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*"Rummaging in the government's attic"*

Description of document: Federal Bureau of Investigation (FBI) Standard Operating Procedures for Processing FOIA Requests, 2014

Request date: 27-March-2014

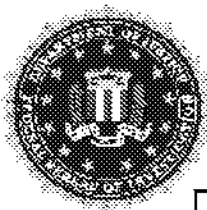
Released date: 22-April-2015

Posted date: 04-May-2015

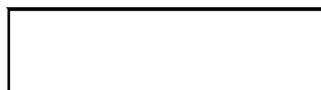
Source of document: Federal Bureau of Investigation  
Attn: FOI/PA Request  
Record/Information Dissemination Section  
170 Marcel Drive  
Winchester, VA 22602-4843  
Fax: (540) 868-4391/4997  
Email: [foiparequest@ic.fbi.gov](mailto:foiparequest@ic.fbi.gov)

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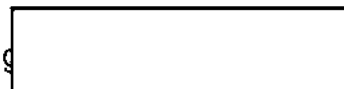
## CLASSIFICATION POLICY NOTICE



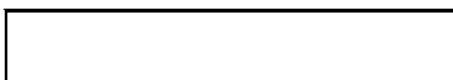
### REFERRAL PROCEDURES (U)

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**APPLICATION:** Procedures for stamping and marking



**WRITTEN BY:**



b6

**APPROVED BY:**

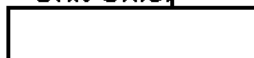
Unit Chief



Unit Chief



and Unit Chief



This policy has been established to provide guidance and understanding as to the handling

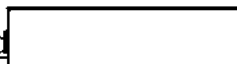


Please see all noted documents for visual clarification of these procedures and the "Tidbit" section of the policy.

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Document #1: FBI documents with unclassified



needing referral

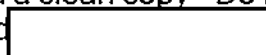
Do not stamp documents prior to referral even if there is classified FBI equity included. Send a clean copy and highlight their information with a yellow highlighter.

Document #2: FBI documents with classified



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Do not stamp documents. Leave stamps and markings as is and highlight information being referred. Send a clean copy - Do not address the FBI information until the documents are returned



Document #3:



Highlight their document by placing a diagonal line across each page with a yellow highlighter.

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[REDACTED]

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Document #1: FBI documents with unclassified FBI [REDACTED] information after referral

Use the "All FBI information contained herein is unclassified" stamp.

This will identify that there is neither classified FBI information [REDACTED] information after referral. Text the notation "No B1 exemption per OGA letter dated".

Document #2: FBI document [REDACTED]

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"X" out all old stamps and change markings for FBI information to (U) unclassified.

[REDACTED]

[REDACTED]

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[REDACTED] and use either the classified by stamp (1.4) for information under 25 years or the classified by stamp (3.3) for information more than 25 years, and the disclaimer. Text the notation: "Classified per OGA letter dated".

Document #3: FBI document with classified FBI [REDACTED] information after referral

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"X" out any old stamps and change markings for FBI information you plan to mark unclassified (U).

Redact the classified FBI information according to the current Executive Order

[REDACTED]

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Use the classified by stamp (1.4) for information under 25 years or the classified by stamp (3.3) for information more than 25 years, and the disclaimer. Text the notation: "Classified per OGA letter dated".

Document #4: [REDACTED] unclassified FBI information

[REDACTED]

use the "All FBI information contained herein is unclassified" stamp to indicate that FBI information is unclassified. [REDACTED] you are only addressing FBI equity. Text the notation: "Classified per OGA letter dated".

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Document #5 [REDACTED] classified FBI information

[REDACTED]

the classified FBI information use the classified by stamp "FBI Information Only" (1.4) for information under 25 years, or (3.3) for information more than 25 years.

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[REDACTED] Text the notation: "Classified per OGA letter dated".

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Document #6: FBI document with classified [REDACTED]

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FBI information can be addressed for classification prior to referral [REDACTED]  
Disclosure will not process the serials [REDACTED] until after the  
referral comes back from HQ.

**"X"** out any old stamps and change markings for FBI information you plan to mark unclassified (U). If all FBI information is being declassified, mark accordingly and use the "All FBI information contained herein is unclassified" stamp for FBI information (*added 8/9/2012 as an additional scenario*).

Redact the classified FBI information according to the current Executive Order. Use the classified by stamp "FBI Information Only (1.4) for information under 25 years or (3.3) for information more than 25 years, and no disclaimer. Place only our documents on the Classification Addendum for referral.

Document #7: [REDACTED]

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Use either the All FBI information contained herein is unclassified" stamp to indicate that FBI information is unclassified, **or**

Use the classified by stamp "FBI Information Only (1.4) for information under 25 years or (3.3) for information more than 25 years, and no disclaimer.

Note: [REDACTED] on the Classification Addendum. Place a note in the case "NOTE TO DISCLOSURE" to advise them that the case contains [REDACTED] documents along with the specific page numbers that needs to be referred.

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Document #8: [REDACTED]

The FOIA analyst has referred [REDACTED] had previously been reviewed. Follow their markings and use the appropriate classification stamp. Text the notation: "Classified per OGA letter dated".

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TIDBITS TO REMEMBER

1. [REDACTED] b5  
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2. Do not stamp or redact any [REDACTED] information until the referral is returned [REDACTED] b7E  
[REDACTED] If there is classified FBI information, do not stamp or redact that  
information either. SEND A CLEAN COPY [REDACTED]
3. 50 Year Rule does not apply [REDACTED] Do not declassify [REDACTED]  
information unless instructed to do so [REDACTED] after the referral response.  
Referrals are done regardless of age. (Exception: Litigations and Appeals)
4. The only information that should be placed on the classification addendum is  
classified [REDACTED] within an FBI document where she specifies it needs to  
go [REDACTED]
5. The referral statement [REDACTED] is only applied to b7E  
documents where information has been addressed [REDACTED]  
[REDACTED]
6. [REDACTED] b5  
b7E
7. [REDACTED] initial FOIA cases. [REDACTED] Civil Discovery,  
Litigations, Appeals, and Mandatory Reviews that come from Presidential  
Libraries or other entities. Note [REDACTED] Mandatory Reviews that come from  
private citizens because they turn into FOIA cases.
8. Provide hard copy [REDACTED] to the FOIA Analyst once case is b7E  
completed. This includes mailing a hard copy to Savannah and/or Butte for their  
work.
9. Do not remove pink brackets from prior reviews so that FOIA can make a referral b6  
(added 9/20/2012 per email from Unit Chief [REDACTED] dated 8/24/2012).
10. If FOIA re-sends a referral [REDACTED] after one was sent by CU and  
receives a conflicting response, FOIA is responsible for working it through [REDACTED] b6  
[REDACTED] (added 9/20/2012 per email from Unit Chief [REDACTED] dated 8/24/2012). b7E

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**Revisions**

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04/18/2012- Finalization by [REDACTED]

08/09/2012 [REDACTED] - FBI document with [REDACTED]

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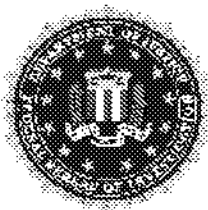
*This revision made due to a new scenario - all classified FBI information in the document being declassified and stamp usage. Guidance received from SLAS [REDACTED] and UC [REDACTED] 8/8/2012.*

9/20/2012 [REDACTED] - remove pink brackets from prior reviews and conflicting referral responses (see items 9 and 10 under "Tidbits to Remember"). Guidance provided by Unit Chief [REDACTED] in an email dated 8/24/2012

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## FOI/PA PROCESSING PROTOCOL

### Handling OGA Information

**APPLICATION:** Handling of OGA Information

**APPROVED BY:** ASC [REDACTED]

b6

**DATE:** July 25, 2014

### Referrals

Other government information will generally need to be referred even if the information is unclassified. **There are several exceptions that are included in this protocol.** A referral can be a document located in a FBI file that originated with another government agency (OGA) or a document that originated with the FBI that contains OGA information. A referral can be classified or unclassified.

There are two types of referrals: Direct Referrals and Consult Referrals. A Direct Referral is made when an analyst locates a document in a FBI file which originated with an OGA. A Consult Referral is made when a document which originated with the FBI contains OGA information.

[REDACTED]

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***\*\*Effective immediately- correspondence to the requester should not state "FINAL RELEASE" if there is an outstanding Consult Referral in the CASE.***

***\*\*When making a release to the requester, analysts should utilize the interim/final release example paragraphs located on SharePoint at:***

[REDACTED]

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***Please note that there are 2 different final release paragraphs:***

**FINAL RELEASE- CASE DOES NOT HAVE OUTSTANDING CONSULT REFERRAL(S)**

**FINAL RELEASE- CASE HAS OUTSTANDING CONSULT REFERRAL(S)**

## Handling an OGA Originated Document (DIRECT REFERRAL)

If an OGA Originated document is contained within Bureau Files, the analyst will refer the document to the OGA as a Direct Referral.



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- FBI information within the document will be redacted prior to sending the Direct Referral to the OGA.
  - Example: b6/b7c per FBI
- Solid version of redacted document will be sent to the OGA for Direct Referrals.
- FDPS 4.0 Letter to send to OGA with Direct Referral:

### **FOIPA OUTGOING REFERRAL**

- The OGA document will be Removed in FDPS as Referral/Direct- and will identify the agency to which we referred the document.
  - Example of how information will be reflected on the kick sheet of a section for a document which was not serialized:

Note: The File Number should not be reflected on the Kick Sheet if it is a file number which has been redacted within the file.

Total Deleted Page(s) = 25  
 Page 7 ~ b6; b7C;  
 Page 15 ~ Referral/Consult;  
 Page 16 ~ Referral/Consult;  
 Page 20 ~ Duplicate;  
 Page 21 ~ Duplicate;  
 Page 117 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
 Page 118 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
 Page 119 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
 Page 120 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
 Page 121 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
 Page 142 ~ Referral/Consult;  
 Page 143 ~ Referral/Consult;

- Example of how information will be reflected on the kick sheet of a section for a document which was serialized:

Note: The File Number should not be reflected on the Kick Sheet if it is a file number which has been redacted within the file.

Total Deleted Page(s) = 29  
 Page 46 ~ Referral/Direct - 157-NK-2535 serial 84/DOJ;  
 Page 47 ~ Referral/Direct - 157-NK-2535 serial 84/DOJ;  
 Page 48 ~ Referral/Direct - 157-NK-2535 serial 84/DOJ;  
 Page 49 ~ Referral/Direct - 157-NK-2535 serial 85/DOJ;  
 Page 50 ~ Referral/Direct - 157-NK-2535 serial 85/DOJ;  
 Page 51 ~ Referral/Direct - 157-NK-2535 serial 85/DOJ;  
 Page 53 ~ Referral/Consult;  
 Page 54 ~ Referral/Consult;  
 Page 55 ~ Referral/Direct - 157-NK-2535 serial 88/ARMY;  
 Page 56 ~ Referral/Direct - 157-NK-2535 serial 88/ARMY;

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- The **FOIPA RELEASE LETTER** will advise the requester to direct any inquiries regarding the **Referral/Direct** OGA information to the respective agency.
  - **The analyst will place the OGA address on the FOIPA RELEASE LETTER for each agency to which Direct Referrals were made for the given release.**
  - Example of how the requester will be advised on the FOIPA RELEASE LETTER to direct inquiries regarding the OGA information referred as **Referral/Direct**:

Inquiries regarding your OGA referral(s) may be directed to the following agency(ies) at:

Chief, US Army FOI/PA Office  
Attn: AAHS-RDF  
7701 Telegraph Road, Suite 150  
Alexandria, VA 22315-3905

FOIA/PA Mail Referral Unit  
Department of Justice  
Room 115  
LOC Building  
950 Pennsylvania Avenue, N.W.  
Washington, DC 20530-0001

Ramona Oliver  
US Department of Labor  
Office of the Solicitor  
200 Constitution Ave, NW  
Room N2428,  
Washington, DC 20210

**Handling OGA Information**  
**Contained Within an FBI Originated Document**  
**(CONSULT REFERRAL)**

If OGA information is contained within a serial (or non-serialized FBI document), the analyst will **refer the entire serial/document to the OGA as a Consult Referral prior to releasing the serial to the requester.**

Referring the entire serial will allow the OGA to make the determination regarding any additional OGA information contained within the serial which may not be readily apparent to the analyst.


*See section of this protocol titled: Handling of OGA Information in Large Serials.*

- FBI / non-OGA information within the serial will be redacted prior to sending the Consult Referral to the OGA.
- See-through version will be sent to the OGA for Consult Referrals.
- FDPS 4.0 Letter to send to OGA with Consult Referral:

**FOIPA OUTGOING REFERRAL**

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- **Example of how information will be reflected on the kick sheet of a for pages removed/ referred as Consult:**



Total Deleted Page(s) = 25  
Page 7 ~ b6; b7C;  
Page 15 ~ Referral/Consult;  
Page 16 ~ Referral/Consult;  
Page 20 ~ Duplicate;  
Page 21 ~ Duplicate;  
Page 117 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
Page 118 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
Page 119 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
Page 120 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
Page 121 ~ Referral/Direct - 157-NK-2535 Dated July 3, 1968/DOL;  
Page 142 ~ Referral/Consult;  
Page 143 ~ Referral/Consult;

**Handling of OGA Information in Large Serials**  
**(Consult Referrals)**

- If the serial is 20 pages or less, the entire serial will be referred
- If the serial is greater than 20 pages- [REDACTED]

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- In these instances, an entire page must be removed as consult (not simply a paragraph- the paragraph can still be bracketed for the OGA's information, but the page will still need removed as Referral/Consult)
- FBI / Non-OGA information within the serial will be redacted prior to sending the Consult Referral to the OGA
- See-through version will be sent to the OGA for the Consult Referral
- FDPS 4.0 Letter to send to OGA with Consult Referral:

**FOIPA OUTGOING REFERRAL**

**Handling of OGA Information in FBI Documents**  
**over 40 years old (Consult Referrals)**

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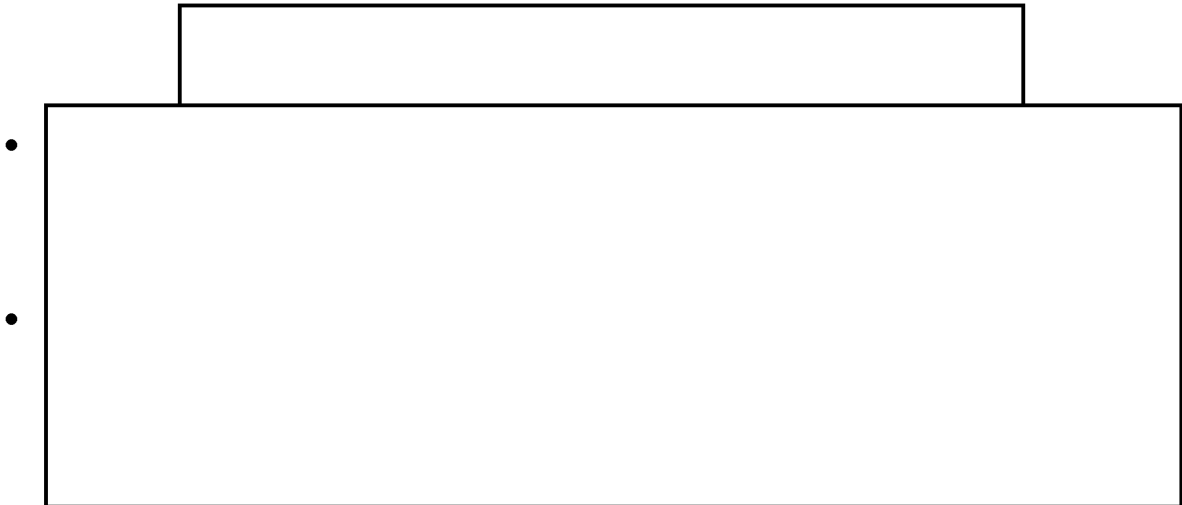


**Mere Mention of USCIS Employees in FBI Documents-**

*\*\*Agreement with USCIS to redact  
USCIS Employee Names (b)(6)/(b)(7)(C)*

**United States Citizenship and Immigration Services (USCIS)**

If an FBI originated document mentions an USCIS employee's name and there isn't any other material to be referred to their agency other than this mention, USCIS has agreed to allow the FBI to withhold the name of their employee (b)(6)/ (b)(7)(C) without referring the FBI originated document to their agency.



