Records Program, is the main point of contact. We have already made considerable progress, and want to keep you informed of this progress, as well as our plans for next steps.

The projects in this issue area will address an expansion of both the number of formats NARA can accept and the media and techniques that can be used by Federal agencies when transferring their permanently valuable electronic records to the National Archives of the United States. NARA, working internally and with its partner agencies, will also develop initial recommendations for metadata which will support selected archival and records management business processes. Those data could be formatted as XML schema for sharing and dissemination.

66F-HQ-C1190059-282

On April 26, 2002, we issued memo NWM 10.2002 asking for your input on the record types this initiative would address. We provided a list of six formats to choose from: born-digital images, E-mail with attachments, geographic information systems (GIS), Portable Document Format (PDF), scanned images, and web records. The goal was to identify three priority categories of electronic records to address within this project. These categories are clearly broad, and it will be the work of the initiative group to determine specific formats (such as .tiff or .jpeg) within each category.

After compiling your input, the top three record types were identified as: email with attachments, scanned images, and PDF records. Our group will now begin work on developing guidance for these formats, and we will address them in the order shown above.

NARA is working with a number of agencies on this project. These agencies are participating both as partners in the initiative as well as by volunteering select permanent records to send to NARA as test transfers. Currently, NARA is working with the Environmental Protection Agency, National Science Foundation, Department of Defense, Department of Transportation, U.S. Geological Survey, Department of Education, Department of Energy and the Veterans Administration.

On July 9, 2002, our group will meet to develop the transfer guidance for e-mail with attachments. The guidance will be in two-fold, addressing both how to transfer existing e-mail records and their attachments, and longer-term guidance on how to develop systems in order to facilitate future transfers of e-mail records with their attachments.

The guidance for transferring e-mail with attachment records is scheduled for release on September 30, 2002. Subsequent guidance on transferring scanned images will be delivered on December 30, 2002 and PDF guidance will be published on March 30, 2002. Please note that this guidance will relate specifically to **previously scheduled permanent records**. If you believe that your agency currently has records which may be eligible for transfer in any of these formats but are not scheduled, please contact your appraisal archivist to begin the scheduling process and discuss transfer options.

Future updates on our work will be sent throughout the project and will be available via the overall ERM e-Gov initiatives web page (development pending). In addition, we will be discussing our work to date, in depth at the next BRIDG meeting on June 18, 2002. The meeting will be held at the FDIC building at 801 17th Street, NW, Washington, DC. Please contact [redacted] at 301-837-1642 or via email at [redacted]@nara.gov if you would like to attend.

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MICHAEL L. MILLER
Director
Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 27, 2002

NWM 15.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS, CHIEF INFORMATION OFFICERS, AND INFORMATION RESOURCES MANAGERS: Request for comment on Proposed Rule on Transfer of electronic records.

The National Archives and Records Administration has published a proposed rule beginning on page 43069 in the June 26, *Federal Register* to update certain procedures in 36 CFR Part 1228.270 – Transfer of electronic records. The proposed rule is posted at http://www.archives.gov/about_us/opportunities_for_comment/transfer_methods_proposed_rule.html. You can also access a PDF version via GPO Access.

This proposed rule modifies the transfer regulations to include two additional electronic records transfer methods, Files Transfer Protocol (FTP) and Digital Linear Tape (DLT), Type IV. It would permit agencies to reduce the record preparation, shipping costs, and transfer time between agencies. The proposed rule also improves record and files integrity. This proposed rule is one of NARA's planned milestones under the Electronic Records Management (ERM) E-Government initiative.

We urge you to provide comments on this rule. Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-837-0319. You may also comment via electronic mail to comments@nara.gov. Please also include "Attn: RIN 3095- AB03" and your name and return address in your email message. All comments received by August 26, 2002 will be considered in developing the final rule.

MICHAEL L. MILLER

Director

Modern Records Programs

66F-HQ-C1190059-283



U.S. Department of Justice
Justice Management Division
Office of General Counsel

Washington, D.C. 20530

JUL 3 2002

MEMORANDUM

TO: Records Managers
Offices, Boards and Divisions

Bureau Records Officers

FROM:
Records Officer
Office of General Counsel

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SUBJECT: Request for Comment on Proposed Rule on Transfer of Electronic Records to the National Archives and Records Administration

The National Archives and Records Administration has published the attached proposed rule in the Federal Register to modify their transfer regulations to include two additional electronic records transfer methods.

Please review the proposed rule and submit any comments to me in Suite 520N, NPB, by August 9, 2002. If you have any questions, please call me on

Attachment

66F-HQ-C1190059-284

permitting two additional electronic records transfer methods, File Transfer Protocol (FTP) and Digital Linear Tape IV (DLTtape IV). NARA is introducing these transfer methods to reduce the media and shipping costs of electronic records transferred from Government agencies, improve record and file integrity, and expand the options for transfer methods. This rule will affect Government agencies transferring permanent electronic records to the National Archives of the United States.

DATES: Comments are due by August 26, 2002.

ADDRESSES: Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-837-0319. You may also comment via the Internet to comments@nara.gov.

FOR FURTHER INFORMATION CONTACT: Jennifer Davis Heaps at telephone number 301-837-1801, or fax number 301-837-0319.

SUPPLEMENTARY INFORMATION: NARA currently accepts magnetic tape and compact-disk, read only memory (CD-ROM) as transfer media for records scheduled for permanent retention in the National Archives of the United States. DLTtape IV is a kind of magnetic tape cartridge. NARA has only used media-based transfer methods in the past, but has been testing other methods as well as additional media. With this rule, NARA proposes the addition of FTP transfer methods and DLT transfer media.

FTP is a media-less transfer method that can be used to transfer electronic records. FTP operates by using special software located at the sending and receiving sites. This software, in combination with a telecommunications network, provides the means for transferring electronic records. The agency may send any documentation in electronic format to NARA via FTP as part of the transfer of the electronic records or through any other acceptable method of transfer as specified in 36 CFR 1228.270.

DLTtape IV cartridge tape is a high-density magnetic cartridge tape that can store up to 40 gigabytes of information on each cartridge. DLTtape IV tapes are used by selected tape drive units produced by several companies. DLTtape IV preparation will follow existing cartridge tape specifications.

Paragraphs (a) and (b) in § 1228.270 have been rewritten for clarity and consistency with the new information in paragraph (c) of the same section.

Although this proposed rule does not address the format of electronic records described in paragraph (d), NARA is exploring the acceptance of formats other than ASCII and EBCDIC as part of its E-Government initiative. Any proposed changes in this area will be addressed in a separate rulemaking.

Please submit Internet comments within the body of your email message or as an attachment. Please also include "Attn: 3095-AB03" and your name and return address in your Internet message. If you do not receive a confirmation from the system that we have received your Internet message, contact the Regulation Comment Desk at 301-837-1801.

This proposed rule is a significant regulatory action for the purposes of Executive Order 12866 and has been reviewed by the Office of Management and Budget. As required by the Regulatory Flexibility Act, I certify that this rule will not have a significant impact on a substantial number of small entities because it applies only to Federal agencies.

This regulation does not have any federalism implications.

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. Amend § 1228.270 by revising paragraphs (a), (b), and (c) to read as follows:

§ 1228.270 Electronic records.

(a) *Timing of transfers.* Each agency is responsible for the integrity of the permanent records it transfers on physical media to the National Archives of the United States. For records transferred by a media-less method, NARA works with the agency to ensure integrity of the records during the transfer process. To ensure that permanent electronic records are preserved, each Federal agency must transfer electronic records to NARA promptly in accordance with the agency's records disposition schedule. Furthermore, if the agency cannot provide proper care and handling of the media (see part 1234 of this chapter), or if the media are becoming obsolete and the agency cannot migrate the records to

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

36 CFR Part 1228

RIN 3095-AB03

Expanding Transfer Options for Electronic Records

AGENCY: National Archives and Records Administration (NARA).

ACTION: Proposed rule.

SUMMARY: This proposed rule will amend the regulations for the transfer of permanent records to NARA by

newer media, the agency must contact NARA to arrange for timely transfer of permanent electronic records, even when sooner than provided in the records schedule.

(b) *Temporary retention of copy.* Each agency must retain a second copy of any permanent electronic records that it transfers to the National Archives of the United States until it receives official notification from NARA that the transfer was successful and that NARA has assumed responsibility for continuing preservation of the records.

(c) *Transfer media.* This paragraph covers the transfer of permanent records to the National Archives; it does not apply to the use or storage of records in agency custody. See 36 CFR 1234.30 for the requirements governing the selection of electronic records storage media for current agency use. The agency must use only media that is sound and free from defects for transfers to the National Archives of the United States; the agency must choose reasonable steps to meet this requirement. The approved media and media-less transfer forms are open reel magnetic tape, magnetic tape cartridge; Compact-Disk, Read Only Memory (CD-ROM); and File Transfer Protocol (FTP) as described in paragraphs (c) (1), (2) and (3) of this section.

(1) *Magnetic tape.* Agencies may transfer electronic records to the National Archives on magnetic tape as follows:

(i) Open-reel magnetic tape must be on ½ inch 9-track tape reels recorded at 1600 or 6250 bpi that meet ANSI X3.39-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (1600 CPI, PE) or ANSI X3.54-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (6250 CPI, Group Coded Recording), respectively.

(ii) Tape cartridges may be 18-track 3480-class cartridges. The 3480-class cartridge must be recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange—18-Track, Parallel, ½ inch (12.65 mm), 37871 cpi (1491 cpmm), Group-Coded—Requirements for Recording. The data must be blocked at no more than 32,760 bytes per block.

(iii) Tape cartridges may be DLTtape IV cartridges that must be recorded in an uncompressed format and written to the tape using a Tape Archive (TAR) utility. The data must be blocked at no more than 32,760 bytes per block and must conform to the standards cited in the table as follows:

If you are copying the record on then, the standard below applies.
DLTape IV with a DLT 4000 drive.	ISO/IEC 15307, Information technology—Data interchange on 12,7 mm 128-track magnetic tape cartridges—DLT 4 format (20 GB native, 40 GB compressed, 1.5 MB/sec).
DLTape IV with a DLT 7000 drive.	ISO/IEC 15896, Information technology—Data interchange on 12,7 mm 208-track magnetic tape cartridges—DLT 5 format (35 GB native, 70 GB compressed, 5.0 MB/sec).
DLTape IV with a DLT 8000 drive.	ISO/IEC 16382, Information technology—Data interchange on 12,7 mm 208-track magnetic tape cartridges—DLT 6 format (40 GB native, 80 GB compressed, 6.0 MB/sec).

(2) * * *

(i) CD-ROMs used for this purpose must conform to ANSI/NISO/ISO 9660-1990, American National Standard for Volume and File Structure of CD-ROM for Information Exchange.

(ii) Permanent electronic records must be stored in discrete files. The CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records must be in files that contain only permanent records. Agencies must indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM. The agency must also specify whether NARA should return the CD-ROM to the agency or dispose of it after copying the permanent records to an archival medium.

(iii) If permanent electronic records that an agency disseminates on CD-ROM exist on other media, such as magnetic tape, the agency and NARA will mutually agree on the most appropriate medium for transfer of the records to the National Archives of the United States.

(3) *File Transfer Protocol.* Agencies may use File Transfer Protocol (FTP) to transfer electronic records scheduled for preservation at the National Archives of the United States. The files transferred via FTP must comply with the format

and documentation requirements specified in paragraphs (d) and (e) of this section.

(i) FTP file structure must conform to an 8.3 file naming convention and file directory structure as cited in ANSI/NISO/ISO 9660-1990, American National Standard for Volume and File Structure of CD-ROM for Information Exchange.

(ii) Permanent electronic records must be stored in discrete files, separate from temporary files. All permanent records must be transferred in files that contain only permanent records.

(iii) When permanent electronic records may be disseminated through other types of mechanisms (e.g., magnetic tape, CD-ROM), the agency and NARA will mutually agree on the most appropriate medium for transfer of the records to the National Archives and will select the appropriate files for FTP transfer. Several important factors may limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. NARA will retain approval for appropriateness of FTP as the selected mechanism for each scheduled records transfer based on certain criteria (file size, FTP transfer rate, record classification, etc.). Agencies interested in sending electronic records scheduled for transfer to NARA through FTP must contact NARA's Electronic and Special Media Records Services Division (NWME), 8601 Adelphi Rd., College Park, MD 20740-6001 or by email to cer@nara.gov to initiate the transfer discussions.

(iv) Each permanent electronic records transfer must be preceded with a signed Agreement to Transfer Records to the National Archives of the United States (Standard Form 258) sent to the Office of Records Services—Washington, DC (NWME), 8601 Adelphi Road, College Park, MD 20740-6001.

(4) *Incorporation by reference.* The standards cited in § 1228.270(c)(1), (2), and (3) are available from the American National Standards Institute, 11 West 42nd Street, 13th floor, New York, NY 10036. The standards cited for CD-ROM, FTP, and DLTtape IV are also available from the National Information Standards Organization (NISO), Press Fulfillment, P.O. Box 451, Annapolis Junction, MD 20701. All these standards 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 by reference as they exist on the date of

approval and a notice of any change in these materials will be published in the Federal Register.

* * * * *

Dated: May 15, 2002.

John W. Carlin,

Archivist of the United States.

[FR Doc. 02-16047 Filed 6-25-02; 8:45 am]

BILLING CODE 7515-01-P

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 08/12/2002

To: All Field Offices

Attn: Administrative Officers

From: Records Management

Records Maintenance and Disposition/Records

Disposition and Archives/Room 4933

Contact: [Redacted]

Approved By: Hooton William L. *WHL*
Garrity Robert J Jr *RJG*
Allen Marie B *mba*

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Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 - 285

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION
APPRAISAL OF FBIHQ AND
FIELD OFFICE RECORDS

Synopsis: Additional disposition authority is being granted in order to permit destruction of obsolete field office files and records, after observance of certain restrictions.

Details: In response to a request from the Staffing Unit, Human Resource Management Section, Administrative Services Division, authority was sought from the National Archives and Records Administration (NARA) to reduce the retention period for the documentation and recordings created as a result of FBIHQ and Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

On 5/10/2002, an approved SF-115, bearing NARA Job Number N1-65-02-01, was received from NARA granting final disposition authority to permit the destruction of the documentation and recordings created as a result of field office career board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

The support selection documentation for each individual posting consists of the vacancy announcement, position applications from candidates, results of any tests or exercises,

To: All Field Offices From: Records Management
Re: 66F-HQ-C1190059, 08/12/2002

crediting plan(s), evaluations of applications, and communications containing lists of qualified candidates and final selection(s). If an interview was afforded to any of the candidates, the selection documentation will also include the interview questions, audio tapes, and score sheets. Support selection documentation is stored by vacancy announcement number. There is no indexing of a candidate's name or social security number.

Selection files are maintained solely to enable the reconstruction of the selection process for a particular vacancy announcement in response to a grievance. Documentation and recordings are created and maintained at FBIHQ and in the various FBI Field Offices. The documentary material and recordings may be destroyed five years after final determination of the Career Board or after final adjudication of litigation, whichever is later. Any electronic copies of these records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the aforementioned "hard-copy" textual records may be destroyed within 60 days after the record-keeping copy has been produced. Material which continues to serve administrative or research needs may be retained if deemed necessary. If material is retained beyond the authorized destruction period, a communication should be generated which details the need for longer retention and maintained with the material.

Destruction authorized herein will result in the destruction of non-essential material, thus eliminating the needless processing of material in connection with Freedom of Information-Privacy Acts requests, potential Civil Discovery lawsuits stemming from discovery and similar matters. Additionally, the authorized destruction will eliminate the need to handle and process obsolete material in connection with routine day-to-day handling and processing of mail that may correspond to obsolete material. Lastly, file destruction will recover considerable amounts of prime office space that can be better utilized to meet the ever-expanding investigative and administrative programs germane to the overall mission of the FBI. Therefore, all offices are strongly encouraged to devote, where possible, all available resources to the file destruction program. Each office is reminded that records are to be maintained to document, in linear feet, the volume of records destroyed.

Any questions concerning the final disposition authority for the support personnel (non-agent) selection documentation and recordings may be directed to FBI Archives Specialist

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To: All Field Offices From: Records Management
Re: 66F-HQ-C1190059, 08/12/2002

LEAD(s) :

Set Lead 1:

ALL RECEIVING OFFICES

Upon receipt of this communication, field offices are authorized to destroy obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

Set Lead 2:

ALL RECEIVING OFFICES

Maintain appropriate records to document, in linear feet, the volume of records destroyed.

CC: 1 - Mr. Hooton, Room 11703
1 - Mr. Garrity, Room 11703
1 - [redacted] Room 11703
1 - [redacted] Room 4933

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 09/13/2002

To: CJIS

Attn: Michael D. Kirkpatrick
Assistant Director
Module C-3
Lydia C. Pugh
Acting Deputy Assistant Director
Operations Branch
Module B-3

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[Redacted]
Acting Section Chief
Identification and Investigative
Services Section
Module E-3

[Redacted]
Module D-2

From: Records Management
Records Policy and Administration/Records
Disposition and Archives/Room 4933
Contact: [Redacted]

Approved By: Hooton William L *WHL/g*
Garrity Robert J Jr *RJG*

Drafted By:

[Redacted]

Case ID #: 66F-HQ-C1186292 - 1654
66F-HQ-C1186292-CJIS - 14
66F-HQ-C1190059 - 288
66F-HQ-C1327646-SATII - 46

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.

Enclosure(s): Standard Form (SF) 115 dated 8/22/02, bearing signature of the Archivist of the United States.

Details: On 9/6/2002, an approved "Request For Disposition Authority (SF-115) was received from the National Archives and Records Administration (NARA) granting final disposition

To: CJIS From: Records Management
Re: 66F-HQ-C1186292, 09/13/2002

authority to the Criminal Justice Information Services (CJIS) for the destruction of fingerprint records and jackets containing fingerprint cards, rap sheets and related material, alphabetical name indices, which were generated in connection with the background investigations of military personnel and certain Federal civilian job applicants. The contents of these jackets/ records have been provided to the FBI CJIS Division (1992 successor to FBI Identification Division), as a result of Federal employment, applications, military service, and/or requests by individuals desiring to have their fingerprints placed on record with the FBI for personal identification purposes. This request for disposition authority was submitted to NARA as a revision to previously approved SF-115, dated 6/22/95, bearing NARA Job Number N1-65-95-03.

Any questions concerning the NARA approved disposition authority for the destruction of the CJIS fingerprint records and jackets and related material may be directed to Archives Specialist

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To: CJIS From: Records Management
Re: 66F-HQ-C1186292, 09/13/2002

LEAD(s):

Set Lead 1:

CJIS

AT CLARKSBURG, WV

As authorized by NARA, CJIS Division may proceed with the destruction of all fingerprint cards and other corresponding manual indices when the records indicate that the individual has reached 75 years of age.

CC: 1 - Mr. Hooton, Room 11703
1 - Mr. Garrity, Room 11703
1 - [redacted] Room 11703
1 - [redacted] Room 4933

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REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

71-065-02-4

DATE RECEIVED

05-15-02

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

1. FROM (Agency or establishment)

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.

Department of Justice

2. MAJOR SUBDIVISION

Federal Bureau of Investigation [FBI]

3. MINOR SUBDIVISION

Criminal Justice Information Services [CJIS] Division

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE EXT.

DATE

ARCHIVIST OF THE UNITED STATES

8-22-02 [Signature]

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

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B. DATE 5/14/2002	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE Archives Specialist Records Management Division
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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>CRIMINAL JUSTICE INFORMATION SERVICES [CJIS] DIVISION RECORDS [Revision To NARA Job N1-65-95-03]</p> <p>Fingerprint records/jackets containing fingerprint cards, rap sheets and related material, alphabetical name indices, which were generated in connection with the background investigations of military personnel and certain Federal civilian job applicants. The contents of these jackets/ records have been provided to the FBI CJIS Division [1992 successor to FBI Identification Division], as a result of Federal employment, applications, military service, and/or requests by individuals desiring to have their fingerprints placed on record with the FBI for personal identification purposes.</p> <p>1. Manual Records</p> <p>(a) Civil Fingerprint Cards / Records</p> <p>Fingerprint cards and related manual indices generated in connection with background investigations of military enlistees, civilian applicants for Federal positions, etc.</p> <p>DESTROY all fingerprint cards and other corresponding manual indices when the records indicate that the individual has reached 75 years of age</p>	N1-65-95-03 Item 1 (a)	

cc NWMW, HR, Agency

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY

Date: 10/17/2002

To: Kansas City

Attn: SAC Kevin L. Stafford
ASAC Monte C. Strait
ASAC Michael Tabman

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Los Angeles

AO [redacted]

ADIC Ronald L. Iden

Acting SAC Herbert M. Brown

Acting ASAC Charles R. Joyner

AO [redacted]

Richmond

SAC Donald W. Thompson, Jr.

ASAC Roy L. Tubergen

AO [redacted]

Washington Field

ADIC Van A. Harp

Acting SAC Toni Mari Fogle

AO [redacted]

From: Records Management

Records Policy and Administration/Room 11703

Contact: [redacted]

Approved By: Hooton William L *WHL*
Garrity Robert J Jr *RC - 10/16*

[redacted]

Drafted By:

Case ID #: 66F-HQ-C1190059 - 289

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION; ASSESSMENT OF
FBI RECORDS MANAGEMENT PROGRAM;
FINAL REPORT WITH FINDINGS AND
RECOMMENDATIONS

Synopsis: Information pertaining to the National Archives and
Records Administration (NARA) assessment of the FBI's current
records management program and the recommendations, made by NARA,
for FBI action.

Reference: 66F-HQ-C1190059 Serial 180
66F-HQ-C1190059 Serial 245
66F-HQ-C1190059 Serial 246
66F-HQ-C1190059 Serial 253

Enclosure(s): NARA Final Report, dated 10/15/2002, with Findings
and Recommendations pertaining to NARA assessment of FBI Records
Management Program.

RMS 294

To: Kansas City From: Records Management
Re: 66F-HQ-C1190059, 10/17/2002

Details: NARA and the FBI agreed to work together to assess the FBI's current records management program and to recommend priorities for FBI action. The purpose of the assessment was to examine the current state of the records management program and environment. The resulting final report and recommendations assist the FBI in identifying deficiencies in the system and specify goals for improvement.

The NARA assessment, coordinated with the Records Management Division, commenced on January 23, 2002 and continued through July, 2002. In addition, the NARA representatives visited the receiving field offices. Referenced serials provide details pertaining to the individual field office visits. After providing a briefing to the field office management, the NARA representatives conducted interviews with various personnel, both agent and support, relative to records management issues within the field office. Personnel interviewed included individuals in the following positions:

- Administrative Officer
- Supervisory Administrative Specialist - Records
- Information Management Analyst
- Squad Operation Assistants (with Information Management Analyst background)
- Special Agent (less than 3 years of service)
- Special Agent (more than 10 years of service)
- Computer Specialist (with E-Mail management responsibility)

In addition to the individual interviews the NARA representatives conducted a random audit of FBI employee E-Mail. The purpose of the audit was to assist NARA in ascertaining 1) if the E-Mail may be a federal record, and 2) if they are federal records, to determine if and how they have been preserved.

Each field office which participated in the assessment project is requested to review the attached NARA Final Report, dated 10/15/2002, with Findings and Recommendations pertaining to NARA's assessment of the FBI Records Management Program. **No later than November 7th**, each field office is requested to provide a point of contact for the purpose of scheduling a teleconference with representatives of the Records Management Division, lead representatives of the NARA Targeted Assistant Assessment Team and individuals from each of the participating field offices to discuss the findings and the recommendations in the report. The teleconference is scheduled for 1:00 p.m., Eastern Standard Time, on 11/21/2002. Please provide the name

To: Kansas City From: Records Management
Re: 66F-HQ-C1190059, 10/17/2002

and telephone number of a point of contact to
Chief Records Policy and Administration Section.

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Thank you for participating in this important
assessment project and for taking the time to review and correct
any errors in the NARA report.

To: Kansas City From: Records Management
Re: 66F-HQ-C1190059, 10/17/2002

LEAD(s) :

Set Lead 1:

ALL RECEIVING OFFICES

Review attached NARA assessment of the FBI's current records management program and the recommendations, made by NARA, for FBI action.

Set Lead 2:

ALL RECEIVING OFFICES

No later than November 7, 2002, furnish to FBIHQ a point of contact for the purpose of scheduling a teleconference. Name and telephone number of point of contact should be furnished to Section Chief Marie B. Allen by E-Mail or by telephone at 202-324-7231.

CC: 1 - Mr. Hooton, Room 11703
1 - Mr. Garrity, Room 11703
1 - [redacted] Room 11703
1 - [redacted] Room 5328
1 - [redacted] Room 4933

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**FINAL REPORT WITH FINDINGS AND RECOMMENDATIONS
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ASSESSMENT OF FBI RECORDKEEPING
October 15, 2002**

General Background

The FBI is an organization whose core mission depends on maintaining high quality, accurate, and complete records that can be easily and efficiently retrieved for a long period of time after the case is closed. Changes in FBI work processes and recordkeeping practices brought about by the increasing use of computers and information technology culminated in the Bureau instituting a universal case numbering system in 1991, developing the Automated Case Support (ACS) system in 1995, and eliminating the headquarters case file as a separate investigative record in 1997.

To begin addressing the impact of these recordkeeping changes, NARA agreed to conduct a focused records management assessment in selected headquarters and field offices. The assessment addressed specific questions developed by NARA and the FBI relating to agency-wide recordkeeping attitudes and practices. The FBI Records Management Division requested that NARA focus this assessment on the core records of the FBI, its investigative files. The principal goal of the assessment project was to review the management of FBI investigative records across the records lifecycle (i.e., records creation and receipt; maintenance and use, and final disposition) by interviewing selected FBI staff, and to bring specific records management issues and recommendations to the attention of FBI management for future action. Another goal of the assessment project was to identify a variety of cross-cutting cultural perceptions relating to FBI records management that the Records Management Division must also consider as it reorganizes its records management program. The entire project was coordinated directly with the Assistant Director and Deputy Assistant Director of the FBI in charge of the Records Management Division.

Since the early 1980s, NARA's interaction with the FBI has been defined by a lawsuit filed against the FBI and NARA by the American Friends Service Committee concerning the FBI's retention and disposition of records. As part of the resolution of the case (along with the development of a revised records schedule), the FBI executed a Memorandum of Understanding with NARA to update the new schedule at five-year intervals. This assessment is the first of a series of projects required to update the Bureau's records schedule as part of the current five-year update cycle

**National Archives and Records Administration Final Report, dated
10/15/2002, with Findings and Recommendations**

FBI Support of the Assessment Project

The FBI Records Management Division provided excellent assistance to the NARA assessment team. They initially provided a wide range of background information including operations and procedures manuals, training manuals, and briefing materials. They also provided tours of FBI records facilities, and arranged necessary meetings with FBI staff in other headquarters and field offices, sometimes on short notice. Records management personnel and individual interview subjects have been universally helpful in providing information and especially forthcoming in sharing their opinions about recordkeeping issues at the FBI.

Methodology

Following planning meetings between the FBI and NARA, the NARA assessment team developed a questionnaire and conducted a series of test interviews with investigative and support staff at all levels at headquarters. In addition to receiving background briefings from the Correspondence Unit, the Archival Unit, and the Historical and Executive Review Unit to get a baseline understanding of the FBI records lifecycle, we interviewed an Information Management Assistant (IMA), a Supervisory Special Agent, and an Inspector who formerly served as an Assistant Special Agent in Charge of a field office. We quickly realized that a traditional view of FBI records management, with headquarters records and files being the starting point for examining recordkeeping issues at the FBI, was not going to work well for this assessment.

The focus of the pilot assessment shifted to the field offices because, since 1999, they are the office designated to keep the "record copy" of all investigative case files. Cases are now assigned to a "lead" field office (known as the "office of origin"), with other field offices participating in the investigation as necessary or as requested by the office of origin. Headquarters units generally provide case monitoring and oversight, approvals of special requests and procedures, policy-level guidance for investigations, and liaison and coordination between field offices, headquarters staff, and the Department of Justice. Headquarters units do not typically keep entire copies of investigative files.

The first phase of the project was the completion of a "pilot" assessment in selected headquarters offices and one field office, and the submission of an interim report for review by the FBI. We organized our pilot questionnaire and analysis around recordkeeping attitudes and practices relating to the stages of the records life cycle: creation and receipt; maintenance and use; and final

National Archives and Records Administration Final Report, dated 10/15/2002, with Findings and Recommendations

disposition of records in all formats and media. We then interviewed six Bureau personnel at the Washington Field Office: the Administrative Officer, an agent with more than ten years experience, an agent with less than three years experience, an Administrative Unit Supervisor, a Senior Administrative Specialist for Records, and an Information Management Assistant. We also reviewed records in the ACS system and in hard copy files when it was necessary to understand or clarify a point, or when it was helpful to differentiate the many types of records maintained by the FBI in various locations.

The interim report identified major issues, findings related to each issue, and one or more recommendations for each issue. The assessment team met with the leadership of the Records Management Division to discuss the focus and format of the final assessment report. They agreed that it would be most useful to them in its current bulleted format.

The second phase of the project was to visit three additional field offices (Richmond, Virginia; Kansas City, Missouri; and Los Angeles, California), and interview essentially the same cross-section of staff as in the Washington Field Office visit. Los Angeles has established new positions to address the problems of diminished support staff in the field office. These positions combine the duties of the squad secretary and the investigative management analyst and are known as Squad Operations Assistants. They have also established supervisors for the Squad Operations Assistants known as Office Services Supervisors. We interviewed two Office Services Supervisors in addition to the Supervisory Administrative Specialist.

On each of these visits, we identified certain personnel in the field offices with whom we wanted to speak, but with whom it would not be appropriate to conduct a full-fledged interview using the detailed questionnaire. These included a computer specialist in each office, the Chief Division Counsel and his assistant in Kansas City, the squad supervisor of a Joint Drug Intelligence Group (JDIG) in Kansas City, and a former supervisor who had recently returned to being a street agent in Los Angeles. With these individuals, we had discussions on a range of issues relating to FBI recordkeeping. The JDIG supervisor also demonstrated the capabilities and content of a JDIG document database.

For the second-phase field visits, we reviewed paper and electronic records with Information Management Assistants to see the capabilities of the system and to see whether there were any discrepancies between the paper and electronic case files. We also identified the use of electronic mail as an area that needed to be

National Archives and Records Administration Final Report, dated 10/15/2002, with Findings and Recommendations

examined. The FBI has an internal-only electronic mail system for its employees. Most FBI employees do not have electronic mail accounts that provide access outside the FBI's network. The FBI Office of General Counsel did not clear our access to electronic mail in time for our visits to Richmond and Kansas City. At the Los Angeles field office, we were able to review the electronic mail records in the accounts of one agent and one support staff.

Issues, Findings, and Recommendations

1. **Issue:** There are multiple copies of every investigation case file, and multiple copies (electronic copy, hard copy, lead copy and notification copy) of Bureau generated documents.

Findings

- ACS contains a portion of every investigative case file. ACS consists of documents created by the FBI in a word processing program. Most FBI offices do not have scanning equipment, so records received from sources outside the FBI cannot be loaded into ACS.
- The office of origin for an investigation is designated as the custodian of the "official" case file. An office creating or receiving a document in hardcopy should enter the document attributes into ACS and forward the original document to the office of origin for inclusion into the office of origin case file. There is considerable confusion as to what should be sent to the office of origin.
- Field offices and headquarters offices that create or receive documents pertaining to a case maintain a copy of those documents in a case file, after forwarding the original to the office of origin. The same case number is supposed to be used by each field office, headquarters office, and office of origin.
- Agents often maintain a reference copy of approved documents they create or receive in the event that something happens to the paper copy.
- Duplicate files create the potential for the official file not being complete.
- A review of paper and electronic records during field office visits verified the creation and maintenance of multiple copies of investigative files.

- When office send an original document to the office of origin, the original is sent by overnight mail and a copy is emailed or faxed. Duplicate copies of documents also create the potential for poor filing. Both versions of the document or neither version of the document might make it into the office of origin case files.

Recommendations

Short Term

- Establish clear policies for recordkeeping responsibilities for headquarters offices, the office of origin and the auxiliary offices.
- Establish clear recordkeeping requirements for working papers and background material related to investigative case files, which are not sent to the office of origin.
- Recordkeeping requirements should also cover non-investigative records, especially in headquarters. Currently, there is no mechanism for separating and identifying policy and implementation files in a headquarters office. These records are often interfiled with headquarters investigative case files.

Long Term

- Develop a centralized electronic recordkeeping system that contains a complete record of an investigation and which includes all electronic approvals and concurrences.
2. **Issue:** The office of origin file, which is the official record copy of an investigation, may not always be complete and up-to-date.

Findings

- On the question asking if there are procedures that define what documents are included in the official office of origin case file, most respondents answered yes, and the rest of the respondents were evenly split between those who said there were no procedures and those who said they did not know if there were procedures. Some of the respondents told us it was up to the agent to decide.
- Field offices and headquarters offices do not send all the documents to the office of origin. One person interviewed said that approximately 40% of the documents in a case were sent to the office of origin. An agent

stated that her office is the office of origin for a case and she knew that other offices are working on the case but she has received very little paper from these other offices.

- One Information Management Assistant regularly receives paper copies created in the lead or auxiliary office that have not been uploaded to the ACS electronic case file. She stated that if she uploads the attributes (metadata) of the documents without the text, she is exposing herself to a penalty when internal office audits are conducted. She keeps the paper documents and repeatedly contacts the other office until they upload the documents. This process can take weeks.
- In reviewing electronic case files at headquarters, the correspondence unit showed the NARA team instances where field offices had established case file numbers for cases in which they were not the office of origin.
- There is a backlog of electronic communications in field offices that require indexing and uploading into ACS. Agents across the country may not be using the most current information in ACS.

Recommendations

- Establish clear policies for where investigative reports and other records are to be maintained.
 - Establish easily understood procedures for transmitting all case documents to the office of origin in a timely manner.
3. **Issue:** Staff believes that the FBI needs to maintain paper copies of investigative case files.

Findings

- Agents believe that paper case files will always be required for legal reasons.
- Staff does not trust FBI computer systems for retrieval of records when they need them.

Recommendations

- Brief staff members on the issue of legal acceptability of electronic records in training sessions provided by FBI attorneys.

- Ensure that FBI systems provide reliable access to needed documents, and organize users groups to provide feedback on system problems.

4. **Issue:** There are both paper and electronic records created or received in the course of investigations that are maintained and used outside of standard FBI recordkeeping practices.

Findings

- Areas defined as "High Intensity Drug Traffic Areas", or HIDTA, by the Office of National Drug Control Policy have established Joint Drug Intelligence Groups (JDIG) which coordinate the efforts of multiple federal, state and local agencies. JDIG squads develop large document databases (using the Intel Plus program or "Major Case Database" programs) using the information from all of the participating agencies.
- The Kansas City JDIG squad demonstrated the capabilities and content of the document database used by the JDIG squad. The FBI has not considered the records management issues associated with creating localized Joint Drug Intelligence Group document databases (and other similar systems), especially whether they are official federal records.
- When the Bureau works on large, high priority, complex cases (such as the Oklahoma City Bombing, the September 11 terrorist attacks, or the Anthrax investigations), they enter lead information in a Rapid Start database in order to track the huge number of leads involved. Rapid Start is a stand-alone system that does not link to ACS.
- In large white-collar crime or public corruption cases, squads often collect hundreds of thousands of pages of documents as evidence (pursuant to subpoena or discovery) that cannot be effectively managed or retrieved. One agent noted that there has never been any training in how to manage large collections of documents collected in the course of an investigation.
- Investigators also acquired electronic data (membership databases of professional organizations, electronic bank records, etc.) as evidence. The FBI is unable to fully manipulate and analyze this type of information because it cannot be integrated into the electronic case file. For example, a WFO squad was unable to use a database program developed by the National Drug Intelligence

Center for a specific investigation because it was not approved for use on FBI computer systems.

- Los Angeles (along with eight other regional centers) has scanned all of the cases in certain foreign counterintelligence classifications going back to 1993 for review at headquarters and by the Congress. LA scanned 3,000,000 pages in three weeks. For these cases, the electronic documents are both more complete and potentially more useful than the correlating cases in ACS and in the paper files.

Recommendations

- Conduct a closer examination of the investigative process to determine exactly where all of the investigative records are created and maintained.
 - Establish a recordkeeping system that effectively manages all of the records created and maintained by the FBI, including local or stand-alone databases.
 - Develop systems capable of integrating electronic evidence into the case files, such as data warehouses.
5. **Issue:** ACS does not function adequately as an indexing, tracking, or recordkeeping system, and there are quality control problems for data entry.

Findings

- When indexing, IMAs sometimes enter information incorrectly, which means the entry cannot be searched. For example, Mr., Mrs., and Miss are not supposed to be entered but some IMAs do, which means a user would have to include those terms in order to search for the name.
- ACS does not contain copies of documents received by the FBI, any non-textual records, or odd sized documents. ACS is not capable of storing top secret classified records, meaning that entire investigative divisions are unable to use the system and the top secret classified serials of a case are not uploaded into ACS.
- Certain personnel understand how to limit access to case information in ACS. Other personnel do not know how to utilize this capability to help assure ACS/case file security.

- It takes too long to print documents from ACS so agents write down information.
- There is no global search capability in ACS, and it is unclear when hits represent everything that is relevant in the file.
- Searches with too many hits cause the system to stop functioning without completing the search.
- One respondent stated that some agents do not use ACS, so their documents are not uploaded into the system.

Recommendations

- Improve the quality of data entry through increased staff training, by providing easy-to-follow data entry procedures, and by establishing uniform quality assurance standards to verify that information was correctly entered into FBI systems
 - Eliminate any backlog of uploading documents to ensure that the electronic case file has the most current and up-to-date information.
 - Clearly identify responsibilities of IMAs and agents and provide unambiguous procedures for them to follow.
 - Conduct periodic inspections or audits for data entry to ensure that training is successful and procedures are followed agency-wide.
 - To address the search limitations in ACS, explore using a browser-based system where hits are ranked by their relevance to the search. Such a system would give users more confidence in the system.
6. **Issue:** Records created and received using electronic mail applications are not compatible with ACS. If an agent creates or receives a case-related record using email the information must be converted to the word processing application to be uploaded into ACS.

Findings

- One agent said that he never uses email for case related work because email and ACS are not compatible. However, this practice may vary within the FBI.

- Agents maintain email in their own electronic mailboxes. No one we spoke with prints and files email messages.
- According to all of the computer specialists we interviewed, audits of Bureau employee electronic mail are not conducted. Consequently, there is no Bureau-wide understanding of how electronic mail is actually being used.
- Prior to September 11, there was a 90-day auto-delete function on the FBI electronic mail system. Headquarters has directed that function to be turned off since September 11.
- The assessment team's visit to the Los Angeles field office included a review of the electronic mail account of one agent and one squad operations assistant. Our review indicated that these individuals use FBI electronic mail primarily for administrative and transmittal purposes.

Recommendations

- Establish a written electronic mail policy, which includes the use of electronic mail for case-related work.
 - Establish an electronic recordkeeping system to enable external and internal electronic communications to be maintained with the related case file or be destroyed after their usefulness ends, in accordance with NARA-approved dispositions.
7. **Issue:** Agents and units maintain unofficial drop files in paper and electronic form.

Findings

- Nearly every agent mentioned the practice of maintaining drop files or reference files at their desk and also at the unit level.
- Agents maintain electronic drop files in electronic mail mailboxes and in word processing programs on personal computers and floppy disks.

Recommendations

- The reappraisal of headquarters and field office records should include these drop or reference files at all levels.
- Establish clear recordkeeping requirements for these records.

8. **Issue:** Procedures manuals are rarely read or followed by agents and administrative staff.

Findings

- There is a lack of inclusion of field office staff when changing policies and when implementing new policies. Often there are new requirements in ACS that field office staff must learn without any guidance from headquarters.
- In Richmond and in Los Angeles, the administrative supervisors are developing their own "IMA handbooks" for use by administrative staff which consist of procedures extracted from the Manual of Administrative Procedures and the Manual of Investigative Operations and Guidelines. Los Angeles has also issued directives that define how paperwork should flow through the office.

Recommendations

- Update and simplify all manuals in plain language.
- Utilize web-based or interactive prompts to provide easy lookup of specific information from manuals.
- Produce pocket guides for easy reference on particular topics.
- Include field staff when developing new policy.
- Notify field staff of policy changes before they are implemented.
- Utilize the work already done in the field offices (see findings above) if it is applicable Bureau-wide.

9. **Issue:** Because of the volume of information and the deficiencies of the ACS system in transmitting and maintaining case documents, there is no clear method of identifying the urgency of a specific document or lead.

Findings

- Under the old paper-based system, there was such a thing as an immediate teletype. A veteran agent in Los Angeles has never seen an "immediate" electronic communication, that is, a document that requires immediate attention.
- One veteran agent described a situation following September 11 where he and his partner covered a lead from Rapid Start, and as he was leaving the interviewee's residence, two agents from one of the Resident Agencies arrived to cover the same lead.

Recommendation

- Develop a more effective workload assignment priority and tracking system module for the new recordkeeping system where a lead can be prioritized, checked out when it is assigned and being covered, and checked back into the system after it is covered and reported.

Cultural Perceptions

The cultural perceptions identified below are crosscutting issues found throughout FBI divisions, field offices, and headquarters. Finding solutions to the cultural perceptions of FBI recordkeeping will be among the most difficult problems facing the FBI, especially the Records Management Division.

- There is a general lack of trust/respect of headquarters personnel by agent personnel in the field offices.
- Very few FBI personnel have confidence in ACS or in their ability to fully utilize ACS functions.
- Staff do not trust ACS, the mail, or other staff to correctly maintain records so everyone keeps copies of documents that pass through their hands.
- Because ACS does not contain complete, current, and accurate information on a case, some agents do not want to use it at all.
- Every staff member at all levels believes that they need to maintain a "record" of their transactions, even if the official record copy is elsewhere. There appears to be a feeling that since staff members are held accountable for their work, then their work must be maintained at their work site or even their work station.
- There is a lack of communication between IMAs and agents. Agents believe that the IMAs should automatically

complete administrative tasks and the IMAs believe their job is to follow specific instructions from agents. The lack of communication inhibits information being entered into ACS.

- FBI policies and procedures (mainly relating to computer security) have prevented the FBI, as an organization, from taking maximum advantage of information technology including electronic mail for external communication and the Internet.
- Many people are more comfortable using and maintaining paper to do their work.
- Most FBI employees do not have external electronic mail capabilities at their desktop, but have to use central workstations designated for Internet access.
- Electronic communications using ACS is the principle method of internal FBI communication, so FBI staff does not use electronic mail and other common desktop tools as most other Federal agencies do.
- Agents believe that manuals are out-of-date and are too "huge" to read and use. Agents said they use manuals "now and then."
- Staff members do not believe that defined procedures work.
- Although manuals are not widely used, FBI management expects that the detailed written procedures be followed exactly.

Conclusion

As in most Federal agencies, records management at the FBI has largely focused on the disposition of records. This assessment shows that the Bureau's recordkeeping problems begin with records creation and maintenance. Finding solutions to these problems and implementing them will require commitment from FBI leadership and the efforts of a team of people developed from many parts of the organization including the Director's office; the Records Management Division; human resources staff; information technology staff; security staff; the investigative divisions; and representatives from the field offices. As the FBI works on technological solutions to improve records management, it should especially address issues of maintaining the enormous volume of records created in FBI offices, and the many cross-cutting cultural perceptions identified in this assessment report.

The FBI should produce concise, understandable recordkeeping requirements for each type of file: office of origin, headquarters, and other offices working on an investigation. The recordkeeping requirements should include electronic records such as ACS, electronic mail, and all future systems. Duplicate files, an age-old problem in government offices, damage the integrity of the "record copy" of the case file. For example, documents uploaded into ACS and electronically sent to the office of origin are also faxed and sent by mail to the office of origin. In a large case, the office of origin could receive numerous copies of each document, and these multiple copies can easily be misfiled and make cases unmanageable.

Implementing recordkeeping requirements and improved records management practices is largely a matter of consistency, communication, staffing and training. The recordkeeping responsibilities of agents, IMAs and supervisory agents should be specifically defined, and it must be clear in the FBI that all staff have important recordkeeping responsibilities regardless of their position and geographic location. There is a perception, especially among agents, that recordkeeping means additional administrative responsibility, and therefore less time for investigative work. The Records Management Division (and a senior-level records management task force) should work to change that perception so that agents understand that better recordkeeping can actually improve the efficiency of the entire organization.

Strengthening records management staffing is essential for successfully implementing a comprehensive, nationwide records management program. A nationwide network of professional records managers should be responsible for the implementation of new Bureau records management policies and recordkeeping requirements. An additional approach might be to assign an experienced records manager to major task forces or cases.

Records management training is a key element in the implementation of recordkeeping requirements. Specific training should be developed for supervisory special agents, special agents, IMAs and other staff. Short web-based interactive training modules could be effective training and professional development tools. Another method of developing a professional records management staff and providing training is to hold annual Bureau-wide records management conferences for FBI staff.

Recordkeeping should continue to be included in the regular FBI inspection program, and the Records Management Division should develop methods to identify problem areas and weak programs in FBI offices. In addition to these periodic program evaluations, the FBI should develop a quality assurance program to regularly audit recordkeeping on a day-to-day basis.

Although this assessment found many issues that need to be addressed by the FBI, it is important to note that the FBI staff interviewed during the assessment expressed concerns about FBI recordkeeping and believe it to be an important issue. Developing consistent policies, opening clear lines of communication, establishing a comprehensive records management training program, and developing a professional records management staff throughout the FBI are proactive measures designed to assist in restoring the trust of staff in FBI recordkeeping practices.



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

October 18, 2002

b6
b7C

[Redacted]

Branch Chief
Reference Service Branch
Washington National Records Center
National Archives and Records Administration
4205 Suitland Road
Suitland, Maryland 20746-8001

Dear [Redacted]

The purpose of this letter is to provide current authorization forms which list those FBI employees who are authorized to pick-up and/or request FBI records currently maintained at the Washington National Records Center (WNRC).

The enclosed forms are dated October 18, 2002, and provide the listed individuals with pick-up/request authorization for Fiscal Year 2003 and supersede any other authorization forms currently on file at the WNRC.

Any questions concerning this matter may be directed to FBI Archives Specialist [Redacted] at [Redacted]

Sincerely yours,

[Redacted]

Supervisory Archivist
Records Management Division

Dep. Dir. 66F-HQ-C1190059 - 290

ADD Adm. _____
ADD Inv. _____

Asst. Dir.:

Adm. Servs. 1 - Mr. Hooton, Room 11703
Crim. Inv. 1 - Mr. Garrity, Room 11703
Ident. 1 - [Redacted]
Insp. 1 - [Redacted] Room 11703

Intell. _____

Lab. _____

Legal Coun. WS:WS (8)

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 - [Redacted] Room 1270
1 - [Redacted] Room 1193
1 - [Redacted] Room 4933

MAIL ROOM [Redacted] 10/18/2002

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 10/25/2002

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To: Records Management

Attn: [Redacted]

From: Washington Field
Administrative Officer

Attn: [Redacted]

Contact: [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059 (Pending) - 66
66F-WF-202122 (Pending) - 66

Title: NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION; ASSESSMENT OF
FBI RECORDS MANAGEMENT PROGRAM;
FINAL REPORT WITH FINDINGS AND
RECOMMENDATIONS

Synopsis: To identify [Redacted] as Point
of Contact (POC) for WFO. [Redacted] will serve
as alternate POC.

Details: This is to advise that [Redacted] Acting
Administrative Officer, will serve as POC for WFO for the purpose
of scheduling a teleconference with representatives of the
Records Management Division, lead representatives of the NARA
Targeted Assistant Assessment Team and individuals from each of
the participating field offices to discuss the findings and the
recommendations in the report.

WFO has formulated a team of individuals, some of which
participated in the beginning assessments of the program review
and interviews, that will meet on 11/7/02 at 10:00 a.m. These
individuals will review the NARA Final Report, Findings and
Recommendations in preparation for participation in the
teleconference scheduled for 1:00 p.m., Eastern Standard Time, on
11/21/02.

a:wam29802.ec

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1137 BRANCHTON ROAD
BOYERS, PENNSYLVANIA 16020
TOLL FREE: 800-687-7867
FAX: 724-794-2838
www.ironmountain.com



August 1, 2002

Federal Bureau of Investigation
Attn: [redacted]
10th St. & Pennsylvania Avenue NW
Washington, DC 20535

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Dear [redacted]

In response to a request received at our office, we are enclosing additional sets of authorization cards for your use in updating your authorized personnel.

1. Please have the card(s) signed where indicated for the authorized person.
2. Have the card(s) filled in as to what access the authorized person is to have.
3. Have the card(s) signed by an officer of your organization.
4. Please be sure that each authorized person signs the white copy and pink copy with the identical code number.
5. The white copy is returned to us.
6. The pink copy is retained by the authorized person.

Please note: Only one (1) authorization card required per person.

Sincerely,

[redacted]

Sales Assistant
Enc.

66F-HQ-C1190059-292

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 7, 2002

NWM 16.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Request for comments on "Proposal for a Redesign of Federal Records Management

NARA is seeking public comment on the **Proposal for a Redesign of Federal Records Management**. This proposal is part of NARA's series of records management initiatives to examine and redesign, as necessary, its records management policies and procedures. The Proposal is available on the NARA Records Management web page at: http://www.archives.gov/records_management/pdf/rm_redesign.pdf. A HTML version is available at http://www.archives.gov/records_management/initiatives/rm_redesign.html. For a paper copy of the report, contact [redacted] at [redacted]@nara.gov.

The Strategic Plan of the National Archives and Records Administration (NARA) states that NARA will ensure ready access to essential evidence that documents the rights of American citizens, the actions of Federal officials, and the national experience. In support of the NARA Strategic Plan, this **Proposal for a Redesign of Federal Records Management** lays out a strategy for a redesigned records management program at NARA. The strategy calls for NARA to partner with stakeholders to ensure that:

- Federal agencies can economically and effectively create and manage records necessary to meet business needs,
- Records are kept long enough to protect rights, assure accountability, and document the national experience, and
- Records are destroyed when they are no longer needed and it is practical to do so.

We urge you to read this document and provide feedback to NARA. Comments must be received by September 15, 2002. Please send your comments to [redacted] (NPOL) by email to [redacted]@nara.gov or by fax to 301-837-0319 or by mail to NPOL, National Archives at College Park, Room 4100, 8601 Adelphi Rd, College Park, MD 20740-6001.

Howard Lowell

HOWARD LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-293

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b7c



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

AUG 08 2002

[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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b7c

Dear [Redacted]

In fiscal year 2003 the Records Center Program will offer Stratified Report Invoicing. This new service will provide you with an invoice that reports records center services below the record group. Stratified reports will allow you to determine which administrative sub-units within your agency received records center services. Your agency will continue to receive one invoice from the NARA Records Center Program each month. If you currently have more than one office sharing a record group and would like to determine the records center services provided for each office, Stratified Report Invoicing is for you!

To enable us to provide this service, we will need to work closely together.

You will need to:

- ◆ Determine a unique two character alpha-numeric "charge code" for each unit of the organization for which a report breakout is desired, i.e., an administrative sub-unit that shares a record group.
- ◆ Require that the appropriate charge code is annotated prominently on all requests for RCP services, i.e., annotate the charge code on every SF 135, OF 11, CIPS request, email request, letter request, refile document and interfile document sent to NARA records centers for action. This requirement must be in place prior to the beginning of the fiscal year (October 1, 2002).
- ◆ Obtain a list of your current records center holdings from your RCP Account Representative. You will use this list to annotate each transfer (accession) number with a charge code. Once this has been completed, you will need to return the electronic listing to the Account Representative.

These actions will enable your Account Representative to provide you with a monthly invoice that reports the records center services by the charge codes within a record group.

Please contact [Redacted] your Account Representative, at [Redacted] no later than August 16, 2002 for detailed instructions if you would like to begin using this service in fiscal year 2003.