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[Redacted]

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[Redacted]

Examples:

[Redacted]

[Redacted]

**Handling**

[Redacted]

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**Contained Within Bureau Files**

[Redacted]

[Redacted]

Example :

[Redacted]

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[Redacted]

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Handling [redacted] Information  
Contained Within Bureau Files

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[redacted]

[redacted]

[redacted]

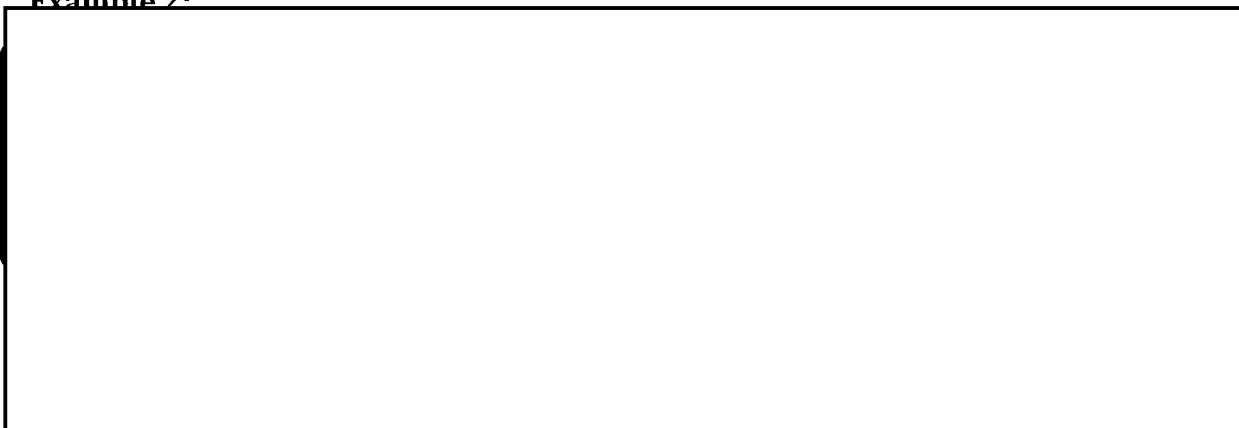
The ***entire serial*** will be referred according to the *Handling OGA Information Contained Within an FBI Originated Document* section of this protocol.

**Example 1:**

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[redacted]

**Example 2:**



b7E

**Example 3:**



**Handling CASE Work Items with Outstanding Consult Referrals**



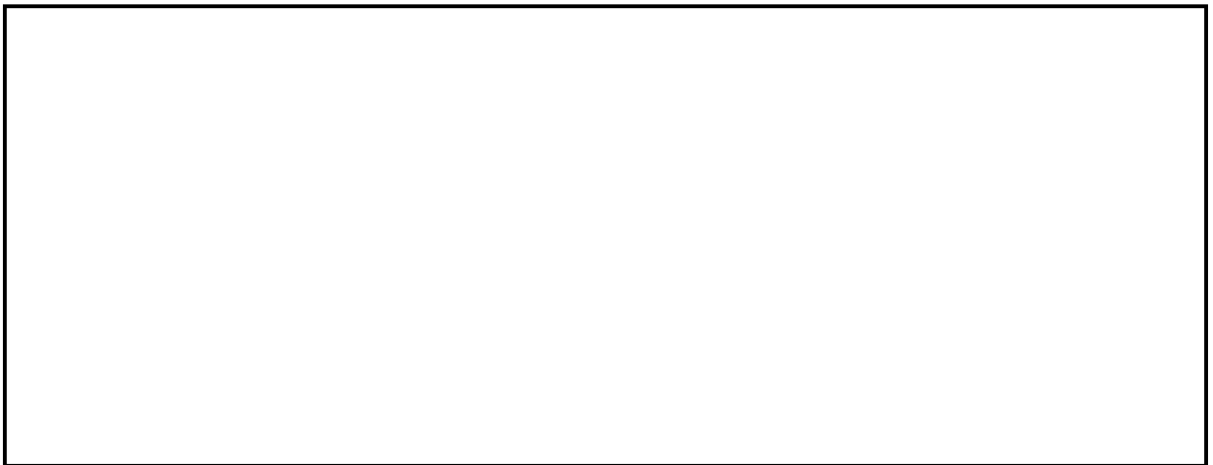
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**Handling Consult Referrals**  
**When They Are Returned to Our Office**

When our office receives the referral back from the OGA, if the case has been closed in FDPS - the case will be reopened, and the necessary sections will be imported into the reopened case to address the material which was sent to the OGA as a Referral Consult.

The Disclosure analyst will make the appropriate redactions on the document as requested by the OGA.

**Reminder: If the results of the consultation include b(1) withholdings, the documents need to be forwarded to the Classification Units for the appropriate markings to be applied.**

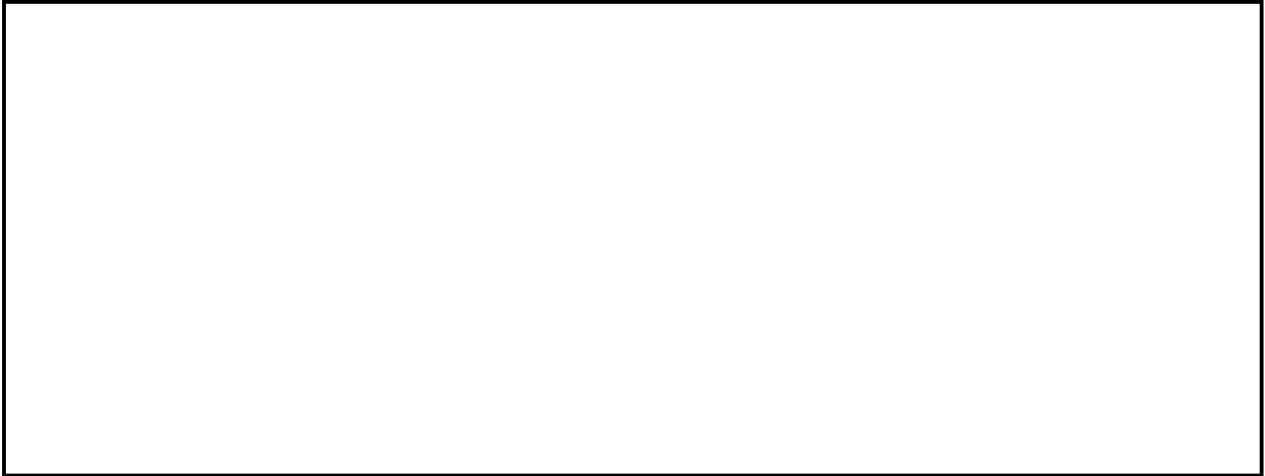


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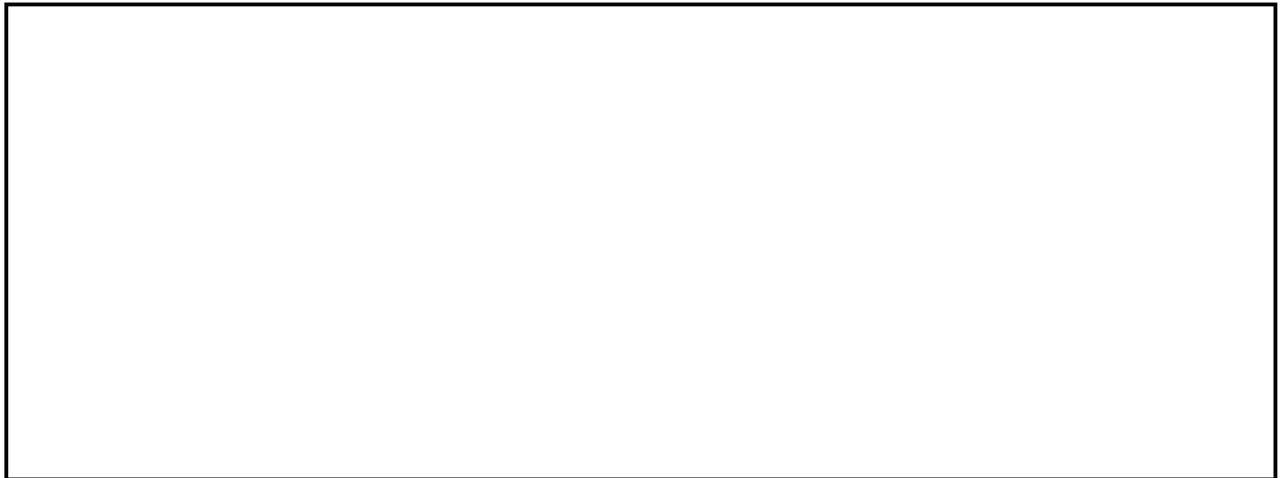
- FDPS 4.0 letters to utilize in responding to the requester:
  - **FOIPA CONSULT RETURNED PORTION** - used when making an interim consult release to the requester
  - **FOIPA CONSULT FINAL RELEASE** - used when making the final consult response to the requester.

**Handling FBI Originated Documents Referred to our Office from an OGA  
(Direct Response to the Requester)**



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**Handling OGA Originated Documents Referred to our Office from  
an OGA asking for FBI Consultation**



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**Handling OGA Originated Documents Referred to our  
Office from an OGA , and the OGA asked our Office to  
Directly Respond to the Requester**



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## Electronic HDRR Procedure

We are changing the HDRR procedure to help keep the HDRR more legible and easily understood. This change will also ensure that the Serials listed on the HDRR are in order.

### Notes:

1. All forms and folders referred to are on the shared drive (S: or W:)
2. The "Referred" and "Exempted" fields will update automatically

### Phase I

1. Open blank HDRR
2. Use the "Save as" function to save the file to the Classification 105/HDRR Folder
  - a. Use the following format to name the file: HDRR xxxxx Sec xx or EBF xx
    - i. Example 1: HDRR 13515 Sec 1
    - ii. Example 2: HDRR 13515 EBF 13
3. Electronically enter all applicable Phase I review information
4. Electronically enter your full name into the "Reviewed By" box.
5. Print a copy to go on the case file
6. Save file once more making sure it is in the Classification 105/HDRR Folder.

NOTE: It is strongly suggested that you save a copy on your H: drive as a backup to the copy on the Shared Drive.

### Phase II

1. Open the HDRR found in the Classification 105/HDRR folder
2. Electronically enter all applicable Phase II information; ensuring:
  - a. All tab numbers and/or serials are listed in order
  - b. All "Totals" fields are filled, including "zeros"
  - c. Tabs removed or changed from Phase I are deleted or updated electronically
3. Electronically enter your full name into the "Reviewed By" box.
4. Print a copy to go on the Case File
  - a. This copy replaces the previous Phase I copy
5. Save file once more making sure it is in the Classification 105/HDRR folder

NOTE: It is strongly suggested that you save a copy on your H: drive as a backup to the copy on the Shared Drive.

## Quality Assurance (QA)/Federal Certification

1. Open the HDRR found in the Classification 105/HDRR folder
2. Electronically enter all applicable QA information; ensuring:
  - a. All tab numbers and/or serials are listed in order
  - b. All "Totals" fields are filled, including "zeros"
  - c. Tabs removed or changed from Phase II are deleted or updated electronically
3. Electronically enter your Bureau name into the "Approved By" box
4. Electronically enter the current date in the "Date" field
5. Save file once more making sure it is in the Classification 105/HDRR folder
6. Print a copy to go on the Case File
  - a. This copy replaces the previous Phase II copy
  - b. Sign next to your printed name in the "Approved By" box

## Data Entry

1. Drag the HDRR located in the Classification 105/HDRR folder to the Classification 105/Final HDRR folder
2. Enter Document ID numbers, as appropriate, in the Document ID# field on the HDRR
3. Enter data from the HDRR into the call center
4. Return paper copy to the related section and continue with SOP for file transfer to NARA

## Hints on how to edit the HDRR:

### Inserting a serial:

1. Highlight the row below the line you wish to insert
2. Click the Insert menu at the top of the program
3. Click "Rows"
4. You will then have a blank line to work with.

### Deleting a serial:

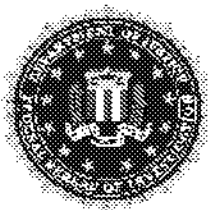
1. Highlight the row you wish to delete
2. Click the Edit menu at the top of the program
3. Click "Delete"
4. The row should be gone

If the formulas disappear for the Referred and Exempted Totals, please type in the following information:

Referred: =SUM(D16:D1050)

Exempted: =SUM(E16:E1050)

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# Initial Processing Protocol

## Initial Handling Procedures: Three Day Response Rule

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**DATE:** 4/19/2014

**APPROVED BY:**

ASC

b6

**PROTOCOL:** Three Day Response Rule

The continual influx of mail reviewed and sorted in the Work Processing Unit (WPU) each day makes it imperative the mail be processed expeditiously. In doing so, RIDS can ensure the following: the current status of a request is available to the requester, the search process is completed in a timely manner, potential exclusions that may apply to a pending investigation are identified and acted upon swiftly, and expedite requests are handled according to statutory requirements. To avoid the aforementioned issues as well as others that may arise from a backlog of FOIPA requests, WPU and Single Station Team (SST) units must address a new request within **three** business days of the date stamped on the correspondence.

Incoming mail will be handled as follows:

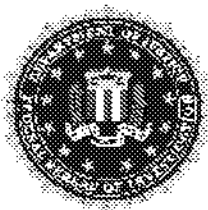
- Mail is reviewed and date stamped by the Triage Team
- Mail is distributed to the Initial Processing (IP) analysts
- The IP analysts will open the case in FDPS and submit an acknowledgment letter for review within **three** business days of the date stamped on the correspondence.

The following circumstances will be taken into consideration by the reviewer when determining if the three-day policy has been met:

- inclement weather closure
- employee RDO
- annual leave
- sick leave

Failure to comply with this protocol will constitute a Major Error (#19) during the Quality Assurance evaluation.

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## INITIAL PROCESSING PROTOCOL

### Administrative Scanning Procedures

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Date: June 17, 2014

APPROVED BY:

b6

PROTOCOL: Administrative Scanning Procedures

In order to ensure additional correspondence is handled in a timely manner, initial processing analysts are responsible for handling their own administrative scanning as it relates to their initial FOIA request (open or closed).

#### **The Process:**

All incoming mail containing a FOIA number will be researched daily at the triage level. If the request is open, this correspondence will be distributed to the Government Information Specialist (GIS) who is currently handling the request. If the request is closed, the correspondence will be added into the daily mail count and distributed to the original GIS as a re-open. If the response to an unperfected first or third party letter is received after the request has been closed, it will be distributed as new mail.

If during a "Retrieval" search you find that the request you have been given as new mail is already open, you will be responsible for scanning the additional correspondence into the case and notifying the GIS.

#### **The "Why":**

The GIS who handled the original FOIA request developed case specific knowledge (i.e., searching) and may have initiated contact with the requester, field offices, or other agencies.

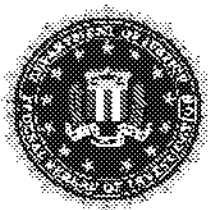
#### **The "How":**

Administrative scanning will be vetted at the triage level and then dispersed to the Team Captains for distribution to the GIS.

**Each administrative scan will contain a cover sheet. This cover sheet needs to be scanned into the case as well.**

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## Initial Processing Protocol



DATE: March 26, 2014

APPROVED BY:

ASO

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PROTOCOL:

Closed Preprocessed

**Standard requesters:** Preprocessed documents should be placed on CD-ROM unless otherwise specified by requester in original request letter or in response to a cost letter.

**Prisoners:** CD-ROMs are *not* to be sent to prisoners unless they provide an alternate address in their response to a cost letter.

**Letters:**

- PP CDNOCHARGE-RELEASE
- PP PAPERNOCHARGE-RELEASE
- PP CHARGE

**There are 3 Types of Closed Preprocessed Cases involving:**

- Documents processed less than 3 years ago;
- Documents processed between 3 & 5 years ago;
- Documents processed over 5 years ago (always open as a standard FOIA – not preprocessed)

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*Please follow the below instructions when preparing to send Closed Preprocessed documents:*

**Documents Processed less than 3 years ago:**

- Documents initially processed less than 3 years ago that ***do not require*** a cost letter and requester ***either does not specify format, requests CD-Rom or is a prisoner providing an alternate address:***
  - Send preprocessed documents;
  - Send PP CDNOCHARGE-RELEASE letter;
  - ***Un-bold*** statement indicating that this release is being provided to you at no charge;
  - ***Do not*** include language to offer to have reprocessed (delete bolded statement within letter).

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- Documents initially processed less than 3 years ago that **do not require** a cost letter and requester ***either specifies paper or is a prisoner who does not provide an alternate address:***
  - Send preprocessed documents;
  - Send PP PAPERNOCHARGE-RELEASE letter;
  - **Un-bold** statement indicating that this release is being provided to you at no charge;
  - **Do not** include language to offer to have reprocessed (delete bolded statement within letter).
- Documents initially processed less than 3 years ago that **do require** a cost letter and requester ***either specifies paper or is a prisoner who does not provide an alternate address:***
  - Send PPCHARGE letter – **un-bold** “if an alternate address is provided;”
  - Once requester pays, send preprocessed documents along with PP PAPERNOCHARGE-RELEASE letter;
  - **Do not** include language to offer to have documents reprocessed (delete bolded statement within letter);
  - **Do not** include language indicating the release is being provided at no charge (delete bolded statement within letter).

### Documents Processed between 3 and 5 years ago:

- Documents initially processed between 3 & 5 years ago that **do not require** a cost letter and requester ***either does not specify format or requests CD-Rom or is a prisoner providing an alternate address:***
  - Send preprocessed documents;
  - Send PP CDNOCHARGE/RELEASE letter;
  - **Un-bold** statement indicating that this release is being provided to you at no charge;
  - **Include** language to offer to have reprocessed (leave in bolded statement within letter but edit to regular font).
- Documents initially processed between 3 & 5 years ago that **do not require** a cost letter and requester ***either specifies paper or is a prisoner who does not provide an alternate address:***
  - Send preprocessed documents;
  - Send PP PAPERNOCHARGE/RELEASE letter;
  - **Un-bold** statement indicating that this release is being provided to you at no charge;
  - **Include** language to offer to have reprocessed (leave in bolded statement within letter but edit to regular font).
- Documents initially processed between 3 & 5 years ago that **do require** a cost letter and requester ***either specifies paper or is a prisoner who does not provide an alternate address:***
  - Send PPCHARGE letter – **un-bold** “if an alternate address is provided;”
  - Once requester pays fees, send preprocessed documents along with PP PAPERNOCHARGE-RELEASE letter;

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- ***Include*** language to offer to have reprocessed (leave in bolded statement within letter but edit to regular font);
- ***Do not*** include language indicating the release is being provided at no charge (delete bolded statement within letter).

### Documents Processed over 5 years ago:

- Documents initially processed over 5 years ago:
  - Open as a standard FOIA

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### Reminders:

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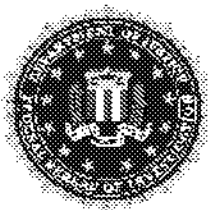
### In RARE circumstances, a preprocessed release may be too large for one CD. In this case:

- Documents initially processed less than 3 years ago that ***do require*** a cost letter and requester ***either does not specify format or requests CD-Rom:***

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- Documents initially processed between 3 & 5 years ago that ***do require*** a cost letter and requester ***either does not specify format or requests CD-Rom:***

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## INITIAL PROCESSING PROTOCOL



### Contract Requests

**APPLICATION:** Handling Contract requests

**APPROVED BY:** [REDACTED] Assistant Section Chief, RIDS

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**PROTOCOL:**

A contract request is a request for information on products/services the FBI uses. The FBI will seek outside sources to provide any number of things from the chairs we sit in to the computer programs we use [REDACTED]

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The documents related to those procurements are subject to request via the FOIA. [REDACTED]

A Commercial Use Request refers to a requester who seeks information for the use or purpose that furthers the commercial, trade, or profit interests of the requester. As such, it is subject to search, review, and duplication fees, as set forth in Title 28, Code of Federal Regulations (CFR). A "Request for Proposal" (RFP) or FBI contract typically is an example of Commercial Use Requester.

Commercial Use Requesters are subject to different types of fees including search fees, review fees, and duplication fees. Search fees are charged by the quarter hour for the time spent by administrative personnel in searching for the retrieving a requested record. Review fees are charged for the examination of a record in order to determine whether an exemption applies to any portion of the record and includes doing all that is necessary to redact and prepare the record for disclosure. Review fees are charged at the same rate as search fees. Lastly, duplication fees are the same as other requests. Commercial Use Requesters do not get the first 100 pages for free.

Steps to obtain responsive documents for a Contract Request:

- 1) WPU will Identify request as a FOIA Commercial Use Contract or FOIA Contract request

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2) **Open Request, using** the following description ***Contract # or RFP #*** in the title of the subject line.

3) **Prepare and mail the acknowledgment letter (Initial Processing Receipt Letter)**

4) E-mail  in Finance Division (FD) include a copy of the correspondence as a reference.

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5) **FD must provide the total number of hours used and the grade level of each employee in FD that performed a search for the responsive material.**

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6) **Prepare an estimate cost letter (example attached) for requester. This letter will document in detail the various fees involve with obtaining the responsive documents. The estimate as follows:**

SEARCH FEE: \$XXX

REVIEW FEE: \$XXX

DUPLICATION FEE: \$XXX

TOTAL FEE: \$XXX

- Search and review fees are determined by 15 minute increments.

- *Search fee: time spent by employee, to include e-mails*
- *Finance Division; time used search ing for responsive documents.*
- *Review time: time processing documents located to determine whether exemption(s) permit withholding information. The current norm is to estimate one hour for every ten pages.*

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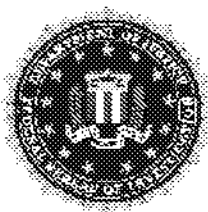
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- Charge \$16 per hour for Clerical (GS-8 and below), \$28 per hour for professional (GS-9-GS15) and \$41 an hour for executive (ES-1 and above).
- Strongly recommend faxing letter to requester. Allow 10 days for response.

**7) Once agreement to pay has been received, retrieve files, if this has not been done, and backlog case.**

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## INITIAL PROCESSING PROTOCOL

### Creating Subject Records



Date: May 15, 2014

APPROVED BY:

ASQ

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PROTOCOL:

Creating Subject Records

In FDPS 4.0, analysts are able to record subjects under various subject types.

- Contract
- Event
- File
- Individual
- Organization
- Other

**It is important to record a subject under the appropriate subject type in order to ensure consistent retrieval searching.**

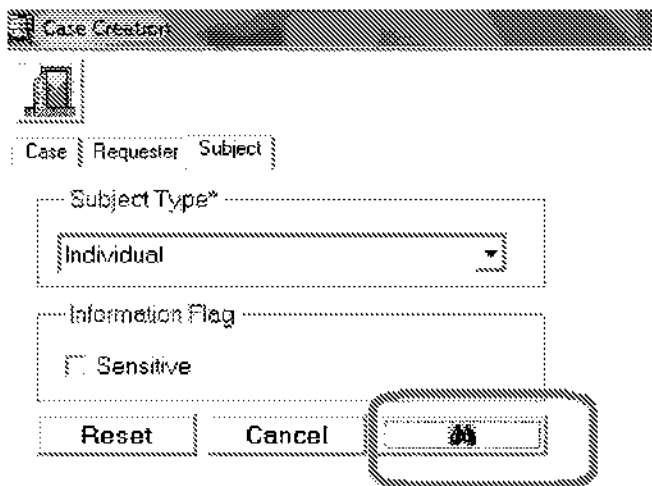
1. Select a subject type from the drop-down list based on the information provided in the request letter. If the subject type is unclear, please speak to your TC/ELAS/SLAS before proceeding.

The screenshot shows a window titled "Case Creation" with a menu bar containing "Case", "Requester", and "Subject". Below the menu bar, there is a "Subject Type\*" dropdown menu. The dropdown menu is open, displaying a list of subject types: Contract, Event, File, Individual, Organization, and Other. The list is enclosed in a rectangular box with a scroll bar on the right side.

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2. Once a subject type has been selected, click on the binoculars.



Case Creation

Case Requester Subject

Subject Type\*

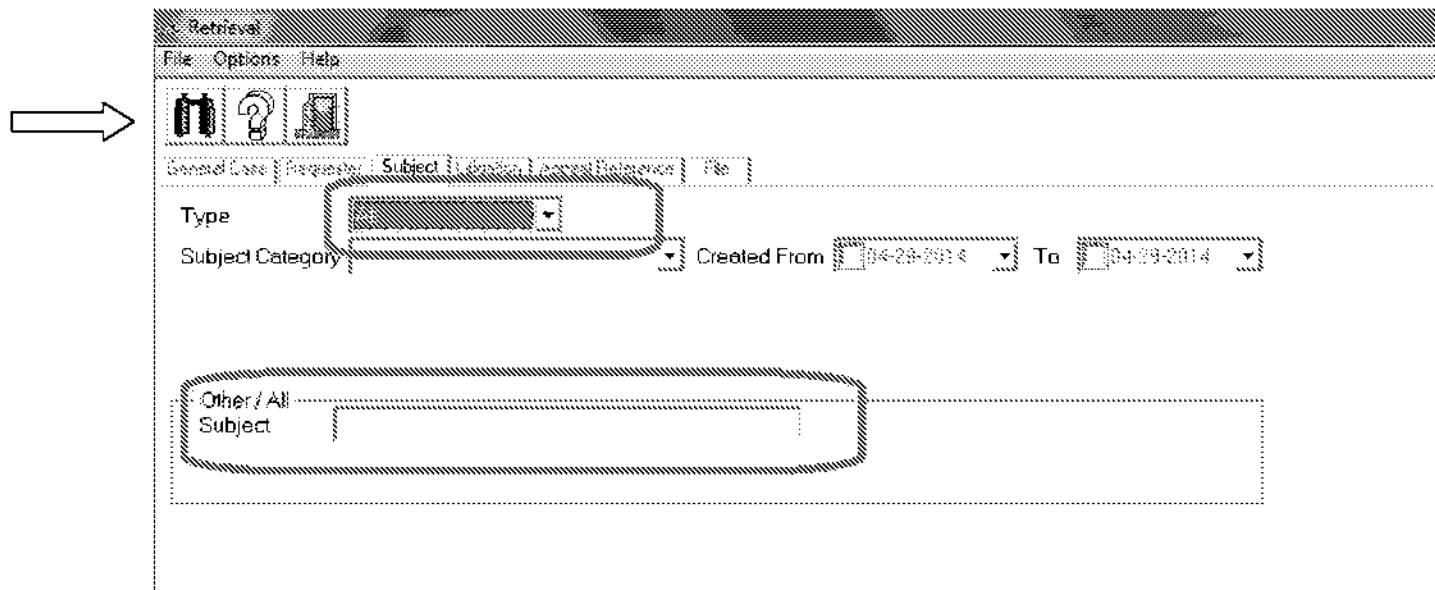
Individual

Information Flag

☒ Sensitive

Reset Cancel OK

3. Search Retrieval for the subject type by selecting the "All" category. When searching for an individual, enter the last name only. When searching for an event, enter a couple words (the less you put in retrieval, the more results appear). After entering your search terms, click on the binoculars. Using this category and entering your search terms in this way ensures that all results will appear, regardless of the original cataloging.



Retrieval

File Options Help

General Case Requester Subject Location Access References File

Type

Subject Category

Created From 04-29-2014 To 04-29-2014

Other / All Subject

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4. The subject records will appear. If the subject is the exact same and was created on or after August 1, 2013, highlight and "Select".

Subject Type	Subject	Sub-Subject	Date Created	Date Modified	Examiner
--------------	---------	-------------	--------------	---------------	----------

Buttons: Add New, Select

When the subject results are displayed, be mindful of the "Sub-Subject" column and ensure that the subject is the *exact* same as that of your request (i.e. does not contain limiters such as a date range or file number).