Sincerely,

DAVID WEINBERG
Records Center Program Director

66F-HQ-C1190059-294



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 9, 2002

Federal Bureau of Investigation

[Redacted]

J. Edgar Hoover Building
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

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Dear [Redacted]

As discussed in previous correspondence, the Records Center Program of the National Archives and Records Administration is pleased to announce that transactional billing will be in place for the upcoming fiscal year. Transactional billing entails billing all Records Center Program (RCP) customers for services based on the type and volume of service provided. Transactional billing will become effective October 1, 2002.

Enclosed is a spreadsheet that projects the type of services, volume of services, and estimated cost of services we expect to provide your agency in Fiscal Year 2003. The volume projection for services is based on information known to the Records Center Program. However, you may want to adjust the volume projection based on information known to you.

Also included in the attachment is a storage projection for Fiscal Year 2003, which projects the type of storage, volume of storage, and estimated cost of storage. The volume projection for storage is based on information known to the Records Center Program. However, you may want to adjust the volume projection based on information known to you. The storage volume is expressed as an aggregate annual amount (i.e. monthly total * 12). For Fiscal Year 2003, the storage rate will be shown as a monthly value instead of as an annual value.

You will note from the attachment that our service line follows the traditional records center activities of transfers, disposition, reference, refiles, interfiles, and photocopies. For storage, most agencies will find that their holdings fall in the Standard storage category. Some agencies may also have holdings in the Classified or Non-Textual Environmentally Controlled categories, which contain a higher charge for Fiscal Year 2003. A few agencies may also have holdings in the Textual Environmentally Controlled category. For Fiscal Year 2003 we will bill records in this category at the Standard storage rate.

Since our inception as a revolving fund in Fiscal Year 2000, we have attempted to meet the needs of our customers as quickly as possible. Many customers expressed the need to see RCP billings based on the number of transactions. We believe that this methodology is both fair and customer responsive, and we are pleased to be able to now offer transactional billing.

66F-HQ-C1190059-295

A proposed Fiscal Year 2003 interagency agreement, which provides details concerning RCP storage and services, will be forwarded to you shortly. The proposed agreement will be similar to our existing agreement, but will incorporate the transactional billing process. If you have any questions or concerns as you review the enclosed projection or the interagency agreement, please contact [redacted] at [redacted] or via email at [redacted]@nara.gov.

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In addition, we will be hosting a Records Center Forum on August 20, 2002, at 10 AM. The Forum will be held at the National Archives Building at 7th and Pennsylvania Avenue, NW, Room 105. For additional information about the Records Center Forum, please visit the RCP web site at www.archives.gov/records_center_program. The sole topic of the forum will be transactional billing for storage and services and RCP staff will be available to answer questions.

We look forward to continuing as your provider of choice for records center services.

Sincerely,



DAVID M. WEINBERG
Records Center Program Director

Enclosure



FY 2003 Customer Estimate

Federal Bureau of Investigation

<i>Code: Description</i>	<i>Type</i>	<i>Workload</i>	<i>FY 2003 Estimate</i>	
			<i>Rate</i>	<i>Estimate</i>
Customer Code: A2				
<i>Storage</i>				
S1: Standard	Storage	107,638	\$0.175	\$18,836.60
S3: Classified	Storage	7,320	\$0.355	\$2,598.60
ST: Textual Env Control	Storage	17,028	\$0.175	\$2,979.90
Storage Total		131,986		\$24,415.10
<i>Service</i>				
A0: Processing Fee	Transfer	20	\$42.000	\$840.00
A1: Standard	Transfer	781	\$3.350	\$2,616.35
F1: Standard Box	Refile	813	\$3.550	\$2,886.15
F2: Standard File	Refile	41	\$3.550	\$145.55
R1: Standard Box	Reference	571	\$4.300	\$2,455.30
R3: Classified Box	Reference	32	\$6.550	\$209.60
Service Total		2,258		\$9,152.95
Total		134,244		\$33,568.05

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 16, 2002

NWM 17.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS, CHIEF INFORMATION OFFICERS, AND INFORMATION RESOURCES MANAGERS: Announcing staff changes and new website for the Office of Modern Records Programs

As many of you know, the Office of Modern Records Programs has undergone significant staff changes over the last few months. In addition, the National Archives and Records Administration has unveiled a new website, in which the Records Management section has also been reorganized.

In July, Michael L. Miller left his position as Director of Modern Records Programs to take a position within the Federal Bureau of Investigation's new Records Management program. Marie B. Allen, Director of NARA's Lifecycle Management Division, has also departed for the FBI's records management program.

In the upcoming months, Howard Lowell, Deputy Assistant Archivist for Records Services – Washington, DC, will oversee the operations of the Modern Records Programs. Larry Baume will act as temporary Director of the Lifecycle Management Division. Howard can be reached at 301-837-1925. Larry can be reached at 301-837-1505.

Please note that you should still contact the NARA appraisal archivist assigned to your agency with any records management questions or concerns.


The newly redesign Records Management website can now be accessed at http://www.archives.gov/records_management. You will recognize many of the same features you used from the old website. Please take a moment to visit the website and navigate around. One of the new features is the Electronic Records Management Initiative section. This section provides information on the E-Government Electronic Records Management Initiative, for which NARA is the managing partner. E-Government is part of the President Bush's management agenda aimed at making it simpler for citizens to receive high-quality service from the Federal Government, while reducing the cost of delivering

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those services. You can access the E-government section of the Records Management website at http://www.archives.gov/records_management/initiatives/erm_overview.html.

If you have any questions or comments on the website, please contact [redacted] at [redacted]@nara.gov.

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MICHAEL J. KURTZ
Assistant Archivist
For Records Services – Washington, DC

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 20, 2002

NWM 18.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Records of concern

As we approach the anniversary of the tragic events of September 11 we want to remind all departments and agencies of the responsibility they have to protect information in their records from getting into the wrong hands. Of particular concern is information that could be used to develop weapons of mass destruction, attack or destroy public sites or critical infrastructure, or threaten emergency planning.

On March 19 the White House issued a memorandum for heads of executive departments and agencies on safeguarding such sensitive information. The memorandum urged all departments and agencies to review their records management procedures and their holdings to ensure that they are protecting this information.

NARA has implemented a nation-wide program to identify records of concern that are in our archival holdings, that is, records in our legal custody. When we identify records of concern in the archives, we withdraw the records from public access. However, records that are in NARA's Record Centers are not included in NARA's records of concern program, because these records are still in the legal custody of the originating departments and agencies. Therefore, for records stored in Records Centers, it is the responsibility of each originating department or agency to implement the provisions of the White House memorandum. Of course, access to records stored in NARA Records Centers is limited to authorized agency employees or contractors.

We will be happy to provide copies of our guidance on the definition and implementation of NARA's records of concern program. Questions concerning the overall program should be directed to [redacted] Chief of the Special Access/FOIA Staff, at [redacted]. Questions concerning security classified records should be directed to [redacted] at [redacted]. [redacted] can help with questions concerning Record Centers. He may be reached at [redacted].

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THOMAS MILLS
Assistant Archivist for
Regional Records Services

MICHAEL J. KURTZ
Assistant Archivist for
Records Services – Washington, DC

66F-HQ-C1190059-297

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 26, 2002

NWM 19.2002

Memorandum To Agency Records Officers: Notice of special Bimonthly Records and Information Discussion Group (BRIDG) Meeting on September 5, 2002

Please mark your calendars for a special BRIDG meeting scheduled for Thursday, September 5, 2002. Dr. Lewis Bellardo, the Deputy Archivist, will discuss the latest updates on the "Proposal for A Redesign of Federal Records Management". The meeting will be at 1:30 PM and last one hour. It will be in Room 105 of the National Archives Building, 700 Pennsylvania Avenue NW.

If you have not already done so, you may wish to review the two reports relating to the project which can be found on our website. The "Report on Current Recordkeeping Practices within the Federal Government" (also known as the SRA Report) is available on the NARA web site under Initiative 1 at

http://www.archives.gov/records_management/initiatives/rm_redesign_project.html#report. In addition, we have recently completed a "Proposal for Redesign of Federal Records Management" that builds on this report. The proposal is found on NARA's web site under Initiative 2 at http://www.archives.gov/records_management/initiatives/rm_redesign_project.html#redesign

Due to security requirements and space limitations, an RSVP will be required. To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] at [redacted] (or email [redacted]@nara.gov), no later than noon on Wednesday, September 4, 2002.

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We look forward to seeing you on September 5, 2002.

HOWARD LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-298

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 28, 2002

NWM 20.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: FY 2003 choice of records center storage providers

Effective October 1, 2002, Federal agencies may contract with private entities for the storage of Federal records currently stored at Federal records centers. Although no NARA approval is required for such contracts, agencies must comply with Federal regulations governing the storage of Federal records at such facilities. This memo serves to remind Federal agencies of key requirements governing this practice. The requirements are fully set forth in 36 CFR Parts 1220, 1222, and 1228.

Regardless of where Federal records are stored, each agency bears responsibility for ensuring that records in its legal custody are stored in appropriate space. An agency must ensure that any records storage facility it uses meets CFR standards. Federal records serve to document Government transactions and protect rights of individuals. They must be stored in appropriate space to ensure that they remain available for their schedule life. The basic facility standards set forth in 36 CFR 1228 subpart K apply to existing NARA and agency records centers and to commercial records storage facilities currently storing records. Certain noted provisions apply only to new records storage facilities. To provide appropriate environmental controls and the best possible protection against records disasters, all new facilities used to store Federal records must meet higher or additional standards that reflect current knowledge on protecting records from damage.

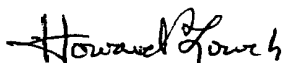
We encourage Federal agencies to keep the following requirements in mind when considering contracts with commercial storage centers.

1. Federal agencies may store permanent, temporary (excluding Civilian Personnel Records), and unscheduled records, as well as vital records, at any storage facility that meets the provisions of 36 CFR 1228 subpart K for storage of Federal records (and 36 CFR 1236 for vital records). 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 scheduled for long-term or permanent retention. Civilian Personnel Records may only be transferred to the National Personnel Records Center in St. Louis.
2. If your agency contracts with a commercial records storage facility, your agency must certify to NARA's Space and Security Management Division, least 45 days prior to first transfer of records, that the facility complies with Subpart K before the agency transfers records to that facility [36 CFR 1228.240(e)]. The General Services Administration has

not provided this certification to NARA on behalf of other agencies for commercial facilities on its Federal Supply Schedule.

3. If you store agency records in a commercial records storage facility, you must ensure that the contract allows NARA staff access to the records for purposes of conducting a records management evaluation or processing a schedule for disposition of the records [see 36 CFR 1228.154(e)].
4. Agencies must maintain the same degree of intellectual control over records stored in commercial records storage facility as records stored in NARA records centers. Moreover, agencies must report to NARA when permanent or unscheduled records are retired for storage to a commercial storage facility [36 CFR 1228.156(c)]. Storage of unscheduled records requires submission of an SF-115 to NARA prior to transfer, and the transfer can occur only after NARA has determined that the SF-115 meets the requirements specified under 36 CFR 1228.154(b).
5. Procedures for the disposal of temporary records must include a requirement that the facility notify agency records managers or the creating office prior to the disposal of temporary records unless the disposal is initiated by the agency [36 CFR 1228.156(c)]. Procedures must also ensure that the facility transfers permanent records to the National Archives as individual series spanning one or more years and in accordance with 36 CFR 1228.172.
6. Agencies must ensure that records which are security classified or otherwise restricted from disclosure by statute or regulation are stored and maintained in accordance with applicable laws, executive orders, and regulations. Agencies must also ensure that disposable records, including those security classified or otherwise exempt from disclosure, are destroyed in accordance with the requirements specified in 36 CFR 1228.58.

If you have any questions about the 36 CFR 1228 subpart K requirements, please contact Stephen Hannestad, Director of the Space and Security Management Division at 301-837-1790. For questions about other requirements, please contact the appraiser in our Life Cycle Management Division with whom your agency normally works.



HOWARD P. LOWELL
Acting Director
Modern Records Programs



National Archives and Records Administration

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

September 3, 2002

Dear Records Officer:

We will close our FY 2002 accession register on September 30, 2002. Please submit now all SFs 135 for accessions with a Fiscal Year 2002 accession number. We suggest that you begin assigning Fiscal Year 2003 accession numbers to new SFs 135 if you are not certain that we will receive the SFs 135 by October 1, 2002. Please remember to submit the original and one copy of the SF 135.

It is also very important that your boxes are ready for shipment when you submit your SF 135. We assign a location to the accession when we approve your SF 135. Please do not change the number of boxes in the accession after we approve the accession. To use the empty spaces in the Center most effectively we match the accession to an empty space. If you add or remove boxes from the accession after we have approved the SFs 135, we must delete the original location and assign a new space.

To ensure that we can provide space for your records, as you need it, we only hold space for an accession for 90 days from the date of approval of the SF 135. If we have not received the boxes within 90 days, the space is available for other accessions.

Please remember to submit the original and one copy of the SF 135, have your records ready for shipment, and send your records into the Center within 90 days of approval. Please distribute this information to any offices in your agency that submits SFs 135 to this Center.

If you have any questions, please call [redacted] on [redacted]

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Sincerely,

JUDITH A. BARNES
Chief, Accession and Disposal Branch

66F-HQ-C1190059-299

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 10, 2002

NWM 21.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: FY 2003 Records Management Training and Notifying NARA of Change in Records Management Officer.

Enclosed is a copy of the brochure for FY2003 NARA records management training. The brochure provides the training schedule along with registration information, descriptions of classes, and other training opportunities in the Washington, DC, area. It also includes information on regional training activities available from our Office of Regional Records Services.

Additional copies of the training brochure may be obtained by calling [redacted] at [redacted] or [redacted] a [redacted]. An electronic copy of the FY2003 training schedule and class descriptions will be available by September 30, 2002 on the NARA Records Management page at http://www.archives.gov/records_management/training/training.html.

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Please note that next year's Records Administration Conference, RACO 2003, will be held on Tuesday, May 13, 2003 at the Ronald Reagan Building and International Trade Center, 1300 Pennsylvania Avenue, NW, in downtown, Washington, DC. RACO registration information is included on page 3 of the brochure.

NARA maintains a list of agency records management officials at http://www.archives.gov/records_management/federal_agency_records_officers/officers_lists.html. Please take a look at that list to make sure your agency information is correct. To ensure that this list is up-to-date, your agency must inform NARA whenever there is a change in the official, or officials, responsible for managing the agency's records management program as required by 36 CFR 1220.40. The name, title, telephone number, and mailing and email addresses of the new official should be sent to NARA, Life Cycle Management Division (NWML), Room 2200, 8601 Adelphi Road, College Park, MD 20740-6001, or sent via email to records.mgt@arch2.nara.gov.

If you have any questions about the NARA records management training program, please contact [redacted] or the records management staff at any of the NARA regional facilities.

HOWARD LOWELL
Acting Director
Modern Records Programs

Enclosure

66F-HQ-C1190059-300



National Archives and Records Administration

Washington National Records
Center
4205 Suitland Road
Suitland, MD 20746-
8001

September 16, 2002

Dear Records Officer:

As the new Chief of the Reference Service Branch at the Washington National Records Center, I would like to take this opportunity to inform you of some changes in our operations. Effective Monday September 16, 2002, we will transition to a new telephone system. Enclosed you will find a listing of telephone and facsimile numbers that are relative to each branch of service within the Washington National Records Center. Hopefully, the old telephone numbers will forward to the new numbers for 90 calendar days.

Additionally, upon my review of authorization for access to records, I have found that many agencies have not submitted current authorization forms identifying personnel who may access records. The Washington National Records Center (WNRC) wants to provide your agency the highest level of reference service. We maintain lists of authorized requesters and need your cooperation in keeping the lists current. If your agency has multiple records groups, please ensure that you have submitted an authorization form for each Record Group. Please see the enclosed form.

In order to authorize employees to pick up or request **unclassified** records, complete blocks 1 through 4 for all individuals within your agency/office who will be permitted to have access to your records.

For those individuals who will be authorized to request and/or pick-up **classified** records, please complete blocks 1 through 10. Your agency's Security Officer must initial in block 10 and sign the form. His/her signature serves as the verification of the accuracy of the security clearance information.

WNRC's web site is <http://www.nara.gov/records/wnrc.html>

66F-HQ-C1190059-301

Your signature, as Records Officer, on the form authorizes the listed employees to request and/or pick-up records from the WNRC. In addition, please provide the address of your agency, as well as your agency record group in the appropriate blocks.

Beginning with FY2003 all authorization forms will have to be approved by your agency Security Officer/Records Officer and submitted to the Washington National Records Center by the end of each fiscal year from this point forward. All authorization forms submitted after September 1, 2002 will normally remain in effect until October 1, 2003. If you have not submitted a current authorization form for FY2003 prior to September 1, 2002, please do so at your earliest convenience.

If at any time during the year you wish to add or delete an individual, please send a new authorization form which will supersede the form in file. In the event that an individual must be removed immediately, please call the Reference Service Branch at (301) 778-1502 and the form will be annotated per your instruction. However, we do ask that you send us a follow-up letter for our files. It is your responsibility to monitor access to your records and ensure we have current authorization forms on file.

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If you would like this Excel form to be sent to you via e-mail, please e-mail [redacted] [redacted]@nara.gov. If you have any questions, please call me at [redacted]

If I can be of any further assistance to your records management program, please do not hesitate to call.

Sincerely,



JOSEPH N GROOMES III
Chief, Reference Services Branch

Enclosures (2)

PERSONNEL AUTHORIZED TO REQUEST OR PICK-UP RECORDS FROM THE WASHINGTON NATIONAL RECORDS CENTER

**AUTHORIZATIONS EXPIRE AT THE END OF EACH FISCAL YEAR. INFORMATION SHOULD BE UPDATED PRIOR TO EXPIRATION.
THIS LIST SUPERCEDES ALL PREVIOUS LISTINGS. PRIOR SUBMISSIONS WILL BE REMOVED FROM AUTHORIZATION FILE.**

INSTRUCTIONS:

For persons authorized to pick-up and/or request UNCLASSIFIED records complete only items 1 through 4 on the first line.
For persons authorized to pick-up and/or request CLASSIFIED records complete items 1-10 (BOTH LINES). Do not write in shaded areas.
For BLOCKS 3 and 4, please write C for classified, U for unclassified, or BOTH for both classified and unclassified.
For BLOCK 10, Security Officer should initial all individuals authorized to pick-up and/or request classified records.

1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST			
5 - SSN OR BIRTHDATE	6 - POSITION	7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE	10 - INTITAL	
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST			
5 - SSN OR BIRTHDATE	6 - POSITION	7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE	10 - INTITAL	
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST			
5 - SSN OR BIRTHDATE	6 - POSITION	7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE	10 - INTITAL	
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST			
5 - SSN OR BIRTHDATE	6 - POSITION	7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE	10 - INTITAL	
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST			
5 - SSN OR BIRTHDATE	6 - POSITION	7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE	10 - INTITAL	

I authorize the individuals identified above to request and/or pick-up records from the Washington National Records Center

AGENCY ADDRESS (MUST COMPLETE):

Records Officer Signature

Telephone Number
(Do not use DSN or Autovon)

Date of Authorization
Expires At The End Of Each Fiscal Year

E-mail address

Security Officer Signature

Security Officer - Telephone Number
(Do not use DSN or Autovon)

Record Group Numbers:



National Archives and Records Administration

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

New Telephone And Facsimile Numbers

Effective September 16, 2002

Office Of The Director- Room 121

301-778-1600
301-778-1521 FAX

Director	Alan Kramer
Assistant Director/Security Officer	Ray Whitelock
Administrative Officer (Acting)	Ann Baker
Secretary	Helen Embelton

CIPS Administrator

Mike Whitted
301-778-1567
301-778-1568

Accession and Disposal Branch- Room 125

301-778-1650
301-778-1553 FAX

Branch Chief	Judith Barnes
Assistant Branch Chief	Andrew Jones

For:

Scheduling Assistance- 301-778-1650

Records Recovery/Preservation

Transfer Assistance- SFs 135

Training and Workshops Victor Wagher

Pick-Up/New Transfers

Control Unit 301-778-1550

Reference Service Branch- Room 115

301-778-1510
301-778-1501 FAX

Branch Chief	Joe Groomes
Assistant Branch Chief	Delander Reid
Appointments/Classified Research Room	301-778-1594

Public and Agency Research- Room 116

301-778-1505

WNRC Delivery Service

301-778-1520
301-778-1534 FAX

Reference Requests

Urgent/Emergency
Emergency Requests

301-778-1540
301-778-1561 FAX
301-778-1505

Mailroom

301-778-1560

Refiles

301-778-1585

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 19, 2002

NWM 23.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on October 7, 2002 and June 18, 2002, BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting that is scheduled for Monday, October 7, from 2 P.M. to 4 P.M. at the Department of Agriculture Jefferson Auditorium, 14th and Independence Avenue SW, Washington DC (Independence Avenue exit from Smithsonian Metro stop). The topic will be an update on NARA's Electronic Records Management Initiative, as well as a discussion on possible revisions to NARA's Records Management Website. In preparation for the meeting, please review the Records Management website at http://www.archives.gov/records_management.

To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] (or email [redacted]@nara.gov), no later than noon on Thursday, October 3, 2002.

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The NARA Records Center Program staff will host a Records Center Forum from 1 P.M. to 1:45 P.M. before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact [redacted] at [redacted] (or email [redacted]@nara.gov).

A summary of the June 18, 2002 BRIDG meeting is attached. The topic of this meeting was "Electronic Records Management (ERM) Initiative."

In addition, please join us the next day, October 8, 2002, for the first meeting on the transfer of scanned digital images to NARA, part of NARA's Electronic Records Management Initiative. We have extended the deadline for signing up for this meeting to September 25th. If you would like further information on this meeting, please see NWM 22.2002 at http://www.archives.gov/records_management/policy_and_guidance/nwm22_2002.html, or contact [redacted]

A handwritten signature in black ink that reads "Howard P. Lowell".

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-302

Bimonthly Records and Information Discussion Group (BRIDG)
10:00 a.m. – 12:00 p.m., June 18, 2002
FDIC, 801 Seventeenth Street, NW, Washington, DC

Topic: Electronic Records Management (ERM) Initiative

Approximately 50 people attended the latest BRIDG meeting on June 18, 2002. Michael L. Miller, Director of Modern Records Programs, welcomed the participants and thanked Ed Barrese and the Federal Deposit Insurance Corporation (FDIC) for hosting the meeting. A moment of silence was held for the passing of Alice Gannon, Records Officer for the Office of Federal Housing Enterprise Oversight. Alice served as a mentor to many and was a prominent contributor to the field of Records Management.

E-Gov Initiatives – Mark Giguere, Modern Records Programs

Mark Giguere presented an overview of Office of Management and Budget's (OMB) E-Gov initiatives. These initiatives were established to implement the President's Management Agenda on Expanded Electronic Government. More information on these initiatives can be found at <http://www.egov.gov/>.

NARA has been designated as the managing partner for the Electronic Records Management (ERM) E-Gov initiative. Mark Giguere, Modern Records Programs, and Nancy Allard, Policy and Communications Staff, are co-managers of the initiative. Unlike the other e-Gov initiatives, the ERM initiative is unique in that it is a suite of different policy tools and not a web portal service delivery or other IT-type of solution. All of the tools are scheduled for completion by September 2003.

At a meeting held on April 3 with OMB and agency records staffs, four issue areas were targeted for development:

- Correspondence Tracking will address problems with interagency coordination of Congressional inquiries and provide solutions which can be used by Cabinet-level agencies and their Executive Secretariats. This issue was determined to be one of the primary concerns of the President's Management Council. Karen Evans, CIO of the Department of Energy (DOE) is the issue area lead.
- The second issue area, Enterprise-wide ERM (Electronic Records Management) will provide the critical information on the infrastructure (hardware, software, business processes) needed to develop and deploy an enterprise-wide ERM solution. The issue area lead is Chris O'Donnell, Records Officer of Environmental Protection Agency (EPA).
- The third issue area, Electronic Information Management Standards, is examining mandated government wide use of Version 2 of the Department of Defense (DoD) 5015.2 standard. Mike Todd, of DoD is issue area lead.
- The fourth issue area is Transfer of Permanent Electronic Records to NARA. (See below for discussion.) NARA is the issue area lead. Anyone interested in participating in NARA's part of the ERM initiatives is asked to contact [redacted] at [redacted] or [redacted]@nara.gov.

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Transfer of Permanent E-Records to NARA – Mike Miller, Director Modern Records Programs

Mike explained that out of the Transfer of Permanent Electronic Records to NARA piece of the ERM initiative, the Federal records management community chose three formats for priority. Transfer requirements will be established for e-mail with attachments, scanned images, and Portable Document Format (.pdf). The cycle for releasing the new transfer format requirements begins at the end of September 2002 and will periodically be released through the end of March 2003. The work products for XML schema are in the early stages of development and release dates have not been determined.

In an effort to increase the transfer method requirements and transfer method options, NARA is expected to publish the proposed rule for Transfer of Electronic records in the Federal Register with July 17 being the target date. This is the first step in the ERM initiative will announce FTP and DLT as transfer methods. (NOTE: The proposed rule was published June 26 and comments are due by August 26.)

Mike's discussion focused on format transfer requirements. He stated that NARA is currently developing two pieces of guidance for permanent e-mail with attachments. The first piece will provide the requirements for transfers of permanent e-mail messages and their attachments to NARA from existing email systems. The second piece will provide the design requirements for new agency e-mail systems that will facilitate the transfer of permanent e-mail messages and their attachments to NARA down the road. The work is being done in conjunction with agency partners. Mike also encouraged agencies to consider participating in pilot transfers by sending a body of "test" emails with attachments to NARA for technical evaluation of accessioning and archival processing issues.

Mike posed a question to the audience on their preference for mandatory requirements that state a system must be in compliance with specific provisions or non-mandatory guidance. The general consensus was that agencies need a combination of both because guidance does not draw enough attention from high-level staff, but guidance is needed for processing.