Subject Type	Subject	Sub-Subject	Date Created	Date Modified	Examiner
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		
revised	EEI-0742-A - ADVANCE AND PROTECT		2013-07-25		

Buttons: Add New, Select

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5. If the Subject *and* Sub-Subject do not match your request (or do not appear on the list at all) you will need to create a new subject by highlighting and selecting “Add New”.

The screenshot shows a window titled 'Subjects' with a menu bar (File, Edit, View, Help) and a toolbar. Below the toolbar, there are fields for 'Subject Type' (set to 'SUBJECT ALL') and 'Number of Records' (set to '14'). A table lists 14 subject records with columns: Subject Type, Subject, Sub-Subject, Date Created, Date Modified, and Status. The last record is highlighted with a black box. At the bottom of the window, there are two buttons: 'Add New' and 'Select'.

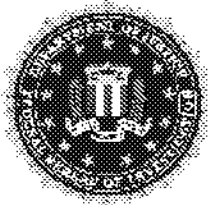
Subject Type	Subject	Sub-Subject	Date Created	Date Modified	Status
Image-Jail	BENGAZI ATTACK/AMEMBASSY/RT/ST/ST/ST		2012-07-27		1
Image-Jail	VIDEO FOOTAGE/ATTACK/US CONSUL		2012-07-28		1
Image-Jail	BENGAZI/Attack/9/11/2012	Interviews in Doha, Qatar, October 24th, 2012	2012-11-30		1
Image-Jail	BENGAZI/Attack/9/11/2012		2012-11-30		1
Image-Jail	Interviews in Doha, Qatar, October 24th, 2012		2012-11-30		1
Image-Jail	BENGAZI/Attack/9/11/2012	Interviews in Doha, Qatar, October 24th, 2012	2012-11-30		1
Image-Jail	BENGAZI/Attack/9/11/2012		2012-11-30		1
Image-Jail	ATTACK/US CONSULATE/BENGAZI/US		2012-07-28		1
Image-Jail	ATTACK/US CONSULATE/BENGAZI/US		2012-07-28		1
Image-Jail	BENGAZI/US/SECURITY/ATTACK		2012-07-28		1
Image-Jail	ATTACK/US CONSULATE/BENGAZI/US		2012-07-28		1
Image-Jail	BENGAZI/ATTACK/9/11/2012		2012-07-28		1
Image-Jail	BENGAZI/ATTACK/9/11/2012		2012-07-28		1
Image-Jail	ATTACK/US CONSULATE/BENGAZI/US		2012-07-28		1

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6. When creating a new subject record, always include a sub-description when applicable (i.e. the subject of your request is for interviews that took place in New York referencing the Benghazi Attack 9/11/2012). Select “Save”.

The screenshot shows a window titled 'Subject Record' with a menu bar (File, Edit, View, Help) and a toolbar. Below the toolbar, there are fields for 'Subject Type' (set to 'SUBJECT ALL'), 'Subject' (set to 'SUBJECT ALL'), 'Sub-Subject' (set to 'SUBJECT ALL'), 'Date Created' (set to '2012-07-27'), and 'Date Modified' (set to '2012-07-27'). Below these fields, there is a 'Save' button. An arrow points to the 'Subject' field.

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# Initial Processing Protocol

## Drafting a Search EC



DATE: May 23, 2014

APPROVED BY: ASC

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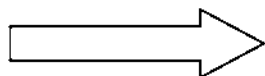
PROTOCOL: Drafting a Search EC

### What is a Search EC?

A Search Electronic Communication (EC) is sent through Sentinel to a field office or particular division within the FBI when a standard search of the Central Records System does not fulfill the needs of the request. Sending a Search EC formally instructs the requested party to conduct a search for records responsive to the request.

### What constitutes sending a Search EC?

Prior to preparing a Search EC, ensure this is the appropriate action by checking with your Team Captain, EGIS, SGIS, Unit Chief or one of the Horizontal 12s.



See document titled, "ECs"  available on the IPU SharePoint site  for examples of request types that may constitute an EC.

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### Drafting a Search EC

#### Navigating through Sentinel:

See the document titled, "Sentinel - Lesson 3 - Create an EC" which is available on the IPU SharePoint site   
This PowerPoint provides a step by step guide on how to create a search EC within Sentinel.

#### Search EC Template:

Use the attached template as a guide for the correct spacing, grammar and wording to ensure all Search ECs are written consistently. This will also reduce time spent on the approval process (it may simplify the process to copy/paste the standardized language from the example below or from an approved EC within Sentinel).

**Creating a Search EC:**

1. In Sentinel, click on "Create New... EC (FD-1057) under "My Work" tab in the Navigation Panel.

2. FD-1057 Workflow

➤ Filing and Security:

- o Edit the classification as necessary
- o Enter Primary Case\*: 190-HQ-A3776112 (this number changes each calendar year)
- o Click "Next"

➤ Document Title:

- o Edit the classification as necessary
- o Enter title of the request in the following format -
  - o TITLE-FOIPA 1234567 (ALL CAPS)

➤ Document Synopsis: (copy/past below into your EC) -

Request copies of all records the Federal Bureau of Investigation (FBI) holds pertaining to insert language from request letter here.

- o Correct use of acronyms from the synopsis down (not to include enclosure)

➤ Administrative Notes: Leave blank

➤ Package Copy: Leave blank

➤ Details: (copy/paste below into your EC) -

**Choose one of the first two sentences depending on your requester:**

Insert organization here submitted a Freedom of Information Act (FOIA) request through insert requester name here to FBI Headquarters (FBIHQ) on insert date here.

Insert requester here submitted a Freedom of Information Act (FOIA) request to FBI Headquarters (FBIHQ) on insert date here.

Documents requested by insert requester here:

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1. Insert requested information here;
2. Insert requested information here; and,
3. Insert requested information here.

The FOIA requires the FBI to conduct a search that is reasonably calculated to uncover all relevant agency records in response to a FOIA request. In order to respond to the FOIA request, Records Management Division (RMD) requests the assistance of your office. RMD has determined that the insert applicable field office/division here may have documents potentially responsive to the request. Therefore, RMD requests FBI personnel search and produce all retrievable agency records regarding this request. This includes a review of database systems, as well as paper or manual files. RMD recommends that you submit an all employee e-mail throughout your division for all relevant records pertaining to this request.

To alleviate work burdens caused by this request, insert unit here (abbreviate in parenthesis) has completed a thorough search of automated indices of the Central Records System; therefore, your office is not required to search Automated Case Support.

Examples of any agency records include:

- All records or communications preserved in electronic or written form, including but not limited to correspondence, documents, data, faxes, files, guidance, evaluations, instructions, analysis, memoranda, agreements, notes, rules, technical manuals, technical specifications, training manuals or studies;
- Electronic records maintained on computers or audio or video tapes;
- E-mails;
- Any other portable media (CD-ROMs, diskettes, etc.); and,
- Other stand alone databases created for the purpose of any particular investigation.

Record/Information Dissemination Section (RIDS) relies on the subject matter expertise of Electronic Communication (EC) recipients to help identify all potentially responsive documents, regardless of whether they may be located in your office or elsewhere in the Bureau. Please provide the records you believe are responsive, even if:

1. You believe that they may be available on the FBI intranet; or,
2. Another office, unit, section, division or field office may also provide the same documents.

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In addition, please advise RIDS enter abbreviation of unit here if you have reason to believe that another division, section, or office which is not a recipient of this EC may have responsive records so that RMD may contact them directly.

FBI personnel are requested to conduct a thorough search for any and all documents in their possession responsive to this FOIA request which were created on or before month date, year (or remove this completely if the requester provides their own specific date range), the day on which RIDS initiated the search. If policies, guidelines, instructions, or Congressional correspondence that were finalized after the above date exist, please provide the final version of the document to aid in the processing of the request.

Please note that not all documents you provide to us will be released. All material will be evaluated as to whether it is responsive to the request. RIDS will review and process those records which are determined to be responsive to this request. After RIDS has processed and applied any applicable FOIA and Privacy Act exemptions, you will have the option to review these exemptions before they are released to the requester. In this instance, please indicate your specific interest in doing so and include a point of contact for your office.

If you have any questions, please contact Government Information Specialist (GIS) insert name here at (540) 868-insert extension here.

- o Click "Next"

### ➤ 1A/1C Packages:

- o Click "Add Package"
- o Package Type: Click "1A"
- o Summary of Attachments: (classification) Enclosed are the following items:
- o Acquired by: Official bureau name (Sentinel system generates)
- o Acquired on: Date (Sentinel system generates)
- o Leave the remainder of the page blank
- o Click "Add Attachment"
- o Enter Classification
- o Description: (copy/paste below into your EC) -
  - FOIA request letter from insert requester here dated insert date here.
- o Upload request letter
- o Click "Add Package"
- o Click "Next"

➤ Indexing:

- Click "Extract"
- Click "Submit"
- Drag the subject (located in the uploaded request letter) to the "New Person" box and edit to reference.
- Also index addresses, names, etc. (whatever your request letter provides)
- Click "Next"

➤ Leads:

- Set a Lead
- Edit lead classification
- Precedence: Deadline (specified date) - Set for 30 days out in most cases
- Next four items are system generated in Sentinel
- Description: (edit classification) Search for any and all information potentially responsive to this FOIA request and forward documents with pertinent enclosures, or your "no record" response to GIS insert name here, insert unit here, Winchester ICRC, insert cube number here, by insert date here (30 days from date approved).
- Caution Statements: Edit as necessary
- Routing Method: Edit according to your request
- Routing to: Edit according to your request
- Attention: Enter CDC (for field offices) or UC (for specific HQ division)
- Click "Add Recipient"
- Click "Next"

➤ Accomplishments: Leave blank, click "Next"

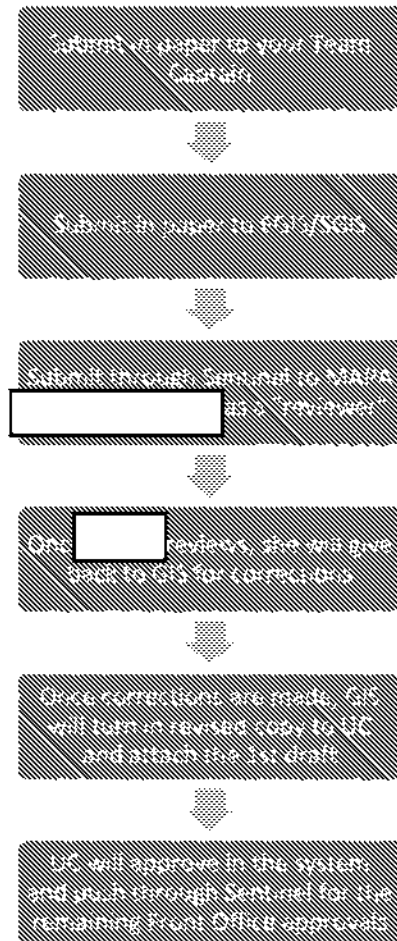
➤ Routing:

- Select "Records Management Division" on left side of page
- Click "search by name" box located in right upper corner
- Enter name of Unit Chief and select add in the approver box (bottom middle)
- Enter name of Assistant Section Chief and select add in the approver box
- Enter name of Section Chief and select add in the approver box
- Click "Next"

➤ Review:

- o Print a PDF (upper right corner) of the EC and the Lead
  - perform a self-review and make necessary corrections.
- o Sign and complete (through Sentinel).

## 1. The Approval Process



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## Reminders

### Language:

Always pull the EXACT language from the request letter. Changing the wording of the request may cause it to lose substance and may cause the recipient to read the request differently than intended by the requester.

### Email Recipient Prior to Sending Formal Search EC:

Always email the lead recipient to advise them that a search EC is forthcoming. Attach a copy of the approved EC and the request letter.

Search Cut-Off Date:

In instances where the requester provides a specific date range for a search, this *must* be included in the EC. When the request *does not* specify a specific date range, a search cut-off date must be included (this is extremely critical for litigation). The search cut-off date will be the date that RIDS initiated the search in the IPU stage.

Additional Language (only include if advised):

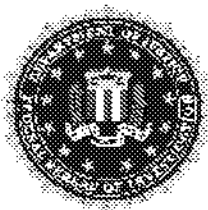
- Use the below language to replace "To alleviate work burdens cause by this request... "language if you are advised not to search ACS prior to sending the EC:

"Due to the unique subject matter of this request, RIDS was not able to conduct an adequate search in ACS; therefore, we are treating your office as subject matter experts and ask that in addition to searching your offices, we would like to have your personnel identify particular search terms that RIDS can use in order to search ACS more efficiently. These search terms may also be provided to personnel in your office in order to assist in their searches."

- Use the below language after paragraph beginning with "FBI personnel are requested to conduct..." if you are advised to have the requested office track time spent for search fee reasons:

"Please keep track of your total search time. Employees should keep track of any searches which require more than 15 minutes. The total number of minutes (in excess of 15 minutes) spent on searches should be provided to insert UC or other personnel here, along with the responsive documents. This information may be used by RIDS to determine the amount of search fees that the FBI may charge."

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## IPU PROCESSING PROTOCOL

### Expunction / Amendment Requests- Criminal/Investigatory Material

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**APPLICATION:** Handling an Expunction / Amendment Request regarding  
Criminal/Investigatory Material

#### PROTOCOL:

**Scenario 1: Requester writes to the FBI requesting that information located on his/her criminal history/rap sheet be expunged.**

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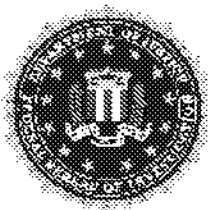
**Scenario 2: Requester receives Criminal/Investigatory FBI documents via a FOI/PA release. Upon reviewing the released documents, the requester corresponds with the FBI requesting that certain information contained within the released records be amended.**

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April 12, 2013

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## Initial Processing Protocol



**DATE:** January 28, 2014

**APPROVED BY:** Assistant Section Chief

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**PROTOCOL:** File Request Automation Program (FRAP) Policy

Below are the three responses that will be emailed when the ARC is unable to fulfill a FRAP request.

### ARC Email Response -1

Your request for the above file number cannot be fulfilled because the file is not currently housed at the Alexandria Records Center.

[Link](#)

Click the above link to open the FRAP ticket. If the file was destroyed, the ticket will contain a date of destruction. Otherwise, please note any location information on the ticket.

The above response applies to the following scenarios:

#### Unable to Locate Policy for HQ Files

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[Redacted]

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**Unable to Locate Policy for Field Office Files**

[Redacted]

b5

[Redacted]

b5

5. If the FO advises the file is unable to locate, reply with the following email:

[Redacted]

6. Once the FO confirms a reasonable search was conducted, the file will be designated as unable to locate.

[Redacted]

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**Stub Records**

[Redacted]

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**Destroyed Records**



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**ARC Email Response -2**

**Your request for the above file number cannot be fulfilled because the file has been transferred to NARA.**

[Link](#)

**Click the above link to open the FRAP ticket. The ticket will display the date that this file was transferred to NARA, if it was entered into TRIM.**

**Files Transferred to NARA**



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**ARC Email Response -3**

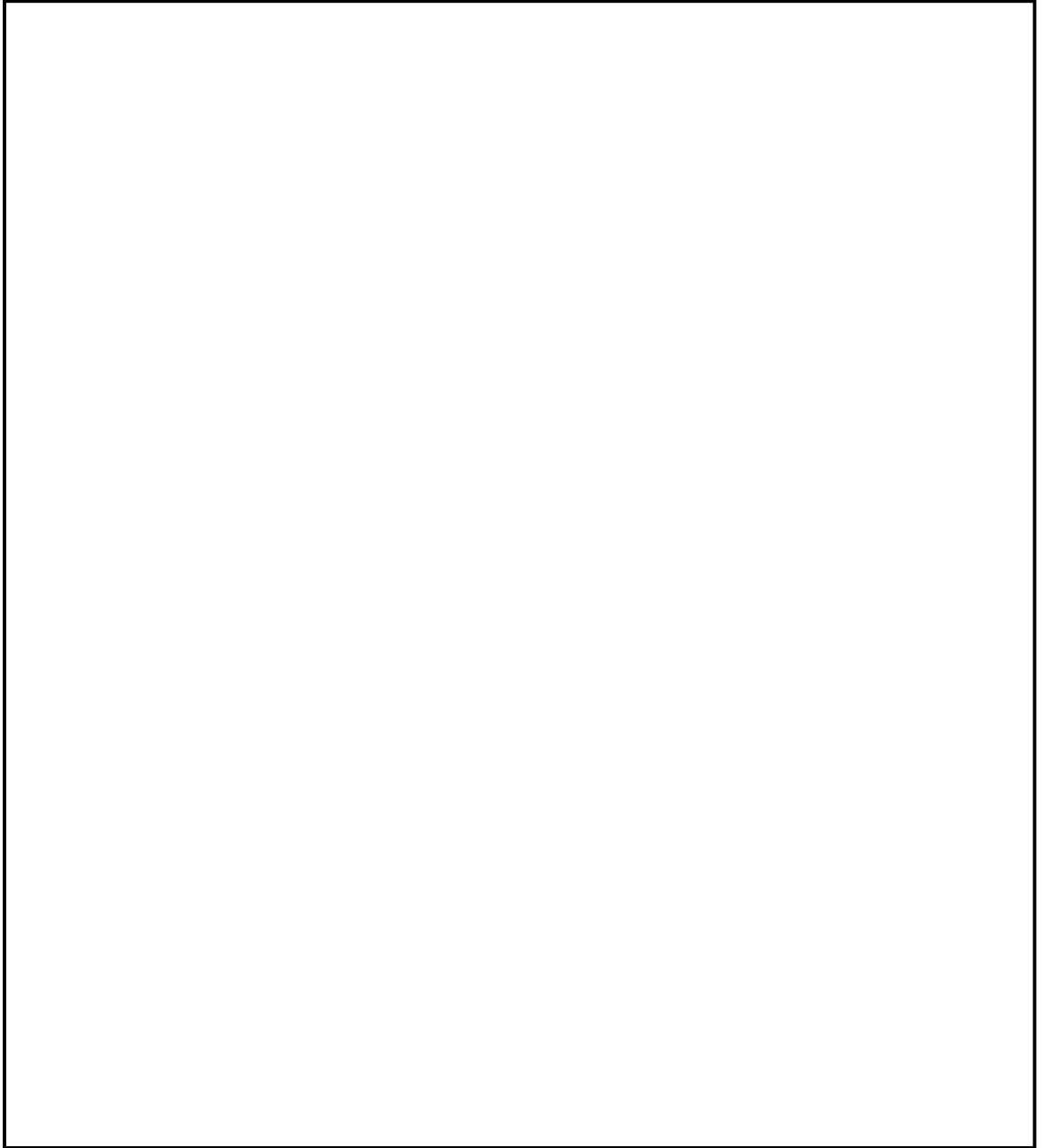
**Your request for the above file number cannot be fulfilled because the file is unavailable. This may be due to several reasons, including: the file is currently charged out to another requester, the file is under review, or the file is located in a freezer truck.**

[Link](#)

**Click the above link to open the FRAP ticket. Please refer to the “Location” and/or “Notes” fields for information regarding why this ticket was closed. If the ticket was closed due to the file being already checked out and you still need this file, please do not submit another ticket for it until you have verified that this individual has returned it to the ARC.**

The above response applies to the following scenarios:

**Files Out to Another Person**



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**Files Under Review**



b5

**Files in Freezer Truck**



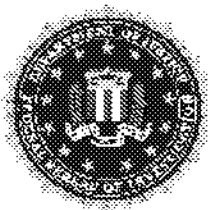
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**Reminders**



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## IPU PROCESSING PROTOCOL

**Initial Handling Procedures:**  
**Files designated as being sent to the**  
**National Archives and Record Administration (NARA) or Destroyed**

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**Date:** April 10, 2014

**APPROVED BY:**

ASC

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**PROTOCOL:**

Files designated as NARA or Destroyed

### NARA Files

If a file has been transferred to NARA, a NARA letter for that file is sent to the requester.

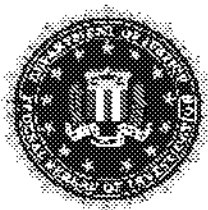
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### Destroyed Files

If a file has been destroyed, a destroyed letter is sent to the requester unless the Records Management Division (RMD) has retained a copy. Before sending a destroyed letter, the T-Drive and previously scanned button need to be checked to see if the file has been scanned or processed.

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## INITIAL PROCESSING PROTOCOL



**DATE:** August 20, 2013

**APPROVED BY:** Section Chief David M. Hardy

**PROTOCOL:** Handling 305 Files – Violent Crimes against Children

Prior to submitting a request to the field for a 305 file, remember [REDACTED]

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Therefore, it is possible that a signed Plea Agreement exists confirming the requester has waived appeal of FOIA and Privacy Act Rights. Check PACER or contact the field agent to find out if a Plea Agreement was signed. If so, make sure the field confirms the individual waived his/her rights to make a FOIA request for the records. Once this is confirmed, correspondence will be mailed to the requester citing the specific waiver terminology contained within the plea agreement (as shown below). Then close the case administratively.

***Example of closing letter language (utilizing specific waiver terminology contained within referenced plea agreement) :***

This is in further reference to your Freedom of Information/Privacy Acts (FOIPA) request.

Pursuant to the terms of a Plea Agreement dated [insert date here] which you and your attorney, [insert Attorney's name here] entered into with the United States of America in the case captioned United States of America v. [insert Defendant's name here] Criminal No: [insert Criminal Number here] United States District Court [insert District Court name here], ("Plea Agreement"):

Waiver terminology located within the Plea Agreement:

You] waive(d) all rights, whether asserted directly or by a representative, to request or receive from any department or agency of the United States any records pertaining to the investigation or prosecution of this case including, without limitation, any records that may be sought under the Freedom of Information Act, 5 U.S.C. §552, or the Privacy Act of 1974, 5 U.S.C. §552a.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. See 5 U.S.C. § 552(c) (2006 & Supp. IV (2010)). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

Accordingly, we cannot process your FOIPA request and are unable to be of any further assistance in this matter.

You may file an appeal by writing to the Director, Office of Information Policy (OIP), U.S. Department of Justice, 1425 New York Ave., NW, Suite 11050, Washington, D.C. 20530-0001, or you may submit an appeal through OIP's eFOIA portal at <http://www.justice.gov/oip/efoia-portal.html>. Your appeal must be received by OIP within sixty (60) days from the date of this letter in order to be considered timely. The envelope and the letter should be clearly marked "Freedom of Information Appeal" or "Information Appeal." Please cite the FOIPA Number assigned to your request to facilitate its identification.

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When ordering a 305 file from the field office, ask the point of contact (POC) to remove any explicit media/pictures, etc. before sending the file to RIDS. The POC should provide a count of the number of photographs, disks, and any other explicit material that is being removed, along with the serial number that it belongs to. RIDS will advise the requester the information was withheld and all appropriate FOIPA exemptions were applied. If the field office is not able to accommodate RIDS request to remove the explicit materials then the following procedures will apply.

RIDS is implementing a two person rule when scoping paper files or media for a 305 file. When 305 files arrive at the ICRC, the file should be scoped and sent to DOCLAB immediately. A 305 file should not be held at the ICRC any longer than necessary.

### 305 Files with Explicit Materials

Two employees must be present anytime a 305 file is being reviewed. No reviews of a 305 file will occur at an employee's desk. **ALL reviews of a 305 file will be conducted in a closed environment, i.e., a meeting room or office.** All digital media located in the file must be reviewed in the media room. If the media is labeled classified, STOP, and seek direction from the unit manager.

The file will be kept in a locked file cabinet in the media room and must be signed in and out. Only one section of the file will be signed out for each employee who will assist with scoping the material. The sign out sheet will be attached to the outside of the file cabinet. The only time the entire file will be checked out is when it is sent to DOCLAB or when multiple employees provide assistance to complete the scoping process. The sign out sheet must be updated each time the 305 file is handled and when it is returned to the field office or the ARC.

### 305 Files without Explicit Materials

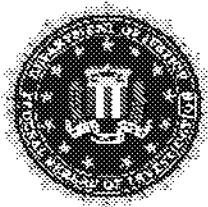
When a determination has been made that ALL explicit material has been removed, the file can be permanently signed out and sent to DOCLAB. Once the file is returned from DOCLAB it must be sent to the field office or the ARC immediately.

### **Please Note:**

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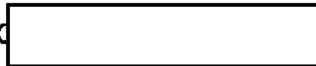
## Initial Processing Protocol



**DATE:** March 14, 2014

**APPROVED BY:**

ASD



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**PROTOCOL:** Handling Consult Referral Responses

Consult referral responses are returned referral packages which were sent out by FBI FOIPA analysts to Other Government Agencies (OGA)s for their review. When these responses are returned to RIDS, the Initial Processing Unit (IPU) determines which FOIPA unit originally referred the documents to the OGA.

- Single Station Units (SST)s handle their own consult referral responses
- IPU helps non-Single Station Units if they need assistance opening cases or importing new work items.

### **If the consult referral response belongs to a Single Station Unit:**

The IPU analyst administratively scans the consult referral response into the FOIPA number which is located on the OGA letter. The IPU analyst emails the SST FOIPA analyst and copies either the SST FOIPA analyst's supervisor or Unit Chief. The email alerts the SST FOIPA analyst that IPU received the consult referral response and administratively scanned it into the case.

The IPU analyst will copy the email into the case notes and deliver the original documents to the SST FOIPA analyst for additional handling.

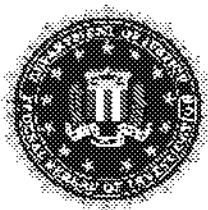
### **If the consult referral response belongs to a non-Single Station Unit:**

The IPU analyst administratively scans the consult referral response into the FOIPA number which is located on the OGA letter. The IPU analyst emails the FOIPA analyst and copies either the FOIPA analyst's supervisor or Unit Chief. The email alerts the FOIPA analyst that IPU received the consult referral response and administratively scanned it into the case.

Attached to the email is an electronic copy of an instruction form (titled Consult Referral Responses Reopen) for the FOIPA analyst to complete. The FOIPA analyst can advise IPU what actions need to be taken regarding the re-opening the FOIPA. The FOIPA analyst will also specify whether they require the original copies of the consult referral response.

The IPU analyst will copy the email into the case notes. The IPU analyst will also deliver the original documents to the FOIPA analyst *upon request*.

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## Initial Processing Protocol



**DATE:** January 23, 2014

**APPROVED BY:** Section Chief David M. Hardy

**PROTOCOL:** Identifying Records in ACS and Manual Index Cards

To search for main files responsive to Freedom of Information/Privacy Acts (FOIPA) requests, employees use Automated Case Support (ACS) and the manual indices on SharePoint.

An ACS search is required for each request.

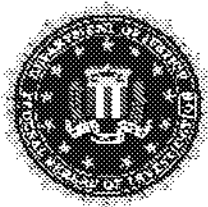
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When performing ACS and manual searches

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Remember – name spellings do not have to be exact, as the ACS searching tool is phonetic. Also, record and search any aliases found from ident main or reference files.

## INITIAL PROCESSING PROTOCOL



### PROTOCOL: Physical and Electronic Search Slips

**APPROVED BY:** David Hardy, RIDS Section Chief

**DATE:** December 16, 2013

You MUST type out the physical search slip in its full form. Be sure it contains:

1. Search date,
2. All names or subjects searched for each index,
3. Search type for ACS and Sentinel searches, and
4. Each index searched.

Please note that the physical search slip must be typed

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Files (and their corresponding name breakdown) that must be entered onto the ESS in FDPS:

1. Ident files that are being backlogged – includes reference or control files if documents need to be backlogged
2. Ident files that are not being backlogged for some reason  NARA, Destroy, Unable to Locate, Flood Records
3. Potential files that cannot be verified – NARA, Destroy, Unable to Locate, Flood Records

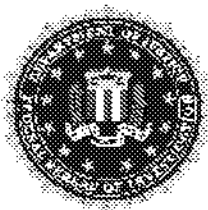
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Files (and their corresponding name breakdown) that do not need to be entered onto the ESS in FDPS:

1. Control files (if nothing is being backlogged)
2. Reference files (if nothing is being backlogged)
3. Same Information
4. Potential files that are not ident after review
5. Ident files that are out of scope for some reason – out of date range, wrong subject matter, etc.
6. No Records

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## INITIAL PROCESSING PROTOCOL

### Requests for Specific Court Cases



Date: May 22, 2014

APPROVED BY: ASC

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PROTOCOL: Requests for Specific Court Cases

A Legal Administrative Specialist (LAS) may come across a request for information relating to a specific court case

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#### Request for a specific court case:

1. Catalog the request as a "Non-FOIA"; subject entered as court case number or title;
2. Generate a "Not Indexed in CRS" letter;
3. Edit the letter to read, "Your request for *a specific court case* is not searchable..."  
"...and *not by court case numbers or titles.*" (***unbold*** these statements);

[Your request for \_\_\_\_\_] is not searchable in our indices.  
For your information, the FBI Central Records System is not arranged in a manner that allows for the retrieval of information in the form for which you have requested. Items are indexed according to individual investigatory interests [and not \_\_\_\_\_.]

4. ***Do not*** include text that reads, "[ascertain from request letter]" (delete bolded statement within letter; and,
5. The paragraph will read as follows:

Your request for a specific court case is not searchable in our indices. For your information, the FBI Central Records System is not arranged in a manner that allows for the retrieval of information in the form for which you have requested. Items are indexed according to individual investigatory interests and not by court case numbers or titles.