Permanent E-Record Transfers to NARA – Mike Miller, Director Modern Records Programs

Mike Miller provided the attendees with two handouts. The first handout, "Brief Description of the Electronic Records Management Initiative," was a summary of Mark's background on the E-Gov initiatives. The second handout, "Permanent E-Records Transfers to NARA," was a detailed work plan including tasks, milestones and work packages for permanent e-records transfers.

Mike explained that out of the Transfer of Permanent Electronic Records to NARA piece of the ERM initiative, the Federal records management community chose three formats for priority. Transfer requirements will be established for e-mail with attachments, scanned images, and Portable Document Format (.pdf). The cycle for releasing the new transfer format requirements begins at the end of September 2002 and will periodically be released through the end of March 2003. The deadlines for these products are firm and have been set by OMB. The work products for XML schema are in the early stages of development and release dates have not been determined.

In an effort to increase the transfer method requirements and transfer method options, NARA is expected to publish the proposed rule for Transfer of Electronic records in the Federal Register with July 17 being the target date. This is the first step in the ERM initiative will announce FTP and DLT as transfer methods.

Mike's focus of the discussion was on format issues. He stated that NARA is currently developing two pieces of guidance for e-mail with attachments. One piece is for agencies that have e-mails with attachments that are of permanent value. NARA will determine what the transfer package should look like from the current e-mail system. The second piece is developing guidance on how a new e-mail system should operate, and what should be built in to the system to meet NARA guidance. Mike encouraged agencies that have e-mail with attachments that have a high probability of being permanent to work with NARA on sending (transferring) these records in order to determine the content of the guidance. NARA needs partners to test the transfers.

Three other aspects of the guidance are being evaluated. First, determining what is the physical media, how it should be organized, and how it should be transferred. An example is stating the type of headers needed and by what factors they are organized. Second is what kind of metadata will be necessary for transfer. And third, what type of organizational and system information is needed for transfer. This piece will address how to organize e-mail records for transfer to NARA.

NARA is also looking at the possible transfer of systems as a whole, transferring of native formats, and whether to export to ASCII. Another consideration is whether they can be put into ARC (Archival Research Catalog) and where they will be more valuable.

Aside from the ERM initiative, NARA is looking at the preservation and storage functions of e-mail, when to implement legal transfer, and whether some of this will be done on a reimbursable basis. Access and control was stated as a reason why some agencies may not send permanent records to NARA right way and if there is a real business reason for not transferring archival records when available, then they need to migrate those records forward.

Mike posed a question to the audience on whether they prefer requirements that state a system must be in compliance or certified. Or whether they prefer guidance, such as if you guarantee that is it build in a certain manner then NARA will accept transfer of the records. The general consensus was that agencies need a combination of both because guidance does not draw enough attention from high-level staff, but guidance is needed for processing.

Update on Records Management Initiatives (RMI) – Susan Cummings, Policy and Planning

The RMI was developed to determine how NARA is helping Federal agencies and how service can be improved. NARA has been analyzing data collected from various sources such as the Report on Current Recordkeeping Practices within the Federal Government (http://www.archives.gov/records_management/initiatives/report_on_recordkeeping_practices.html), GAO Report (<http://www.gao.gov/cgi-bin/getrpt?GAO-02-586>), and interviews with other government and private archives. The analysis was done in an attempt to develop strategies and tactics to make records management more synchronized with Federal agency business needs, and also to streamline the scheduling and appraisal process. The Concept of Operations is going to be released internally for comments and then sent to OMB for review. Dr. Lewis Bellardo will be giving the keynote address at the Annual Meeting of National Association of Government Archives and Record Administrators (NAGARA) (<http://www.nagara.org/>) to be held in July 2002 where he will discuss RMI. Once approved by OMB, the RMI will be vetted with government agencies and other interest groups. The initial plan is to pilot the concept at NARA, and then go to outside agencies. Susan Cummings can be contacted for questions at 301-837-1636 or susan.cummings@nara.gov.

NARA Updates – Michael Miller

- **Irradiated Records.** Guidance and FAQs have been posted.
- **IT GRS.** Currently being reviewed by OMB and should soon be released for comments. It relates to administrative web records and will cover system backups.
- **Web Guidance.** OMB is reviewing and will determine next steps. For those agencies that need immediate assistance, ROs are encouraged to contact their appraisal archivists.

Other Items

- Mike Miller announced that he has been offered a position at the Federal Bureau of Investigations. His acceptance and start dates were pending.
- The next BRIDG meeting will be held in September. The topic and place will be announced at a later date.

1137 BRANCHTON ROAD
BOYERS, PENNSYLVANIA 16020

TOLL FREE: 800-687-7867
FAX: 724-794-2838
www.ironmountain.com



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September 19, 2002

[Redacted]

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Federal Bureau of Investigation
10th Street & Pennsylvania Avenue, NW
Washington, DC 20535

Dear [Redacted]

In response to a request received at our office, we are enclosing additional sets of authorization cards for your use in updating your authorized personnel.

1. Please have the card(s) signed where indicated for the authorized person.
2. Have the card(s) filled in as to what access the authorized person is to have.
3. Have the card(s) signed by an officer of your organization.
4. Please be sure that each authorized person signs the white copy and pink copy with the identical code number.
5. The white copy is returned to us.
6. The pink copy is retained by the authorized person.

Please note: Only one (1) authorization card required per person.

Sincerely,

[Redacted Signature]

Sales Assistant
Enc.

66F-HQ-C1190059-303

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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NWM 24.2002

September 30, 2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding acceptable transfer formats: Transfer Instructions for Email with Attachments

As part of the President's Management Agenda NARA and its partner agencies are engaged in the Electronic Records Management E-Gov initiative. One component of this initiative is designed to expand the number and types of electronic records formats NARA will accept for deposit in the National Archives of the United States.

This memo transmits NARA's Interim Guidance on transferring permanent email with their attachments to the National Archives of the United States. It supplements existing guidance in 36 CFR 1228.270 for transferring existing electronic records. This guidance applies to email with attachments that can be exported from an email system in a standard markup language or in their native format. This guidance will remain in effect for an agency for as long as that agency maintains its current email system. Future email systems will be covered by the Design Requirements to be issued by NARA at a future date.

If you have any questions, please contact the Life Cycle Management Division archivist assigned to work with your agency or the Electronic and Special Media Records Services Division (301-837-3420).

Michael Kurtz
MICHAEL KURTZ
Assistant Archivist
Office of Records Services – Washington, D.C.

Enclosure

66F-HQ-C1190059-304

Expanded Acceptable Transfer Requirements: Transfer Instructions for Existing Email Messages with Attachments

1.0 PREFACE

As part of the National Archives and Records Administration's (NARA) e-Gov initiative, and in cooperation with other Federal agencies, NARA is issuing guidance intended to supplement existing requirements in 36 CFR 1228.270 for transferring electronic records to NARA. This guidance expands currently acceptable formats to allow the transfer of email messages and their attachments to NARA.

2.0 TRANSFER CRITERIA

In addition to ASCII text formats, NARA now will accept transfers of permanent email messages and their attachments (email records) to NARA in standard markup language, or in their native formats according to the following:

- 2.1 Transfers of email records must consist of an identifiable, organized body of records (not necessarily a traditional series, e.g., the email records of the Deputy Secretary from the past fiscal year). The records should be scheduled for transfer to NARA using the SF 115, Request for Records Disposition Authority, prior to transfer if an existing approved schedule does not exist.
- 2.2 Email transfers should come from email systems or from a DoD 5015.2-STD certified Records Management Application (RMA).¹ If you need to send them from some other kind of system, first contact NARA to see if we can accommodate it.
- 2.3 For preservation purposes, NARA prefers that agencies transfer email and their attachments in a markup language format that contains:
 - 2.3.1 Delimiters to indicate the beginning and end of each message and the beginning and end of each attachment, if any. Each attachment must be differentiated from the body of the message, and uniquely identified.
 - 2.3.2 Labels to identify each part of the message (Date, To [all recipients, including cc: and bc: copies], From, Subject, Body, and Attachment) including transmission and receipt information (Time Sent, Time Opened, Message Size, File Name, and similar information, if available). Agencies that use an email system that identifies users by codes or nicknames, or identifies addressees only by the name of a distribution list² should include information with the transfer-level documentation, to ensure identification of the sender and addressee(s).

¹ See <http://jtc.fhu.disa.mil/recmgt/register.htm> for a list of RMAs compliant with DoD 5015.2-STD.

² DoD 5015.2-STD (TABLE C2.T4.) Transmission and Receipt Data, Footnote 1 defines intelligent names as clear, uncoded, identifications of the individual.

Expanding Acceptable Transfer Requirements: Transfer Instructions for Existing Email Messages with Attachments

- 2.4 If a markup language cannot be produced, NARA will accept email messages and their attachments in their native formats. Each attachment should be labeled with its filename and the default file extension to indicate the proprietary software used to create the attachment. If attachment file names do not include the default file extension (e.g., .doc, .xls), agencies must provide documentation identifying the proprietary formats used to create each attachment.
- 2.5 At this time NARA will not accept email messages that have been converted to a Portable Document Format (PDF) or other image file format for purposes of transfer. NARA will develop transfer requirements for PDF and scanned images by March 31, 2003, as part of the Electronic Records Management Initiative.
- 2.6 Attachments to email messages may be transferred in their native formats, such as PDF, other image file formats, and common office automation formats.

3.0 TRANSFER DOCUMENTATION

This guidance supplements transfer documentation requirements in 36 CFR 1228.270(e) to ensure that each body of email records transferred to NARA is clearly described. For each transfer, agencies must separately supply documentation that identifies:

- Email application and version(s) (e.g., Microsoft Exchange v5.5)
- Operating system and version(s) (e.g., Microsoft Windows NT v4.0)
- RMA (if applicable) and version
- Total number of messages
- Total number of attachments
- List of message delimiters and definitions
- Structure used for each email item in the transfer (see Transfer Criteria 2.3.1-2.3.2)
- Arrangement of records in the transfer

Agencies must also submit a signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States, as required by 36 CFR 1228.272.

4.0 TRANSFER INFORMATION

- 4.1 For preservation processing purposes, NARA prefers that email transfers be contained within a single uncompressed file on any of the approved media listed in 36 CFR 1228.270(c).
- 4.2 Agencies may also transfer records on Type IV Digital Linear Tape or through File Transfer Protocol (FTP). FTP transfers currently are limited to a maximum size of five Gigabytes (5 GB). For FTP transfers, the offering agency must provide the following information to NARA:

Expanding Acceptable Transfer Requirements: Transfer Instructions for Existing Email Messages with Attachments

- IP address for the Agency FTP site,
- A temporary user name and temporary password for NARA to use in accessing the Agency FTP site,
- A designated time or time span for NARA to access the records and download a copy to NARA.

5.0 LEVELS OF ACCESS

NARA will provide access to agencies and, after review of the content for FOIA exemptions, to all researchers requesting email accessioned from Federal agencies. The level of access will vary according to the formats in which the email records were transferred. At the present time NARA provides users with a copy of fully releasable electronic record files on any of the media referenced in Section 4.0. For email messages and attachments transferred to NARA in proprietary formats (e.g., PDF, Microsoft Outlook), the user will be responsible for obtaining the necessary hardware and software to view the records.

6.0 CONTACT INFORMATION

For assistance in scheduling email contact your agency appraiser in the Life Cycle Management Division (NWML). The NWML general telephone number is 301-837-3560.

For technical assistance in transferring email records to NARA, contact the Electronic and Special Media Records Service Division (NWME), 8601 Adelphi Road, College Park, MD 20740. The general telephone number is 301-837-3420.

1000 CAMPUS DRIVE
COLLEGEVILLE, PENNSYLVANIA 19426
TELEPHONE: 800-899-IRON
www.ironmountain.com



October 8, 2002

Federal Bureau Of Investigations

[Redacted]
10th Street & Pennsylvania Avenue
Washington, DC 20535-0001

Dear [Redacted]

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Effective October 1, 2002, Iron Mountain Confidential Destruction will officially be known as **Iron Mountain Secure Shredding**.

The media and recent events (like Enron) have left many with the impression that shredding is bad. Shredding the right documents, at the right time, and in the appropriate manner is not only a sound business practice, in some cases it is required by law. Iron Mountain offers secure shredding programs as a valuable risk-management strategy that assists businesses with regulatory compliance and security.

Additionally, there have been a number of new laws and regulations enacted regarding the protection and handling of customer and patient information. And, there have been high profile cases of corporate information being exposed that had been unearthed in dumpsters and other public places.

The name change is a strategic move toward a more accurate and relevant positioning of the service offering. According to Vlad Vasak, Iron Mountain Secure Shredding President, "Changing the name of our service from Confidential Destruction to Secure Shredding allows us to more accurately and descriptively convey what we actually do and leverage the value behind our service. The name change is especially relevant now that the term shredding is squarely at the media forefront." Vasak also stated that it's important to note that the name change in no way affects our service offering or our commitment to clients.

Our business solution—Secure Shredding—helps you by reducing your risk through proper compliance with laws and regulations, and the secure shredding of your corporate confidential and sensitive information. By having a shredding program in place, you will reduce your exposure to fines or criminal penalties and protect yourself and your company from detrimental exposure and loss of corporate secrets and value.

If you have any questions, please feel free to contact our toll-free number: 800-899-IRON.

Best regards,

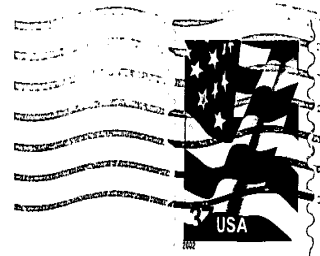
Bob Miller
President
Iron Mountain Records Management

66F-17A-C1190059-305

IRON MOUNTAIN®
RECORDS MANAGEMENT

1000 CAMPUS DRIVE
COLLEGEVILLE, PENNSYLVANIA 19426

The Leader in Records & Information Management



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4933

FEDERAL BUREAU OF INVESTIGATIONS
10TH STREET & PENNSYLVANIA AVENUE,
WASHINGTON, DC 20535-0001



Opened & Inspected
OCT 26 2002
Mail Services #43

20535+0001



National Archives and Records Administration

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

October 16, 2002

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ATTENTION: Washington National Records Center (WNRC) Customers

The WNRC would like to inform you about our new transactional billing for pick-up and delivery services mandated under the National Archives and Records Administration's Records Center Program (RCP). We offer two kinds of reimbursable pick-up and delivery services, one for larger shipments of records (24 or more Federal records center boxes) and one for smaller shipments (up to 23 Federal records center boxes).

Large Accessions (consisting of 24 or more boxes)

We charge \$300.00 for each WNRC truck visit to your agency to pick-up your records, provided that the Standard Forms (SFs) 135 for the records have been reviewed and approved for transfer. This cost is a part of your National Agreement with the Records Center Program RCP. There are surcharges for the driver placing and/or arranging boxes on skids or pallets, dealing with problematic loading dock facilities, picking up classified records (which includes the costs of two WNRC staff cleared to handle the records), and other special services (see attached RCP Transactional Billing Rates sheet).

Cost Saving Tips for Small Accessions (for transfers consisting of less than 24 boxes)

Your agency may want to consider using our Metro Courier service. Pickup and delivery costs for small transfers (accessions) are less expensive than the services for larger transfers (accessions). See attached sample agreement for the Metro Courier service. For example, if your agency wants WNRC staff to pick up new accessions, deliver reference requests, or pick-up boxes to be refilled that are under this threshold number, the cost is only \$17.00 to \$26.00 per visit depending on the location of your agency in the Washington, DC, metropolitan area. This service can also be used to pick-up or deliver SFs 135. If your agency is interested in the Metro Courier service, please contact [redacted]

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[redacted] on [redacted]

The Driver Will Request Someone From Your Agency To Sign A Pick-up Receipt Form.

When the WNRC truck arrives at your agency, someone from your agency will need to sign the receipt form. This receipt form serves as protection to your agency that WNRC has taken the boxes. If your agency declines to sign the form, the WNRC truck driver will not take the boxes and will off load any boxes already placed on the truck.

PLEASE SEE REVERSE SIDE

66F-HQ-C1190059-306



NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
 OFFICE OF REGIONAL RECORDS SERVICES
 RECORDS CENTER PROGRAM
 TRANSACTIONAL BILLING RATES
 (MISCELLANEOUS SERVICES)
 FISCAL YEAR 2003



Category	Serv. Unit Code	Service Type	Description	Unit of Measure	FY2003 Unit Rate
Miscellaneous	C1	Cost	Miscellaneous Costs	expense	(COST)
Miscellaneous	L1	Labor	Aide	per hour	\$ 34.00
Miscellaneous	L2	Labor	Technician	per hour	\$ 47.00
Miscellaneous	L3	Labor	Supervisor	per hour	\$ 77.00
Miscellaneous	HD	Shipping & Handling	Look Up Fee	per action	\$ 2.15
Miscellaneous	HF	Shipping & Handling	Fax	per page	\$ 1.00
Miscellaneous	HP	Shipping & Handling	Telephone	per request	\$ 3.40
Miscellaneous	HR	Shipping & Handling	Rush	per request	\$ 3.40
Miscellaneous	HS	Shipping & Handling	Scanning	per page	\$ 1.00
Miscellaneous	H1	Shipping & Handling	WNRC Truck Service Zone 1	per visit	\$ 300.00
Miscellaneous	H2	Shipping & Handling	WNRC Truck Service Zone 2	per visit	\$ 800.00
Miscellaneous	H3	Shipping & Handling	WNRC Truck Service Classified	per visit	\$ 1,200.00
Miscellaneous	H4	Shipping & Handling	WNRC Additional Truck Services	per visit	\$ 100.00

**NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION
INTERAGENCY AGREEMENT**

1. Period of Agreement	
Effective Date	Completion Date
Project Period	
Budget Period	10/01/2002 09/30/2003
2. Agreement Number: NWMW03- Amendment Number:	
3. Type of Agreement	

4. Name and Address of NARA Organization
**WASHINGTON NATIONAL RECORDS CENTER
 4205 SUITLAND ROAD
 SUITLAND, MD 20746-8001**

5. Name and Address of Other Organization

6. NARA Project Officer (Name and Title)
 [Redacted]
Supervisory Archives Specialist

7. Other Agency Project Officer (Name and Title)

Telephone/Fax/E-mail
 [Redacted]
 [Redacted]@nara.gov

Telephone/Fax/E-mail
 [Redacted]

Address
Same as Box #4

Address
Same as box #5

8. Project Title
WNRC Delivery Service

9. Purpose /Objective
Reimbursement for the delivery and/or pick-up of agency requests, refiles, and SFs 135 by WNRC personnel.

10. Responsibilities, Scope of Goods or Services to be Supplied by Performing Agency
Under contract, the WNRC will deliver agency requests to customer within 24 hours or earlier. In addition, the WNRC will pick up refiles and SFs 135 for delivery to the WNRC. The WNRC agrees to process and return SFs 135 within 3 days of pick up date. WNRC will deliver up to 23 boxes and pick up up to 23 boxes of refiles, when scheduled in advance. This may require a dedicated delivery and/or pick-up. WNRC will pick up new accessions up to 23 boxes, when scheduled in advance. This may require a dedicated pick-up.

11. Responsibilities, Scope of Goods or Services to be Supplied by Ordering Agency
The contracting agency is responsible for generating reference requests using Optional Forms 11, CIPS, or the WNRC electronic reference requests forms. The contracting agency is responsible for preparing and providing to the WNRC customer representatives, transmittals which list each item being picked up (i.e. refiles, boxes to be transferred, SFs 135.) The contracting office is responsible for signing receipts for all services that are delivered or picked up.

CONTINUATION OF INTERAGENCY AGREEMENT

12. Special Provisions

TERMINATION PROCEDURES:

This agreement may be terminated by either Agency upon 60 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.

13. Estimated Costs

\$17.00 per delivery for the Washington, DC core, \$18.00 per delivery outside the Washington, DC core, and \$26.00 per delivery for a dedicated delivery whenever the WNRC personnel deliver records to the contracting agency. The WNRC will negotiate any price adjustments prior to implementation of new price.

14. Billing Instructions

Payment Method	Billing Schedule
<input type="checkbox"/> OPAC	<input type="checkbox"/> Annual Advance
<input type="checkbox"/> Deduct from Advance	<input type="checkbox"/> Quarterly Advance
<input type="checkbox"/> GSA 789	<input type="checkbox"/> Monthly Advance
<input type="checkbox"/> Credit Card	<input type="checkbox"/> Monthly Actual
<input type="checkbox"/> Other	<input type="checkbox"/> Monthly Estimate
	<input type="checkbox"/> Other

NARA ALC: 47000016

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

ALAN J. KRAMER
Director

Signature

Date

18b. Name and Title of Other Agency Financial Officer

Signature

Date

18c. Name and Title of NARA Authorizing Official

ALAN J. KRAMER
Director

Signature

Date

18d. Name and Title of Other Agency Authorizing Official

Signature

Date

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 21-065-02-335	DATE RECEIVED 4-11-2002
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		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.	
3. MINOR SUBDIVISION Records Management Division			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE 10-17-02	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

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 3 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,

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

DATE 04/01/2002	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Archives Specialist Records Management Division
--------------------	--	---

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>SUSPICIOUS ACTIVITY REPORT CONTROL FILES</p> <p>The Federal Bureau of Investigation (FBI) is the recipient of numerous Suspicious Activity Reports (SARs) which are generated by a United States Treasury Department computer center in Detroit, Michigan. The SARs are informational sheets which contain information that originates with various financial institutions throughout the country. The SARs information is compiled by the financial institution at such time as suspicious activity is apparent or suspected within the institution. The SARs information is entered into the Treasury Department database and is accessible by all Federal agencies with a jurisdictional interest in any type of suspicious activity within a financial institution. Information on the SAR includes:</p> <ol style="list-style-type: none"> 1) reporting institution; 2) suspect information; 3) summary of suspicious activity; 4) witness information; 5) preparer information; 6) contact information, different from item #5; 7) narrative of suspicious activity to support or explain item #3. <p>On a regular basis, SARs information is downloaded by FBIHQ personnel and forwarded to the appropriate FBI field office which may have jurisdictional interest in the downloaded SAR information. Upon receipt by the field office the SAR is printed out and reviewed. Based on the review, an FD-467 (Financial Institution Fraud Matter) is completed by field personnel noting what type of action is taken, i.e., investigatory case file opened; no</p> <p><i>cc Agency DR DUMW AUMW</i></p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

NO.

PAGE

2 OF 3

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>action taken due to state/local prosecution or no action taken due to lack of Federal violation. In those instances, where a Federal violation within FBI jurisdiction requires investigation, a case file is opened, the "hard-copy" SAR and the FD-467 is placed in the investigatory case file. Additionally, the FD-467 and SAR information is maintained electronically within the Automated Case Support (ACS) System.</p> <p>In numerous instances, no action is taken by the FBI and the "hard-copy" SARs and FD-467 is maintained in a control file and also within the ACS.</p> <p>Inasmuch as the SARs information is readily available from the Treasury Department database, continuous maintenance of the "hard-copy" SARs and the FD-467 which are of no value to the FBI is burdensome and unnecessary.</p> <p>A. Textual Records</p> <p>1. Field office investigative case files where a Federal violation within FBI jurisdiction requires investigation, a case file is opened and the "hard-copy" SAR and the FD-467 is placed in the investigatory case file.</p> <p>RETAIN/DESTROY commensurate with the disposition authority applicable to the specific case file classification wherein the material is maintained.</p> <p>2. Field office control files where no action is taken by the FBI and the "hard-copy" SARs and FD-467 is maintained in a control file for administrative purposes only.</p> <p>DESTROY when six months old or when administrative needs have expired, whichever is later.</p> <p>B. Automated Records</p> <p>1. Electronic Case File (ECF)</p> <p>(a) Field office investigative case files, within the ECF component of ACS, where a Federal violation within FBI jurisdiction requires investigation, a case file is opened and the SAR and the FD-467 is placed in the investigatory case file.</p> <p>RETAIN/DELETE commensurate with the disposition authority applicable to the specific case file classification wherein the material is maintained.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

NO.

PAGE

3 OF 3

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>(b) Field office control files, within the ECF, where no action is taken by the FBI and the SAR and FD 467 is maintained in a control file for administrative purposes only.</p> <p>DELETE when six months old or when administrative needs have expired, whichever is later.</p> <p>2. Universal Indices (UNI)</p> <p>(a) Indices records corresponding to field office investigative case files, within ECF, where a Federal violation within FBI jurisdiction requires investigation, a case file is opened and the SAR and the FD 467 is placed in the investigatory case file.</p> <p>RETAIN/DELETE all indices information commensurate with the disposition authority applicable to the specific case file classification wherein the material is maintained.</p> <p>(b) Indices records corresponding to field office control files, within ECF, where no action is taken by the FBI and the SAR and FD 467 is maintained in a control file for administrative purposes only.</p> <p>DELETE all indices information when six months old or when administrative needs have expired, whichever is later.</p> <p>C. Electronic Records</p> <p>1. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the records covered by Item A of this schedule.</p> <p>DESTROY within 60 days after the record-keeping copy has been produced.</p>		



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

NOV 13 2002

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[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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Dear [Redacted]

As the Director of NARA's Records Center Program, I am writing to provide you with an update of the Program after three years of reimbursable status. In the past year, we have increased staffing levels and updated our facilities to ensure baseline services and your storage needs are met and exceeded. Through ongoing initiatives to solicit customer feedback, we have met with our customers at our bi-monthly Records Center Forums, regional open houses, and professional meetings such as the Association of Records Managers and Administrators (ARMA) and NARA's Records Administration Conference (RACO).

In FY2003, we implemented transactional based pricing for greater accountability for services rendered. We continue to work on the development of an integrated information technology system which, when deployed, will allow you to conduct your records service transactions from your desktop PC across the web. We are acquiring additional space to ensure NARA's records centers can continue to accept your records in a timely manner. We are providing our new Metro Courier Service in selected major metropolitan areas for faster reference service. Based on customer feedback, we will be exploring new records services to further meet your business needs.

However, we can only continue to provide you with superior, efficient and cost effective records services upon receipt of your signed interagency agreement. In September, we sent you the FY 2003 interagency agreement to cover the cost of storing and servicing your agency records for Fiscal Year 2003. To date, we have not received your signed interagency agreement. I request that you give this your attention to ensure continuing NARA records center services throughout the year. If you are unable to sign the interagency agreement because of the President's Continuing Resolution, we must have the appropriate accounting code so we can bill for services rendered consistent with the terms of the Continuing Resolution.