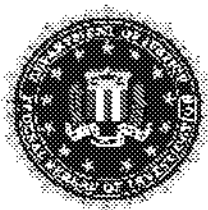
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**Reminder:**



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## Initial Processing Protocol



**DATE:** February 11, 2014

**APPROVED BY:** Assistant Section Chief

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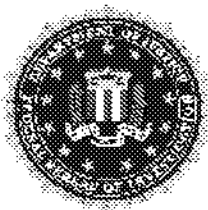
**PROTOCOL:** Handling Requests for FBI Policy

When the analyst receives a request for FBI policy, it is important to locate the official policy approved by FBI management.

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## IPU PROCESSING PROTOCOL

### Unduly Burdensome Requests

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**APPLICATION:** Recognition and Handling of Unduly Burdensome Requests

**APPROVED BY:** ASC

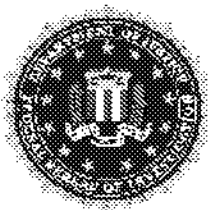
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**PROTOCOL:**

### Recognizing and Handling Unduly Burdensome Requests

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## INITIAL PROCESSING PROTOCOL

### Creating Requester Accounts/Searching Retrieval



Date: June 20, 2014

APPROVED BY:

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PROTOCOL: Creating Requester Accounts/Searching Retrieval

In FDPS 4.0, users are able to create requester accounts for individuals as well as organizations:

- If the request letter has a letterhead or the requester clearly is associated with an organization or company, create the requester account as an organization. Add the individual who signed the letter as a member of that organization.
- If an organization's name is not present, open up the requester account as an individual.

Cataloguing in this manner allows for consistency when searching retrieval and associating new requesters to previous requester accounts.

#### Cataloging Requester Accounts:

1. Choose INDIVIDUAL or ORGANIZATION, depending on the request letter, as the requester type (if the request is from an individual, skip to number seven).

Case Creation

Case Requester Subject

Requester Type

Individual  
Organization

Information Flag

☐ Sensitive

Reset Cancel OK

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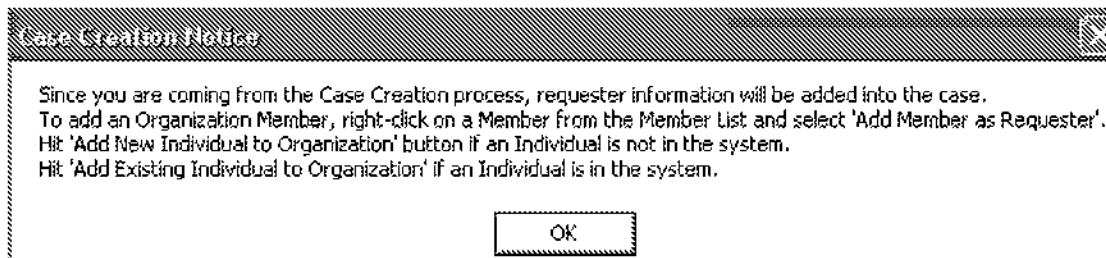
- If the requester is associated with organization, search retrieval for the organization **and** the individual submitting the request through the organization using ALL. Using ALL pulls in both individuals and organizations. **This step is important in that FDPS does not currently link all individuals with organizations and therefore will ensure the user will retrieve all existing results.**

- The results list shows all requester accounts, whether they are categorized as individuals or organizations. At this point, the user will need to go into each responsive hit to determine if an account has been created for the organization member. If the organization member currently exists under the correct organization and the account was created after August 1, 2013, the user is able to highlight and select. Otherwise, choose ADD NEW.

Requester Type	First Name	Last Name	Org. Name	Date Created	Del.	Sensi
Individual	AL	JAZEERA INTERNATIONAL		2013-12-16		N
Organization			AL JAZEERA AMERICA	2013-11-22		N
Organization			Al Jazeera America	2013-10-15		N
Organization			AL JAZEERA INTERNATIONAL	2013-12-16		N

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4. Prior to cataloging the organization, the user will get a pop-up that advises how to add a member. Select okay, and fill in the organization's name. If the organization goes by several well-known names, add them as AKAs.



**Requester Account**

File

Organization | Info Flag | Requester History | Gen Case History | Lit Case History

Requester Organization

Name\* Al Jazeera

AKA

Al Jazeera News

Organization Memo

5. Select SAVE.
6. Add the individual who submitted the request as an organization member.

**Requester Account**

Case: Requester [Name] [ID]

Requester Type

Organization

Requester Category

Address

Information Flag

Extension

Reset Cancel Save

**ORGANIZATION**

Org Name	Org Type	Org Address	Org Phone
Al Jazeera	News	123456789	123456789

Remove Add Org Member

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7. If the request was submitted by an individual and is not associated with an organization, search the name in retrieval using ALL. This type of retrieval search will, again, ensure the user will retrieve all existing results.

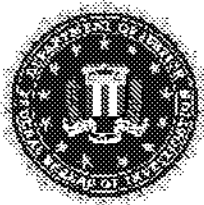
The screenshot shows a window titled 'Requester' with a menu bar (File, Options, Help) and a toolbar with icons for a folder, a question mark, and a magnifying glass. Below the toolbar, there are tabs for 'Requester', 'Request', 'Requester', 'Requester', and 'Requester'. A search filter section contains a 'Type' dropdown menu set to 'All', a 'Created From' date range selector, and a 'To' date range selector. At the bottom, there is a text input field with the placeholder text 'Requester Name: John Smith - George Term, Smith' and a radio button labeled 'All'.

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8. The results list shows all requester accounts, whether they are categorized as individuals or organizations. At this point, the user will need to go into each responsive hit to determine if an account has been created for the requester. If the account was created after August 1, 2013, you can highlight and select. Otherwise, choose ADD NEW.
9. When creating a new requester account, enter the information from the letter.
10. Select CONFIRM
11. Continue to cataloging the subject.

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## CLASSIFICATION PROCEDURE NOTICE



### LITIGATIONS

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**APPLICATION:** The processing of litigations in the Classification Unit

**REVISED BY:** [REDACTED]

**APPROVED BY:** Unit Chief [REDACTED] Unit Chief [REDACTED] and Unit Chief [REDACTED]  
[REDACTED]

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### BACKGROUND

A (b)(1) declaration is a document in which the declarant (the person whose signature appears on the declaration), an original classification authority, attests to its accuracy under penalty of perjury. (An affidavit is essentially the same, except that the signer, known as the affiant, swears to the document's accuracy and the signature is notarized.)

The purpose of the declaration is to describe and justify the classification actions taken on agency documents deemed pertinent to the specific request. Only those classification actions taken under Exemption One of the Freedom of Information Act, 5 U.S. §522 (b)(1), are described and justified in declarations prepared in the Litigation Unit.

Declarations are usually ordered by the United States District Court when a requester, after initial release of documents by the FBI and an administrative appeal to the Department of Justice, chooses to initiate a lawsuit. A requester may also waive his or her right to an administrative appeal by allowing a statutory time period to lapse, and then proceed directly into litigation.

The judicial method for allowing agencies to justify their classification is either coded, known as a Vaughn declaration (Vaughn v. Rosen), or in narrative form. The FBI always submits declarations in narrative form. For a case involving more than five documents, the FBI submits a narrative declaration containing a detailed appendix which refers to each document that is subject to the litigation, describes the reasons why each segregable portion is classified, and relates each item to the harm its release would cause the national security of the United States. The narrative declaration used for cases involving five or fewer documents has similar standards, except that the justification language is written out in the body of the declaration rather than as an appendix.

Often, it is impossible to describe the classified information with particularity without identifying it. In those instances, the Department or the Court can request an in camera review. This means essentially that the judge will read the declaration in private, without

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allowing access to the requester or the requester's attorney. Most courts will use this technique only after a public declaration has been submitted which states that the information involved cannot be described with the specificity required by Vaughn. During in-camera proceedings, the judge is made aware of all sources, methods, activities, and foreign government information utilized, as well as information impacting the foreign relations of the United States. The declaration itself is classified and stamped accordingly.

The (b)(1) declaration is usually filed with the Court along with the FOIA declaration, which justifies all the other pertinent exemptions. It is standard practice to incorporate by reference the FOIA declaration and any other preceding (b)(1) declarations which may have been submitted in the case. The redacted documents which have been deemed responsive to the request are usually located as an exhibit to the FOIA declaration.

## PROCEDURE

Litigations are a priority function in the Classification Unit. All litigations are currently processed in Classification Unit 2 under the supervision of SLAS [REDACTED]

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## RESEARCH

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Obtain the releases for any previously processed documents.

## REVIEW

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- Enter the information on the Addendum

U.S. Federal agencies

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#### ADMINISTRATIVE PAPERWORK

The following forms should accompany a Litigation case:

CU Cover Page (mark the Litigation box)

CU Addendum

CU Appeal/Litigation Informant page, if necessary

Enter all classified information on the Addendum. Mark off the classification level of the information, the categories that apply to the information, and the exemption cited. This information is used by the Litigation Support Unit when drafting declarations and legal documents.

**Please direct any questions regarding this notice to your supervisor or Unit Chief**

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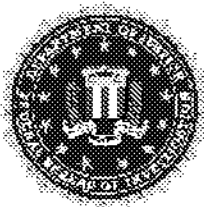
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Action	Date	Comments
Created		by [REDACTED]
Revised	Jan 2013	by [REDACTED]

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## CLASSIFICATION PROCEDURE NOTICE

### Mandatory Declassification Review



APPLICATION: The processing of documents for Mandatory Declassification Review

AUTHORITY: Executive Order 13526, DOJ Security Program Operating Manual

REVISED BY:

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APPROVED BY:

Unit	<input type="text"/>	Unit Chief	<input type="text"/>	Unit Chief	<input type="text"/>
	<input type="text"/>				

Section 3.5 of Executive Order 13526, mandates that agencies review specifically described documents or material for declassification (Mandatory Declassification Review [MDR]), when requested to do so. Most MDR requests received by the FBI involve donated historical material and Presidential records in the custody of the Presidential library system. When Presidential Libraries surface national security related FBI information, they forward it to the FBI for review.

A private citizen may also request an MDR, although they rarely do so. Specific requirements, detailed in the Code of Federal Regulations (CFR), must be met and followed by the requester. If you receive a Mandatory Review Request and the information has been reviewed within the last two years or is the subject of a pending litigation, the requester must be informed of such and of the requester's appeal rights.

Mandatory Review Referral Requests can also be received through other agencies much like the FBI makes referrals to other Federal Government agencies for consultation and review. Mandatory declassification analysis is generally the same as any other type of review.

Mandatory Declassification Review Section 3.5 states in part that "...all information classified under this order or predecessor orders shall be subject to a review for declassification by the originating agency if:

- (1) the request for a review describes the document or material containing the information with sufficient specificity to enable the agency to locate it with a reasonable amount of effort;
- (2) the document or material containing the information responsive to the request is not contained within an operational file exempted from search and review, publication, and disclosure under 5 U.S.C. 552 in accordance with law; and

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(3) the information is not the subject of pending litigation.

The FBI is not required to review the information if it has been reviewed in the last two years.

Agencies conducting a mandatory review for declassification shall declassify information that no longer meets the standards for classification under this order. They shall release this information unless withholding is otherwise authorized and warranted under applicable law.

When a Presidential Library makes an MDR request, that library handles any subsequent disclosure. When the Classification Units receive an MDR from a private citizen, the case is then forwarded to FOIPA for review under those provisions of the law in order to comply with the MDR and CFR. Classification Units will advise the requester that any subsequent release of information will be pursuant to the provisions of the FOIPA. Your final response must include the following paragraph if unclassified and/or declassified information exists in the documents reviewed:

“The documents responsive to your MDR request will now under go a review pursuant to the Freedom of Information and Privacy Acts (FOIPA) for any unclassified information available for release to you.”

### **REMOTE ARCHIVE CAPTURE (RAC) MDRs**

The Central Intelligence Agency has scanned information from several of the Presidential Libraries into their electronic Remote Archive Capture (RAC) for agencies accessibility while conducting historic declassification reviews. MDR requests relating to documents maintained on the RAC are handled by CU II.

### **INITIAL DECLASSIFICATION REVIEW PROCEDURE**

Unlike FOIPA requests which are handled in several different units within the Record/Information Dissemination Section, MDRs from the Presidential Library or NARA are processed within the Classification Units, to include other government agency referrals and all administrative tasks. However, if the case requires a FOIPA review, the FOIPA unit will handle any referrals.

Every effort will be made to ensure that a response to an MDR request is provided to the requester within one year from the date of receipt. If not, a delay letter must be sent to the originating library, the appropriate agency, or the individual requester. Upon completion, the Classification analyst writes the final response letter to the Presidential library, the appropriate agency or to the individual requester advising them of the declassification review results. MDRs for private citizens are processed in FDPS, and therefore the outgoing letter should be scanned into the admin side of the case.

The classification review procedure for MDRs is as follows:

- 1) Sign all receipts and return to sender promptly. This includes the Classified Document Accountability Record forms.

[redacted]  
[redacted] regardless of classification level [redacted]  
[redacted]  
[redacted] accompanying the package is handled and signed according to current policy.

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[redacted]

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- 4) When the documents to be reviewed are located, conduct appropriate research of sources and evaluate the material to determine whether a prior release exists.
- 5) Problems concerning the MDR may necessitate a telephone call to the Presidential Library. Team Captain approval should be obtained prior to contact.

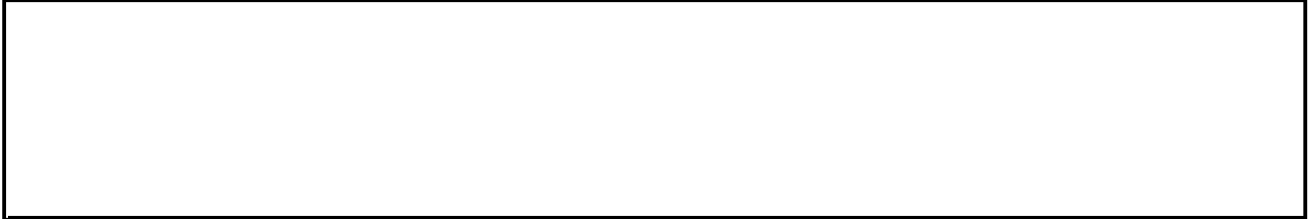
## REFERRAL LETTERS TO OTHER GOVERNMENT AGENCIES

At the conclusion of the initial declassification review, prepare referral letters to government agencies if the initial request letter states that FBI is responsible for the referral. The communications should be clear, concise, and include the following information on the referral letter:

- 1) Mention Section 3.5 of EO 13526 that addresses mandatory reviews. State that a researcher has requested a mandatory declassification review from the holdings of a Presidential Library and provide the mandatory case number. If your review is the result of a referral from another government agency, that agency should handle necessary consultations with other agencies. However, you may call for verification.
- 2) Indicate that the originating agency's information is contained in the FBI document and request a review of the information for classification or releasability recommendations.
- 3) Ensure that all enclosures are properly and clearly marked to reflect the other government agency information to be reviewed and returned to the FBI for processing.

Sample MDR Referral Letter Template

Forward the final processed package to the Team Captain to be checked. Upon approval, mark and prepare the FBI referral letter and the other government agency information for transmittal to the other government agency. Follow current packaging guidelines for the classification level. A Form O-4 should be filled out and placed on top of the package for



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## **OUTGOING RESPONSE LETTER**

The classification analyst should draft a final response letter to the requesting entity that includes the following:

- 1) A reference to Section 3.5 of EO 13526, which addresses MDRs
- 2) References to the incoming letter and any phone conversations with the requesting entity
- 3) Descriptions of the documents, if copies are not attached
- 4) Appropriate classification markings on each page of the outgoing FBI letter
- 5) Number of enclosures
- 6) A copy count list (Unit Chief, Supervisor, LAS, Library file number); this list is not to be included in the letter that is sent to the requesting entity
- 7) If applicable, indicate on the first page of the outgoing letter, "This communication is unclassified upon removal of classified enclosures"
- 8) If the FBI address is incorrect in the request letter, include the following statement: "In the future, in order that we may be more responsive to your requests, please direct them to..."
- 9) Indicate that any questions regarding this matter may be directed to the analyst preparing the letter and provide the telephone number of the analyst
- 10) On the yellow file copy, indicate by "NOTE" any pertinent information or action regarding the request

Print a draft of each letter (the letter to be sent to the requesting entity and the letter containing the copy count) and two mailing labels. Please note that when the information

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Obtain the Team Captain's approval of the draft letters. The Team Captain must sign in the appropriate place on the final copy of the letter to the requesting entity.

Upload and serialize in Sentinel the letter that contains the copy count. When the letter has been serialized, record the serial number on each copy of the letter. Distribute the Unit Chief and Supervisor copies.

### FINAL RESPONSE PACKAGES

After declassification review of the documents, the package you prepare for the requesting entity will include the following:

- 1) Original FBI response letter
- 2) Original documents appropriately marked
- 3) Original document list

Unless a specific request is made by the requesting entity, the original request letter will not be returned to the requesting entity.

The package that you prepare for file at will be sent to the  and will include the following:

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- 1) Yellow copy of the FBI response letter
- 2) Original request (cover letter, citizen request)
- 3) Copy of the document list
- 4) Copy of the marked documents

All necessary indexing will be done on the yellow file copy. You must write the following

b5

Print and distribute the Unit Chief, Supervisor and LAS copies.

### MATERIAL HANDLING INSTRUCTIONS

b5

[REDACTED]

b5

WPU employees usually go to the [REDACTED] and CU employees are to coordinate with them to have the [REDACTED]. Currently [REDACTED] [REDACTED] can also provide assistance.

b6  
b5

[REDACTED]

- 1) Generate two address labels for the requesting entity. The labels must contain the recipient's name, address and phone number. Put them aside - you will not affix them to an envelope.
- 2) Place the documents and address labels in an unsealed envelope. Put a sticky note on the envelope that lists the MDR reference number, classification level of the package and your name.

- 3) Advise [REDACTED] and [REDACTED] of WPU that you have [REDACTED]

b6  
b5

- 4) Place the package [REDACTED] or [REDACTED] will create the [REDACTED]

[REDACTED]

## UPLOADING MDR LETTERS INTO SENTINEL

After the Supervisor or Unit Chief has signed off on the outgoing letter to the requesting entity, the letter must be uploaded into Sentinel. [Click here for instructions.](#)

## PRESIDENTIAL LIBRARY REVIEW FILES AND OTHERS

Herbert Hoover Library	62F-HQ-1038231
Franklin D. Roosevelt Library	62F-HQ-1038233
Harry S Truman Library	62F-HQ-1038236
Dwight D. Eisenhower Library	62C-HQ-1038237
John Fitzgerald Kennedy Library	62C-HQ-1038238
Lyndon Baines Johnson Library	62C-HQ-1038239
Nixon Presidential Materials Staff	62F-HQ-1038240
Gerald R. Ford Library	62F-HQ-1038241
Jimmy Carter Library	62F-HQ-1038242
Ronald W. Reagan Library	62F-HQ-1038243
NARA	62C-HQ-1038244
George H. Bush	62F-HQ-C1518849

UNCLASSIFIED

William Jefferson Clinton  
George W. Bush

62A-HQ-  
62A-HQ-

**Please direct any questions regarding this notice to your supervisor or Unit Chief**

Action	Date	Comments
Revised		by [redacted]
Revised	Sept 2013	by [redacted]
Revised	Jan 2014	by [redacted] (addition of [redacted])

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## Media SOP

I. When Media is located in a file:

b5

II. Classification

b5

III. Virus Scan Negative

a. Scan the media for viruses (CDs and DVDs)

b5

IV. Media Type

a. Open to see the type of media and mark as photos, audio, or video

V. Media not handled by Media Room

b5

VI. Media will not open

b5

VII. Description

- a. Provide specific information contained on the 1A envelope or in the corresponding serial from the main file
- b. For example, "Interview with U.S. Attorney's Office 4/12/12 Audio Files"
- c. If the file contains sensitivities (autopsy, crime scene, or innocent images), please note in the description

VIII. Certification

b5

Date: \_\_\_\_\_

**Media Request Sheet**

**\*\*Please complete all fields on this sheet except for "Media LAS." Attach media to be copied to form.  
Place the Media Package in mail box at cubicle L-16. Thank you!**

Classification: \_\_\_\_\_

Virus Scan Negative: ☐ yes ☐ no

LAS: \_\_\_\_\_

Cube Number: \_\_\_\_\_

FOIA Number: \_\_\_\_\_

File Number: \_\_\_\_\_

Requester: \_\_\_\_\_

Serial: \_\_\_\_\_

Subject: \_\_\_\_\_

Description: \_\_\_\_\_  
\_\_\_\_\_

Type of Media (Circle one)

Photos

Audio

Video

Media LAS: \_\_\_\_\_

**Certification**

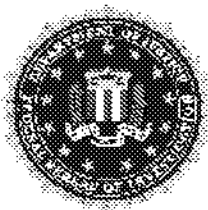
LAS \_\_\_\_\_ certifies that media presented for duplication is the level of classification as  
*(Print Full Name)*  
noted above and the media has been scanned for viruses.

Signature: \_\_\_\_\_

(Signature Required)

**\*\*If media is not the level designated above the LAS submitting media is responsible for any security violation which may occur.\*\***

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## RIDS PROTOCOL

### Print Releases- Handling Procedures (FOIPA and WPU Responsibilities)



**DATE:** 4/30/2014

**APPROVED BY:**

ASQ

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**PROTOCOL:** Preparing and Mailing Print Releases

The following is a breakdown of responsibilities between the FOIPA LAS and the Work Processing Unit (WPU) LAS when preparing and mailing print releases:

#### FOIPA Unit Responsibilities:

1. After processing is completed, run Integrity and correct all true fails,
2. Ensure there are no excluded/removed ("x'ed out") pages present in release,
3. Ensure all classification markings on unclassified documents have been x'ed out,
4. Ensure the release letter is correct for the following:
  - a. Proper page counts,
  - b. Correct address,
  - c. Correct date,
  - d. Exemption boxes checked as appropriate,
5. Place a note in the case stating that release is ready for printing.
  - a. Specify Release Number
  - b.
  - c. Specify if the release should be made on paper or CD.

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The following steps are for those FOIPA units not processing their own releases  
(Micro Teams, FOIPA Unit 5 and Butte)

6. E-mail the WPU POC's to advise of pending print release. Assign print queue to  if the IP analyst who originally handled case has left WPU.
7. Disclosure analyst is responsible for any security breaches resulting from improper processing of documents and/or failure to follow steps outlined above.

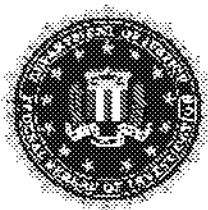
b6

Work Processing Unit Responsibilities:

1. Follow instructions listed in the FOIPA unit's FDPS case note,
  - a.
  - b. If a CD will be mailed, ensure that the CD label only contains the FOIPA Number and Subject
2. Ensure the release contains no x'ed out pages,
3. Ensure the release contains no classification markings that need to be x'ed out,
4. Ensure the FOIPA unit's release letter is correct (as outlined above). If discrepancies exist, consult with the FOIPA LAS and rectify issues before mailing release.

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## RIDS PROTOCOL



**DATE:** April 16, 2014

**APPROVED BY:** ASC

b6

**PROTOCOL:** Use of Office of Information Policy Closing Reasons

The Department of Justice Office of Information Policy (OIP) dictates closing reasons for agencies to use when closing FOIPA requests. The FBI is required to report the number of each type of closing to OIP at the end of each fiscal year, so it is important to make sure each FOIPA case is closed based on their guidelines. Please use the examples in this protocol to guide your use of the OIP closing reasons, and please bring it to section management's attention if you have case that does not obviously fall into one of the examples below.

1. Full Grant
  - a. Released in full without applying any exemptions
2. Partial Grant/Partial Denial
  - a. Exemptions applied to segregated material
  - b. Preprocessed requests, based on closing reason of original case
  - c. Vault requests, based on closing reason of original case

3. Full Denial Based on Exemptions

- a. (b)(7)(A) response
- b. Categorical (b)(6), (b)(7)(C)

4. No Records

- a. Unable to Locate
- b. Destroyed
- c. No Records found – include flood damaged records
- d. Insufficient identifiers, or indices not searchable

b5

b7E

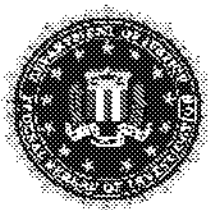
5. All Records Referred to Another Component

- a. Records found, but belong to another agency in their entirety

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6. Request Withdrawn
  - a. Requester decides not to pursue the request for records
  - b. Requester decides not to pursue the request for records – request new processing
  - c. Death of Requester
7. Fee Related Reasons
  - a. No response to a cost letter
  - b. Does not pay for previous interim release
8. Records Not Reasonably Described
  - a. Too vague
  - b. Common Name
9. Improper FOIA Request (includes unperfected)
  - a. Both 1<sup>st</sup> Party and 3<sup>rd</sup> Party requests
  - b. Non-FOIPA
  - c. Missing Persons letter
  - d. Plea Agreement Prohibits FOIA Requests
10. Not Agency Record
  - a. Request for information that agency does not possess (Congressional records, state or local government documents, court records, other agency records)
11. Duplicate Request
  - a. Request for the same subject from the same requester. Typically when the requester sends in a request via fax and email, and both are accidentally opened (FOIA Combined letter)
  - b. Not to be used for preprocessed or Vault requests
12. Other
  - a. Closed in Litigation
  - b. Court Sealed
  - c. Directed Requester to Another Agency or Entity
    - i. Record at NARA
  - d. Information available for Sale by the U.S. Government Printing Office
  - e. Referred Documents Not Responsive
    - i. Not responsive to the Request
    - ii. Not FBI document
  - f. Unable to Locate Requester
  - g. Unable to Provide Information to Requester in Requested Format
  - h. Unable to Provide Records to Inmate Requester (Prison Policy)
  - i. Open in Error – (not a duplicate request)

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## RIDS PROTOCOL

### Critical Content Search: Disclosure and Classification Analysts

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**APPLICATION:** Mandatory Use of Critical Content Search by Disclosure and Classification Analysts

**APPROVED BY:** ASC

b6

**Date:** April 17, 2014

Effective immediately, it is mandatory for Disclosure Analysts and Classification Analysts to perform a Critical Content Search (CCS) on each section work item prior to pushing the work item to the review queue.

The CCS will be performed to identify if a key term which the analyst has protected has been inadvertently released. **A note must be placed in FDPS verifying that this action has been completed.** The note will contain the

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The only exception is if a section is being released in its entirety.

For example:

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**Disclaimer**

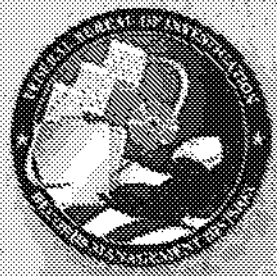
b5

*\*\*The Critical Content Search Instructions are available on SharePoint in the FDPS 4.0 Training Folder.*



# Searching Guidelines

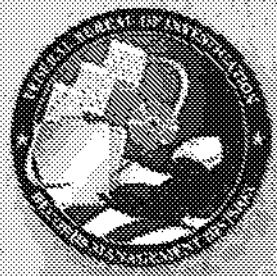
## *RMD/RIDS*



# ACS Searching Guidelines

Q. Why do we perform ACS searches?

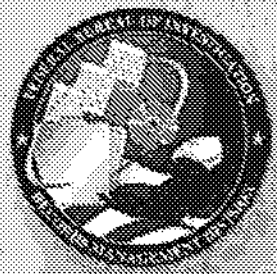
A. To identify responsive and/or potentially responsive FBI records.



# ACS Searching Guidelines

Q. Do these guidelines cover every request scenario we will ever encounter?

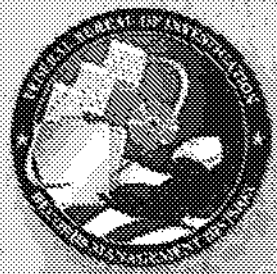
A. No. However, they address “any and all” requests, which are the most common.



# ACS Searching Guidelines

Q. Are there scenarios in which applying these guidelines would not be appropriate?

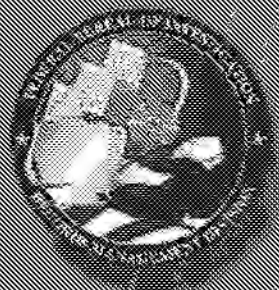
A. Yes. In some scenarios, these guidelines can be modified or even disregarded.