If you have any questions regarding the Records Center Program or your FY 2003 agreement, please call [Redacted] of my staff, at [Redacted] or via e-mail at [Redacted]@nara.gov. We would, of course, be happy to meet with you and your colleagues to discuss how NARA's Records Center Program can better serve you and your agency. Please contact [Redacted] who can set up a meeting.

66F-HQ-C1190059-308

We look forward to being your *records center provider of choice* for FY 2003.

Sincerely,



DAVID M. WEINBERG
Director, Records Center Program



National Archives & Records Administration

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facsimile

TRANSMITTAL

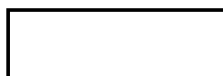
to:
fax #:

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re: N1-65-02-5

date: 11/26/2002

pages: [2 Pages (including cover sheet)].

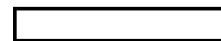


Attached is N1-65-02-5.

KT

66F-HQ-C1190059-309

From the desk of...



Archives Specialist
Lifecycle Management Division
National Archives and Records Administration
8601 Adelphi Road, Room 2100
College Park, Maryland 20740-6001

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b7C

Telephone: 301/837-3055
Fax: 301/837-3697
Email: @nara.gov

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-065-02-5	DATE RECEIVED 6-27-02
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		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.	
3. MINOR SUBDIVISION Criminal Justice Information Services (CJIS) Division			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	11-22-02	<i>John W. Carl</i>
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>1</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 06/27/2002	SIGNATURE OF AGENCY REPRESENTATIVE <div style="border: 1px solid black; height: 40px; width: 100%;"></div>		TITLE Archives Specialist Records Management Division
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;">UNCLASSIFIED MILITARY FINGERPRINT CARDS</p> <p>Hard copy of Unclassified Military Fingerprint (UMF) cards generated from Desert Storm with subjects date of birth 1960 to present. These fingerprint cards are searched to process Bureau fugitives requests, telephone requests from numerous Criminal Justice Information Services (CJIS) Division offices, and the Laboratory Division Latent Fingerprint Section for identification purposes. Manually searching the paper fingerprint cards was shown to be inefficient and time consuming.</p> <p>The volume of fingerprint cards, which are separated by subject's gender and filed alphabetically by subject's last name, is approximately 1.5 million military fingerprint cards and currently occupies about 400 square feet of floor space. The UMF cards have been converted to electronic format and the fingerprint images are stored and are searched in the civil repository of the Integrated Automated Fingerprint Identification System (IAFIS). Access to IAFIS and the UMF information is retrievable by entering descriptor data or an assigned sequential FBI number.</p> <p>DESTROY hard copy UMF cards after conversion to electronic format and stored in IAFIS and accuracy of electronic format has been verified.</p>		

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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December 12, 2002

NWM 01.2003

Memorandum To Agency Records Officers: Request for participation in e-Gov project for the transfer of Portable Document Format (PDF) records to NARA.

NARA is continuing its work with the Office of Management and Budget (OMB) to implement the President's Management Agenda for expanding electronic government. As part of this project, NARA is the lead agency on the issue area relating to the transfer of permanent records to NARA. Products of this task will include transfer guidance for three new formats: (1) e-mail with attachments, (2) scanned textual images, and (3) Portable Document Format (PDF). For more information about this initiative, please visit our [web site](#).

NARA is planning for the third transfer format cycle, Portable Document Format (PDF). The PDF cycle will run from January 2 through March 31, with the initial kickoff meeting scheduled for January 7. We have received enthusiastic cooperation from many of you who worked with us on the email with attachments cycle and the scanned textual images cycle, and we are looking forward to productive partnerships on this cycle as well. As a reminder, to be a partner on this project, your agency must be willing to commit staff, attend meetings, or provide other resources that will help us develop the guidance for the PDF cycle. To make the best use of your time, NARA will prepare draft guidance for your review and comment, and we will also ask for volunteers to send us test transfers of PDF records for testing and evaluation.

If you would like to work with us on developing the guidance for the PDF cycle, or would like to nominate your agency for a test transfer, please let us know by contacting

[redacted] by December 20, 2002. She can be reached by phone at [redacted] or by e-mail to [redacted]@nara.gov.

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Edw. James (For)
HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-310



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

DEC 12 2002

[Redacted]

Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
J. Edgar Hoover Building
Washington, DC 20535-0001

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Dear [Redacted]

In my November 13 letter to you, I advised that we have not received a signed interagency agreement for FY 2003 from the Federal Bureau of Investigation. I am writing again as we still have not received your interagency agreement. The NARA Records Center Program can only continue to provide your agency with superior, efficient, and cost effective records services upon receipt of the signed interagency agreement. We are committed to implementing Public Law 106-58 and ask that you please give this matter a high priority.

I understand that you may be reluctant to sign the interagency agreement at this time because of the continuing resolution. However, it is imperative that you, at a minimum, provide us with the proper accounting code so we can bill you for the first quarter of FY 2003. [Redacted] your NARA Account Representative, will call you shortly to discuss this matter further.

If we do not receive either the signed interagency agreement or the proper accounting code by January 6, 2003, we may be forced to suspend all records center services that we provide to the Federal Bureau of Investigation. We are, of course, reluctant to go to such extreme measures. However, as NARA's Records Center Program receives no appropriated funds, we must be able to collect timely payments for services rendered so that we can continue to operate our records centers nationwide.

If you have any questions concerning this matter, please contact [Redacted] of my staff at [Redacted] or via e-mail at [Redacted]@nara.gov.

Sincerely,

David M. Weinberg
Director, Records Center Program

66F-HQ-C1190059-311

National
Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NWM 02.2003

December 23, 2002

MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding acceptable transfer formats: Transfer Instructions for Scanned Images of Textual Records

As part of the President's Management Agenda, NARA and its partner agencies are engaged in the Electronic Records Management E-Gov initiative. One component of this initiative is designed to expand the number and types of electronic records formats NARA will accept for deposit in the National Archives of the United States.

This memo transmits NARA's Interim Guidance on transferring permanent scanned images of textual records to the National Archives of the United States. It supplements existing guidance in 36 CFR 1228.270 for transferring existing electronic records.

If you have any questions, please contact the Life Cycle Management Division archivist assigned to work with your agency or the Electronic and Special Media Records Services Division (301-837-3420).

Michael Kurtz
MICHAEL KURTZ

Assistant Archivist
Office of Records Services – Washington, D.C.

66F-HQ-C1190059-312

Expanding Acceptable Transfer Requirements Transfer Instructions for Existing Permanent Electronic Records

SCANNED IMAGES OF TEXTUAL RECORDS

1.0 PREFACE

As part of the National Archives and Records Administration's (NARA) electronic government (e-gov) initiative, and in cooperation with other Federal agencies, NARA is issuing guidance to supplement current requirements in 36 CFR Part 1228.270 for transferring permanent electronic records to NARA. This guidance expands currently acceptable formats to enable the transfer of existing scanned images of textual records¹ to NARA. The guidance does not apply to "born digital" images or scanned images of primarily non-textual records (e.g., maps and photographs).

2.0 BACKGROUND

Scanned images is a priority electronic records format identified by NARA and partner agencies as part of the Electronic Records Management (ERM) initiative, one of the twenty-four e-gov initiatives under the President's Management Agenda. A major goal of this initiative is to provide the tools for agencies to access electronic records for as long as required and to transfer permanent electronic records to NARA for preservation and future use by government and citizens. Scanned images is the second of three formats examined under this ERM e-gov initiative; the other priority formats include email with attachments and electronic records in Adobe's Portable Document Format (PDF).

The following sections provide transfer requirements specifically for existing scanned images that have been appraised or scheduled for permanent retention in electronic (i.e., scanned) form. These requirements address acceptable scanned image file formats, image quality specifications, transfer documentation, and related information on how to transfer these records to NARA. If an agency has existing permanent scanned images that do not meet the image quality specifications in this guidance, contact the NARA appraisal archivist (see section 6.0).

Additional information about the ERM e-gov initiative can be found on NARA's web site at: http://www.archives.gov/records_management/initiatives/erm_overview.html.

3.0 TRANSFER REQUIREMENTS FOR SCANNED IMAGES OF TEXTUAL RECORDS

Effective upon promulgation of these requirements, NARA will accept transfers of scanned images that have been scheduled as permanent records on a *SF 115, Request for Records Disposition Authority*. To facilitate preservation processing and future access to these records, agencies must comply with the following minimum requirements.

3.1 Image File Format

3.1.1 NARA will accept scanned images in the following file formats:

3.1.1.1 **Tagged Image File Format (TIFF)**, in 'II' format,²

¹ Hereafter stated as "scanned images."

² "In the 'II' format (i.e., *little-endian*), byte order is always from the least significant byte to the most significant byte."

**Expanded Acceptable Transfer Requirements
Transfer Instructions for Existing Permanent Electronic Records**

SCANNED IMAGES OF TEXTUAL RECORDS

versions 4.0 (April 1987), 5.0 (October 1988), and 6.0 (June 1992).

3.1.1.2 **Graphics Interchange Format (GIF)**,
versions 87a (June 1987), and 89a (July 1990).

3.1.1.3 **Basic Image Interchange Format (BIIF)**,
International Standards Organization (ISO) Standard 12087-5,
Part 5 (December 1998).

3.1.1.4 **Portable Network Graphics (PNG)**,
version 1.0 (October 1996).

3.1.2 NARA will periodically update this set of acceptable formats and versions.

3.1.3 NARA prefers uncompressed images; with prior consultation between NARA and the transferring agency, NARA may accept compressed images created using a lossless compression method (e.g., ITU Group 4, LZW) when it is impractical or technically impossible to transfer uncompressed files (e.g., due to limitations on bandwidth or storage media capacities). NARA will not accept images created using lossy compression techniques because the potential information loss that can result from compression can make such images unsuitable for archival preservation.

3.2 Acceptable Image Quality Specifications

Scanned images of textual records transferred to NARA must meet the following minimum requirements for scanning resolution and pixel (bit) depth to support archival preservation and continued use.

3.2.1 *Bitonal (1-bit) scanned at 300-600 ppi³.*

This is appropriate for documents that consist exclusively of clean printed type possessing high inherent contrast (e.g., laser printed or typeset on a white background). Scanning at 600 ppi is recommended.

3.2.2 *Gray scale (8-bit) scanned at 300-400 ppi.*

This is appropriate for textual documents of poor legibility because of low inherent contrast, staining or fading (e.g., carbon copies, thermofax, or documents with handwritten annotations or other markings), or that contain halftone illustrations or photographs. Scanning at 400 ppi is recommended.

³ PPI denotes pixels per inch.

Expanded Acceptable Transfer Requirements
Transfer Instructions for Existing Permanent Electronic Records

SCANNED IMAGES OF TEXTUAL RECORDS

- 3.2.3 *Color (24-bit RGB [Red, Green, Blue]) scanned at 300-400 ppi.*
Color mode (if technically available) is appropriate for text containing color information important to interpretation or content. Scanning at 400 ppi is recommended.

3.3 Transfer Documentation

This guidance supplements transfer documentation requirements in 36 CFR 1228.270(e) to ensure that transfers of scanned images of textual records are clearly identified and described. Agencies must also submit a signed *Standard Form 258, Agreement to Transfer Records to the National Archives of the United States (SF 258)*, as required by 36 CFR 1228.272.

- 3.3.1 For each transfer, agencies must supply documentation that identifies:

- 3.3.1.1 Imaging system and version(s) (i.e., application software and storage system)
- 3.3.1.2 Operating system and version(s)
- 3.3.1.3 Records Management Application (if applicable) and version(s)
- 3.3.1.4 Image file format(s) and version(s)
- 3.3.1.5 Image quality specifications (i.e., resolution, pixel (bit) depth, —compression technique)
- 3.3.1.6 Total number of documents in the transfer
- 3.3.1.7 Total number of images in the transfer
- 3.3.1.8 Arrangement of files on the transfer media
- 3.3.1.9 Structure of image header (if applicable)

- 3.3.2 In addition, agencies must supply the following:

- 3.3.2.1 Control information necessary to enable retrieval of each file, including whether the file is a single image or multiple images. Such information can be conveyed through metadata (e.g., a thumbnail index), captured for each document either in the image header or in accompanying documentation.
 - 3.3.2.2 Finding aids, indexes, and other information used to retrieve the records also must be transferred to NARA to support future access to the records.
 - 3.3.2.3 The Optical Character Recognition (OCR) versions of the images (i.e., additional files enabling full text searches linked to the appropriate scanned image), if available.
- 3.3.3 Agencies also must supply a description of the quality control inspection performed as part of the imaging process and a report on the results of the last inspection performed on the images and the date of that inspection.

**Expanding Acceptable Transfer Requirements
Transfer Instructions for Existing Permanent Electronic Records**

SCANNED IMAGES OF TEXTUAL RECORDS

3.3.4 For inspections conducted after the effective date of this guidance, agencies must use one of the quality sampling methods presented in ANSI/AIIM, *Sampling Procedures for Inspection by Attributes of Images in Electronic Image Management and Micrographic Systems* (ANSI/AIIM TR34-1996).

4.0 TRANSFER MECHANISMS

4.1 Agencies must transfer scanned images as uncompressed file(s).

4.2 Agencies must transfer scanned images as unaggregated file(s).

4.2 In addition to the approved transfer media listed in 36 CFR 1228.270(c), agencies may transfer records on Digital Linear Tape (DLT) Type IV or through File Transfer Protocol (FTP). FTP transfers currently are limited to a maximum size of five Gigabytes (5 GB). For FTP transfers, the offering agency must provide the following information to NARA:

- IP address for the Agency FTP site,
- A temporary user name and temporary password for NARA to use in accessing the Agency FTP site,
- A designated time or time span for NARA to access the records and download a copy to NARA.

5.0 LEVELS OF ACCESS

NARA will provide access to the creating agency and to all researchers requesting scanned images accessioned from Federal agencies, subject to review of content for FOIA exemptions as is feasible. While compliance with these requirements will improve future access to accessioned scanned images, NARA's ability to provide access to certain records will vary according to their hardware and software dependencies. At the present time, NARA provides users with a copy of fully releasable electronic record files on any of the media currently approved by NARA. For scanned images transferred to NARA the user will be responsible for obtaining the necessary hardware and software to view the records.

6.0 CONTACT INFORMATION

For assistance in scheduling scanned images, or to discuss how to handle permanent scanned images that do not meet the specifications in section 3.0, contact your agency appraisal archivist in the Life Cycle Management Division (NWML). The NWML general telephone number is 301-837-3560.

For technical assistance in transferring scanned image records to NARA, contact the Electronic and Special Media Records Services Division (NWME), 8601 Adelphi Road, College Park, MD 20740. The general telephone number is 301-837-3420.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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January 16, 2003

NWM 03.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: NARA Endorsement of DoD 5015.2 version 2-STD Records Management Application Design Criteria Standard.

We are pleased to announce, through NARA Bulletin 2003-03 issued today, that the National Archives and Records Administration (NARA) endorses version 2 of the Department of Defense Records Management Application Design Criteria Standard (DoD 5015.2-STD, June 2002) for use by all Federal agencies. The Bulletin is posted at http://www.archives.gov/records_management/policy_and_guidance/bulletin_2003_03.html. Printed copies will be distributed in the normal fashion in the next few weeks.

NARA endorsed the original DoD 5015.2 standard for use by all Federal agencies in November 1998. NARA also reviewed and endorsed the software certification testing process used by DoD's Joint Interoperability Test Command to certify RMA applications.

The revised DoD 5015.2-STD, which incorporates requirements for records management applications (RMAs) to manage classified records and other enhancements, was released in June 2002. NARA participated in the development of this version and is supporting further enhancement of the standard to encompass transfer of permanent records to the National Archives in a future version.

Additional information on DoD 5015.2-STD and certification process are available at <http://jitic.fhu.disa.mil/recmgt/index.html>, or through NARA's website at http://www.archives.gov/records_management/initiatives/dod_standard_5015_2.html.

Howard P. Lowell
HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-313

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/03/2003

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To: Records Management

Attn:

From: Sacramento

Contact: OSS

Approved By:

Drafted By:

Case ID #: 66F-HQ-C1190059 - 315
SC 66F-A929 - 10
SC 66F-A5 - 15

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION APPRAISAL OF FBIHQ
AND FIELD OFFICE RECORDS

Synopsis: Destruction of the documentation of career board deliberations.

Reference: 66F-HQ-C1190059 Serial 285

Details: Sacramento Division has destroyed 6 inches of obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) position.

UPLOADED

To: Records Management From: Sacramento
Re: 66F-HQ-C1190059, 3/03/2003

LEAD(s) :

Set Lead 1: (Adm)

RECORDS MANAGEMENT

AT WASHINGTON, DC

Read and clear

◆◆



U.S. Department of Justice
Federal Bureau of Investigation

Washington, D. C. 20535-0001

March 4, 2003

Mr. Thomas E. Mills
Assistant Archivist
Office of Regional Records Services (NR)
Room 3600, National Archives
College Park, Maryland 20740-6001

Dear Mr. Mills:

In accordance with NWM 07.2003, please provide disposal notices for FBI records to the following address:

Record Group 65
Federal Bureau of Investigation

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Robert J. Garrity, Jr., or
[Redacted]
Room 11703
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535-0001

Sincerely yours,

Robert J. Garrity, Jr.
Assistant Director (Acting)
Records Officer

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

1-66F-HO-C1190059-316
1- [Redacted] Rm. 11703
1- [Redacted] Rm. 5328

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upload
at 11:00
AM

MAIL ROOM

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

FEB 4 2003

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NWM 07.2003

2/4/03

MEMORANDUM TO AGENCY RECORDS OFFICERS: Changes in records disposal procedures at NARA records centers

This memorandum announces a change in the procedure relating to records disposal notices sent to agencies. Currently, as announced in NARA Bulletin 99-03, Changes in disposition procedures, and NWM 09.99, NARA records centers would be sending NA 13001, Notice of Eligibility for Disposal, to you via certified mail with a return receipt requested. NARA policy also requires positive written concurrence from the responsible agency supporting the disposal action before NARA will dispose of any records for a customer agency.

After reviewing the entire disposal process, and this mail practice in particular, we believe the use of certified mail, return receipt requested, duplicates controls we already built into the system through the written positive concurrence requirement. Since using certified mail return receipt requested does not provide any additional records security, NARA records centers will no longer send the notices via certified mail.

Based on your agency's response to NARA Bulletin 99-03, Records Centers will send the NA Form(s) 13001 to the person you designated. If you wish to change the individual who should receive the notices, please furnish that information as outlined below to: Thomas E. Mills, Assistant Archivist, Office of Regional Records Services (NR), Room 3600, 8601 Adelphi Road, College Park, MD 20740-6001:

- Record group
- Office/Agency name
- Specific instructions, e.g., give specific name and address of individual to receive forms.

If you have any questions about this change, please contact [redacted] in the Office of Regional Records Services at [redacted] or by e-mail at [redacted]@nara.gov or the Director of Records Center Operations at your local NARA Records center.

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Michael J. Kurtz
MICHAEL J. KURTZ
Assistant Archivist for
Records Services – Washington, DC

Thomas E. Mills
THOMAS E. MILLS
Assistant Archivist for
Regional Records Services

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

FEB 4 2003

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NWM 07.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Changes in records disposal procedures at NARA records centers

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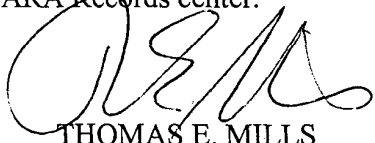
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- Record group
- Office/Agency name
- Specific instructions, e.g., give specific name and address of individual to receive forms.

If you have any questions about this change, please contact [redacted] in the Office of Regional Records Services at [redacted] or by e-mail at [redacted]@nara.gov or the Director of Records Center Operations at your local NARA Records center.

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MICHAEL J. KURTZ
Assistant Archivist for
Records Services – Washington, DC


THOMAS E. MILLS
Assistant Archivist for
Regional Records Services

66-HQ-C1190059-317

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 71-065-02-5	DATE RECEIVED 6-27-02 35
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		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.	
3. MINOR SUBDIVISION Criminal Justice Information Services (CJIS) Division			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE 11-22-02	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

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,

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

DATE 06/27/2002	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Archives Specialist Records Management Division
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p align="center"><u>UNCLASSIFIED MILITARY FINGERPRINT CARDS</u></p> <p>Hard copy of Unclassified Military Fingerprint (UMF) cards generated from Desert Storm with subjects date of birth 1960 to present. These fingerprint cards are searched to process Bureau fugitives requests, telephone requests from numerous Criminal Justice Information Services (CJIS) Division offices, and the Laboratory Division Latent Fingerprint Section for identification purposes. Manually searching the paper fingerprint cards was shown to be inefficient and time consuming.</p> <p>The volume of fingerprint cards, which are separated by subject's gender and filed alphabetically by subject's last name, is approximately 1.5 million military fingerprint cards and currently occupies about 400 square feet of floor space. The UMF cards have been converted to electronic format and the fingerprint images are stored and are searched in the civil repository of the Integrated Automated Fingerprint Identification System (IAFIS). Access to IAFIS and the UMF information is retrievable by entering descriptor data or an assigned sequential FBI number.</p> <p>DESTROY hard copy UMF cards after conversion to electronic format and stored in IAFIS and accuracy of electronic format has been verified.</p> <p><i>Cc Agency NR NWMW</i></p>		

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

February 5, 2003

[Redacted]

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Department of Justice/Federal Bureau of Investigation
J. Edgar Hoover Building
Room 1B327 Box 20
935 Pennsylvania Ave NW
Washington, D.C. 20535

Dear [Redacted]

We are returning without further action Job No. N1-65-03-1, which covers the records created by the FBI Finance Division Travel Advance and Payment Unit. Our appraisal determined that the records are covered by an approved disposition authority, GRS 9/items 1(a) and 3(a).

Sincerely,

[Redacted Signature]

Work Group Leader
Work Group 2
Life Cycle Management Division

Enclosure

66F-HQ-C1190059-320

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		DO NOT WRITE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-065-03-1	DATE RECEIVED 12-23-2002
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		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.	
3. MINOR SUBDIVISION Records Management Division			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
		b6 b7C	WITHDRAWN
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 12/18/2002	SIGNATURE OF AGENCY REPRESENTATIVE		TITLE Archives Specialist Records Policy and Administration Section
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p align="center">TRAVEL ADVANCE AND PAYMENT UNIT ACCOUNTING SECTION FINANCE DIVISION</p> <p>The Travel Advance and Payment Unit (TAPU) is responsible for conducting internal Financial Management (FM) and Electronic Data Processing (EDP) audits of FBI operations and activities to ensure compliance with applicable statutes, regulations, rules and guidelines. The audits are conducted on a periodic basis in accordance with General Accounting Office (GAO), Department of Justice (DOJ) and other professional standards. The TAPU conducts FM and EDP audits of field offices and FBIHQ Divisions as part of the inspection process; conducts audits as mandated or requested by Congress, GAO, DOJ and by FBI Executive Management (EM); prepares Congressional Audit Reports as required for Undercover Operations (UCOs); and assists the Office of Inspections (OI) by conducting pre-inspection reviews of Legat Field Support Accounts (FSA) and providing briefings to OI personnel conducting the on-site Legat FSA audits. The TAPU also provides assistance, guidance and training to field offices and FBIHQ Divisions on FM and EDP matters.</p> <p>Upon completion of each audit, the TAPU compiles workpapers for each area reviewed and then prepares a concise final report based on the workpapers. Upon approval the final report is forwarded to the appropriate FBIHQ case file(s).</p> <p>NOTE: These records were previously covered by GRS 22, Item 2</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

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>A. Travel Advance and Payment Unit Workpapers</p> <p>Cut off at end of fiscal year in which case is closed. Transfer to Federal Records Center for storage at close of fiscal year. DESTROY 6 years / 6 months after cutoff, or when agency use has been exhausted, whichever is later.</p> <p>B. Travel Advance and Payment Unit Final Reports</p> <p>RETAIN/DESTROY commensurate with the disposition authority applicable to the specific case file classification wherein the material is maintained.</p> <p>C. Electronic Records</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the records covered by this schedule.</p> <p>DESTROY within 60 days after the record-keeping copy has been produced.</p>		<p>WITHDRAWN</p> <p>WITHDRAWN</p> <p>WITHDRAWN</p>

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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FEB 20 2003

NWM.08 2003

MEMORANDUM TO AGENCY RECORDS OFFICERS, INFORMATION TECHNOLOGY MANAGERS, AND CHIEF INFORMATION OFFICERS: RACO 2003, Nominations for Archivist Achievement Award in Records Management

I am pleased to announce that the National Archives and Records Administration will present a new Archivist's Achievement Award in Records Management at our annual records administration conference, RACO 2003, on Tuesday, May 13, at the International Trade Center—Ronald Reagan Building, in Washington, DC. The awards will recognize outstanding records management programs or activities in a Federal agency and will also provide a way for agencies to learn about noteworthy records activities, which can be used as models for similar undertakings in other organizations.

To assist NARA in identifying noteworthy nominees, please submit nominations that you think represent outstanding records management activities. Award selections are made based on evaluations of the nominations received by NARA. You may nominate any Federal entity deserving of special recognition, including your own agency.

Please submit your nomination directly to NARA and provide the name of the agency and/or program being nominated; an agency contact; a brief description of the agency's achievement in records management; documentation that supports your nomination; and your name, telephone number, address, and email address.

We must receive all required information no later than March 15, and it may be submitted by mail, fax, or email to [redacted] National Archives and Records Administration, Life Cycle Management Division, NWML, Room 5320, 8601 Adelphi Road, College Park, MD 20740. Fax:

[redacted] Email: [redacted]@nara.gov.

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If you have any questions or need additional information, please contact [redacted] at [redacted] or by email.

Additional information about RACO 2003, including conference registration information, is available at the NARA web site at www.archives.gov/records_management/training/raco2003.html. We will periodically update this site, as more information becomes available.

I look forward to seeing you at RACO 2003.

Sincerely,

Howard P. Lowell

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-321

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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March 3, 2003

NWM 09 2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on March 20, 2003

Please mark your calendars for the next BRIDG meeting that is scheduled for Thursday, March 20, from 10 AM to noon at the Federal Deposit Insurance Corporation, 801 17th Street NW, Washington DC (Farragut West Metro stop). Topics include an update on NARA's Records Management Initiatives by the Deputy Archivist and a dialog session on the Electronic Records Archive (ERA). In preparation for the meeting, please review the Records Management website at http://www.archives.gov/records_management.

To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to [redacted] or via email at [redacted]@nara.gov, no later than noon on Tuesday, March 18, 2003.

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The NARA Records Center Program staff will host a Records Center Forum from 9 to 9:45 AM before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact [redacted] at [redacted] or via email [redacted]@nara.gov.

Howard P. Lowell

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-322

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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March 25, 2003

NWM.10.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS, INFORMATION TECHNOLOGY MANAGERS, AND CHIEF INFORMATION OFFICERS: Request for Comments on Draft Appraisal Policy

NARA is seeking public comment on its draft Appraisal Policy. This proposal is part of NARA's series of records management initiatives to examine and redesign, as necessary, its records management policies and procedures. The draft policy is available on the NARA Records Management web page at:
http://www.archives.gov/about_us/opportunities_for_comment/draft_appraisal_policy.html

The Strategic Plan of the National Archives and Records Administration (NARA) states that NARA will ensure ready access to essential evidence that documents the rights of American citizens, the actions of Federal officials, and the national experience. In support of the NARA Strategic Plan, this draft Appraisal Policy sets out the strategic framework, objectives, and guidelines that the National Archives and Records Administration uses to determine whether Federal records have archival value. It also provides more specific guidelines for appraising the continuing historical value of certain categories of records including personal data records, research and development records, scientific observations, and environmental information.

We urge you to read this document and provide feedback to NARA. Comments must be received by April 18, 2003. Please send your comments to [redacted] (NPOL) by email to [redacted]@nara.gov or by fax to 301-837-0319 or by mail to NPOL, National Archives at College Park, Room 4100, 8601 Adelphi Rd, College Park, MD 20740-6001. If you would like additional information, please contact [redacted] at [redacted].

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This request for comments is also being sent to the CIO Council.

for *Michael J. ...*
HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-323

National
Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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NWM 11.2003

March 31, 2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding acceptable transfer formats: Transfer Instructions for Records in Portable Document Format (PDF).

As part of the President's Management Agenda, NARA and its partner agencies are engaged in the Electronic Records Management E-Gov initiative. One component of this initiative is designed to expand the number and types of electronic records formats NARA will accept for deposit in the National Archives of the United States.

This memo transmits NARA's Interim Guidance on transferring permanent records in PDF to the National Archives of the United States. It supplements existing guidance in 36 CFR 1228.270 for transferring existing electronic records.

If you have any questions, please contact the Life Cycle Management Division archivist assigned to work with your agency or the Electronic and Special Media Records Services Division (301-837-3420).

for MICHAEL KURTZ
Assistant Archivist
Office of Records Services – Washington, D.C.

66F-HQ-C1190059-324

National
Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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April 11, 2003

NWM 13.2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Announcing new e-mail address for the Office of Modern Records Programs

As many of you know, the Modern Records Program coordinates electronic and hard copy distribution of a wide variety of NARA records management communications. These include meeting notices; informational memos; requests for participation in NARA activities; and requests for comment on proposed rulemaking, policy, and guidelines.

To better manage our communications, we will be sending all future Modern Records Program electronic correspondence from RMCommunications@nara.gov.

If you have any questions or comments on the use of this new address, please contact

at @nara.gov.

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Howard P. Lowell
Acting Director
Modern Records Programs

66F-HQ-C1190059-325

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

April 21, 2003

[Redacted]

Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

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Dear [Redacted]

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-03-002, NN3-065-03-003, NN3-065-03-004, and NN3-065-03-005) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone [Redacted] or by e-mail [Redacted]@nara.gov

Sincerely,

[Redacted Signature]

Supervisory Archivist
Initial Processing and Declassification Division

Enclosure

66F-HQ-C1190059-326

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

1. INTERIM CONTROL NO. (NARA Use Only)

JRC NWMD 03-4254

TERMS OF AGREEMENT

The records described below and on the attached 1 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.

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 copies 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.

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

2A. AGENCY Signature: _____ Date: <u>3/24/03</u>	3A. NARA APPROVAL Signature: _____ Date: <u>3/31/03</u>
2B. NAME, TITLE, MAILING ADDRESS _____ Archives Specialist Federal Bureau of Investigation 935 Pennsylvania, Avenue, NW Washington, D.C. 20535	3B. NAME, TITLE, MAILING ADDRESS _____ b6 b7C

RECORDS INFORMATION

4A. RECORDS SERIES TITLE 31 Classification -Fifth interim FBIHQ microfilm reels pertaining to investigations White Slave Traffic Act	
4B. DATE SPAN OF SERIES 1937 thru 1943 (Attach any additional description.)	
5A. AGENCY OR ESTABLISHMENT Department of Justice	9. PHYSICAL FORMS <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts <input checked="" type="checkbox"/> Microfilm / Microfiche <input type="checkbox"/> Arch / Eng Drawings <input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion / Sound Video <input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____
5B. AGENCY MAJOR SUBDIVISION Federal Bureau of Investigation	
5C. AGENCY MINOR SUBDIVISION Records Management Division	
5D. UNIT THAT CREATED RECORDS Records Disposition Unit	10. VOLUME: CONTAINERS Cu. Mtr. _____ (Cu. Ft. <u>2.00</u>) Number <u>160</u> Reel type _____
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: _____ Telephone Number: _____	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES 3/28/2003
6. DISPOSITION AUTHORITY: N1 65-82-4 Part B, Item 31	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (if no, attach limits on use and justification.)
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO <input type="checkbox"/> Other _____ INFORMATION STATUS: <input type="checkbox"/> Segregated <input checked="" type="checkbox"/> Declassified	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.) <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
8. CURRENT LOCATION OF RECORDS <input checked="" type="checkbox"/> Agency (Complete 8A only) _____ <input type="checkbox"/> Federal Records Center (Complete 8B only)	14. ATTACHMENTS <input type="checkbox"/> Agency Manual Excerpt <input checked="" type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional Description <input type="checkbox"/> NA Form 14097 or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input checked="" type="checkbox"/> Other (specify): <u>Diskette</u> <input type="checkbox"/> SF(s) 135
8A. ADDRESS Federal Bureau of Investigation 935 Pennsylvania Avenue, NW Washington, D.C. 20535	
8B. FRC ACCESSION NUMBER	CONTAINER NUMBER(S)
FRC LOCATION	

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION <i>Security Classified 29217</i>		RG 065
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature: <u>Richard S Wood</u> Date: <u>4/21/03</u>	17. NATIONAL ARCHIVES ACCESSION NO. NW3-065-03-005	

ID 4254

Recd. 3689

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

1. INTERIM CONTROL NO. (NARA Use Only)

ARC *nnn 03-4253*

TERMS OF AGREEMENT

The records described below and on the attached 1 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 copies 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

[Redacted Signature] 3/27/03

3A. NARA APPROVAL

Signature

Jeanne Schaefer

Date

3/31/03

2B. NAME, TITLE, MAILING ADDRESS

[Redacted] Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

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RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification -Fifth interim transfer of FBIHQ case files pertaining to investigations of civil rights violations.

4B. DATE SPAN OF SERIES **1968 - 1969**

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Records Management Division

5D. UNIT THAT CREATED RECORDS

Records Disposition Unit

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

Name:

Telephone Number:

6. DISPOSITION AUTHORITY:

N1-65-82-04 Part B, Item 44

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? NO YES

LEVEL: Confidential Secret Top Secret

SPECIAL MARKINGS: RD/FRD SCI NATO

Other

INFORMATION STATUS: Segregated Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)

Federal Records Center (Complete 8B only)

8A. ADDRESS

**Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535**

9. PHYSICAL FORMS

Paper Documents

Paper Publications

Microfilm / Microfiche

Electronic Records

Photographs

Posters

Maps and Charts

Arch / Eng Drawings

Motion / Sound Video

Other (specify):

10. VOLUME:

CONTAINERS

Cu. Mtr. _____ (Cu. Ft. **60.00**) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

3/28/2003

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

YES NO (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

14. ATTACHMENTS

Agency Manual Excerpt

Additional Description

Privacy Act Notice

Other (specify):

Diskette

Listing of Records Transferred

NA Form 14097 or Equivalent

Microform Inspection Report

SF(s) 135

8B FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

Security Classified 2514

065

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

17. NATIONAL ARCHIVES ACCESSION NO.

Signature

Richard S. Wood

Date

4/21/03

NN3-065-03-004

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

1. INTERIM CONTROL NO. (NARA Use Only)

2003-03-4250

TERMS OF AGREEMENT

The records described below and on the attached 1 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 copies 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 [Redacted]
Signature _____ Date 3/24/03

3A. NARA APPROVAL
Signature Jeanne Schauer Date 3/31/03

2B. NAME, TITLE, MAILING ADDRESS
[Redacted] Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, D.C. 20535

3B. NAME, TITLE, MAILING ADDRESS
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RECORDS INFORMATION

4A. RECORDS SERIES TITLE
65 Classification - Sixth interim transfer of FBIHQ case files pertaining to investigations of Espionage
4B. DATE SPAN OF SERIES 1940 thru 1944 (Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT
Department of Justice

5B. AGENCY MAJOR SUBDIVISION
Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION
Records Management Division

5D. UNIT THAT CREATED RECORDS
Records Disposition Unit

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

6. DISPOSITION AUTHORITY:
N1 - 65 - 82- 04 Part B, Item 65

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

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

8A. ADDRESS
Federal Bureau of Investigation
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535

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

10. VOLUME: _____ CONTAINERS
Cu. Mtr. _____ (Cu. Ft. 67.67) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
3/28/03

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?
(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)
 YES NO

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

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

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION
Security Classified # 25215 RG 065

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES
Signature Richard E Wood Date 4/21/03
17. NATIONAL ARCHIVES ACCESSION NO. NN3-065-03-003

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

1. INTERIM CONTROL NO. (NARA Use Only)

Handwritten: NND 03-4277

TERMS OF AGREEMENT

The records described below and on the attached 1 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.

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 copies 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.

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

2A. AGENCY APPROVAL		3A. NARA APPROVAL	
Signature	<i>[Redacted]</i>	Signature	<i>Jeanne Schauble</i>
Date	<i>3/21/03</i>	Date	<i>3/31/03</i>
2B. NAME		3B. NAME, TITLE, MAILING ADDRESS	
<i>[Redacted]</i> Archives Specialist		b6 b7C	
Federal Bureau of Investigation 935 Pennsylvania Avenue NW Washington, D.C. 20535			

RECORDS INFORMATION

4A. RECORDS SERIES TITLE		9. PHYSICAL FORMS	
176 Classification - The completion of PG, SU, SE and WFO Field Office case files pertaining to investigations of Anti-Riot Laws.		<input checked="" type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input 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 type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____	
4B. DATE SPAN OF SERIES 1977 through 1983		(Attach any additional description)	
5A. AGENCY OR ESTABLISHMENT		10. VOLUME: CONTAINERS	
Department of Justice		Cu. Mtr. _____ (Cu. Ft. <u>6.67</u>) Number _____ Type _____	
5B. AGENCY MAJOR SUBDIVISION		11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES	
Federal Bureau of Investigation		3/28/2003	
5C. AGENCY MINOR SUBDIVISION		12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?	
Records Management Division		<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (if no, attach limits on use and justification.)	
5D. UNIT THAT CREATED RECORDS		13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?	
Records Disposition Unit		(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)	
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS		<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
Name: _____		14. ATTACHMENTS	
Telephone Number: _____		<input type="checkbox"/> Agency Manual Excerpt <input checked="" type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional Description <input type="checkbox"/> NA Form 14097 or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input checked="" type="checkbox"/> Other (specify): <u>Diskette</u> <input type="checkbox"/> SF(s) 135	
6. DISPOSITION AUTHORITY:		8. CURRENT LOCATION OF RECORDS	
N1 65-82-4 Part D, Item 176		<input checked="" type="checkbox"/> Agency (Complete 8A only) _____ Federal Records Center (Complete 8B only)	
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES		8A. ADDRESS	
LEVEL: <input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Secret <input type="checkbox"/> Top Secret		Federal Bureau of Investigation	
SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO		935 Pennsylvania Avenue NW	
<input type="checkbox"/> Other _____		Washington, D.C. 20535	
INFORMATION STATUS: <input type="checkbox"/> Segregated <input checked="" type="checkbox"/> Declassified		8B. FRC ACCESSION NUMBER	
		CONTAINER NUMBER(S)	
		FRC LOCATION	

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION		RG
<i>Security Classified 29214</i>		<i>065</i>
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES		17. NATIONAL ARCHIVES ACCESSION NO.
Signature	<i>Richard E Wood</i>	<i>NN3-065-03-002</i>
Date	<i>4/29/03</i>	

FD 4249

Recd. 948



National Archives and Records Administration

Washington National Records Center

4205 Suitland Road
Suitland, MD 20746-8001

April 22, 2003

[Redacted]

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Department of Justice
J. Edgar Hoover Bldg., Room 4933
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear [Redacted]

As the Chief NARA official for the reference operations at the Washington National Records Center (WNRC), I have discovered material weaknesses with the accountability and verification process when my staff receives National Security Information (NSI) folders and box refiles from your messengers or couriers.

There is no procedure in place to verify what has been delivered on any given day. We are proposing that beginning June 1, 2003, the following policy will be implemented for your protection.

NEW POLICY - AGENCY MANIFEST/TRANSMITTAL

The reason for this memorandum is to inform each agency of the new requirements. All NSI material (folders and boxes) being returned for refile must be listed and presented by your agency courier to our staff **on an official agency manifest/transmittal with your letterhead** and be presented by your courier at the time of delivery. The manifest/transmittal should be in a sealed envelope.

Your agency is responsible for creating this manifest/transmittal and ensuring that all NSI material being delivered is listed. The manifest/transmittal should list each individual file or box being returned. We will retain your manifest documents as a record of their return. Our staff will not accept deliveries from agencies sending material without these manifests. The courier will be instructed by WNRC staff to return the NSI material to the sending agency unless he/she presents a manifest listing precisely what he/she is delivering.

If you would like to retain proof of delivery, please provide a duplicate copy of the manifest/transmittal. Normally, my staff will not sign the manifest/transmittal copy or original until your delivery of NSI refiles has been checked and verified. If you are returning NSI material by the US Postal Service, or commercial carrier, ensure that there is a return address and point of contact on the manifest/transmittal in the first box of the shipment or inside the manila envelope with the individual folder or folders.

66F-HQ-C1190059-327

REQUIREMENTS OF A MANIFEST/TRANSMITTAL

An example of the information a manifest should contain follows:

1. Volume of boxes/folders being returned
2. The accession and box number of each returned item
3. The folder identification number of each individual file (this applies to folder refiles only and does not require an entire box inventory)
4. Courier's name
5. Agency person and telephone number who prepared the shipment
6. List the levels of classification on the manifest. **Do not mix NSI and unclassified material.** Do not mix Top Secret with Secret, etc.

Each box or manila folder with individual folder refiles must be taped closed to ensure that there has been no evidence of tampering. No classification markings are to appear on the outside of boxes or envelopes.

We hope that you do not find this requirement to be onerous. We are implementing this policy to protect your NSI materials and to provide better accountability for these materials for both your agency and the WNRC. The reason for this letter is to inform each agency of these new safeguards.

AN INVITATION

We invite you to join us to discuss this new procedure at either of the Focus Groups to be held at WNRC on May 15 or May 20. Please see the enclosed announcement. We will gather to discuss this and other important issues regarding the handling of NSI material.

It is our intent here at WNRC to be proactive when handling National Security Information material rather than reactive. Given the current world situation, we want to be sure that your records are handled in a precise and accurate manner. We must be able to verify that what your agency believes to have been returned, has in fact been returned. While this may cause some initial inconvenience, once the manifests have been developed and implemented, the system will become second nature.

Again, please consider joining us at our first Focus Group on May 15 at 10:00 a.m. or our second Focus Group on May 20 at 1:30 p.m. Please circulate the flyer to those in your organization that may need to attend.

Sincerely,



JOSEPH N. GROOMES III
Chief, Reference Service Branch

Come and Join the WNRC Focus Group On Classified Records

We'll draw on your expertise and discuss

- Classified record storage
- Storage of sensitive records, including RD, TS and SCI
- Transfer of classified records
- Authorization updates and compliance

We need your advice to improve our services.

We will host two groups:

One on Thursday, May 15 at 10:00

the second on Tuesday, May 20 at 1:30

Please call (301) 778-1600 and request a seat for one of the sessions

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

April 25, 2003

NWM 14.2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Announcing a change in communications format and a request for updated mailing information

Beginning June 1, 2003, the Modern Records Program will send hard copy memoranda only to those agency contacts who do not have access to inter-agency email. Many of our communications are directed to particular client groups and are time sensitive. We believe that the use of email will disseminate information more efficiently than other modes of delivery.

To assist us in this transition, please reply by May 23, 2003 with the following information (as applicable):

- Your email address, or, if you do not have an agency internet email address, the correct U.S.P.S. address for hard copy mail;
- New records management contact name and address;
- Request to delete from mailing list if you are not the appropriate contact.

Please note that this change does not apply to communications regarding training conducted by the NARA Life Cycle Management Division.

Questions, comments, and information updates may be sent to RMCommunications@nara.gov or to the attention of your appraisal archivist, NARA Life Cycle Management Division, 8601 Adelphi Road, Room 2200, College Park, MD 20740.

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-328

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

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May 2, 2003

NWM 15.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCES MANAGERS: Vital Records Program Training Session

I am pleased to announce that the National Archives and Records Administration (NARA) will hold, at no cost, a special ½ day vital records management training session on Thursday, June 26, 2003, from 9:00 a.m. to 12:30 p.m. at the Department of Agriculture's Jefferson Auditorium, 14th and Independence Avenue, SW, Washington, DC. Speakers will discuss how to establish and implement a vital records program, and where this program fits in an agency's disaster planning efforts.

The enclosed announcement sheet contains details about the session's content, directions to the location, and registration information. The session is open to anyone with an interest in or has responsibilities for managing Federal records. Please register soon to ensure a place in the class. Security measures require that registration be closed at 9:00 am on Tuesday, June 24, 2003.

To register, please email [redacted] at [redacted]@nara.gov or [redacted] at [redacted]@nara.gov. Please include your name, telephone and fax numbers, agency name, and email address.

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NARA looks forward to working with you to ensure that the vital information needed by our Government is secure and accessible. If you have any questions, please email either of the addresses indicated in the announcement.

Howard P. Lowell
HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-329

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

VITAL RECORDS SEMINAR

The National Archives and Records Administration (NARA) is pleased to announce another **no-cost** ½ day vital records seminar in Washington, DC.

Thursday, June 26, 2003

9:00 am – 12:30 pm

Department of Agriculture (USDA)

Jefferson Auditorium

14th and Independence Avenue SW
Washington DC

Topics to be covered:

- ☐ What are Vital Records?
- ☐ Why are Vital Records important?
- ☐ Laws, regulations, and guidance on Vital Records
- ☐ Essential elements of a Vital Records Program
- ☐ Important first steps to take in response to a disaster
- ☐ How to identify and protect Vital Records
- ☐ Risk Assessment
- ☐ Implementing the Vital Records Program
- ☐ "Real Life" Vital Records Program Scenarios
- ☐ The necessity of periodically reviewing a Vital Records Program

Directions:

Take the Metro to the Smithsonian stop and use the Independence Avenue exit. As you walk straight ahead, the building is on the left. The entrance is about ½ way down the building on the left. Security will direct you to the Jefferson Auditorium.

Cancellation Policy:

The vital records seminar will be canceled if the Office of Personnel Management (OPM) announces an unscheduled leave or delayed arrival policy for Federal employees for that day. Please be sure to listen to a local radio or television station in the case of an emergency.

Security Measures:

Bring your Federal photo ID and arrive early to allow time to go through Security.

For more information or to register:

Email [redacted] at [redacted]@nara.gov or [redacted] at

[redacted]@nara.gov. Please include your name, telephone and fax numbers, agency name, and email address. NARA will respond with an Email confirmation.

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REGISTRATION DEADLINE: 9:00 am, Tuesday, June 24, 2003

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 29, 2003

NWM 17.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS, INFORMATION RESOURCE MANAGERS AND CHIEF INFORMATION OFFICERS: New Managers' Records Management Briefing

I am pleased to announce that the National Archives and Records Administration (NARA) has developed a new briefing entitled "Federal Records Management for Managers: What's in it for me?" This briefing supplements and expands upon information in NARA's August 2001 records management briefing entitled "Everything You Need to Know: A Briefing for Managers" that was directed at upper level managers and provided guidance about handling official files and explained the differences between records and personal papers.

This second briefing is aimed at program managers. It discusses how records support program and agency business, why they are important to the Federal Government and to the public, and how they document our nation's history. Included are suggestions for determining records management priorities, particularly when you suspect records may be at risk, examples of the consequences of poor records management, and tips to ensure that your records are trustworthy. A copy of this new briefing is included on the enclosed CD-ROM.

Based on feedback from records officers, we've included speaker's notes with the briefing. They underscore the points made on the slides and provide additional useful information. The notes and slides use generic language, so you may want to adjust the language and references. Interspersed among the speaker notes are cues for mouse clicks to advance individual points and animation on each slide.

The presentation, which must be viewed using Microsoft PowerPoint, is designed to last approximately 40 minutes but can be lengthened or shortened as necessary. To view the show, open the program using PowerPoint and click on either "slide show/view show" to view animations or "view/notes page" to view speaker's notes. You may want to print out the notes and slides in hard copy for your own use.

Included on this CD-ROM are three files:

- **Managers Briefing 2003** is the full PowerPoint presentation with an embedded video and speaker notes. Slide 21 contains a text box with instructions for activating the embedded video;
- **Judge Gonzales.v** is a video clip released by the White House of Counsel of the President Alberto Gonzales speaking on the importance of records management; and

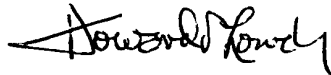
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- **Managers Briefing 2003 Handouts** is the PowerPoint presentation without animation that is suitable for producing hard copy handouts.

I hope you will find NARA's newest education tool helpful in ensuring that agency program managers understand the important role of records in conducting the business of the Federal Government.

If you have not received a hard copy of this memorandum including the CD-ROM, please request your copy by email at records.mgt@nara.gov. Be sure to include your mailing address. If you have any questions, please contact [redacted] at 301-837-1718 or by email at [redacted]@nara.gov.

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HOWARD P. LOWELL
Acting Director
Modern Records Programs

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 2, 2003

NWM 18.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on June 19, 2003

Please mark your calendars for the next BRIDG meeting that is scheduled for Thursday, June 19, 2003. The meeting will be in Room 105 of the National Archives Building, 700 Pennsylvania Avenue NW beginning at 10AM and lasting approximately until noon.

NARA is in the process of updating its Strategic Plan and needs your help. We want to be sure that we address your concerns and needs in this revision. Deputy Archivist Lewis J. Bellardo will discuss changes we have made thus far to the plan and take your comments and questions. The draft plan is available for review on NARA's web site at http://www.archives.gov/about_us/strategic_planning_and_reporting/2000_strategic_plan_draft.html.

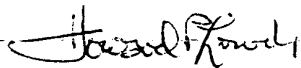
In addition, Dr. Bellardo will provide an update on NARA's current activities to improve Federal records management in the areas of scheduling and appraisal.

To reserve a place for the meeting, please provide your name, telephone number, and agency via email to RM.Communications@nara.gov, no later than noon on Monday, June 16, 2003. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name.

The NARA Records Center Program staff will host a Records Center Forum from 9 to 9:45 AM before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact your Records Center Account Representative or

at or via email @nara.gov.

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HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-331

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NWM 20.2003

June 16, 2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Request for Participation in E-Gov Project for the Transfer of Digital Photography Records to NARA.

NARA is continuing its work with the Office of Management and Budget (OMB) to implement the President's Management Agenda for expanding electronic government through a variety of Electronic Records Management (ERM) Initiatives. As part of this project, NARA is the lead agency on the ERM issue area relating to the transfer of permanent electronic records to NARA in formats not previously accepted by NARA for preservation. Completed work in this issue area includes transfer requirements and guidance for three electronic formats: (1) email with attachments, (2) scanned images of textual records, and (3) records in Portable Document Format (PDF). For more information on NARA's E-Gov ERM Initiative and the completed products, please visit our web site at:

http://www.archives.gov/records_management/initiatives/erm_overview.html.

NARA is now planning for the fourth transfer format cycle, which will include digital photography records. Records covered under the scope of this cycle include digital photographs from handheld digital cameras and scanned images of photographs. These records may be created and/or maintained in file formats such as JPEG/JFIF (JPEG File Interchange Format) and TIFF (Tagged Image File Format). Other digital photography records including aerial photography, photogrammetry, and satellite imagery will not be addressed until specific issues relating to the preservation and use of scientific data and metadata are resolved.

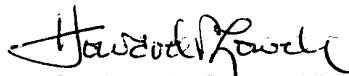
This cycle will run from July 1 through November 12, 2003, with the initial kickoff meeting with Federal agencies scheduled for July 17. While each of the previous three cycles were limited to 90 days, NARA has extended this cycle to 145 days to allow more time for agency review and comment on the draft guidance. We have received enthusiastic cooperation from many of you who worked with us on the previous cycles, and we are looking forward to productive partnerships on this cycle as well. If you would like to be a partner with us on this project, your agency must be willing to participate in meetings, commit staff time, and provide other resources

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that will help us develop the transfer guidance for digital photography records. To make the best use of your time, NARA will draft guidance documents for your review and comment, and we will also ask for volunteers to provide us with test transfers of digital photography records for processing and evaluation at NARA.

If you are interested in working with us on this project, please let us know by contacting [redacted] before July 11 either by phone [redacted] or email [redacted]@nara.gov). You may choose to participate by attending the partner meetings, reviewing and commenting on the draft transfer guidance, and/or by sending samples of your digital photography records to NARA for testing and evaluation.

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HOWARD P. LOWELL
Acting Director
Modern Records Programs



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

NWM 21.2003

June 23, 2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

I am pleased to notify you that NARA has issued *Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications* as part of the E-Gov Electronic Records Management (ERM) Initiative. The *Guidance* has been posted on the NARA web site at www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html.

This guidance document is designed for use in the capital planning and investment control (CPIC) process to provide criteria by which IT proposals can be evaluated for ERM functionality and to select candidate systems for enterprise-wide deployment. One of its key points is that agencies should have their Agency Records Management staff review all CPIC proposals to determine if the system requires or includes ERM functionality and/or that functionality overlaps with the proposed enterprise ERM system.

The guidance document supplements guidance to agencies contained in Section 53 (Information technology and e-government) and Part 7 (Planning, Budgeting, Acquisition, and Management of Capital Assets) of the Office of Management and Budget's OMB Circular No. A-11, *Preparation, Submission, Execution of the Budget*.

This is the first of four planned documents being developed as part of the Enterprise-wide ERM Issue Area of the ERM Initiative. These documents are aimed at helping agencies understand the technology and policy issues associated with procuring and deploying an enterprise-wide ERM system.

LEWIS J. BELLARDO
Deputy Archivist of the United States

66F-HQ-C1190059-333



**Guidance for Coordinating the Evaluation of Capital Planning and
Investment Control (CPIC) Proposals for ERM Applications**

Electronic Records Management (ERM) E-Government Initiative
Enterprise-wide Electronic Records Management Issue Area
Issued June 23, 2003

Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

1. INTRODUCTION

The strategic focus of the Office of Management and Budget's (OMB) E-Gov Initiatives is to utilize commercial best practices in key government operations. The National Archives and Records Administration (NARA) is the managing partner for the Electronic Records Management (ERM) E-Gov Initiative. NARA's ERM Initiative will provide a policy framework and guidance for electronic records management applicable government-wide.

This guidance document is one of a suite of documents to be produced under NARA's ERM Initiative that, when taken together, form the structural support for ensuring a level of uniform maturity in both the Federal government's management of its electronic records and its ability to transfer electronic records to NARA.

NARA's ERM Initiative

NARA's ERM Initiative is intended to promote effective management and access to federal agency information in support of accelerated decision making. The project will provide federal agencies guidance in managing their electronic records and enable agencies to transfer electronic records to NARA. To this end, the ERM Initiative is divided into four subject or Issue Areas, each led by a different federal agency. They are:

- Correspondence management and tracking (Department of Energy (DOE)).
- Enterprise-wide ERM (Environmental Protection Agency (EPA)).
- Electronic Information Management Standards (Department of Defense (DOD)).
- Transfer of permanent e-records to NARA (NARA).

Goals for the four issues areas include: improving communications through documentation sharing and collaboration; providing information on the infrastructure needed to develop and implement ERM systems; providing guidance in managing records in compliance with statutory record management requirements; and addressing the transfer of permanent electronic records to NARA. These documents are interdependent and provide federal agencies with the full complement of guidance needed to implement ERM.

This document is the first of four documents to be produced under the Enterprise-wide ERM Issue Area. The Enterprise-wide ERM documents are aimed at helping agencies understand the technology and policy issues associated with procuring and deploying an enterprise-wide ERM system. They include guidance for evaluating Capital Planning and Investment Control (CPIC) proposals; guidance on developing agency-specific functional requirements for ERM systems; guidance on developing and launching an ERM pilot project; and a "lessons learned" paper from

the Environmental Protection Agency's proof of concept ERM pilot as well as other agencies' implementation experiences.

2. APPLICATION OF THIS GUIDANCE DOCUMENT

This guidance provides three basic steps for evaluating CPIC proposals for ERM applications from the perspective of encouraging an enterprise-wide approach. The primary audience for this document consists of those federal agencies that have already made the decision to acquire and implement an ERM system. As such, this document makes a number of assumptions (detailed below) about the level of knowledge of ERM systems and about the capabilities an Agency possesses to acquire and implement an ERM system. Those agencies that have not yet made the decision to acquire and implement an ERM system will still benefit from this guidance document as it details the direction these agencies will need to move in the future. The assumptions are:

- An enterprise-wide ERM system has been implemented or is planned.
- The agency is developing or has developed an Enterprise Architecture that includes an enterprise-wide ERM solution.
- The agency senior managers and Investment Review Board are cognizant of the Federal Enterprise Architecture Framework.
- The Department or Agency Records Officer has an understanding of ERM (purpose, components, and functionality) and how it differs from paper recordkeeping.
- The agency has other ERM systems or ERM related CPIC proposals.

This guidance is meant to help agency staff effectively coordinate and control the acquisition and implementation of ERM capabilities enterprise-wide. It is designed for use by Agency managers who are in the process of making funding decisions for their enterprise-wide ERM system, while at the same time considering multiple CPIC proposals for systems with similar functions or requirements. Written from the perspective of an administrator evaluating a portfolio of ERM-related projects, the criteria presented in the guidance provide a set of decision points to help determine if office-specific ERM systems should be funded independently or integrated with an agency's enterprise-wide ERM system. It may also be useful for agencies in reviewing other CPIC proposals for systems that need ERM functionality.

This guidance was borne out of the experience of federal agency managers whose aim was to have one enterprise-wide ERM system and who received multiple CPIC proposals (Exhibit 300s) (from offices within their agencies) that were either operating or contemplating acquiring ERM systems.

NOTE: This guidance is not meant to assist in evaluating the business case of individual proposals or to assist agencies in selecting particular technologies or software

applications (these comparisons should be done separately); rather, the criteria contained in the steps below should help agencies manage an enterprise-wide approach to ERM.

A glossary is included at the end of this document for the general understanding of the terms and concepts used throughout this document. The appendix provides background on applicable records management statutes and regulations.

3. ENTERPRISE-WIDE ERM FUNCTIONALITY

NARA defines electronic records management as “using automated techniques to manage records regardless of format. ERM is the broadest term that refers to electronically managing records on varied formats, be they electronic, paper, microform, etc.”¹ Electronic record keeping or management systems are defined by NARA as “a system that meets an agency’s record keeping needs...an electronic information system in which records are collected, organized, and categorized to facilitate preservation, retrieval, use and disposition (36 CFR 1234.2). An electronic system that will ensure that the records it maintains will have sufficient authenticity and reliability to meet all of the agency’s record keeping needs.”²

For the purpose of this initiative, ERM is defined to include functionality supporting record collection, organization, categorization, storage, metadata capture, physical record tracking, retrieval, use, and disposition.³ This definition is consistent with NARA’s definition but elaborates further on the functionality generally offered in ERM systems.

It is important to understand these definitions since the majority of records produced today are electronic and federal agencies will need to have the capability to create, manage, and legally dispose of and/or permanently retain electronic records. Electronic records must be managed in a manner that preserves the integrity of the record and facilitates electronic access to the record now and into the future.

Centralized Versus Decentralized ERM

While many agencies have established records management systems for retaining and retiring paper records, many do not have electronic systems to assist individual employees in their day to day creation, management and disposition of *electronic* records. Consequently, e-mail and other electronic documents that are records must be printed to paper and filed in an approved record keeping system.

¹“Context For Electronic Records Management,” Fast Track Guidance, National Archives and Records Administration, 11/30/99.

²“Context For Electronic Records Management,” Fast Track Guidance, National Archives and Records Administration, 11/30/99.

³ERM definition adapted from “electronic recordkeeping system” entry in the EPA Glossary of Common Records Management Terms; <http://www.epa.gov/records/gloss/index.htm>.

Federal agencies may want to consider an enterprise-wide centralized approach to ERM for the following reasons:

- ERM systems provide mechanisms to manage agency records as required by law throughout their life cycle, that is, from their creation, to their maintenance and use, and then to their ultimate disposition. This includes “locking down” documents so that they are unalterable, and managing version control of specific documents. They also include the functionality to store and destroy records at the appropriate time. Storing records in an enterprise-wide system may provide agencies with better management control of their records.
- Enterprise-wide systems or cross-agency partnering can often reduce the cost otherwise associated with operating multiple, disparate records management systems, including administration, maintenance, training, etc. They also support the Administration’s goals to unify and simplify E-Government.
- Often records of continuing value must be kept well beyond the life of the system that created the record. Doing so requires having the technology to read these records. Having a central ERM system with the capability to read these records into the future alleviates the need to maintain generally outdated software on many agency systems.
- An ERM system can provide a central access point to active and inactive information assets (records) of an agency.

Agencies should examine their technology needs, plans, and architecture when contemplating centralized versus decentralized electronic records management. This decision should be made early as it will have a great impact on how systems should be evaluated. Step Two below offers factors to consider when contemplating this decision.

4. EVALUATING CPIC PROPOSALS WITH AN AIM TOWARD ENTERPRISE-WIDE ERM SYSTEMS

Agencies endeavoring to implement an enterprise-wide ERM should consider the following steps when reviewing their CPIC proposals.

NOTE: The criteria included in the steps below are not intended to assist agencies in selecting particular technologies or software applications (these comparisons should be done separately); rather, the criteria should help agencies manage an enterprise-wide approach to ERM.

<i>Step One - Identify projects with ERM components</i>
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The purpose of this step is to identify CPIC proposals that require the purchase of ERM tools (i.e., records management application software), keeping in mind the goal of an enterprise ERM system.

Because of the complexity of the effort and high costs to the agencies, it takes a significant amount of time to procure and implement an enterprise ERM system. As agencies methodically move towards enterprise ERM, individual agency program offices may propose projects that include ERM software, components, or functionality for local use.

Records officers must be involved in the CPIC proposal evaluation process for any proposals that contain ERM components or functionality. Their focus should be on the Agency ERM solution and how an identified proposal supports, compliments, or duplicates the Agency solution. Where it is unclear if a specific proposal contains ERM components or functionality, the records officer may need to do a quick preview of the proposal to determine if it is ERM related. If a CPIC proposal requests funding for a program-specific ERM system (rather than use of the agency's enterprise ERM system), it should be further investigated before funding.

Proposals that provide ERM functionality should be examined to see if they overlap with the enterprise ERM goal.

CPIC proposals may have ERM requirements or functionality if they can:

- Declare documentary materials as a record
- Capture records in a secure repository
- Organize records for efficient retrieval
- Limit access to records to authorized users
- Preserve records for their entire life cycle
- Allow for disposition of records based on approved agency schedules

Outcome: In addition to your CPIC proposal for an enterprise-wide ERM system, you may now have identified other CPIC proposals that requested funding for program-specific ERM functionality, separate from the enterprise ERM system.

Step Two - Evaluate whether separate funding for program-specific ERM is warranted

The purpose of this step is to evaluate whether those CPIC proposals identified in step one (proposals that requested funding for **program-specific or local** ERM systems) should be funded separately from the enterprise ERM system.

Funding restrictions, unique functional requirements, and security concerns may be compelling business reasons for separately funding program-specific ERM systems. The compelling business need for one agency may not be the same for another. Each agency must look at their own mission, needs, and environment to make these determinations.

Compelling business reasons for separately funding program-specific ERM systems:

- The system may be funded in a way that requires separate accounting (e.g., Congressional).
- There may be an urgent need for a system to be implemented before an enterprise-wide system will be in place (e.g. national security, legal mandate).
- The system may have unique functionality that cannot be supported by an enterprise-wide system (e.g. integrations with hardware or software that cannot be supported by potential ERM COTS products).
- There may be security concerns for the storage of some data in a centralized system.

Outcome: You have now identified those projects that for compelling business reasons should continue to be funded in tandem with your enterprise-wide ERM system. The CPIC proposal should clearly justify this need.

Step Three - Determine project's life cycle status and the value of continuing or ending project

The purpose of this step is to evaluate whether those CPIC proposals for ERM systems identified in step two as not meeting the criteria for separate funding, should continue to be funded.

In certain circumstances, agencies may want to continue funding legacy ERM systems in the maintenance and upgrades phases but apply standards that would enable them to be incorporated into an enterprise-wide system in the future. Doing so allows legacy ERM systems to continue to provide needed functionality until these systems can be integrated with or migrated to the enterprise-wide ERM system. Agencies may also consider continuing to fund ERM projects in the early life-cycle phase as they may yield significant value. Additionally, the requirements analysis conducted in the early phase of ERM systems development may yield useful configuration information applicable to an enterprise-wide system.

Questions for evaluating whether to continue funding program-specific projects in the development phase:

- Is this a legacy system already in place or a new project that could be coordinated as part of an enterprise-wide implementation?
- Is the project in a life-cycle phase that would benefit the overall organization? For example, if an office is gathering requirements, this could be useful for an enterprise-wide system down the road. Projects that are ready to acquire products but have not yet considered enterprise-wide needs should be halted.
- Are there related agency projects that could be expanded or merged?
- Will the project require functionality that is not currently available in the enterprise-wide system but is planned for a future phase?

Outcome: You have now identified those ERM projects that while duplicative of the enterprise-wide ERM system, may warrant continued funding. The CPIC proposal should show how the results of these projects will be used to add value to the enterprise-wide ERM project. You may also have identified CPIC proposals that don't warrant continued funding.

5. SUMMARY

There are three basic steps for evaluating CPIC proposals for enterprise ERM applications: 1) have records staff review all CPIC proposals for ERM functionality that may overlap with the proposed enterprise ERM system; 2) determine if the system has a compelling business reason to be continued separately from an enterprise-wide ERM system; 3) determine if systems may have some value in continuing, to some degree, even when they may be duplicative of an agency ERM system. A guiding factor in the fund/don't fund decision is the determination of which ERM approach, enterprise or program-specific, provides the best opportunity to manage electronic records in a way that ensures accessibility and integrity throughout their life cycle.

Glossary

- Capital Planning and Investment Control (CPIC) Proposal – A management technique used by the management branch to review and evaluate large federal IT investments.
- Electronic Records – Information, in an electronic state, that is determined to be a record.
- Electronic Records Management (ERM) - Functionality to support record collection, organization, categorization, storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition.
- Electronic Document Management (EDM) - Functionality to support the computerized management of electronic and paper-based documents. Associated components include a system to convert paper documents to electronic form, a mechanism to capture documents from authoring tools, a database to organize the storage of documents, and a search mechanism to locate the documents.
- Enterprise and Enterprise-wide – Deployment or use of a single software application throughout all subdivisions or components of an organization.
- Investment Review Board – A federal agency group that reviews large IT investments requested by agencies in their CPIC proposals.
- Program-specific – Pertaining to a single or local organization. For example, within the Department of Interior (DOI), a system for the Bureau of Land Management (BLM) might be characterized as program-specific as it would not necessarily be affected by or integrated the other DOI systems.

Appendix A. Federal Records Management Statutes and Regulations

This appendix provides background on some of the applicable statutes and regulations requiring federal agencies and their employees to implement records management practices for all records, including records in electronic form.

Federal Records Act (FRA): Requires federal agencies to make and preserve records that document the actions of the federal government. Generally, records are those documents, regardless of media, that record agency functions, policies, decisions, procedures and essential transactions. The mandates of the FRA require federal agencies to have the capabilities to create and maintain trustworthy records. Trustworthy records not only help preserve the rights of the government and its citizens but also promote quality decision making and efficient business practices.

The FRA charges NARA with providing guidance and assistance to federal agencies with respect to ensuring adequate and proper documentation of the policies and transactions of the Federal Government and ensuring proper records disposition.

Freedom of Information Act (FOIA): Requires agencies to locate, retrieve, screen, and respond with documents deemed to be legally releasable at any point in the document/record life cycle.

Electronic Freedom of Information Act (E-FOIA) Amendments of 1996: Requires agencies to provide documents in electronic format when requested.

Government Paperwork Elimination Act: Requires that, when practicable, Federal agencies use electronic forms, electronic filing, and electronic signatures to conduct official business with the public by 2003.

The Privacy Act (PA) of 1974: Requires that Federal agencies properly create, maintain, use, disseminate, and document the disposition authority for records maintained about individuals (either citizens or aliens legally admitted to the United States).

The E-Government Act of 2002: Requires the management and promotion of electronic Government services and processes. This has broad application to the accessibility, usability, and preservation of Government information, including records.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 1, 2003

22,2003
NWM 21,2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Draft ERM Initiative guidance for agency review

Attached for your review and comment is the draft *Methodology for Determining Agency-unique Requirements*. This document was developed by Issue Area 2, Enterprise-wide ERM, of the E-Gov Electronic Records Management (ERM) Initiative under the leadership of the Environmental Protection Agency. It is intended to help agencies manage and scope the requirements analysis step of an enterprise-wide ERM acquisition project. It provides a process for identifying potential ERM system requirements that are not included in the Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD (v.2).

The draft is also being shared with the CIO Council with a request that agency CIO and records officer comments be coordinated. Please provide your comments or concurrence via email to [redacted]@nara.gov) by July 25.

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If you have questions, please contact either of the NARA Co-Managers of the Electronic Records Management Initiative, [redacted] (email or 301-837-1477) or [redacted]@nara.gov; phone 301-837-1744).

A handwritten signature in cursive script that reads "Lewis J. Bellardo".

LEWIS J. BELLARDO
Deputy Archivist of the United States

66F-HQ-C1190059-334

Electronic Records Management (ERM) Electronic Government (E-Gov) Initiative

Enterprise-wide Electronic Records Management Issue Area

Methodology for Determining Agency-unique Requirements

Introduction

The strategic focus of the Office of Management and Budget's (OMB) Electronic Government (E-Gov) Initiatives is to utilize commercial best practices in key government operations. The National Archives and Records Administration (NARA) is the managing partner for the Electronic Records Management (ERM) E-Gov Initiative. NARA's ERM Initiative will provide a government-wide policy framework and guidance for electronic records management.

This guidance document is one of a suite of documents to be produced under NARA's ERM Initiative that, when taken together, form the structural support for ensuring a level of uniform maturity in both the federal government's management of its electronic records and its ability to transfer electronic records to NARA.

NARA's ERM Initiative

NARA's ERM Initiative is intended to promote effective management and access to federal agency information in support of accelerated decision-making. The project will provide federal agencies guidance in managing their electronic records and enable agencies to transfer electronic records to NARA. To this end, the ERM Initiative is divided into four subject or Issue Areas, each led by a different federal agency. They are:

- Correspondence management and tracking (Department of Energy (DOE))
- Enterprise-wide ERM (Environmental Protection Agency (EPA))
- Electronic Information Management Standards (Department of Defense (DOD))
- Transfer of permanent e-records to NARA

Goals for the four issues areas include: improving communications through documentation sharing and collaboration; providing information on the infrastructure needed to develop and implement ERM systems¹; providing guidance in managing records in compliance with statutory records management (RM) requirements; and addressing the transfer of permanent electronic

¹ ERM system – A collection of hardware, software, staff, policies, and procedures that work in concert to enable an agency to manage records electronically.

records to NARA. The four issue areas are interdependent and provide federal agencies with the full complement of guidance needed to implement ERM.

This document is the second of four documents to be produced under the Enterprise-wide ERM Issue Area. The Enterprise-wide ERM documents are aimed at helping agencies understand the technology and policy issues associated with procuring and deploying an enterprise-wide ERM system. They include guidance for evaluating Capital Planning and Investment Control (CPIC) proposals; guidance on developing agency-specific functional requirements for ERM systems; guidance on developing and launching an ERM pilot project; and a "lessons learned" paper from the Environmental Protection Agency's proof of concept ERM pilot as well as other agencies' implementation experiences.

Application of This Guidance Document

This document is intended to help agencies manage and scope the requirements analysis step of an enterprise-wide ERM acquisition project. It provides a process for identifying potential ERM system requirements that are not included in the Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD (v.2) (<http://jitc.fhu.disa.mil/recmgt/index.htm>), which has been endorsed by the Archivist of the United States for civilian agency use (http://www.archives.gov/records_management/policy_and_guidance/bulletin_2003_03.html).

Differences in agency cultures, business needs, and technology infrastructure may generate unique RM requirements for an enterprise-wide implementation of ERM systems that the DOD standard doesn't address. Furthermore, enterprise-wide ERM systems may interact with other record-producing, enterprise-wide applications, including document management, correspondence tracking, and workflow systems. These additional requirements are not addressed in DOD 5015.2-STD, as they are outside of the RM scope of the design standard.

The primary audience for this document is the project management team of those federal agencies that have already made the decision to acquire and implement an ERM system. This document makes a number of assumptions (detailed below) about the level of knowledge of ERM systems and about the capabilities an agency possesses to acquire and implement an ERM system. Those agencies that are contemplating implementation of an ERM system should use this guidance document in their early planning efforts. The assumptions are:

- An enterprise-wide ERM system is being planned and has successfully emerged from the capital planning investment process (<http://www.whitehouse.gov/omb/circulars/a11/2002/S300.pdf>). [URL will be updated for July 2003 Circular A-11]
- Enterprise-wide deployment of an ERM system is accounted for in the agency enterprise architecture and conforms to the Federal Enterprise Architecture Framework (FEAF) <http://feapmo.gov/>

- The agency records officer has an understanding of ERM (purpose, components, and functionality) and how it differs from paper recordkeeping.
- The agency will incorporate all of the requirements of the Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD into their ERM system.

This guidance was developed from the experience of federal agency managers whose aim was to have one enterprise-wide ERM system but found the need to incorporate additional, agency-unique requirements beyond those contained in the 5015.2 (v.2) specification. It is intended to assist other agencies as they plan and design their own enterprise-wide ERM systems.

Gathering requirements is just one of the steps in implementing an ERM system or any information technology (IT) system. Prior steps may include program creation, business case analysis, enterprise architecture analysis, and business process analysis. Further steps may include product evaluations, cost-benefit analysis, pilots, and implementation. Each organization must map out its own process for implementing an ERM system.

This methodology provides additional guidance, based on the experience of one federal agency, regarding the requirements gathering step. While every organization will perform this step, each may perform it differently and will obtain different results. This methodology discusses the process of gathering requirements at a high level so that each organization can apply it to their own environment.

A glossary is included at the end of this document for the general understanding of the terms and concepts used throughout this document.

ERM Applications - Background/Context

The ERM requirements addressed in this document will be used to implement an ERM application², using DOD 5015.2 (v.2) as a requirements baseline. ERM applications provide the business logic required to capture, control, maintain and dispose of electronic records. They provide the user the ability to declare electronic files as records and associate them to a file code and corresponding disposition authority. DOD 5015.2-STD-certified ERM applications (<http://jrtc.fhu.disa.mil/recmgt/register.htm>) accomplish such in a manner that guarantees conformance with federal recordkeeping statutes and regulations.

Using ERM applications, agencies can implement file plans, control dispositions and access agency records. Initially, these products were standalone systems. Recently, some electronic document management (EDM) companies and enterprise content management (ECM) vendors have acquired ERM products and integrated their records management capabilities into their

² ERM Application – A software product that identifies, classifies, and disposes of records according to specified records disposition policies.

products. In these cases, the ERM application provides the records management logic and the EDM or ECM system supports such tasks as document capture, storage, search, access, and workflow.

The capabilities of some ERM products have been extended to include many of the functions commonly associated with EDM or ECM products. An ERM product may offer workflow and versioning tools, in addition to its standard records management functions.

Market forces continue to drive ERM/EDM/ECM software producers to develop systems with various combinations of document, content and records management capabilities. Agencies will have to decide which product combinations best meet their business needs and information architecture. The process outlined in this document for identifying agency-unique requirements is applicable to any system, or combination of systems, that is intended to implement records management capabilities.

The DOD 5015.2-STD – a Current Requirements Standard

In November 1997, the Defense Information Systems Agency's (DISA) Joint Interoperability Test Command (JITC) released the *Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD*. This standard described the minimum requirements derived from federal statute and regulation that an ERM application must support for use within DOD. JITC revised 5015.2 in June 2002 to include additional requirements including classified markings, access control, declassification, and downgrading. JITC has also developed a test program to certify products against 5015.2.

The 5015.2 standard sets minimum functional requirements for ERM applications. It specifies design criteria needed to identify, mark, store, and dispose of electronic records. It does not define how the product is to provide these capabilities. It does not define how an agency manages electronic records or how an ERM program is to be implemented. Its original purpose was to specify mandatory and optional design requirements that a commercial off-the-shelf (COTS) product must support before DOD components could use it.

While 5015.2 mandates ERM application requirements for DOD, it has become the de facto standard for the rest of the federal government. NARA endorsed 5015.2-certified products for use by civilian agencies in 1998. Many agencies and government organizations, including EPA, DOE, the Federal Deposit Insurance Company (FDIC), and others, require 5015.2 certification in selecting ERM applications.

As the managing partner of Electronic Records Management Initiative under the U.S. E-Gov Initiatives program, NARA is again promoting the use of 5015.2 for use by civilian agencies. NARA Bulletin 2003-03, released January 2003, recommends the use of the second version of the 5015.2 standard and 5015.2 certified ERM applications by non-DOD agencies.

Section 1 - Requirements Gathering Beyond 5015.2

DOD 5015.2 provides a generic set of requirements for ERM applications. These requirements may not be sufficient for use by other agencies or organizations. An organization will want to start with the 5015.2 requirements as a baseline and then determine if they have additional specific requirements.

The steps in Section 1 will assist in identifying agency-specific ERM requirements by examining project scope, existing electronic records systems, information technology architecture, and information policies. After a list of non-5015.2 requirements is identified, each requirement will be reviewed for inclusion in the ERM system (Section 2).

Step 1 - Determine ERM Scope

While the intent is to develop an enterprise-wide system, some agency records may not be managed by the ERM for operational reasons (e.g., budget, security). The goal of this step is to gather basic information on what records the system will (and won't) manage. Defining the scope will establish what end users can expect the system to accomplish.

- Even if an ERM system is implemented enterprise-wide, it may not be practical or cost-effective to manage all records in all formats.

Record formats to consider including:

- E-mail
- Office automation software suites
- Forms (including electronic)
- Web content
- Paper
- Output and transactions from agency information systems

- Who will use the system? These stakeholders need to be consulted on how the system will create, capture, maintain, disseminate, and dispose of the records they generate in the course of agency business. Stakeholders may be able to identify unique business processes or activities that some ERM systems may not be able to manage.

Stakeholders with potential requirements:

- Record keepers
- Records officers
- Agency staff

³ Agencies may use different titles, combine some positions into a single position, or not currently support some positions.

- Governmental agencies
 - Citizens and other interested parties
 - IT staff
- Agencies will have a variety of records that include sensitive information.

What types of sensitive information will the system include?

- Privacy Act systems of records
 - FOIA exempt
 - Confidential business information
 - Law enforcement
- All organizations have existing systems that create or store electronic records. Most of these are not designed to provide basic recordkeeping functionality, such as file plan organization and disposition. Once systems that create or store electronic records are identified, the decision to migrate³ or integrate⁴ them into an ERM system may generate agency-specific requirements. An existing system that creates electronic records may require a specific type of application programming interface (API) to integrate properly with the proposed ERM.

Review existing systems to determine:

- What information systems create or contain records?
- What types of records do they create or contain?
- What records management functionality do they provide?
- Will legacy systems be integrated or migrated?
 - If integrated, what functionality between the legacy system and ERM application should integration support?
 - If migrated, what legacy system functionality should be replicated in the ERM system?

For each item found to be in-scope, determine if the 5015.2 requirements adequately address the business processes of the organization. If not, a new requirement may need to be defined.

Step 2 - Review Infrastructure/IT Architecture

Identify unique agency infrastructure or architecture that could result in unique requirements for

3 Migrate – Records are moved from the legacy system to the ERM application and use of the legacy system is discontinued.

4 Integrate – Records remain in the legacy system with record status information maintained by the ERM application.

1 Integration – Records remain in the legacy system with record status information maintained by the ERM application.

2 Migration – Records are moved from the legacy system to the ERM application and use of the legacy system is discontinued.

the ERM system. Agencies should have an enterprise-wide IT architecture that provides the baseline for the existing infrastructure and lays the foundation for future infrastructure improvements. Any ERM system must fit within the existing infrastructure and the organization must incorporate ERM into the enterprise architecture.

Items to review include:

- Network – servers and system software
- Security
- Desktop applications
- Standard desktop configuration

An ERM system managed at the agency level will have different IT architectural implications than one managed at the branch level. For example, an agency-level ERM system might require different server resources or architecture than a system for a single division or branch.

- At what organizational level will the system be administered?
 - Agency or at a lower level (e.g., program, division, branch)

Step 3 - Review Agency Records and Information Resources Management (IRM) Guidance and Directives

Organizations have records and organizationally-unique IRM policies that support paper records. Some organizations have organizationally-unique RM policies to address a limited set of electronic records (e.g., e-mail). Any ERM system should be required to support those provisions.

For example, an agency might have a very detailed file plan that doesn't work effectively with certain ERM systems. This may force the agency to decide which approach is more productive; changing the file plan to accommodate the ERM, or finding an ERM that works better with the existing file plan. If the decision is to have an ERM that will accommodate the file plan, a new requirement may need to be defined.

Items to review include:

- RM policies
- IRM policies
- Security policies
- File plans
- Schedules – Disposition and Retention

Step 4 - Review Available Standards

In addition to 5015.2, there are standards available or under development that may also provide requirements, guidance, or insight into ERM systems. While these standards will not be agency specific, they represent proven ideas and best practices within the industry and by other organizations in addressing an ERM system implementation.

Standards to review include:

- *Model Requirements for the Management of Electronic Records (MoReq)*
<http://europa.eu.int/ISPO/ida/export/files/en/635.pdf>
- *AIIM Standards Committee on Integrating Records Management and Document Management Requirements (Under development at this time)*
<http://www.aiim.org/standards.asp?ID=24484>
- Reports by Doculabs on ERM, EDM, and ECM systems
<http://www.doculabs.com>
- *International Standard ISO 15489-1: Information and Documentation – Records Management*
<http://www.iso.ch/iso/en/ISOOnline.frontpage>

Section 2 - Requirements Analysis

After completing the steps in Section 1, a list of potential new requirements has been generated. Now each requirement must be analyzed to determine if it will be included in the final list of ERM system requirements. The following steps outline the analysis process.

Step 1 - Review Requirements

Review the characteristics of each requirement according to the following questions. The answers to these questions will determine which requirements need to be revised or eliminated.

- Tests of a well written requirement:
 - Does it describe a system functionality?
 - Is it clear?
 - Is it concise?
 - Is it testable or verifiable?
 - Does it express a single idea?
 - Describe high-level functionality (too vague)?
 - Describe low-level functionality (too implementation dependent)?
 - Describe the right level functionality (can be used to evaluate solutions)?

Step 2 - Requirements Classification

To prioritize requirements, assess the functionality of each additional agency-unique requirement as to whether:

- The system cannot function without it
- It provides significant savings in time or resources
- It smoothes the path for the end-user
- It provides the records manager with useful tools
- It provides the system manager with audit trails

Requirements that meet the first criterion are mandatory. Requirements that meet the next four criteria are optional and may be judged on a sliding scale depending on the individual priorities of the agency.

Step 3 - Stakeholder Review

It is important to give the stakeholders an opportunity to review additional, agency-unique requirements after they have been drafted. Several methods are available in order to facilitate this exercise:

- Ask stakeholders to identify their “Ten Most Wanted” and/or “Ten Least Wanted” requirements.
- Ask stakeholders to rank requirements in terms of importance on a sliding scale
- Present the stakeholders with a picture of the system as it could be built from the requirements and request that they critique it.
- Arrange a stakeholder meeting to assess the requirements either in detail or as a whole.
- Publish the draft requirements and request written comments.

Once stakeholder comments or opinions are known, it is possible to broaden the mandatory requirements to include those requirements of most use to stakeholders, to re-write requirements as needed, and to prioritize optional requirements according to their usefulness.

Depending on the extent and substance of stakeholder comments, the requirements may be re-written and resubmitted for stakeholder evaluation. In the event of the previous existence of legacy systems, this may be an especially important step for the owners and operators of those systems. Where there are many competing voices to be heard, an iterative process or re-write, re-prioritizing, and review is needed to sufficiently refine the requirements.

Part of the review process includes a re-assessment of requirement priorities in terms of a cost-benefit analysis and in terms of available resources.

Final requirements should only be valid for a given interval, and should be periodically reviewed until the system they describe has been built.

Conclusion

A disciplined step-by-step approach to identifying and defining system requirements is necessary to provide the building blocks for agency ERMs. Using the guidance provided by this document, agencies can develop requirements that:

- support the agency's fully identified business processes,
- make the best use of its resources,
- harmonize with its current systems, and
- produce a system that provides tangible benefits to the organization and end users.

Agency-specific requirements can be used in combination with the 5015.2 standard to acquire a COTS ERM system or to develop a custom ERM system. For COTS acquisition, the requirements will be used to develop selection criteria. COTS products will be evaluated against the criteria to determine which product best fits the agency needs. For custom development, the requirements will be used in the design of the system.

Glossary

- *DOD 5015.2 or Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD* – A DOD and NARA approved set of requirements for ERM applications.
- *Enterprise Content Management (ECM)* – An automated system with the functionality to capture, manipulate, retrieve, and publish the entire inventory of digital assets (e.g., web pages, office documents, databases, scanned images, e-mail) created by an organization.
- *Electronic Document Management (EDM)* – Functionality to support the computerized management of electronic and paper-based documents. Associated components include a system to convert paper documents to electronic form, a mechanism to capture documents from authoring tools, a database to organize the storage of documents, and a search mechanism to locate the documents.
- *Electronic Records* – Information, in an electronic state, that is determined to be a record.
- *Electronic Records Management (ERM)* – Functionality to support record collection, organization, categorization, storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition.
- *Enterprise and Enterprise-wide* – Implementation of a single software application throughout all levels and components of an agency or organization.
- *Federal Enterprise Architecture (FEA)* – A strategic information asset base, which defines the business, the information necessary to operate the business, the technologies necessary to support the business operations, and the transitional processes necessary for implementing new technologies in response to the changing business needs. It is a representation or blueprint.
- *Federal Enterprise Architecture Framework (FEAF)* – An organizing mechanism for managing development, maintenance, and facilitated decision making for federal information technology resources. The framework provides a structure for organizing federal resources and for describing and managing Federal Enterprise Architecture activities.
- *Program-specific* – Pertaining to a single or local organization. Within Department of Interior (DOI), a system for the Bureau of Land Management (BLM) might be characterized as program-specific as it would not necessarily be affected by the other DOI bureaus.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 3, 2003

NWM 23.2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Special Bimonthly Records and Information Discussion Group (BRIDG) Meeting on July 30, 2003

Please mark your calendars for a special BRIDG meeting that is scheduled for Wednesday, July 30, from 9:30 AM to noon at the Federal Deposit Insurance Corporation, 801 17th Street NW, Washington DC (Farragut West Metro stop). Topics include an update on NARA's Records Management Initiatives by the Deputy Archivist and a briefing on the proposed FY 2005 joint business case for the E-Gov ERM Initiative. This meeting will be your opportunity to provide feedback on the business case and possible involvement of your agency in the initiative before the business case is submitted to OMB.

To reserve a place for the meeting, please provide your name, telephone number, and agency via email to RM.Communications@nara.gov, no later than noon on Friday, July 25, 2003. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name and telephone number

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-335

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 31, 2003

NWM 25.2003

MEMORANDUM TO FEDERAL RECORDS OFFICERS: Clarification on GAO approval requirements for records schedules

The General Accounting Office (GAO) administers the Policies and Procedures Manual for Guidance of Federal Agencies. *Title 8: Records Management* in this manual requires that agencies must obtain specific GAO approval if they want to hold program records for less than 3 years or other records for less than the retention periods outlined in NARA's General Records Schedules (GRS). Pursuant to a June 13, 2003, letter from GAO to the Deputy Archivist, GAO has determined that its approval is no longer necessary for schedules where the only change is in record media.

However, NARA guidance still requires agencies to submit a SF-115, Request for Records Disposition Authority, when an agency automates its recordkeeping system and the resulting electronic records are not covered by the GRS. We are re-examining this policy and will notify you of any changes

Questions regarding the scheduling process in general or the scheduling of specific records should be discussed with your appraisal archivist. More information about NARA scheduling and appraisal agency assignments may be found at http://www.archives.gov/records_management/policy_and_guidance/work_groups.html.

A handwritten signature in black ink that reads "Howard P. Lowell".

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059 — 336

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 4, 2003

NWM 26.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS: Request for comment on draft NARA Guidance on Managing Web Records

Attached for your review are five HTML files and four associated image files that comprise the draft NARA Guidance on Managing Web Records. To access these files, and for the hyperlinks to work properly, please download the nine files found in the attached .zip file to the same directory.

The guidance is organized into four sections and a separate overview/table of contents:

- GENERAL BACKGROUND, RESPONSIBILITIES, AND REQUIREMENTS
- MANAGING WEB RECORDS
- SCHEDULING WEB RECORDS
- APPENDIXES

As stated in the overview/table of contents, web site operations are an integral part of an agency's program. Managing web records properly is essential to effective web site operations, especially the mitigation of the risks an agency faces by using the web to carry out agency business. This guidance will assist agency officials in this regard, including agency program staff, webmasters, IT staff, and other agency officials who have a role in web site management and administration.

The draft is also being shared with the CIO Council with a request that agency CIO, web program, and records officer comments be coordinated. Please provide your comments or concurrence via email to [redacted]@nara.gov by September 3, 2003.

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If you have any questions, please contact [redacted] or [redacted] or via email.

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-337

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 14, 2003

NWM 27.2003

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: FY 2004 Records Management Training Class Schedule in the Washington, DC, area

I am pleased to announce that the National Archives and Records Administration (NARA) has developed its Fiscal Year 2004 records management training class schedule for the Washington, DC, area. The schedule is now available on the NARA web site at www.archives.gov/records_management/training/training.html. Information about registration, location and other logistical issues can also be found at the web site.

This year NARA is pleased to offer a copy of the registration form at the web site listed above to assist with course registration. You may print the form and either mail or fax it to NARA at the location listed below to register for classes:

[Redacted]
Training Registrar
National Archives & Records Administration
Room 5320 (NWML)
8601 Adelphi Road
College Park, MD 20740-6001
Fax: 301-837-3699

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Once the hardcopy brochure has been printed, we will send you copies. Meanwhile, if you have any questions, please contact [Redacted] or [Redacted] NARA's Washington, DC, area Records Management Training Coordinators.

Information on NARA's regional records management training schedule for FY 2004 will be posted to the web site by October 1, 2003.

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-338

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 22, 2003

NWM 28.2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on September 18, 2003

Please mark your calendars for the next BRIDG meeting that is scheduled for Thursday, September 18, 2003. The meeting will be at the Office of Thrift Supervision, 1700 G Street NW (Farragut West metro stop) beginning at 10:15 AM and lasting approximately until noon.

The agenda for this meeting has not been finalized. You may suggest a topic by sending an email to RM.Communications@nara.gov no later than Thursday, September 4, 2003. A final agenda will be distributed on September 9.

To reserve a place for the meeting, please provide your name, telephone number, and agency via email to RM.Communications@nara.gov, no later than noon on Monday, September 15, 2003. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name and telephone number.

The NARA Records Center Program staff will host a Records Center Forum from 9 to 10 AM before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact your Records Center Account Representative or [redacted] at [redacted] or via email [redacted]@nara.gov.

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Handwritten signature of Howard P. Lowell in black ink.

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-339

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 28, 2003

NWM 28, 2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Update on Federal Records Management documents

NARA is pleased to announce the release of its new strategy document -- Strategic Directions for Federal Records Management. This document includes the strategies, tactics, and measures NARA will use as we move forward in our redesign of Federal records management. It builds on the 2002 Proposal for a Redesign of Federal Records Management and incorporates the valuable comments we received from interested stakeholders in the Federal records management community. As more information is available about specific tactics, links will be provided from the main document. Strategic Directions for Federal Records Management is available at http://www.archives.gov/records_management/initiatives/strategic_directions.html. If you have questions about Strategic Directions, please contact [redacted] at [redacted]@nara.gov.

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One of the tactics identified in the document is Business Process Reengineering (BPR). We are also pleased to announce the completion of the initial phase of a NARA-wide records lifecycle BPR. In support of the Records Management Initiatives (RMI) and Electronic Records Archives (ERA), the BPR helps us to address the challenges presented by changes in the volume and kind of records, particularly electronic records, which we must manage, preserve, and make available.

This high-level to-be records lifecycle model is a flexible framework designed to assist NARA in making some very real changes in the processes by which we do our work. For example, the model calls for the development of disposition standards, an automated system to assist agencies in submitting schedules using those standards, and different workflow tracks for schedules depending upon their characteristics and risk level. These changes will decrease the time and effort needed by agencies and NARA to develop, submit, and approve records schedules. At the heart of the new records processes would be a lifecycle data repository and a management data repository to improve the sharing of data and help us make better decisions. Other key changes will enable NARA to provide access to records as soon after accessioning as possible. These changes include the ability for NARA to begin processing records before they are in our legal custody, and the recognition that accession-level description may be suitable for public access to archival materials.

In the coming weeks, we will develop a roadmap for how to proceed from our as-is processes to the to-be model. Along the way, we will continue to seek stakeholder input. In the meantime, I urge you to visit the Records Lifecycle BPR web page at http://www.archives.gov/electronic_records_archives/lifecycle_bpr.html. If you have questions about the Lifecycle BPR, please contact [redacted] at [redacted]@nara.gov

HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059-340

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 9, 2003

NWM 30.2003

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Agenda for Bimonthly Records and Information Discussion Group (BRIDG) Meeting on September 18, 2003

Please mark your calendars for the next BRIDG meeting that is scheduled for Thursday, September 18, 2003. The meeting will be at the Office of Thrift Supervision, 1700 G Street NW (Farragut West metro stop) beginning at 10:15 AM and lasting approximately until noon. The agenda will have two presentations described below. Each will last approximately ½ hour and have time at the end for questions.

Presentation 1

Larry Baume of the Lifecycle Management Division will discuss the methodology NARA has developed for prioritizing requests for records management assistance based on risk to records, and the significance of records for documenting citizens rights, government accountability, and the national experience. Larry will also explain how this was used as a records management assessment tool for the Department of Homeland Security.

Presentation 2

Kate Theimer of the Policy and Communications staff will discuss NARA's recent Life Cycle Business Process Reengineering (BPR) and its proposal for a "to be" model for Federal records management activities. Information about the BPR can be found at http://www.archives.gov/electronic_records_archives/lifecycle_bpr.html.

To reserve a place for the meeting, please provide your name, telephone number, and agency via email to RM.Communications@nara.gov, no later than noon on Monday, September 15, 2003. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name and telephone number.

The NARA Records Center Program staff will host a Records Center Forum from 9 to 10 AM before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact your Records Center Account Representative or [redacted] at [redacted] or via email [redacted]@nara.gov.

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HOWARD P. LOWELL
Acting Director
Modern Records Programs

66F-HQ-C1190059 — 341

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FAX: 724-742-1022
www.ironmountain.com



IRON MOUNTAIN®
RECORDS MANAGEMENT

September 18, 2003

[Redacted]

FEDERAL BUREAU OF INVESTIGATIONS
10TH STREET & PENNSYLVANIA AVENUE,
WASHINGTON, DC 20535

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Dear [Redacted]

As some of you are aware, Iron Mountain has just completed the process of reevaluating the supply boxes that are available to our customers. The Pittsburgh district is happy to announce that we are keeping all of the existing boxes. You may continue to use the Iron Mountain boxes you have always used.

Enclosed is a flyer of our boxes that are all currently in stock. Listed below are the prices for our standard, and most popular, boxes. Please note the pricing will take affect on November 1, 2003.

Standard: (letter/legal)

Description: Double-ended construction.

Dimensions: 15"L x 12"W x 10"H

Order Code: 2000

Price: \$1.05 per box

Deluxe: (letter/legal)

Description: Triple-walled construction for stability and durability

Dimensions: 15"L x 12"W x 10"H

Order Code: 2750

Price: \$1.55 per box

Auto-Fold: (letter/legal)

Description: Double-walled construction that provides easy pop-up assembly

Dimensions: 15"L x 12"W x 10"H

Order Code: 2000A

Price: \$1.95 per box

As illustrated on the flyer we provide three different styles to satisfy the various needs of our customers. In addition, we provide all different sizes and styles of boxes to hold materials like x-rays, checks, blueprints, etc. In addition we provide acid free boxes, specifically designed for archival material, which are suitable for long-term storage. If you have any specific needs, please contact your Account Manager or Customer Service and they will be more than happy to assist.

You will see additional mailings from us in the coming weeks. We have a lot of great news and information to share with you.

Sincerely,

[Redacted Signature]

Account Service Representative - Pittsburgh District

66F-HQ-C1190059-342

Carton Quick Reference Guide



INFORMATION – TODAY, IT'S THE SINGLE MOST IMPORTANT ASSET YOUR ORGANIZATION POSSESSES.

For more than 50 years, Iron Mountain has been the leader in records and information management services. That's why we take protecting and preserving your most valuable information very seriously.

One way to ensure the integrity of your company's valuable information is to use storage cartons specifically designed for the job. Whether you store your information on site, or with Iron Mountain off site, we can provide you with a wide variety of cartons - each one manufactured to exacting standards, designed for ease of assembly and convenience, and tested for strength and durability.

CARTONS DESIGNED TO MEET YOUR NEEDS

Records come in a wide variety of shapes, sizes, and mediums. To ensure that yours are adequately protected, Iron Mountain offers cartons designed to store such items as:

- Standard, letter-sized business documents
- Legal and oversized documents
- Medical records, X rays, and ledgers
- Blueprints, architectural plans, and engineering drawings
- Business checks, deposit slips, and time cards
- Cassette tapes and videotapes
- Any other important document

A variety of cartons to meet your specific storage requirements





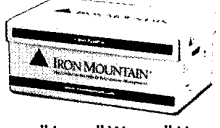



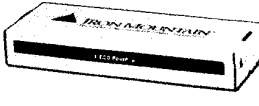
All of Iron Mountain's cartons are environmentally friendly. They are composed of both virgin and recycled materials, and are recyclable, as well.

HOW TO ORDER IRON MOUNTAIN CARTONS

Ordering Iron Mountain cartons is easy! You can order online through SafeKeeperPLUS.com, or by contacting our Customer Service department at 1 800 FastFile®. Regardless of the method, one of our customer service representatives will be happy to assist you. For more efficient ordering, please provide the carton model number, located on the hand-hold side of each carton.

When it comes to serving the document needs of your business, small or large, trust Iron Mountain.

IRON MOUNTAIN STANDARD CARTON INVENTORY

	MODEL #	CARTON TYPE AND DESCRIPTION
 15" L x 12" W x 10" H	2000	Standard (letter/legal) <ul style="list-style-type: none"> • Easy-to-assemble, sturdy, letter/legal storage solution • Double-ended construction • 200 lb. test corrugated
 15" L x 12" W x 10" H	2000A	Auto-fold (letter/legal) <ul style="list-style-type: none"> • Pop-up assembly, durable, letter/legal storage solution • Double-walled construction • 200 lb. test corrugated
 15" L x 12" W x 10" H	2750	Deluxe (letter/legal) <ul style="list-style-type: none"> • Durable enough to withstand the demands of frequent reference and retrieval • Triple-walled construction • 200 lb. test corrugated
 24" L x 12" W x 10" H	450	Letter Transfer <ul style="list-style-type: none"> • Double the space capacity of the Standard carton, the Letter Transfer carton conveniently holds the contents of an entire file drawer • Double-walled construction • 200 lb. test corrugated
 24" L x 15" W x 10" H	550	Legal Transfer <ul style="list-style-type: none"> • Larger storage capacity than our Standard carton in order to accommodate legal-sized documents • Double-walled construction • 200 lb. test corrugated
 15" L x 6.25" W x 20" H	200	X-ray <ul style="list-style-type: none"> • Securely holds X rays, ledger books and similarly sized documents upright and in order • Single-walled construction • 275 lb. test corrugated
 42" L x 4" W x 4" H	630	Small Planner <ul style="list-style-type: none"> • Convenient storage for rolled maps, blueprints, plans and drawings • Single-walled construction • 200 lb. test corrugated
 44" L x 9.25" W x 9.25" H	632	Large Planner <ul style="list-style-type: none"> • Designed to hold the contents of four Small Planner cartons. Provides maximum storage capacity for rolled maps, blueprints, plans and drawings • Single-walled construction • 275 lb. test corrugated
 24" L x 9" W x 4.5" H	844	Check <ul style="list-style-type: none"> • Convenient storage for all types of checks, deposit slips, time cards, cassette tapes, videotapes, and similarly sized documents • Double-walled construction • 200 lb. test corrugated



Division Headquarters:

Iron Mountain Records Management
 1000 Campus Drive
 Collegeville, PA 19426
 1 800 FastFile®

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 09/02/2004

To: Records Management

Attn: [REDACTED]

From: Sacramento

Contact: AO [REDACTED]

Approved By: [REDACTED]

Drafted By: [REDACTED]

Case ID #: 66F-HQ-C1190059 - 344
SC 66F-A929 - 14
66F-SC-A37427 - 17

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION APPRAISAL OF FBIHQ
AND FIELD OFFICE RECORDS

Synopsis: Destruction of the documentation of career board deliberations.

Reference: 66F-HQ-C1190059 Serial 285

Details: Sacramento Division has destroyed 4 inches of obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

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UPLOADED

To: Records Management From: Sacramento
Re: 66F-HQ-C1190059, 09/02/2004

LEAD(s):

Set Lead 1: (Info)

RECORDS MANAGEMENT

AT WASHINGTON, DC

Read and Clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 09/17/2004

To: Records Management

Attn: [Redacted]

From: Sacramento

Contact: AO [Redacted]

Approved By: [Redacted]

Drafted By: [Redacted]

Case ID #: 66F-HQ-C1190059-345
SC 66F-A929-15
66F-SC-A37427-20

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION APPRAISAL OF FBIHQ
AND FIELD OFFICE RECORDS

Synopsis: Destruction of the documentation of career board deliberations.

Reference: 66F-HQ-C1190059 Serial 285

Details: Sacramento Division has destroyed 3.5 inches of obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

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6859

To: Records Management From: Sacramento
Re: 66F-HQ-C1190059, 09/17/2004

LEAD(s):

Set Lead 1: (Info)

RECORDS MANAGEMENT

AT WASHINGTON, DC

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 11/26/2004

To: Records Management

Attn:

Room 6859 JEH

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b7C

From: Sacramento

Contact: AO

Approved By:

Drafted By:

Case ID #: 66F-HQ-C1190059-~~340~~
SC 66F-A929-14
66F-SC-A37427-22

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS
ADMINISTRATION APPRAISAL OF FBIHQ
AND FIELD OFFICE RECORDS

Synopsis: Destruction of the documentation of career board deliberations.

Reference: 66F-HQ-C1190059 Serial 285

Details: Sacramento Division has destroyed 3.5 inches of obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

To: Records Management From: Sacramento
Re: 66F-HQ-C1190059, 11/26/2004

LEAD(s) :

Set Lead 1: (Info)

RECORDS MANAGEMENT

AT WASHINGTON, DC

Read and clear.

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FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/22/2005

To: Records Management

Attn: ✓

Room 6859 JEH

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From: Sacramento

Contact: AO

Approved By:

Drafted By:

Case ID #: 66F-HQ-C1190059-347
SC 66F-A929-17
66F-SC-A37427-24

Title: DESTRUCTION OF RECORDS
NATIONAL ARCHIVES AND RECORDS
ADMINISTRATIVE APPRAISAL OF FBIHQ
AND FIELD OFFICE RECORDS

Synopsis: Destruction of the documentation of career board deliberations.

Reference: 66F-HQ-C1190059 Serial 285

Details: Sacramento Division has destroyed three inches of obsolete material pertaining to Field Office Career Board deliberations generated in conjunction with the advertising and filling of vacant FBI support employee (non-agent) positions.

To: Records Management From: Sacramento
Re: 66F-HQ-C1190059, 03/22/2005

LEAD(s) :

Set Lead 1: (Info)

RECORDS MANAGEMENT

AT WASHINGTON, DC

Read and clear.

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