# ACS Searching Guidelines

Q. We are required to perform a “reasonable” search. How is that defined in the FOIPA?

A. It isn't. The “reasonable-ness” of our search is determined by front office, OIP, court decisions, etc.



# Searching in ACS

*Discernable FML Names:*

**Search Type in ACS is TP (Three-Way Phonetic)**

12/28/11 11:29:39 Search Index by Name UNIO50M1

Type Search Info, then press Enter.  
C=Count L=List V=View P=Print

Action >> L  
Search Type >> TP + Switch 1st/Middle Names > N Name Breakdown Display > N  
Name >> [REDACTED]

Search Criteria

DOB	>	[REDACTED]	Blanks	>	Y	Range	>	02
Event Date	>		Blanks	>	Y	Range	>	00
Race	>	+	Unknowns	>	Y	Sex	>	Unknowns > Y
ID Type	>	+	Blanks	>	Y	ID Number	>	
Locality	>							+Blanks > Y
DDN	>							(Scan)
Misc	>							(Scan)

*DOB can be used as a limiter; SSN and other ID #'s cannot.*

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b7C

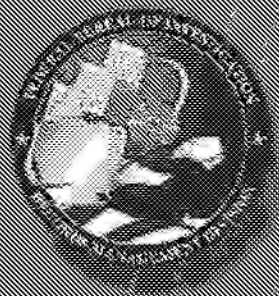


# Searching in ACS

TP breakdown for  looks like -

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Name Breakdown

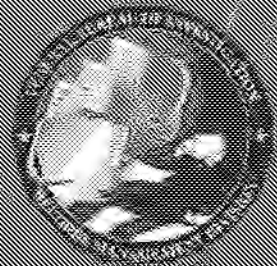


# Searching in ACS

## *Non-Discernable FML Names*

**Search Type is ATP (Around-the-Clock Three-Way Phonetic)** Max of Four NAMES. If more than four names manual rotation will be required.

12/28/11 Search Index by Name UN1050M1  
11:27:31  
Type Search Info, then press Enter.  
C=Count L=List V=View P=Print  
Action : >> L  
Search Type >> ATP + Switch 1st/Middle Names > N Name Breakdown Display > N  
Name >> HASSEN, ATAR, SKURKY  
Search Criteria  
DOB . . . . . > Blanks . . . > Y Range . . . > 02  
Event Date . . . . . > Blanks . . . > Y Range . . . > 00  
Race . . . . . > + Unknowns . > Y Sex . . . > . Unknowns . > Y  
ID Type . . . . . > + Blanks . . . > Y ID Number > .  
Locality . . . . . > . . . . . +Blanks > Y  
DDN . . . . . > . . . . . (Scan)  
Misc . . . . . > . . . . . (Scan)

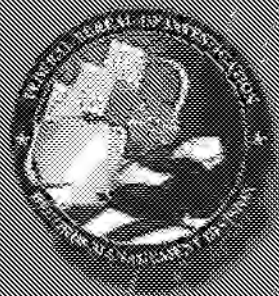


# Searching in ACS

ATP Search for Atar Skurky Hassen looks like this -

## Name Breakdown

```
HASSEN, ATAR, SKURKY  
HASSEN, ATAR, S  
HASSEN, ATAR  
ATAR, SKURKY, HASSEN  
ATAR, SKURKY, H  
ATAR, SKURKY  
SKURKY, HASSEN, ATAR  
SKURKY, HASSEN, A  
SKURKY, HASSEN
```

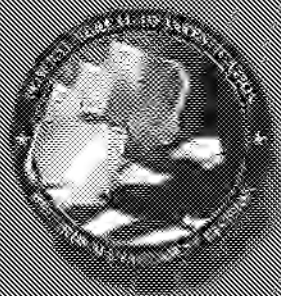


# Searching in ACS

## *Business/Entity Search*

**Search Type is ST (String)** – picks up anything starting with search terms entered.

```
12/28/11      Search Index by Name:      UNI050M1
11:36:31
Type Search Info, then press Enter.
C=Count L=List V=View P=Print
Action . >> L
Search Type >> ST. + Switch 1st/Middle Names > N Name Breakdown Display > Y
Name >> KRAFT FOOD COMPANY..... +
Search Criteria
DOB . . . . . > ..... Blanks . . . > Y Range . . . > 02
Event Date . . . . . > ..... Blanks . . . > Y Range . . . > 00
Race . . . . . > . . . + Unknowns . . . > Y Sex . . . . . > . . . Unknowns . . . > Y
ID Type . . . . . > . . . + Blanks . . . > Y ID Number > .....
Locality . . . . . > ..... +Blanks > Y
DDN . . . . . > ..... (Scan)
Misc . . . . . > ..... (Scan)
Main/Ref . . . . . > ..... Crim/Sec > .
Class . . . . . > ..... + Character > ..... +
Office . . . . . > ..... +
```



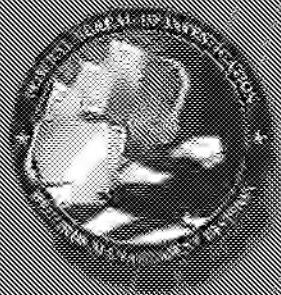
# Searching in ACS

## **Field Office Requests (ANY AND ALL):**

- Main FO direct ident - List
- Main FO potential - Don't List
- Main HQ direct ident - List
- Main HQ potential - Don't List
- References (FO or HQ) direct ident- List as S'S n/I [FO]

### **Note:**

Search Sharepoint: If Subject was born during or before 1958, or if incident or organization happened during or before 1979. Only search FO on Sharepoint if request is specific to an event happening in a particular area or if an ident FO file was found in ACS.



# Searching in ACS

## *Handling Aliases*

Aliases provided in the request letter are searched according to the SOP for that name type (TP, ATP, ST)

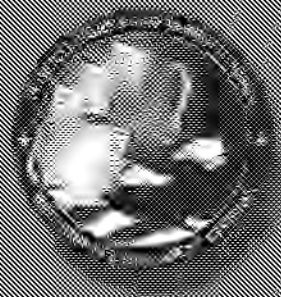
Aliases found during the ACS search in the ALIAS (AKA) screen are searched using the OTN search type.

Aliases are pulled from ident mains, ident references, and ident control files. *Exception* - they are not pulled from ident 190's.

DDN Names will be picked up if they are completely different from the original name searched. (i.e. DDN is  and the search was for

b6  
b7C

True Names are only picked up if the name is also listed in the alias tab. 12



# Searching in ACS

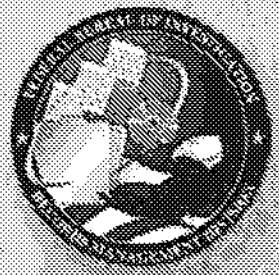
## *Control Files and Reference Files*

### CONTROL FILES:

Control files will be listed on the Search Slip as “S’s N/L” regardless of being a Main or Reference entry

### REFERENCE FILES:

Reference files will be listed on the Search Slip as “S’s N/L.” There will not be a FO designation { S’s N/L } on the end of the entry. If an ident reference is found in a FO, that FO will be picked up in the search. The FO will be documented in a box located at the top of the search slip.



# ECF Searching in Sentinel

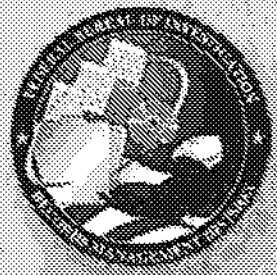
When Should I  
Do An ECF Search?



# ECF Searching

## When should an ECF search be performed?

- The request is for a very specific item that was not located during an ACS search.
- When directed by your supervisor



# Intranet Searching

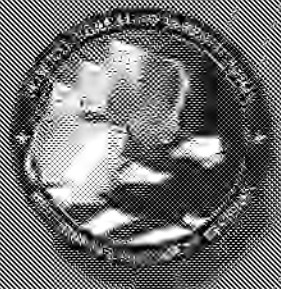
When and how should I search the  
FBI Intranet?



# Intranet Searching

## FBI Intranet Searching Guidelines

- Searching the FBI Intranet is **NOT** the standard operating procedure for all FOI/PA requests.
- The FBI Intranet should be searched for **Non-Investigative** items/subjects that have been specifically described in the request letter.
- The FBI Intranet should be searched for all items marked **High-Visibility**. **HVS**



# Intranet Searching Tips

## Intranet Searching Tips

Please use this Intranet searching guide as the basis for your Intranet search.

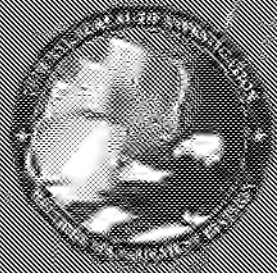
[Intranet Searching Guide](#)



# Intranet Searching

- The Intranet search provides guidance on the potential owner of the data and whom to contact and to send a Search EC.

**DO NOT DOWNLOAD AND BACKLOG DATA  
DIRECTLY FROM THE INTRANET WITHOUT  
TALKING TO THE OWNER OF THE DATA!**



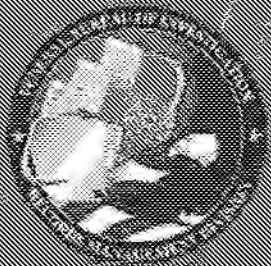
# Intranet Searching

- What if I find in the Intranet exactly what was requested and the entire request can be completed as a result of the Intranet search?

*Contact the owner of the document and make them aware of the FOI/PA request.*

*Make your supervisor aware of the request.*

*Coordinate with the data owner to get the appropriate copy of the data to be added to the case.*



# Intranet Search



DO NOT

DOWNLOAD

AND BACKLOG

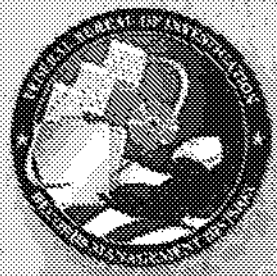
DATA

DIRECTLY FROM THE INTRANET

WITHOUT TALKING TO THE OWNER OF

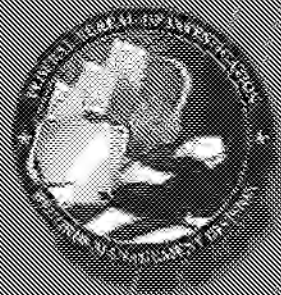
THE DATA!





# Index Card Searching

When and how should I search the  
Index Card databases?

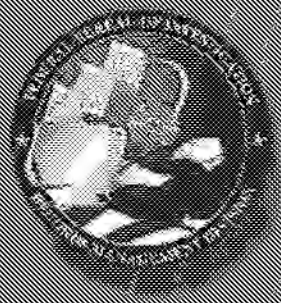


# Searching Index Cards

## *When to search:*

**If subject was born during or before 1958, or if the event or organization happened during or before 1979.**

**Subject begins with letter that has been automated.**

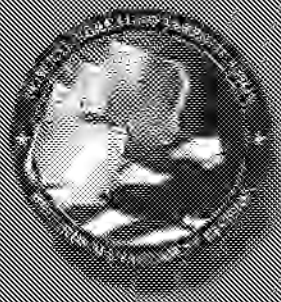


# Searching Index Cards

For field office searches - access Field Office Index Cards SharePoint site, and select the appropriate FO.

FBI FIELD OFFICE MANUAL INDEX CARDS

Albany	Albuquerque	Anchorage	Atlanta	Baltimore	Birmingham
Boston	Buffalo	Charlotte	Chicago	Cincinnati	Cleveland
Columbus	Dallas	Denver	Detroit	El Paso	Honolulu
Houston	Indianapolis	Jackson	Jacksonville	Kansas City	Knoxville
Las Vegas	Little Rock	Los Angeles	Louisville	Memphis	Miami
Madison	Minneapolis	Mobile	Newark	New Haven	New Orleans
New York	Norfolk	Oklahoma City	Omaha	Philadelphia	Phoenix
Pittsburgh	Portland	Richmond	Sacramento	St. Louis	San Antonio
San Diego	San Francisco	Salt Lake City	San Jose	Seattle	Springfield
		(no cards)			
Tampa		Washington Field			

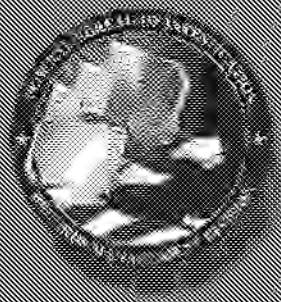


# Searching Index Cards

For HQ searches - access [HQ Index Cards SharePoint site](#), and click on appropriate letter.

FBI HEADQUARTERS MANUAL

A	B	C	D	E	F	G	H	I	J	K	L	M
N	O	P	Q	R	S	T	U	V	W	X	Y	Z



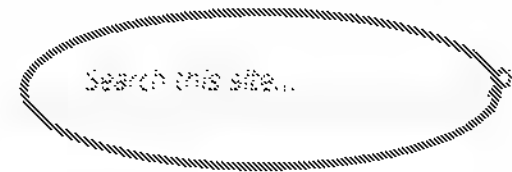
# Searching Index Cards

For either type (HQ or FO), enter TP breakdown into Search Field.

Information available through SharePoint is subject to the Privacy Act of 1974 [\[more\]](#)

(FB)

Index Cards - A



\*For TWO-PART names, TP breakdown includes  
“last name, first initial” search

b6



# Searching Index Cards

How do you tell if an index card is IDENT?

(Unfortunately, color-codes don't work anymore.)



# Searching Index Cards

This is a good example of a Main for

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b7C

2/82

62-2168

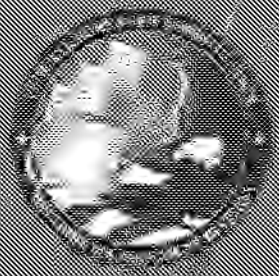
W/M

DOB

Weight 135 lbs

Brown Hair

Brown Eyes



# Searching Index Cards

This is a good example of a Reference  
for [REDACTED]

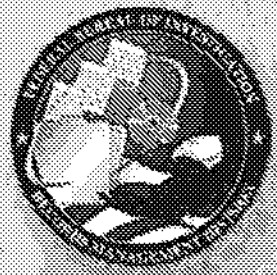
b6  
b7C

[REDACTED]

[REDACTED]

NY(6-51)16

25-314769



# Special Cases

When would I not use a standard search (as outline above)?



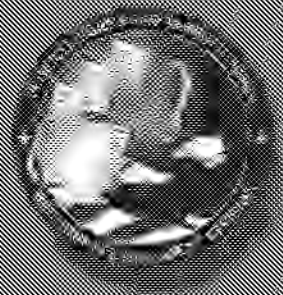
## Special Cases

- Short answer is - we go where the request takes us.
- If it is not an “any and all” request, we search (or don’t search) based on information provided.



# Special Cases

- Examples of information that merits deviation:
  - Specific crimes or reasons for investigative interest
  - Specific locations of criminal activity
  - Specific file numbers, even if FO is not the receiver of the FOIA request



# Special Cases

- Examples of information that **does not** merit deviation:
  - List of previous addresses
  - Requests to “search all/specific field offices” without supporting details
  - Requests to “search for all cross-references” without supporting details



# Special Cases

Dear FOIA Officer,

Under Freedom of Information Act I would like to request main files and cross references on the person listed below. The FBI file I am requesting is:

1. FBI file 92-CG-2506 "Eugene Albano"
2. HQ's file on Eugene Albano, his DOB may be 12/13/1929 he died in 1996 in Chicago (see attached proof of death).



# Special Cases

Dear FOIA Officer,

I request the files of deceased individuals listed on the attached spreadsheet. These are all LCN members in the Portland, Oregon, area: