



governmentattic.org

"Rummaging in the government's attic"

Description of document: **Correspondence between the Federal Bureau of Investigation (FBI) and the National Archives and Records Administration (NARA), October 2000 – January 2007**

Requested date: 22-March-2007

Released date: 26-August- 2009

Posted date: 24-May-2010

Date/date range of document: 27-October-2000 – 29-January-2007

Source of document: NARA FOIA Officer (NGC)
Room 3110
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001
Fax: (301) 837-0293

The governmentattic.org web site ("the site") is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 26, 2009

Re: Freedom of Information Act Request NGC07-102

This is in response to your Freedom of Information Act (FOIA) request of March 22, 2007, for correspondence between the Federal Bureau of Investigation (FBI) and the National Archives and Records Administration (NARA) from January 1, 2001 to the present. Your request was received in this office on April 9, 2007, and assigned tracking number NGC07-102. On April 6, 2007, you narrowed your request to include only records from the Office of Record Services and the Office of Presidential Libraries. I apologize for the delay in our response.

We located a total of 165 pages responsive to your request. Five pages are being withheld in full pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege. One page is being released in part and being withheld in part, pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege, and is enclosed with redactions. Two pages are being released in part and withheld in part pursuant to 5 U.S.C. 552(b)(7)(E), protection to all law enforcement information that "would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law." The remaining 157 pages are being released in full and are enclosed.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal. Address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC07-102.

Please let us know if we may be of further assistance.

Sincerely,

A handwritten signature in black ink, appearing to read "Jay Olin".

JAY OLIN
NARA Deputy FOIA Officer
Office of General Counsel

Enclosures

February 8, 2001

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

Dear Mr. Shackelford:

This is in reply to your phone request of January 25, 2001 concerning additional classifications for FBI review. It is our understanding that the FBI will continue to review the classifications listed in the National Archives and Records Administration's (NARA) letters dated November 6, 1999 and October 27, 2000, (see attached) but expects to complete the review of many of the records before the end of this year. We also understand that the more sensitive and complex classifications such as Classification 105 (Counterintelligence) will take longer to review and transfer.

After consulting with officials in NARA's Textual Archives Services Division and the Initial Processing and Declassification Division we recommend that the FBI review the following classifications:

19	Censorship Matters
72	Intimidating Witnesses
87	National Stolen Property Act - Civil
101	Hatch Act
114	Alien Property Custodian Matters
95	Laboratory Examinations

Your request concerning permanent FBI records raises another issue for NARA: the transfer of the FBI Identification Division's Criminal Records System. The electronic records in this system were appraised as permanent under Job No. N1-65-90-01. The disposition requires the FBI to transfer annually those records that indicate that the individual has reached 80 years of age or 7 years have elapsed since the notification of the individual's death. NARA received two accessions (in 1993 and 1994), but has not received any additional transfers of these records. Please contact Thomas Brown at (301) 713-6630, ext. 232 to arrange to transfer the eligible electronic records to NARA.

We commend the FBI for expediting the review and transfer of records to the National Archives.
If you have any questions, please contact Mary Donovan at (301) 713-7110, ext. 257.

Sincerely,


MARIE B. ALLEN
Director
Life Cycle Management Division

Attachments

Official File - NWML **(1301-1b Department of Justice, Federal Bureau of Investigation)**
Reading File - NWML

cc : NWCT, James Hastings
NWMD, Jeanne Schauble
NWME, Michael Carlson,
MWML, Mary Donovan

Carol L. Keeley
Unit Chief, Historical and Executive Review Unit
Office of Public and Congressional Affairs
Federal Bureau of Investigation
935 Pennsylvania, Ave., NW
Washington, DC 20535-0001


MD/jh/02/08/2001

Saved as S:\correspondence/fbi0101



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

NOV 2 1999

Mr. Dennis R. Weaver
Section Chief
Information Management Section
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535-0001

Dear Mr. Weaver:

Representatives of the National Archives and Records Administration, the FBI, and the Department of Justice have been working together for several months to develop a plan for the declassification of FBI records and transfer of the records to the National Archives. On October 22 members of the staff of the Office of Records Services met with representatives of the FBI and the Department of Justice to discuss declassification priorities, accessioning practices, and the records disposition schedule for FBI records. This letter is a follow-up to that meeting and provides information that the FBI and DOJ participants requested.

We were asked to provide a list of FBI case file classifications that our researchers have expressed the most interest in. We were also asked if we would accession records prior to their being eligible for transfer according to the FBI's records disposition schedule. This early accessioning would be in accordance with the terms of the 1995 Memorandum of Understanding signed by the Director of the Information Security Oversight Office and the Attorney General concerning Executive Order 12958.

I have enclosed a list that identifies the classes of FBI case files that are most frequently requested by researchers. I have also enclosed a list of classes that have been accessioned by the National Archives. We would appreciate any efforts the FBI can make to give the most frequently requested records a high priority for declassification review, particularly those from the earlier date periods.

We will be happy to accession records as they are declassified. Please be aware, however, that accessioning will not necessarily mean immediate public access. Over the course of the next year we will be transferring into the National Archives approximately 300,000 cubic feet of records from the Washington National Records Center in Suitland, Maryland. This huge influx of accessions will divert many of our resources so we may not be able to process fully the FBI records that come to us for several months. Nevertheless, we will continue to work closely with the FBI to ensure that the declassified records are brought into our custody as soon as they are offered.

Another topic that was discussed on October 22 was the relationship between the FBI records disposition schedule and the 1995 Memorandum of Understanding concerning EO 12958. The MOU

mandates the transfer of records to NARA 25 years after close of case, while the FBI records disposition schedule specifies different dates of transfer. Depending on the classification, the schedule requires that FBI records be transferred when they are 30 or 50 years old.


As you know, the Bureau's records disposal program came under intense judicial scrutiny in 1980-81 when both the FBI and NARA were defendants in *American Friends Service Committee, et al., v. William H. Webster, et al.* Under federal court order, a special NARA task force developed a comprehensive records schedule for FBI Headquarters and field office records which the court approved in November 1981. The Bureau has been using the 1981 schedule for records disposal authority; however, that document is now almost 20 years old and needs revision. The FBI's records schedule does not reflect current FBI records management practices. For example, the FBI has eliminated the creation of FBI Headquarters case file and is using the Automated Case Support (ACS) system, an electronic system, to create case files.

One approach to reconcile the different transfer instructions of the MOU and the schedule is for NARA and the FBI to work in partnership on a project to update the FBI's records schedule effective Oct. 1, 2001. NARA has recently initiated a targeted assistance program to help agencies with their critical records management needs. Although all projects have already been selected for FY2000, the FBI could apply for assistance with the updating of the schedule for consideration as an FY2001 targeted assistance project. Appraisal archivist Mary Donovan can advise you on the format and requirements for submitting such applications.

Meanwhile, we encourage you, where practicable, to review the high priority classes in accordance with the terms of the MOU and to transfer these records at 25 years.

I commend the FBI for expediting the transfer of records to NARA and look forward to working closely with you and your staff when we update the FBI records schedule.

Sincerely,



MICHAEL J. KURTZ
Assistant Archivist for
Records Services – Washington, DC

Enclosures

FBI Records Accessioned by the National Archives

Class	Title	Dates	Comments
1	National Academy Matters	1935-41	HQ and FO
7	Kidnapping	1932-37	HQ
15	Theft from Interstate Shipment	1920-67	HQ and FO
25	Selective Service Act	1922-67	HQ and FO
26	Interstate Transportation of Stolen Motor Vehicles and Stolen Aircraft	1931-63	HQ and FO
32	Fingerprint Matters (Federal Building Sites)	1923-41	HQ and FO
34	Lacy Act	1921-43	HQ
35	Civil Service	1921-43	HQ
36	Mail Fraud	1921-49	HQ
38	Naturalization Matters (Application for Pardon to Restore Civil Rights)	1921-35	HQ
42	Deserter; Deserter Hoarding	1920-60	HQ and FO
44	Civil Rights	1951-55	HQ
61	Treason	1921-36	HQ
87	Interstate Transportation of Stolen Property	1934-40	HQ and FO
88	Unlawful Flight to Avoid Prosecution	1938-52	HQ and FO
91	Bank Robbery	1931-66	HQ and FO
95	Laboratory Examinations	1937-40	HQ
100	Domestic Security	1942-76	HQ and FO
176	Anti-Riot Law	1968-71	HQ and FO

Plus

Miscellaneous Classes/case files relating to World War II

Special Cases: MLK, Hobson, CISPES, JFK

Classes recommended as priorities for 25-year declassification review and transfer to NARA:

1. Continuations of classes already accessioned:

44--Civil Rights 1959-75
61--Treason 1937-75
176-Anti-Riot Law 1972-75

2. Additional classes

157--Civil Unrest 1959-75
173--Civil Rights of 1964 1964-75
65----Espionage 1920's-1975
105---Foreign Counterintelligence 1938-75
74----Perjury 1924-75
92----Racketeering Enterprise Investigations 1936-75

Official File -- NW

CC: NWML

NWML -- Mary Donovan ✓

NWCT

NWMD

GayLa D. Sessoms
FOIA Initiatives Coordinator
Department of Justice
Office of Information and Privacy
Flag Building, Suite 570
Washington, DC 20530

Carol L. Keeley
Chief, Historical and Executive Review Unit
Office of Public and Congressional Affairs
Room 11144
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20530

William Shackelford
Records Disposition/Archival and
Micrographics Subunit
Room 4933
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

October 27, 2000

Carol L. Keeley
Chief, Historical and Executive Review Unit
Office of Public and Congressional Affairs
Room 11144
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20530

Dear Ms. Keeley,

This is in reply to your October 26, 2000 phone conversation with Mary Donovan concerning additional classifications for FBI review. It is our understanding that the FBI would like to review some classifications that can be reviewed quickly at the same time they are reviewing the more complex and sensitive records listed on the November 6, 1999 letter from Michael Kurtz.

We have consulted with officials and archivists in NARA's Textual Archives Services Division and they agree with the FBI's suggestion that the following classes be reviewed:

- 9 Extortion
- 29 Financial Institution Fraud
- 46 Fraud Against the Government
- 165 Interstate Transmission of Wagering Information
- 166 Interstate Transportation in Aid of Racketeering,
- 167 Destruction of Interstate Property
- 168 Interstate Transportation of Wagering Paraphernalia
- 174 Bomb Threats
- 183 Racketeer Influenced and Corrupt Organizations

The Textual Archives Services Division did not recommend any other classifications be added to the above list. We commend the FBI for expediting the review and transfer of records to NARA. If you have any questions, please contact Mary Donovan at (301) 713-7110, ext. 257.

Sincerely,

MARIE B. ALLEN
Director
Life Cycle Management Division

Official file - NWML

Reading file - NWML

cc: James Hastings, NWCT
Mary Donovan, NWML,

Dennis R. Weaver, Section Chief
Information Management Section
Room 9998
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

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

GayLa D. Sessoms
FOIA Initiatives Coordinator
U.S. Department of Justice
Office of Information and Privacy
Flag Building, Suite 570
Washington, DC 20530

(1301-1b Federal Bureau of Investigation)

MD/jh/10/27/200

Saved as S:\Correspondence\FBI letter for new classes

February 11, 2001

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

Dear Mr. Shackelford:

This is a follow-up to our letter dated February 8, 2001 relating to your January 25, 2001 phone request for additional classifications. After consulting with officials in the National Archives and Records Administration's (NARA) Textual Archives Services Division and the Initial Processing and Declassification Division we recommend that the FBI review the following classifications:

109	Foreign Political Matters
110	Foreign Economic Matters
111	Foreign Social Conditions
112	Foreign Funds
113	Foreign Military and Naval Matters

It is our understanding that the FBI will continue to review the classifications listed in the NARA letters dated November 6, 1999, October 27, 2000, and February 8, 2001. We commend the FBI for expediting the review and transfer of records to the National Archives. If you have any questions, please contact Mary Donovan at (301) 713-7110, ext. 257.

Sincerely,


MARIE B. ALLEN
Director
Life Cycle Management Division

cc: Carol L. Keeley
Unit Chief, Historical and Executive Review Unit
Office of Public and Congressional Affairs
Federal Bureau of Investigation
935 Pennsylvania, Ave., NW
Washington, DC 20535-0001

Official File - NWML (1301-1b Department of Justice, Federal Bureau of Investigation)
Reading File - NWML

cc :

NWCT, James Hastings
NWCT, Dave Van Tassel
NWMD, Jeanne Schauble
NWML, Mary Donovan


MD/jh/02/09/2001

Saved as S:\correspondence/fbi0201mtd



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

May 3, 2001

Mr. William Shackelford
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear Bill:

Enclosed for your files are copies of the signed Standard Forms 258 (our numbers NN3-065-01-005 and NN3-065-01-006) for the Class 72 and Class 176 records recently transferred to us. As indicated by my signature on line 16 of the forms, these records have been accepted into the National Archives of the United States.

Thank you for your continuing assistance.

Sincerely,

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 12, 2000

Mr. William Shackelford
Federal Bureau of Investigation
Room 4933
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear Bill:

Enclosed for your files are copies of the signed Standard Forms 258 (our numbers NN3-065-01-003 and NN3-065-01-004) for the records in Classes 176 and 31, respectively, that were recently transferred to us. As indicated by my signature on line 16 of the forms, these records have been accepted into the National Archives of the United States.

Thank you for arranging this transfer and, in particular, for delivering the records.

Sincerely,

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

July 18, 2001


Mr. William Shackelford
Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear Bill:

Enclosed for your files are copies of five signed Standard Forms 258 (our numbers NN3-065-01-007 through NN3-065-01-011) for the recent transfers of Classes 50, 54, 65, 72, and 101. As indicated by my signature on line 16 of each form, these records have been accepted into the National Archives of the United States.

Thank you for boxing and delivering these records to us. If you have any questions, please let me know (telephone 301-713-7160, x228, or e-mail Ron.Swerczek@nara.gov).

Sincerely,


RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 5, 2002

Ms. Carol Keeley
FBI Headquarters
Room 11144
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Keeley:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-00-004, NN3-065-00-008, NN3-065-01-001, NN3-065-01-002, NN3-065-01-012, NN3-065-01-013, NN3-065-01-014, NN3-065-01-015, NN3-065-02-008, NN3-065-02-009, NN3-065-02-011, NN3-065-02-012, and NN3-065-02-016) for records of your agency recently transferred to the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosures



*William Shackelford
Archives Specialist
Federal Bureau of Investigation*

September 26, 2001

Ron:

Today's transfer of FBI records included records from Classification 65 and Classification 101. Within these classifications was some material that is currently classified at the "TOP SECRET" level. I was unable to complete the FBI paperwork which is required from the movement of "TOP SECRET" material. I will complete the forms and make the delivery as soon as possible.

The "TOP SECRET" material is contained within the following boxes:

Classification 65 - Box 153

Classification 101 - Box 114

Also, for your information within Classification 44 - Box 492 - Case File 44-10985 Serial 73 is a Bulky Enclosure. The enclosure is two reels of microfilm that you may want to remove from this box and place in a more suitable location. > Reels were not removed. EDS/nwmd/10/17/01.

*Bill Shackelford
202-324-6903*



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

October 17, 2001

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

Dear Bill:

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

Thank you for offering and delivering these records to us.

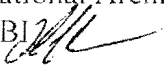
Sincerely,

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures

Sanita-
- FBI/

Memo

To: Steve Hamilton, National Archives
From: Carol L. Keeley, FBI 
Date: 3/14/01
Subject: RELEASE OF OSI SUBJECTS

FBI files regarding **Richard Lindberg, Hans Friedrich, Arthur Rudolph and Herbert Bruno Gerstner** are included in the release of 3/14/01.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 12, 2001

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

Dear Bill:

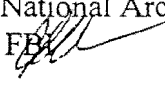
Enclosed for your files are copies of two signed Standard Forms 258 (our numbers NN3-065-02-013 and NN3-0675-02-015) for the records in Classes 44 and 65 that you transferred to us recently. As indicated by my signature in block 16 of the forms, these records have been accepted into the National Archives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

Thank you for arranging this transfer and for delivering the records. If you have any questions between now and January 3, 2002, please let me know (telephone, 301-713-7160, x228, or e-mail, Ron.Swerczek@nara.gov). For questions relating to the 258 for the King records, you may contact Don McIlwain (telephone, 301-713-7160, x254, or e-mail, Don.McIlwain@nara.gov).

Sincerely,

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Memo

To: Steve Hamilton, National Archives
From: Carol L. Keeley, FBI 
Date: 9/25/01
Subject: RELEASE OF OSI SUBJECTS

FBI files regarding **Walter Meyer** [Walter E. Stubbs] and **Hans Friedrich** [Hans E. Larsen] are included in the release of 9/25/01.

#13

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 25, 2002

Ms Carol Keeley
Federal Bureau of Investigation
HERU
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms Keeley:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-02-010, NN3-065-02-017, NN3-065-02-018, NN3-065-02-019, and NN3-065-02-033) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure

Memo

To: Steve Hamilton, National Archives
From: Carol L. Keeley, FBI
Date: 7/19/01
Subject: RELEASE OF OSI SUBJECTS

FBI file regarding Ernest Rudolf Georg Eckert is included in the release of 7/19/01.

Shipment #11



October 15, 2001

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

Dear Bill:

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

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

Sincerely,

RONALD E. SWERCZEK
Initial Processing/Declassification Division

Enclosures



*William Shackelford
Archives Specialist
Federal Bureau of Investigation*

September 26, 2001

Ron:

Today's transfer of FBI records included records from Classification 65 and Classification 101. Within these classifications was some material that is currently classified at the "TOP SECRET" level. I was unable to complete the FBI paperwork which is required for the movement of "TOP SECRET" material. I will complete the forms and make the delivery as soon as possible.

The "TOP SECRET" material is contained within the following boxes:

Classification 65 - Box 153

Classification 101 - Box 114

Also, for your information within Classification 44 - Box 492 - Case File 44-10985 Serial 73 is a Bulky Enclosure. The enclosure is two reels of microfilm that you may want to remove from this box and place in a more suitable location.

*Bill Shackelford
202-324-6903*

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

April 21, 2003

Mr. William Shackelford
Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Mr. Shackelford:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-03-002, NN3-065-03-003, NN3-065-03-004, and NN3 065-03-005) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

January 22, 2003

Mr. Steven Garfinkel
Chairman, Interagency Working Group
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, D.C. 20408

Dear Mr. Garfinkel:

I am writing to you in response to an inquiry from the Department of Energy (DOE) as to whether FBI personnel, who reviewed the public release of FBI information under the Nazi War Crimes Disclosure Act, had received training in the recognition of sensitive DOE information within the FBI material.

All FBI personnel, who reviewed and redacted FBI material transferred to the National Archives and Records Administration (NARA), were certified, by the DOE, as having received the appropriate training necessary for the recognition of sensitive DOE information. Any material deemed to contain sensitive DOE information was segregated and marked for DOE review when FBI material was transferred to NARA.

Once again the FBI is honored to have played a role in the fine work performed by the IWG during the past several years. The spirit and commitment of the board and the guidance and leadership provided by you and your staff is most commendable. The American people will benefit from your efforts for generations to come.

Sincerely yours,

William L. Hooton
Assistant Director
Records Management Division

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 2, 2002

Ms. Carol Keeley
FBI Headquarters
935 Pennsylvania Avenue NW Room 11144
Washington DC 20535

Dear Ms Keeley:

Enclosed is a signed copy of Standard Form 258 (our number NN3-065-03-001) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

November 5, 2002

Ms. Carol Keeley
FBI Headquarters
Room 11144
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Keeley:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-02-023, NN3-065-02-024, NN3-065-02-026, NN3-065-02-031, and NN3-065-02-032) for records of your agency recently transferred to the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosures

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 2, 2002

Mr. William Shackelford
Archives Specialist
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Mr. Shackelford:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-02-027 and NN3-065-02-028, NN3-065-02-029, and NN3-065-02-030) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

September 29, 2003

Ms Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Mc*

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-03-008 and 009) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 5, 2003

Ms. Marie Allen
Supervisory Archivist/ Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. ~~Allen~~: *Marie*

Enclosed is an unsigned copy of Standard Form 258 (our number NN3-065-03-0007) recently offered to the National Archives and Records Administration. We have determined that the records covered by this job were subsequently offered to and accessioned by the National Archives under our Job NN3-065-04-002.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 9, 2003

Mr. William Shackelford
FBI Archives Specialist
Room 1B327 Box 20
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Mr. Shackelford:

Enclosed is a signed copy of Standard Form 258 (our number NN3-065-03-006) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 17, 2003

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Marie*

Enclosed is a signed copy of Standard Form 258 (our number NN3-065-04-003) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

A handwritten signature in dark ink, appearing to read "R. Wood".

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 5, 2003

Ms. Marie Allen
Supervisory Archivist/ Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-04-001 and 002) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

February 17, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-04-006, 007,008, 009, 010, 011, 012, and 014) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

February 19, 2004

Ms. Marie Allen
Supervisory Archivist/ Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie

Enclosed is a signed copy of Standard Form 258 (our number NN3-065-03-013) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



**William Shackelford
Archives Specialist
Federal Bureau of Investigation**

January 20, 2004

Attached SF-258s have been approved by Marie Allen.

I have arranged for the shipping truck for this Friday 1/23/2004. At the time of the transfer, I will delivered the "original" SF-258s and the Inventory Diskette for the material. Hopefully, I will also have another set of approved SF-258s for a delivery on next Friday 1/30/2004.

Any questions may be directed to me at (202) 324-6903.

Bill Shackelford



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

January 5, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-04-004 and 005) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

Richard E. Wood

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

April 2, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Marie*

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-04-016 and NN3-065-04-019) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

March 26, 2004

Ms. Marie Allen
Supervisor Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie:

Enclosed are signed copies of Standard Form 258 (our numbers NN3-065-04-017 and 018) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

*8601 Adelphi Road
College Park, Maryland 20740-6001*

October 21, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Marie*

Enclosed are copies of Standard Form 258 (our numbers NN3-065-04-025 and 026) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

*8601 Adelphi Road
College Park, Maryland 20740-6001*

August 23, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20505

Dear Ms. Allen: *Marie*

Enclosed is a copy of Standard Form 258 (our number NN3-065-04-024) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

May 12, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie

Enclosed are copies of Standard Form 258 (our numbers NN3-065-04-020, 021, 022, and 023) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

Richard E. Wood

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

May 2, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-001) for 320 cubic feet of records of your agency transferred in November 2005 to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,

A handwritten signature in cursive script, appearing to read "Alex J. Daverede III".

ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 29, 2005

Ms. Debra O'Clair
Supervisory Archivist/Assistant Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. O'Clair:

Enclosed are copies of Standard Form 258 (our numbers NN3-065-05-012, 015 and 016) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 1, 2005

Ms. Debra O'Clair
Supervisory Archivist/Assistant Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. O'Clair:

Enclosed are copies of Standard Form 258 (our numbers NN3-065-05-013 and 014) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 10, 2005

Mr. William Hooton
Assistant Director
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Mr. Hooton:

Enclosed is a copy of Standard Form 258 (our number NN3-065-05-011) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

April 19, 2005

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Marie*

Enclosed are copies of Standard Form 258 (our numbers NN3-065-05-005, 006, 007, 008, and 010) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

April 21, 2005

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Thorne*

Enclosed is a copy of Standard Form 258 (our number NN3-065-05-009) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

A handwritten signature in dark ink, appearing to read "R. Wood".

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

January 12, 2005

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen: *Thane*

Enclosed is a copy of Standard Form 258 (our number NN3-065-05-004) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

December 29, 2004

Ms. Marie Allen
Supervisory Archivist/Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington DC 20535

Dear Ms. Allen:

Marie

Enclosed are copies of Standard Form 258 (our numbers NN3-065-05-001 to 003) for records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-0595) or by e-mail Richard.Wood@nara.gov

Sincerely,

RICHARD E. WOOD
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

August 14, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-005) for 3 cubic feet of records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,

ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

July 6, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Teresa
Dear Ms. ~~Sharkey~~:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-004) for 320 cubic feet of records of your agency transferred in March 2006 to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,

A handwritten signature in cursive script, appearing to read "Alex J. Daverede III".

ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

*8601 Adelphi Road
College Park, Maryland 20740-6001*

March 14, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Teresa
Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-002) for 400 cubic feet of records of your agency transferred in November 2005 to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,


ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

April 2, 2007

Teresa C. Sharkey/Unit Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20535

Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-07-002) for 80 cubic feet of records that your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1484) or by e-mail at patricia.anderson@nara.gov.

Sincerely,

PATRICIA ANDERSON
Supervisory Archivist
Civilian Records Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

November 28, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-00⁸2) for 400 cubic feet of records from your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States:

If you have any questions about this transfer, please let me know by telephone (301-837-1484) or by e-mail patricia.anderson@nara.gov

Sincerely,

Patricia Anderson
Branch Chief
Records Control Branch

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

January 29, 2007

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-009) for .25 cubic feet of records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1484) or by e-mail at patricia.anderson@nara.gov.

Sincerely,

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

PATRICIA ANDERSON
Supervisory Archivist
Civilian Records Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

November 7, 2006


Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. ^{Teresa}Sharkey:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-007) for 280 cubic feet of records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,


ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

November 6, 2006

Teresa C. Sharkey, CRM
Records Management Division
Federal Bureau of Investigation
935 Pennsylvania Avenue NW
Washington, D.C., 20008

Dear Ms. ^{Teresa}~~Sharkey~~:

Enclosed is a copy of the Standard Form 258 (our number NN3-065-06-006) for 320 cubic feet of records of your agency recently transferred to the custody of the National Archives and Records Administration. The signature on Line 16 confirms that the records have been accepted into the Archives of the United States.

If you have any questions about this transfer, please let me know by telephone (301-837-1647) or by e-mail alex.daverede@nara.gov

Sincerely,

ALEX J. DAVEREDE III
Supervisory Archivist
Initial Processing and Declassification Division

Enclosure:

SF 258 Copy

The Honorable Louis J. Freeh
Federal Bureau of Investigation
935 Pennsylvania Ave., NW
Washington, DC 20535

Dear Mr. Freeh:

I am writing to commend you for the records management initiatives outlined in your May 16, 2001, statement before the House Appropriations Subcommittee. Designating a senior official with records management responsibilities, clarifying policies and directives, improving document management systems, and expanding agency-wide training in records management are all worthwhile and necessary improvements for the records management program at the FBI. We agree that "the proper creation, filing and dissemination of (FBI) investigative records is as important to ensuring the rights of those whom we investigate as compliance with other constitutional and procedural requirements."

The National Archives and Records Administration, as the Federal agency responsible for the management of Government records, is committed to assisting agencies with their records management programs. We are ready to assist you in your efforts to improve records management within the Bureau. We would be available to meet with you or your designee to discuss both long-term strategies and immediate remedies to improve records management policies and practices.

If you would like to schedule a meeting to discuss a potential partnership between our agencies, please contact me or my Deputy, Lewis Bellardo, at 301-713-6410 or send us both e-mail at john.carlin@nara.gov and lewis.bellardo@nara.gov.

Sincerely,

LEWIS J. BELLARDO

JOHN W. CARLIN
Archivist of the United States

Official File – NWML – 1301-1a FBI
Reading File – NWML, N, ND
Ma/sg/05/18/01
s:\correspondence\FBI.mba

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

AUG 9 2001

Mr. Timothy Munson
Section Chief
Federal Bureau of Investigation
Module A-3
1000 Custer Hollow Road
Clarksburg, WV 26306-0147

RE: 66 FR 35567, National Instant Criminal Background Check System

Dear Mr. Munson:

The National Archives and Records Administration appreciates the opportunity to comment on the proposed rule relating to the National Instant Criminal Background Check System. We realize that deletion of information from the NICS has become a controversial policy issue. NARA takes no position on the policy, but we need to advise you that the information disposal provisions of the regulation need to be reconciled with Federal law governing records disposition.

The Brady Act does not establish a specific period in time after which the records must be destroyed. The Federal Records Act (44 U.S.C. Chapters 29, 31, and 33) requires agencies to submit schedules proposing destruction of records after "specified periods of time" (44 U.S.C. 3303). Only after approval of the records schedule by the Archivist of the United States may agencies destroy records. The law specifically states that the procedures in Chapter 33 for the disposal of records "are exclusive, and records of the United States Government may not be alienated or destroyed except under this chapter" (44 U.S.C. 3314). Consequently, the provisions of 28 CFR 25.9 relating to the destruction of Federal records may not be implemented until the records have been scheduled.

In addition, we have already notified Mr. Robert J. Garrity, Jr., at the FBI Office of Inspections (copy of letter enclosed) that the current provisions of that regulation should be suspended pending approval of a records disposition schedule by the Archivist of the United States.

If you have any questions, please contact Mary Donovan on 301-713-7110 ext. 257. Email mary.donovan@nara.gov.

Sincerely,

LEWIS J. BELLARDO
DEPUTY ARCHIVIST OF THE UNITED STATES
AND CHIEF OF STAFF

Enclosure

cc:

Official file – NWML

Reading file – NWML

Reading file – NWM

NPOL

NGC

Robert J. Garrity, Jr.

Federal Bureau of Investigation

Office of Inspections

935 Pennsylvania Ave., NW

Washington, DC 20535-0001

S:/comments about FBI's NICS

File: 1301-1a Federal Bureau of Investigation

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 30, 2001

Mr. Robert J. Garrity, Jr.
Federal Bureau of Investigation
Office of Inspections
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Dear Mr. Garrity:

It has come to our attention that the FBI's National Instant Criminal Background Check System (NICS) records are being destroyed without an approved disposal authority. If our understanding is correct and the FBI has been destroying records, please discontinue this practice until you receive proper disposal authority. We understand that the current retention periods for these records, specifically the audit log records, is specified in 28 CFR 25.9. However, under such circumstances, agencies are still required to submit SF 115s, *Request for Records Disposition Authority*, to receive disposal authority from the National Archives and Records Administration.

Under 44 USC 2905 the Archivist of the United States is required to notify the head of a federal agency of any "actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency that shall come to his attention." Attached for your information is a copy of the Federal regulation relating to the reporting of accidental destruction or alienation of Federal records (36 CFR 1228.104). We would appreciate your investigation of this matter and providing us with a response by August 20, 2001

Thank you for your cooperation. I trust that you understand our interest in securing compliance with the Federal Records Act. If you have any questions, please contact Mary Donovan at (301) 713-7110, ext. 257.

Sincerely,

MICHAEL L. MILLER
Director
Modern Records Programs

Enclosure



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date : August 13, 2001

Reply to

Attn of : Mary T. Donovan, NWML

Subject : Telephone call to FBI about letter dated July 19, 2001

To : Memo to file

I spoke with Bill Shackelford in response to his July 19, 2001 letter concerning an electronic system used for Freedom of Information Act redactions. I told him he could use GRS 20, item 3 (electronic versions of records scheduled for disposal) to dispose of records covered by GRS 14 (Information Services Records).

Mr. Shackelford confirmed that the FBI would not use the GRS to destroy permanent records covered by Class 190 (Freedom of Information Act – Privacy Act) in the FBI's records retention plan.

I told Mr. Shackelford if the FBI's FIOA unit wanted further clarification they could contact me.

A handwritten signature in cursive script that reads "Mary T. Donovan".

MARY T. DONOVAN
Life Cycle Management Division

File: Rep. Justice (FBI) 1301-1a



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

July 19, 2001

Mr. Stephen Cooper
Modern Records Program - NWML
Room 2100
National Archives and Records Administration
8601 Adelphi Road
College Park, Maryland 20740

Dear Mr. Cooper:

The purpose of this letter is to obtain approval from the National Archives and Records Administration (NARA) to maintain official records which have a short-term life cycle in an electronic medium in lieu of the maintenance of volumes of textual records. All of these temporary records are disposable in accordance with the NARA-approved General Records Schedule, Item 14.

The Freedom of Information Document Processing System (FDPS) is an automated system that allows personnel from the Freedom of Information Privacy Acts (FOIPA) Section of the FBI to electronically process FBI records for the public. When a request for FBI records is received from a member of the public, the request letter is scanned and cataloged into the FDPS. This action creates an Electronic Request Folder (ERF). Once the files pertinent to the request are gathered from the FBI Central Records System, the original case files are scanned into the FDPS in a Tagged Image Format (TIF). Each TIF is an image of the original paper page from documents that already exist in the FBI

Mr. Stephen Cooper
National Archives and Records Administration

records system. Information is then redacted from the images. After supervisor approval, the images are sealed (redacted information removed), printed and sent to the member of the public who requested the information. National Security classification markings are made on the original paper copy of the record prior to scanning. If additional classification markings are necessary after a document has been scanned, the original paper copy and an electronic copy are identically marked. There is no Top Secret or above information housed in the FDPS.

The FDPS stores the original view (unmarked) of the scanned image, the redacted view (see-through redactions), and the sealed version (erased redactions) of all documents. These scanned images are easily accessible for viewing by records managers and can be printed when necessary. The FDPS users also have the ability to export the images to a directory from which CD-ROM can be created. Records, as released to the public, can be printed from the CD-ROM.

The FDPS database is backed up on digital linear tapes each night. Tapes are sent off-site for storage in case the system must be restored due to fire or other catastrophe. The FDPS also utilizes an Optical Jukebox for storage purposes on-site. It contains redundant optical data disks to serve as additional backup and storage of closed FOIPA requests (images).

As previously stated, the FBI is currently maintaining the paper copies of the released records at an offsite location as part of the Central Records System. This was necessary before the advent of FDPS. However, with FDPS there is no need any longer for the FOIPA Section to maintain paper. It currently presents a great burden to the Section employees, as it requires the copying of all packages of records after the records are printed for release to the public. The FDPS is a self-contained electronic records storage system with easy access by FOIPA records managers for viewing and printing. The FDPS allows the viewing of FOIPA cases (records) on FOIPA desktop computers via an easily accessible electronic search and index capability. Additionally, the FOIPA records are only used by FOIPA personnel and are of little, if any, interest and use by other FBI entities, with the exception of the Civil Discovery Review Unit (CDRU) within the Office of the General Counsel. CDRU will be utilizing the FDPS system and personnel from the unit will have the same access to FOIPA requests (cases) as FOIPA users.

Mr. Stephen Cooper
National Archives and Records Administration

Please be advised that in the event that any of the aforementioned records are determined to be "PERMANENT" under the criteria set forth in the FBI Records Retention Plan and Disposition Schedules, steps will be taken to ensure that the material is maintained and transferred to NARA at the appropriate time and in a format compatible with NARA standards.

In addition, should NARA determine that it is necessary to submit a formal "Request For Disposition Authority" on the Standard Form (SF) 115, the FBI will do so as quickly as possible.

Your attention to this matter is greatly appreciated. Any further questions concerning this matter may be directed to me at (202) 324-6903.

Sincerely,

A handwritten signature in black ink, appearing to read "William Shackelford". The signature is fluid and cursive, with a large, stylized initial 'W'.

William Shackelford
Archives Specialist

August 15, 2001

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

Dear Mr. Shackelford:

Per your phone conversation with Mary Donovan we are returning without action your SF 115, *Request for Records Disposition Authority*, covering Project VINNY. This appears to be an output of a larger electronic system, the National Crime Information Center (NCIC) system. We suggest that you schedule the Project VINNY records as part of a larger schedule covering the NCIC system. The schedule should include descriptions and dispositions for inputs, outputs, masterfiles, and system documentation.

In addition, NARA offers several courses relating to scheduling of federal records, including Scheduling Records and Managing Electronic Records. Please visit NARA's web site at <http://www.nara.gov/records/rmtrain.html> for a list of course descriptions and dates for records management courses.

If you have any questions, please contact Mary Donovan at (301) 713-7110, ext. 257.

Sincerely,

STEPHEN COOPER
Work Group Leader

Enclosure

Official file - NWML
Reading file -NWML

**file - (1301-1a Department of Justice,
Federal Bureau of Investigation)**


cc: Donovan

Robert J. Garrity, Jr.
Federal Bureau of Investigation
Office of Inspections
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

Donovan/jh/08/15/2001

S:\correspondence\ fbi0801mtd

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) Department of Justice		DATE RECEIVED	
2. MAJOR SUBDIVISION Federal Bureau of Investigation		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or withdrawn" in column 10.	
3. MINOR SUBDIVISION Criminal Justice Information Services		DATE	
4. NAME OF PERSON WITH WHOM TO CONFER Kimberly E Rogers	5. TELEPHONE 304-625-3624	ARCHIVIST OF THE UNITED STATES	

6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 07/19/2001	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Archives Specialist

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Records created to aid in the reduction of illegal exportation of stolen motor vehicles at ports throughout the United States (Project VINNY).</p> <p>Project VINNY is a computer system developed by the CJIS Division to enhance the capabilities of the National Crime Information Center (NCIC) and aid in reducing the illegal exportation of stolen vehicles at ports throughout the country. VINNY provides law enforcement officials located at United States (U.S.) ports, the capability to electronically submit a batch file of Vehicle Identification Numbers and have them processed overnight against the NCIC and the National Insurance Crime Bureau (NICB) database.</p> <p>Both the NCIC and the NICB databases maintain important investigative information for law enforcement officials operating at the ports. The NCIC is a nationwide, computerized information system established as a service to all criminal justice agencies; local, state, and federal. The goal of NCIC is to help the criminal justice community perform its duties by providing and maintaining a computerized filing system of accurate and timely documented criminal justice information. Maintained within NCIC is the NCIC Vehicle File, which provides information on stolen vehicles and those vehicles used in the commission of a felony. The NICB database provides vehicle information such as; previous export records, impound records, salvage records, and rental information. The information provided by both the NCIC and the NICB database is vital to the investigator working at the port.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NO.	PAGE 2 OF 2
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>Since U.S. Customs regulations currently require vehicles to be presented for export a minimum of 72 hours prior to export, it is imperative that the information from these databases be provided to the investigator in a timely and efficient manner.</p> <p>In order for investigators to thoroughly examine vehicles presented for export within the 72-hour window, VINNY provides overnight responses on all vehicle queries generated at the port. Once processed by VINNY, responses are collated into a comprehensive, user-friendly report which identifies "hits" from the NCIC and the NICB database. Information relative to these "hits" is furnished to the Criminal Investigative Division - Interstate Theft/Government Reservation Crimes Unit. By analyzing these "hit" reports, law enforcement is able to interdict stolen vehicles before being exported from the U.S.</p> <p>1) Information relative to the "hits" furnished to the Criminal Investigative Division - Interstate Theft/Government Reservation Crimes Unit which result in a criminal investigation.</p> <p style="padding-left: 40px;">Retain/destroy commensurate with provisions of NARA approved disposition schedule as NARA Job Number NC1-65-82-4.</p> <p>2) Negative information which has as a result of vehicle identification numbers being processed against the NCIC and the NICB databases.</p> <p style="padding-left: 40px;">TEMPORARY - Destroy 60 days after vehicle has been presented for export through a U. S. Customs Service port.</p>		

October 16, 2001

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

Dear Mr. Shackelford:

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

If you have any questions, please contact me at (301) 713-7110, ext. 257.

Sincerely,

MARY T. DONOVAN
Life Cycle Management Division

Enclosure

Official File – NWML
Reading File – NWML

File - **(1301-1a Department of Justice,
Federal Bureau of Investigation)**

Cc: NWML (Donovan) N1-65-01-1

Robert J. Garrity, Jr.
Federal Bureau of Investigation
Office of Inspections
935 Pennsylvania Ave., NW
Washington, DC 20535-0001

MDonovan/jh/10/16/2001
S:\correspondence\fb1001 *mm*

April 18, 2002

Mr. William L. Hooton
Assistant Director
Office of Records Management
Federal Bureau of Investigation, Room 10143
935 Pennsylvania Avenue, N.W.
Washington, D.C. 20535-0001

Dear Bill:

Thank you for meeting with us on April 11 to discuss our *Interim Report with Findings and Recommendations*, and to plan the next phase of our records management assessment project. The meeting was productive, and we appreciate your comments and the assistance we have received from FBI staff. We understand that you approve the format and content of the *Interim Report* and that subsequent reports should be organized in a similar manner. We are committed to working closely with you and your staff to ensure that our report will successfully address the recordkeeping issues you identified.

As we agreed, we will focus the next phase of the assessment on records maintained in FBI field offices, which are the office of origin for FBI investigative case files. We are working with both Bob Garrity and Bill Shackelford to arrange these visits. Following our visits to the three field offices (currently Richmond, VA; Kansas City, MO; and Los Angeles, CA), we agreed to arrange another meeting with you to discuss our findings and recommendations, and to plan the next steps of our partnership activity.

As a result of the discussions on April 11, we have modified our questionnaire (enclosed) to develop more information about how FBI personnel are using email, and to allow the interview subjects to identify areas where FBI recordkeeping could be improved to be more useful to them. We have also developed a separate data collection sheet (enclosed) to review a small number of paper case files and their corresponding automated case support (ACS) system records. This will require some additional time (estimated at about two hours) from an IMA staffer during each field office visit.

We understand that we may not be able to review email of FBI staff during the Richmond field office visit. One option is to copy random emails to disk for our review at FBI Headquarters, after approval from the Office of General Counsel. Please let us know how you would like to handle our review of FBI email in the other field offices.

As we discussed with Bob Garrity, we are obligated to notify our regional facilities whenever we visit a federal office within their region. Often our regional colleagues are interested in accompanying us on visits to these offices. We will notify you of the regional office staff who wish to accompany us, and arrange for the necessary security and background clearances with your office prior to the visits.

After the assessment is completed, we will look forward to addressing with you some of the other records management issues discussed in our meeting. NARA's previous five-year-update reviews of the FBI schedule identified the need for dispositions for the FBI's electronic systems, the appraisal of new case classifications, and the reappraisal of previous disposition authorities as a result of the elimination of the Headquarters case files. These are big projects that will require significant time and effort from both our agencies, and it is probably important to begin planning for them. Mike Miller and I look forward to discussing these projects and other issues with you in the future.

Sincerely,

MARIE B. ALLEN
Director
Lifecycle Management Division

Enclosures

Official file – NWML
Day file - NWML

File: 1311.1a Department of Justice/Federal Bureau of Investigation

cc: Baume
Cooper
Tiernan
Veach
Drak
Cotter

Lb/sg/04/18/02

Doc: s:\wg2\hooton letter following interim meeting.doc

CASE FILE ANALYSIS

1. Division, Section and Unit Name:
2. Interviewee name, job title, and contact information:
3. Case File Number:
4. Title of Case (if unclassified):
5. Total Number of serials in case:
6. Examples of information entered into ACS regarding the case:
7. Similarities or discrepancies between case file and information entered into ACS regarding case:

PART 1: GENERAL – for all respondents

Division, Section and Unit Name _____

Interviewee name and job title _____

1. Do you have oversight or supervisory responsibility for managing records/documents/files (records management) for this division, section, branch, or unit?

_____ YES _____ NO _____ DON'T KNOW

If no, who has that responsibility? _____

If yes, are your managing documents/files/ACS duties specifically defined in your job description (as opposed to "other duties as described")?

_____ YES _____ NO _____ DON'T KNOW

What percentage of your time do you spend on managing documents/files/ACS? ____%

2. What office provides records management assistance to you? Please describe the assistance.

3. Please describe your records/files responsibilities.

_____ Create and maintain records for self
_____ Create and maintain records for others
_____ Other (please specify)

4. What records/files/ACS training have you received in the last three years?
Check all that apply.

_____ Overview as part of new employee orientation
_____ Overview as part of position requirements (on-the-job by supervisor)
_____ Formal FBI training class (please list class name and dates below)
_____ Formal ACS training (please includes dates below)
_____ Formal NARA class (please list class name and dates below)
_____ Seminars or conferences (please list seminar name and dates below)
_____ Other, including informal training (please specify below)

5. Which manuals, directives, guidance do you use to control and manage documents, mail, electronic communications and case files? Check all that apply.

<input type="checkbox"/> FBI Manual of Investigative Operations and Guidelines (MIOG)	
<input type="checkbox"/> Manual of Administrative Operations and Procedures (MAOP)	
<input type="checkbox"/> FBI Records Retention Plan	
<input type="checkbox"/> FBI Correspondence Guide	
<input type="checkbox"/> ACS Reference Guide	
<input type="checkbox"/> Federal Records Act (44 USC)	<input type="checkbox"/> NARA Regulations (36 CFR)
<input type="checkbox"/> General Records Schedules	<input type="checkbox"/> NARA Bulletins
<input type="checkbox"/> Other (please specify)	

PART 1A:

6. **SUPPORT STAFF**

What are your records/files responsibilities? Check all that apply.

<input type="checkbox"/> Prepare/ship records to off-site storage	<input type="checkbox"/> Prepare/ship permanent records
<input type="checkbox"/> Enter data/attribute files for ACS	<input type="checkbox"/> Scan records for inclusion in ACS
<input type="checkbox"/> Upload files to ACS	<input type="checkbox"/> Download files from ACS
<input type="checkbox"/> Provide quality control for ACS	
<input type="checkbox"/> Online approval of electronic communications	
<input type="checkbox"/> On paper approval of electronic communications	
<input type="checkbox"/> Other (please specify below)	

7. **AGENTS AND SUPERVISORS**

Describe your use of ACS in the creation and receipt of FBI records. Please check as many as apply.

<input type="checkbox"/> Write/compose electronic communications for self	
<input type="checkbox"/> Write/compose electronic communications for others	
<input type="checkbox"/> Open new cases	<input type="checkbox"/> Open new sub-cases
<input type="checkbox"/> Reclassify cases	<input type="checkbox"/> Scan documents for inclusion in ACS
<input type="checkbox"/> Upload files to ACS	<input type="checkbox"/> Download files from ACS
<input type="checkbox"/> Approve electronic communications of others	
<input type="checkbox"/> Assign leads and/or ticklers	
<input type="checkbox"/> Other (please specify)	

PART 2: RECORDS CREATION AND RECEIPT

8. Please describe how you process the following types of documents/mail:
- a. Related to a case originating in your office
 - b. Related to a case originating in another FBI location
 - c. Leads or tips that do not develop into a case
 - d. Not related to a specific case (i.e., policy directives from HQ, initiatives, etc...)

9. What types of non-serialized documents (especially subject or policy folders) does your unit create? Please specify whether documents are created as paper records, electronic records, or both? If you need more space, please use the reverse side of this page or the last page.

Description

Media

10. Where do you maintain open non-serialized records such as administrative records, subject files, and correspondence files?

☐ Individual agent/employee workspace
☐ Centralized unit file system
☐ Other (please specify)

11. In addition to ACS, what other information systems (databases, tracking systems, case management systems, fingerprint systems, controlled correspondence systems, etc.) do you use? Please list by system name.

For each system listed, please complete questions 28 through 33.

PART 3: RECORDS/FILES MAINTENANCE

12. Are there explicit procedures that define what documents/mail are included in the official Office of Origin case files?

☐ YES ☐ NO ☐ DON'T KNOW ☐ NOT FOR ALL FILE TYPES

13. For any case where you are not in the Office of Origin, are there explicit procedures that define what documents/mail is to be sent to the Office of Origin?

☐ YES ☐ NO ☐ DON'T KNOW ☐ NOT FOR ALL FILE TYPES

14. How do you ensure that transfers of records (documents/mail) to the Office of Origin occur timely and accurately?

15. Do you keep a your own copy of case files when you are not the official Office of Origin?

☐ YES ☐ NO

If yes, what do you keep in your parallel case file?

16. **AGENTS AND SUPERVISORS**

Does your unit have a policy concerning pre-approval drafts and working papers?

☐ YES ☐ NO ☐ DON'T KNOW

If yes, please summarize how that policy is monitored and include a copy of the policy.

17. **SUPPORT STAFF**

Please describe how you file/handle "bulkies" and "enclosures behind the file"

18. Please describe how you differentiate among policy, administrative, and case files for filing and ACS.
19. Please describe the controls in place to track the status and location of open serialized case files.
20. Please describe the controls in place to track reference use of closed case files.
21. Please describe the controls in place to limit access to national security classified documents that are part of a case file? Are these controls the same for open and closed cases?
22. Do you have an Internet kiosk in your office available for staff to use? How is it used?

How do you use electronic mail and the Internet?

- ☐ Intra-agency communication
- ☐ Inter-agency communication
- ☐ Personal communication
- ☐ Do research and collect background information
- ☐ Transfer office documents or investigative case records
- ☐ Other (please specify)

Would using email for investigative work and recordkeeping make it easier or more difficult for you to do your job? Why?

PART 4: RECORDS DISPOSITION

23. How long do you keep investigative case files?

24. Please describe your procedure for closing a case file.

25. Do you have an in-house records storage area for closed files?

_____ YES _____ NO _____ DON'T KNOW

If yes, how do you control records in the storage area (describe the charge-out process).

26. What records/files/documents/electronic files do you throw away or shred in your office?

27. **SUPPORT STAFF**

At what point in time do you send closed files to an IMC or notify the FBI Archival Unit of files in storage?

- _____ Immediately
- _____ When file is closed
- _____ At declassification cutoff
- _____ Never
- _____ Other (please describe)

PART 5: ELECTRONIC RECORDKEEPING

Please answer the following questions for each system identified in question 11 (use additional sheets if required):

28. Please describe the system use or function and how the information relates to hard copy case files.

29. Do you own this system i.e., is your unit responsible for the system?

____ YES ____ NO ____ DON'T KNOW

30. Who manages the design and maintenance of the system?

____ Local Unit or IT ____ FBI-wide ____ Contractor

31. Does this system link to or interact with any other?

____ YES ____ NO ____ DON'T KNOW

If yes, please list that system name and its responsible unit.

32. Who can access the system?

____ All staff, this office only
____ All FBI staff
____ Restricted (please define restrictions)

33. Are any paper records scanned or imaged into this system?

____ YES ____ NO ____ DON'T KNOW

If yes, what happens to the paper after scanning?

Who monitors individual adherence to the policy regarding scanning and destruction of those records?

PART 6: ISSUES AND COMMENTS

34. If the entire case record was readily available to you on-line (in ACS or in an improved electronic system) to what extent would you still rely on the hard copy file?

_____ Always _____ Most of the time _____ Some of the time _____ Seldom

_____ Don't know

Comments

35. Does the present Case Classification System and the Universal Case File Number system work well for you? If you were asked to improve them, what would you recommend?

36. What records/files management issues in your office/section/division would you fix to make your job and/or FBI recordkeeping easier?

37. If you had **one** suggestion for us to take back to FBI HQ that would make FBI recordkeeping better for you, what would it be?

Additional Page for comments

February 5, 2003

Mr. William Shackelford
Department of Justice/Federal Bureau of Investigation
J. Edgar Hoover Building
Room 1B327 Box 20
935 Pennsylvania Ave NW
Washington, D.C. 20535

Dear Mr. Shackelford:

We are returning without further action Job No. N1-65-03-1, which covers the records created by the FBI Finance Division Travel Advance and Payment Unit. Our appraisal determined that the records are covered by an approved disposition authority, GRS 9/items 1(a) and 3(a).

Sincerely,

Stephen Cooper
Work Group Leader
Work Group 2
Life Cycle Management Division

Enclosure

Official file – NWML
Reading file – NWML

Cc: Cooper
Tiernan KGT

KGT:sg -- 2/5/03

(S:/Correspondence/withdraw N1-65-3-1.doc)

File: 1301-1a (FBI)



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

August 22, 2003

LB 8/22/03

Steve/Henry

Michael J. Kurtz
Assistant Archivist
Records Services - Washington, DC
National Archives and Records Administration
College Park, Maryland

Dear Michael:

The partnership between our agencies has been an important part of our shared history during the last 20 years and has resulted in the protection of important records from destruction and the transfer of many investigative case files for inclusion in the records of our national experience. Two important parts of our partnership relate to records transfers and records scheduling. I am writing to inform you of our next records transfer plans as well as propose a schedule for the next phase of the Five-Year-Update records scheduling initiative.

Transfers of FBI Records to NARA

Last year, NARA asked the FBI to assign a high priority to the processing of civil rights violation case files (FBI classification #44). I am pleased to inform you that we have completed the declassification and processing work for almost 3.5 million pages, representing almost all of the pre-1978 eligible headquarters and field office case files in this classification. In reviewing some of the field office files provided as part of this process, we have also identified material relating to Martin Luther King, which we have labeled and boxed separately for transfer to NARA.

In addition, we have also completed another portion of the review of FBI Classification #65 (espionage) as previously requested by NARA, and are ready to transfer 15,000 pages in this classification as well.

We were able to expedite the processing of these records partly because of a change in procedure suggested by NARA. At the FBI's training session at College Park, Maryland,

last December, NWM and NWC staffers suggested that the FBI place acid-free tabs around documents restricted for statutory reasons (such as income tax, grand jury, and electronic surveillance matters) rather than separate these documents from the case file in sealed envelopes. NARA staffers reported that the envelopes were frequently lost or misplaced during the transfer process and they believed the integrity and security of the files could be better maintained by retaining the documents in their original folder clasps, with tabs to mark the restricted pages. NARA staffers assured us that NARA would review and process each page of FBI records for such statutory restrictions before releasing any materials to researchers and that the NARA processing would include any necessary segregation of material into sealed envelopes.

In accordance with the processing and transfer plans listed above, I attach SF 258s for approximately 1400 cu. ft. of Classification #44 case files and 60 cu. ft. of Classification #65. About 300 cu. ft. of civil rights case files are already boxed, labeled and loaded on pallets ready for transfer. As soon as these are moved out, we can prepare the next shipments for transfer. For any questions, or to provide a copy of the signed accessioning forms, NWM or NWC may contact Marie B. Allen at 202-324-7231.

Five-Year-Update: Records Scheduling

Under the terms of the settlement of the American Friends Service Committee, et. al. v. William Webster lawsuit in 1986, NARA has been providing assistance in updating the FBI records schedule at five year intervals. This year the updating process will be more complex and more demanding than ever before. In December 2003 the Bureau will implement its Virtual Case File (VCF) application for investigative case files, ending the long reliance on paper case files for recordkeeping purposes. The VCF initiative is mandated by the Congress and is a critical part of correcting the records management inefficiencies of the FBI's previous paper-based records environment.

We must work closely with NARA throughout this process to ensure that we comply with all of the Federal records management laws and regulations without causing unnecessary delays in our very short system implementation schedule.

In order to prepare for this transition, Marie Allen has met several times with the FBI's Life Cycle Management Division (NWML) liaisons and invited a team of NARA archivists from several NARA program areas to participate in a demonstration of the VCF application. As a result of these discussions, we and

NARA have identified the major tasks that need to be done to establish new disposition authorities for the electronic recordkeeping environment. Attached to this letter is a table listing the tasks, the proposed schedule, and the roles of each agency.

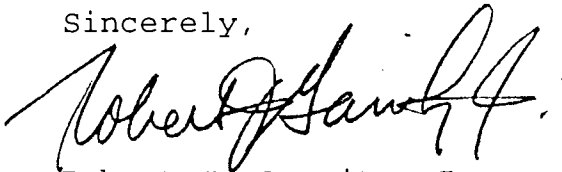
Because this work is an essential part of the Five-Year-Update, as well as a critical part of the FBI's transition to electronic recordkeeping, we are committed to working closely with NARA to do our part in accomplishing the defined tasks in a timely manner. Please inform us in writing if NARA wishes to revise the tasks or schedule as defined in the attached table.

Conclusion

We appreciate the outstanding professional assistance NARA has provided to the FBI over the course of the last decade. We look forward to continuing to work closely with you as we cross a significant frontier into digital recordkeeping.

Please address any questions to Marie B. Allen, Chief, Records Policy and Administration Section, RMD. Please amend your directories also to note that Teresa Sharkey (202-324-1613) has recently joined Mrs. Allen's staff as our new coordinator for records scheduling. Ms. Sharkey is also authorized to sign SF 258s, SF 115s, and other forms and correspondence relating to the management and transfer of records to NARA facilities.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert J. Garrity, Jr.", with a stylized flourish at the end.

Robert J. Garrity, Jr.
Assistant Director (Acting) and
Records Officer
Records Management Division

FIVE YEAR UPDATE WORK PLAN FOR FBI/NARA

Task	Dates	Est. time & location	Action
1. Propose Office of Origin (OO) appraisals to replace previous HQ, Field Office and Auxiliary Office cites	August 2003	2 weeks, at NARA	NARA proposes revised retentions for FBI review and submission
2. Reappraise 100 and 105 classes to revise serial thresholds	September - October 2003	5 weeks, Virginia (Pickett St. warehouse)	9/08/03 Mtg NARA & FBI to establish methodology, FBI pulls files, NARA appraises
3. Appraise new FBI classes (about 75)	October 2003 - February 2004	9 weeks	FBI pulls files at WFO, Baltimore, Richmond, NY; NARA appraises
4. Review random sample & serial threshold methodologies for identified classes	March - June 2004	9 weeks	FBI pulls files at WFO, Baltimore, Richmond, NY. NARA appraises.
5. Prepare & process schedule for documents scanned into VCF (CRS)	August 2003 schedule submitted to NARA; approval by March 2004	180 days	FBI submits schedule; NARA reviews & approves & makes changes as necessary
6. Prepare & process schedule for Central Records System/RMA	January 2004 schedule submitted to NARA; approval by July 2004	180 days	FBI submits schedule; NARA reviews & processes and makes changes as necessary

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Federal Bureau of Investigation			
3. MINOR SUBDIVISION Records Management Division (RMD)			
4. NAME OF PERSON WITH WHOM TO CONFER Teresa C. Sharkey	5. TELEPHONE NUMBER 202-324-1613	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___I___ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 8/21/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert J. Sandy</i>		TITLE Assistant Director (Acting)
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Central Records System The FBI utilizes a central records system of maintaining its investigative, personnel, applicant, administrative, and general files. This system consists of one numerical sequence of subject matter files, an alphabetical index to the files, and a supporting abstract system to facilitate processing and accountability of all important mail placed in files. This abstract system is both a textual and an automated capability for locating mail. Files kept in FBI field offices are also structured in the same manner, except they do not utilize an abstract system. The classifications used by the FBI in its basic filing system pertain primarily to Federal violations over which the FBI has investigative jurisdiction. However, included in the classifications are personnel, applicant, and administrative matters to facilitate the overall filing scheme. The FBI is in the process of automating the Central Records System. One element of this automation involves scanning documents into a Virtual Case File. The contents of the Virtual Case File will be managed by an electronic records management application.		

REQUEST FOR RECORDS DISPOSITION-CONTINUATION	Job Number	Page 2 of 2
--	------------	----------------

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>A. Scanned Documents</p> <p>Original hard copy documents including notes, signed forms, pictures, and similar items, which are scanned into the Central Records System.</p> <p>DESTROY source documents after verification of successful scan.</p> <p>B. Transitory Records</p> <p>Documents of short-term interest which have no informational or evidential value and are not uploaded into the Central Records System. Examples of transitory records are drafts, working papers, routine meeting announcements, requests for appointments, and similar facilitative documents.</p> <p>DESTROY when no longer needed for reference.</p> <p>C. Electronic Records</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by this schedule.</p> <p>DESTROY within 60 days after the record keeping copy has been produced.</p>		

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

1. INTERIM CONTROL NO. (NARA Use Only):

TERMS OF AGREEMENT

The records described below and on the attached 1 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

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

2A. AGENCY APPROVAL

Signature Marie Ball Date 8/22/83

3A. NARA APPROVAL

Signature _____ Date _____

2B. NAME, TITLE, MAILING ADDRESS

Marie B. Allen, Supervisory Archivist / Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

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

4B. DATE SPAN OF SERIES **1964 - 1978**

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Records Management Division

5D. UNIT THAT CREATED RECORDS

Records Disposition Unit

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

Name: **Jewell Roundtree**

Telephone Number: **(202) 324-4770**

6. DISPOSITION AUTHORITY:

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

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☒ YES

LEVEL: ☒ Confidential ☐ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other _____

INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS

☒ Agency (Complete 8A only)

☐ Federal Records Center (Complete 8B only)

8A. ADDRESS

Federal Bureau of Investigation

935 Pennsylvania Avenue, NW

Washington, DC 20535

9. PHYSICAL FORMS

☒ Paper Documents

☐ Posters

☐ Paper Publications

☐ Maps and Charts

☐ Microfilm / Microfiche

☐ Arch / Eng Drawings

☐ Electronic Records

☐ Motion / Sound Video

☐ Photographs

☐ Other (specify): _____

10. VOLUME: **300.00**

CONTAINERS

Cu. Mtr. _____ (Cu. Ft. **XX**) Number _____ Type _____

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

8/28/2003

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

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

☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt

☐ Listing of Records Transferred

☐ Additional Description

☐ NA Form 14097 or Equivalent

☐ Privacy Act Notice

☐ Microform Inspection Report

☒ Other (specify):

☐ SF(s) 135

Diskette

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

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

Signature _____

Date _____

17. NATIONAL ARCHIVES ACCESSION NO.

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

1. INTERIM CONTROL NO. (NARA Use Only):

TERMS OF AGREEMENT

The records described below and on the attached 1 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

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

2A. AGENCY APPROVAL

Signature Marie B Allen Date 8/22/03

3A. NARA APPROVAL

Signature _____ Date _____

2B. NAME, TITLE, MAILING ADDRESS

Marie B. Allen, Supervisory Archivist / Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

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

4B. DATE SPAN OF SERIES 1964 - 1978

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Records Management Division

5D. UNIT THAT CREATED RECORDS

Records Disposition Unit

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

Name: **Jewell Roundtree**

Telephone Number: **(202) 324-4770**

6. DISPOSITION AUTHORITY:

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

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☒ YES

LEVEL: ☒ Confidential ☐ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other _____

INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS

☒ Agency (Complete 8A only)

☐ Federal Records Center (Complete 8B only)

8A. ADDRESS

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

9. PHYSICAL FORMS

☒ Paper Documents

☐ Paper Publications

☐ Microfilm / Microfiche

☐ Electronic Records

☐ Photographs

☐ Posters

☐ Maps and Charts

☐ Arch / Eng Drawings

☐ Motion / Sound Video

☐ Other (specify): _____

10. VOLUME: 1,100.00

CONTAINERS

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

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

ASAP

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

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

☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt

☐ Additional Description

☐ Privacy Act Notice

☐ Other (specify): _____

☐ Listing of Records Transferred

☐ NA Form 14097 or Equivalent

☐ Microform Inspection Report

☐ SF(s) 135

8B. FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

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

Signature _____

Date _____

17. NATIONAL ARCHIVES ACCESSION NO.

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

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 1 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

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

2A. AGENCY APPROVAL

Signature

Muri Ball

Date

5/22/03

3A. NARA APPROVAL

Signature

Date

2B. NAME, TITLE, MAILING ADDRESS

Marie B. Allen, Supervisory Archivist / Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

44 Classification - Transfer of Atlanta, Albuquerque, and Kansas City Field Office case files pertaining to investigation of the Assassination of Martin Luther King, Jr. - April 4, 1968.

4B. DATE SPAN OF SERIES 1968 - 1978

(Attach any additional description.)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Records Management Division

5D. UNIT THAT CREATED RECORDS

Records Disposition Unit

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

Name: **Jewell Roundtree**

Telephone Number: **(202) 324-4770**

6. DISPOSITION AUTHORITY:

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

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☒ YES

LEVEL: ☐ Confidential ☒ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other

INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS

☒ Agency (Complete 8A only)

☐ Federal Records Center (Complete 8B only)

8A. ADDRESS

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

9. PHYSICAL FORMS

☒ Paper Documents

☐ Posters

☐ Paper Publications

☐ Maps and Charts

☐ Microfilm / Microfiche

☐ Arch / Eng Drawings

☐ Electronic Records

☐ Motion / Sound Video

☐ Photographs

☐ Other (specify):

10. VOLUME: **6.67**

CONTAINERS

Cu. Mtr. (Cu. Ft. **XX**) Number Type

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

8/28/2003

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

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

☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt

☐ Listing of Records Transferred

☐ Additional Description

☐ NA Form 14097 or Equivalent

☐ Privacy Act Notice

☐ Microform Inspection Report

☒ Other (specify):

☐ SF(s) 135

Diskette

8B FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

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

Signature

Date

17. NATIONAL ARCHIVES ACCESSION NO.

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

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached 1 pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

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

2A. AGENCY APPROVAL

Signature Marie B Allen Date 8/22/03

3A. NARA APPROVAL

Signature _____ Date _____

2B. NAME, TITLE, MAILING ADDRESS

Marie B. Allen, Supervisory Archivist / Section Chief
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

65 Classification - Interim transfer of FBIHQ case files pertaining to investigations of espionage violations.

4B. DATE SPAN OF SERIES 1936 - 1943

(Attach any additional description)

5A. AGENCY OR ESTABLISHMENT

Department of Justice

5B. AGENCY MAJOR SUBDIVISION

Federal Bureau of Investigation

5C. AGENCY MINOR SUBDIVISION

Records Management Division

5D. UNIT THAT CREATED RECORDS

Records Disposition Unit

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

Name: **Jewell Roundtree**

Telephone Number: **(202) 324-4770**

6. DISPOSITION AUTHORITY:

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

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☒ YES

LEVEL: ☐ Confidential ☒ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other _____

INFORMATION STATUS: ☐ Segregated ☐ Declassified

8. CURRENT LOCATION OF RECORDS

☒ Agency (Complete 8A only)

☐ Federal Records Center (Complete 8B only)

8A. ADDRESS

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

9. PHYSICAL FORMS

☒ Paper Documents

☐ Posters

☐ Paper Publications

☐ Maps and Charts

☐ Microfilm / Microfiche

☐ Arch / Eng Drawings

☐ Electronic Records

☐ Motion / Sound Video

☐ Photographs

☐ Other (specify) _____

10. VOLUME: 60.00

CONTAINERS

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

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

8/28/2003

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

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

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

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

☐ YES ☒ NO

14. ATTACHMENTS

☐ Agency Manual Excerpt

☐ Listing of Records Transferred

☐ Additional Description

☐ NA Form 14097 or Equivalent

☐ Privacy Act Notice

☐ Microform Inspection Report

☒ Other (specify):

☐ SF(s) 135

Diskette

8B FRC ACCESSION NUMBER

CONTAINER NUMBER(S)

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION

RG

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

Signature _____ Date _____

17. NATIONAL ARCHIVES ACCESSION NO.

00000000

Mr. Robert J. Garrity, Jr.
Assistant Director (Acting) and
Records Officer
Records Management Division
U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

Dear Mr. Garrity:

Thank you for your letter of August 22, 2003. We also value the twenty-year partnership between our agencies. We believe that both of our agencies are stronger and are better able to fulfill our respective missions because of the partner relationship.

Our partnership has been solidified over the past four years with our agreement which provides for the Federal Bureau of Investigation (FBI) to reduce the retention period of permanent records from 50 years to 25 years and our assessment last year of FBI recordkeeping practices. We look forward to continuing this partnership during this five-year update project.

We have reviewed the proposed five-year update plans attached to your letter and agree in principle with the plan. Given the tremendous changes in FBI recordkeeping over the last decade and the anticipated changes in FBI recordkeeping, this five-year update is critical to the success of our continued partnership. We are committed to simplifying and streamlining the process of implementing the FBI records retention schedule without "altering the basic thrust of the document"¹ accepted and approved by the Court in 1986.

We have completed our comparisons of the Office of Origin and Headquarters dispositions to determine which dispositions to apply to the Office of Origin case files from 1997 to 2004, Task 1 on your chart. We are preparing the results of this comparison as an SF 115 and will be delivering it for your review shortly. Although this process will schedule the Office of Origin case files; the Headquarters, Legat, and Auxiliary Office case files from this period will remain unscheduled based on the following findings reported in NARA's July 9, 2002, assessment of FBI recordkeeping:

The office of origin for an investigation is designated as the custodian of the "official" case file. An office creating or receiving a document in hardcopy should enter the document attributes into ACS and forward the original document to the office of origin for inclusion into the office of origin case file. There is considerable confusion as to what should be sent to the office of origin.

On the question asking if there are procedures that define what documents are included in the official office of origin case file, most respondents answered yes, and the rest of the respondents were evenly split between those who said there were no procedures and those who said they did

¹ From Judge Greene's memorandum settling American Friends Service Committee, et al v. William Webster, et al.

not know if there were procedures. Some of the respondents told us it was up to the agent to decide.

Field offices and headquarters offices do not send all the documents to the office of origin. One person interviewed said that approximately 40% of the documents in a case were sent to the office of origin. An agent stated that her office is the office of origin for a case and she knew that other offices are working on the case but she has received very little paper from these other offices.

We will work with your staff to determine how to schedule these records.

Regarding Task 2., Reappraise 100 and 105 classes to revise serial thresholds, we understand that the FBI is conducting a declassification test of one thousand cases from Class 100 to determine exactly what obstacles to declassification and access exist in these cases. We propose revising our five-year update plan to move immediately to an appraisal of the currently unscheduled case classifications (Task 3. Appraise new FBI classes) and returning to the re-appraisal of Class 100 and 105 after the declassification test. Please let us know if you agree with this proposal so that we can make arrangements for reviewing cases.

We have reviewed the proposed Request for Records Disposition Authority (SF 115) for scanned documents, transitory records, and electronic records (email and word processing copies) relating to the Central Records System. We propose placing the item for transitory files on a separate 115 and folding the remaining items into the schedule for the automated Central Records System. We do not believe we can adequately appraise these records without a better understanding of the functionality of the Virtual Case File system, and we assume that the scanning will not begin until the system is operational. We are returning this schedule to you without action. We will begin an appraisal of these records when the system is operational.

We look forward to working with the FBI to complete the five-year update.

Sincerely,

MICHAEL J. KURTZ
Assistant Archivist
Records Services – Washington, D.C.

Attachment

Official File – NWML 1301-1a Department of Justice, FBI
Reading File – NW, NWML

S:\correspondence\FBIupdate\tr

Sc/sg/10/22/03

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

JUL 30 2003

Mr. Robert J. Garrity, Jr.
Assistant Director (Acting) and
Records Officer
Records Management Division
U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

Dear Mr. Garrity:

Thank you for your letter of August 22, 2003. We also value the twenty-year partnership between our agencies. We believe that both of our agencies are stronger and are better able to fulfill our respective missions because of the partner relationship.

Our partnership has been solidified over the past four years with our agreement which provides for the Federal Bureau of Investigation (FBI) to reduce the retention period of permanent records from 50 years to 25 years and our assessment last year of FBI recordkeeping practices. We look forward to continuing this partnership during this five-year update project.

We have reviewed the proposed five-year update plans attached to your letter and agree in principle with the plan. Given the tremendous changes in FBI recordkeeping over the last decade and the anticipated changes in FBI recordkeeping, this five-year update is critical to the success of our continued partnership. We are committed to simplifying and streamlining the process of implementing the FBI records retention schedule without "altering the basic thrust of the document"¹ accepted and approved by the Court in 1986.

We have completed our comparisons of the Office of Origin and Headquarters dispositions to determine which dispositions to apply to the Office of Origin case files from 1997 to 2004, Task 1 on your chart. We are preparing the results of this comparison as an SF 115 and will be delivering it for your review shortly. Although this process will schedule the Office of Origin case files; the Headquarters, Legat, and Auxiliary Office case files from this period will remain unscheduled based on the following findings reported in NARA's July 9, 2002, assessment of FBI recordkeeping:

The office of origin for an investigation is designated as the custodian of the "official" case file. An office creating or receiving a document in hardcopy should enter the document attributes into ACS and forward the original document to the office of origin for inclusion into the office of origin case file. There is considerable confusion as to what should be sent to the office of origin.

On the question asking if there are procedures that define what documents are included in the official office of origin case file, most respondents answered yes, and the rest of the respondents were evenly split between those who said there were no procedures and those who said they did

¹ From Judge Greene's memorandum settling *American Friends Service Committee, et al v. William Webster, et al.*

not know if there were procedures. Some of the respondents told us it was up to the agent to decide.

Field offices and headquarters offices do not send all the documents to the office of origin. One person interviewed said that approximately 40% of the documents in a case were sent to the office of origin. An agent stated that her office is the office of origin for a case and she knew that other offices are working on the case but she has received very little paper from these other offices.


We will work with your staff to determine how to schedule these records.

Regarding Task 2., Reappraise 100 and 105 classes to revise serial thresholds, we understand that the FBI is conducting a declassification test of one thousand cases from Class 100 to determine exactly what obstacles to declassification and access exist in these cases. We propose revising our five-year update plan to move immediately to an appraisal of the currently unscheduled case classifications (Task 3. Appraise new FBI classes) and returning to the re-appraisal of Class 100 and 105 after the declassification test. Please let us know if you agree with this proposal so that we can make arrangements for reviewing cases.

We have reviewed the proposed Request for Records Disposition Authority (SF 115) for scanned documents, transitory records, and electronic records (email and word processing copies) relating to the Central Records System. We propose placing the item for transitory files on a separate 115 and folding the remaining items into the schedule for the automated Central Records System. We do not believe we can adequately appraise these records without a better understanding of the functionality of the Virtual Case File system, and we assume that the scanning will not begin until the system is operational. We are returning this schedule to you without action. We will begin an appraisal of these records when the system is operational.

We look forward to working with the FBI to complete the five-year update.

Sincerely,


MICHAEL J. KURTZ
Assistant Archivist
Records Services – Washington, D.C.

Attachment

December 23, 2003

Mr. Robert J. Garrity
Assistant Director (Acting)
Records Management Division
Department of Justice
Federal Bureau of Investigation
Room 11703
935 Pennsylvania Avenue NW
Washington, DC 20535-0001

Dear Mr. Garrity:

A reporter recently contacted NARA's Office of General Counsel and stated that a former FBI agent alleged that the FBI's Riyadh Legal Attache has been destroying thousands of pages of records, including documents provided to the FBI by Saudi Arabia, because of the lack of storage space and without regard to the FBI approved authorities for records disposition. According to the allegation, only some of these records had been copied, scanned, or uploaded prior to being destroyed.

The allegation is of concern to us because Federal records can only be destroyed in accordance with the procedures prescribed under Chapter 33 of Title 44, United States Code. The National Archives and Records Administration (NARA) has responsibility for investigating any allegations relating to the destruction or unauthorized removal of Federal records.

We request that you look into this matter, determine whether the unauthorized destruction actually occurred as alleged and notify us of your findings. If there was an unlawful destruction of Federal records in the custody of the FBI, we request that you provide us with a report as required by 36 CFR 1228.104. Your report should include a description of the exact circumstances surrounding the destruction of records, and a statement regarding the safeguards established by the FBI to prevent further loss or destruction of Federal records. Please respond within 30 days of the date of this letter.

We look forward to your response and trust that you will understand our interest in securing compliance with the Federal Records Act and ensuring the preservation of records of enduring value.

Thank you for your cooperation, and if you have any questions, please contact Kevin Tiernan of the Life Cycle Management Division on (301) 837-3055, or by email at kevin.tiernan@nara.gov.

Sincerely,

HOWARD P. LOWELL
Director
Modern Records Programs

Official file – NWML
Reading file – NWML
NWM

File: 1301-1b Unauthorized Disposal -
Department of Justice/Federal Bureau of Investigation

cc: Baume
Cooper
Tiernan

s:\alleged\unauthorizeddestruction-fbiriadh.doc

sc/sg/12/23/03

JUL 7 2004

The Honorable Robert S. Mueller III
Director
Federal Bureau of Investigation
Department of Justice
J. Edgar Hoover Building
Washington, DC 20534

Dear Director Mueller:

September 11, 2001, is a pivotal moment in our history. The terrorist attacks on the United States have had far-reaching effects on our country and the world, and, therefore, the United States Government must preserve the fullest possible documentation on those events. To that end, the National Archives and Records Administration is working with the National Commission on Terrorist Attacks Upon the United States ("9/11 Commission") to ensure the proper disposition of its records.

The Commission informs us that your agency, in addition to providing it with copies of documents, also loaned to the Commission or made available to its staff in your agency's offices certain documents that the Commission was not permitted to retain. Those materials tell an important part of the story of September 11 and the Commission's work. As you can see from the enclosed letter, the Commission has urged us to ensure that those materials are preserved along with those of the Commission.

We have determined that the collections of documents loaned to the Commission or made available or briefed to Commission staff in your agency's offices must be preserved as ancillary files to the records of the Commission itself. For your convenience, we have prepared the enclosed SF 115, Request for Records Disposition Authority, to cover those records. Please have your records officer or other designated official complete block 6, sign, date, and return the form to us within 30 days of the date of this letter.

The proposed schedule calls for the transfer of the records when the records of the Commission itself are transferred to the National Archives. That transfer will take place within two months of the Commission issuing its final report. It is standard

practice for temporary commissions to transfer their records to the National Archives upon termination. Since the materials held by your agency are so closely related to the records of the Commission, we believe that it is appropriate that they be transferred at the same time. This will also remove the burden of storing those materials from your agency. If, however, transfer that soon is not possible, please submit a revised SF 115 that provides a transfer date consistent with 44 USC 2107(2), which mandates the transfer of permanent records to NARA when no more than 30 years old, unless the records are needed for day-to-day agency business.

We appreciate your cooperation in dealing with these significant files. Please contact Paul M. Wester, Jr., Director of the Life Cycle Management Division, on 301-837-3120 if you have any questions. David Langbart is handling our liaison with the Commission. He can be reached on 301-837-3172.

Sincerely,

JOHN W. CARLIN
Archivist of the United States

Enclosures

cc: William L. Hooton, FBI Records Officer
Pat OBrien, Commission Contact

Official File-NWML

Reading File-NWML

-N

cc: Langbart

Tiernan

William L. Hooton, FBI

Pat O'Brien, FBI

Marie B. Allen, FBI

doc: s:\correspondence\911.commission.FBI.letter

file: 1301-1a FEDERAL BUREAU OF INVESTIGATION

Drafted by: Langbart

DL/dl/6/30/04



Thomas H. Kean
CHAIR

June 8, 2004

Lee H. Hamilton
VICE CHAIR

Richard Ben-Veniste

Fred F. Fielding

Jamie S. Gorelick

Slade Gorton

Bob Kerrey

John F. Lehman

Timothy J. Roemer

James R. Thompson

Philip D. Zelikow
EXECUTIVE DIRECTOR

The Honorable John W. Carlin
Archivist of the United States
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

Dear Governor Carlin:

The National Commission on Terrorist Attacks Upon the United States is beginning the process of writing its final report and closing operations. As part of that effort, we are working with staff of your agency to ensure that those of our records that warrant preservation are transferred to the National Archives at the end of our work. As you know, we have received from numerous agencies copies of relevant documents and they have been incorporated into our files that will be transferred to your custody.

In addition, some agencies either loaned us copies of documents, allowed us to review documents in their offices, or briefed us on the contents of some documents. Those documents have not been incorporated into our files, but they tell an important part of the September 11 tragedy and will be critical for understanding the work, conclusions, and recommendations of the Commission.

Accordingly, we urge you to work with those agencies to ensure that the collections of records that were loaned, shown, or briefed to the Commission and its staff are preserved by the agencies and transferred to NARA to be maintained as ancillary files to those of the Commission.

Please let us know if there is anything we can do to assist you in accomplishing this goal.

Sincerely,

Thomas H. Kean
Chair

Lee H. Hamilton
Vice Chair

cc: Gary Stern, National Archives and Records Administration

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="text-align: center;"> <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	Collections of Documents Prepared for use by the National Commission on Terrorist Attacks Upon the United States ("9/11 Commission"). Copies of all documents loaned to the National Commission on Terrorist Attacks Upon the United States ("9/11 Commission") or shown or briefed to Commission members or staff either at Commission offices or in agency offices as source material for use in studying the circumstances surrounding the September 11, 2001, terrorist attacks, including preparedness for and the immediate response to the attacks, and preparing its report. PERMANENT. Retain as a segregated collection. Transfer to the National Archives when records of the Commission are transferred.		

September 10, 2004

Mrs. Marie B. Allen
Chief, Policy and Administration Section
Records Management Division
U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

By facsimile (202/324-2530)

Dear Mrs. Allen:

Since we are unable to meet this morning, I am writing to convey what we believe are our options on the appraisal of your Request for Disposition Authority, N1-65-04-4: *Auxiliary Office Case Files, 1991-October 15, 1995/Office of Origin Case Files, October 16, 1995-Ongoing*.

As you know, N1-65-04-4 was registered on February 20, 2004. All but two of the 1,262 items on the schedule represent updating previously approved authorities to reflect current recordkeeping practices in the FBI. We have identified only one item¹ that requires a full-fledged appraisal, *General Disposition Authorities for Office of Origin Case Files, October 16, 1995-ongoing, item (8) Working Files*². We have been trying to schedule appraisal visits for several months, so far we have been unable to appraise the records described by this proposed authority.

We believe there are two options currently available before we are in a position to recommend that N1-65-04-4 be approved by the Archivist.

Option 1) Remove the working files and expungement items from the proposed schedule.

We are prepared to publish notice of the proposed schedule in the Federal Register immediately for the 1,260 items that were written to reflect updated recordkeeping practices. While the job

¹ Item (3) Expungements is the other new item in the schedule, on which we understand you are seeking an internal legal opinion. We would appreciate seeing any opinion that is produced.

² Working Files: Documents such as notes, drafts, and duplicate copies of records maintained by lead offices (LOs), legal attaches (LEGATS), and headquarters divisions. These records do not rise to the level of significance to warrant serialization in a case file. DESTROY when no longer needed for reference or when finalized documents are uploaded into a case file.

would surely be requested during the notice period, we are confident that we can fully explain the rationale behind the proposed dispositions.

Option 2) Process the proposed disposition authority as currently written.

If we are going to proceed with the schedule as written, we would like to complete all appraisal and review associated with N1-65-04-4 by November 30. Attached is a proposed schedule of visits to the field offices. (Attachment 1)

Due diligence requires that we review working papers (however that is defined) as well as the investigative case files with which the working papers are associated. Please see Tiernan to Sharkey memos of April 2, 2004 and Jun 4, 2004 for a more complete explanation of what we would like to review to complete our appraisal (Attachment 2). Our review should also include any policy records which describe to the field divisions how these records are to be created and maintained.

We still believe it would be useful to meet to resolve this matter in person. Please let us know when you would be available for a meeting during the week of September 20.

Sincerely,

PAUL M. WESTER, JR.
Director
Life Cycle Management Division

Attachments

cc: Teresa Sharkey (fax: 202/324-9114)

Official File – NWML 1301-1a Department of Justice, FBI
Reading File – NWML

S:\correspondence\N1-65-04-4 letter

KGT/sg/9/10/2004

469

Proposed Appraisal Visit Schedule
N1-65-04-4

Jackson, Mississippi: week of October 18, 2004

Washington, D.C.: week of October 25, 2004

Baltimore, Maryland or Richmond, Virginia: week of November 1, 2004

New York, New York: week of November 8, 2004.

Headquarters Divisions: week of November 15, 2004

We are flexible on which offices we visit. If there are offices of comparable size that you believe are more appropriate for appraisal visits, we are ready to consider changing this plan.

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 10, 2004

Mrs. Marie B. Allen
Chief, Policy and Administration Section
Records Management Division
U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

By facsimile (202/324-2530)

Marie
Dear ~~Mrs.~~ Allen:

Since we are unable to meet this morning, I am writing to convey what we believe are our options on the appraisal of your Request for Disposition Authority, N1-65-04-4: *Auxiliary Office Case Files, 1991-October 15, 1995/Office of Origin Case Files, October 16, 1995-Ongoing*.

As you know, N1-65-04-4 was registered on February 20, 2004. All but two of the 1,262 items on the schedule represent updating previously approved authorities to reflect current recordkeeping practices in the FBI. We have identified only one item¹ that requires a full-fledged appraisal, *General Disposition Authorities for Office of Origin Case Files, October 16, 1995-ongoing, item (8) Working Files*². We have been trying to schedule appraisal visits for several months, so far we have been unable to appraise the records described by this proposed authority.

We believe there are two options currently available before we are in a position to recommend that N1-65-04-4 be approved by the Archivist.

Option 1) Remove the working files and expungement items from the proposed schedule.

We are prepared to publish notice of the proposed schedule in the Federal Register immediately for the 1,260 items that were written to reflect updated recordkeeping practices. While the job

¹ Item (3) Expungements is the other new item in the schedule, on which we understand you are seeking an internal legal opinion. We would appreciate seeing any opinion that is produced.

² Working Files: Documents such as notes, drafts, and duplicate copies of records maintained by lead offices (LOs), legal attaches (LEGATS), and headquarters divisions. These records do not rise to the level of significance to warrant serialization in a case file. DESTROY when no longer needed for reference or when finalized documents are uploaded into a case file.

would surely be requested during the notice period, we are confident that we can fully explain the rationale behind the proposed dispositions.

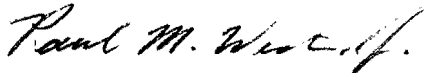
Option 2) Process the proposed disposition authority as currently written.

If we are going to proceed with the schedule as written, we would like to complete all appraisal and review associated with N1-65-04-4 by November 30. Attached is a proposed schedule of visits to the field offices. (Attachment 1)

Due diligence requires that we review working papers (however that is defined) as well as the investigative case files with which the working papers are associated. Please see Tiernan to Sharkey memos of April 2, 2004 and Jun 4, 2004 for a more complete explanation of what we would like to review to complete our appraisal (Attachment 2). Our review should also include any policy records which describe to the field divisions how these records are to be created and maintained.

We still believe it would be useful to meet to resolve this matter in person. Please let us know when you would be available for a meeting during the week of September 20.

Sincerely,



PAUL M. WESTER, JR.

Director

Life Cycle Management Division

Attachments

cc: Teresa Sharkey (fax: 202/324-9114)

Proposed Appraisal Visit Schedule
N1-65-04-4

Jackson, Mississippi: week of October 18, 2004

Washington, D.C.: week of October 25, 2004

Baltimore, Maryland or Richmond, Virginia: week of November 1, 2004

New York, New York: week of November 8, 2004.

Headquarters Divisions: week of November 15, 2004

We are flexible on which offices we visit. If there are offices of comparable size that you believe are more appropriate for appraisal visits, we are ready to consider changing this plan.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date: April 2, 2004

To: Teresa Sharkey
FBI Records Management Division

From: Kevin G. Tiernan
Life Cycle Management Division

Subject: Appraisal of N1-65-4-4

As we discussed, the following series are most important for our appraisal of N1-65-04-4:

(1) Policy Files: Policy and procedural documentation regarding the FBI's administration of investigations under individual violations or classifications [item (1), page 4]. We want to be quite clear how these records have been maintained in the past, how they are currently being maintained, and how they will be maintained in the future; especially in the anticipated move to VCF and electronic recordkeeping.

(2) Working Files: Documents such as notes, drafts, and duplicate copies of records maintained by lead offices (Los), legal attaches (legats), and headquarters divisions. These records do not rise to the level of significance to warrant serialization in a case file [item (8), page 6]. As you know, for the most part we are using previously approved dispositions that have been modified to accommodate current recordkeeping practices. Item (8) is a brand new item that we need to fully appraise in multiple locations for multiple individuals. Ideally we will review working files for individuals and review the investigative case files that these individuals created from their working files.

(3) Administrative files. Each case classification has items for administrative files. These files have been the subject of several recordkeeping changes over the years. As with the policy and procedure files above, we want to be clear how these records have been maintained in the past, how they are currently maintained and how they will be maintained in the future.

We anticipate needing three full days at large field offices (New York and Washington) where we will look at a variety of records from different squads involved in both criminal and security investigations. We would also like to review both the policy and procedure files and the administrative files for any classifications from which our review cases come. We anticipate needing only two days at smaller field offices (Baltimore, Richmond, or perhaps Columbia, South Carolina).

KEVIN G. TIERNAN
Senior Records Analyst
Life Cycle Management Division



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date: June 4, 2004

To: Teresa Sharkey
FBI Records Management Division

From: Kevin G. Tiernan
Life Cycle Management Division

Subject: Appraisal of N1-65-4-4

As we discussed, NARA needs to examine and appraise Policy Files (item (1), page 4), Working Files (item (8), page 6), and Administrative Files (O files) for classes 7, 28, 44, 45, 58, 173, 200, 202, 256, 267, 272, 274, 279, and 300. These cases should be opened after 1995, which is the period covered by the schedule. We would like to see up to ten (10) cases in each class including recently closed files that have existing working files maintained by an agent as well as open cases with working files maintained by an agent. If there are not ten cases in one of the designated classes, we will examine all the cases. There may not be cases in these classes in all the offices we are visiting and we may have to substitute other classes. It may be useful to discuss with agents how they determine what is a working paper versus what goes into the official file. We will know better if this is necessary after we examine some case files and working papers records.

We would like to start with visits to the Washington Field Office (WFO) from June 14 to June 25. We are not sure how long this appraisal will take so we are allowing two weeks for WFO. We would like to visit the Baltimore Field Office the week of July 19 and the Richmond Field Office the week of August 9. I will be in Denver on August 31 and would like to visit the Denver Field Office on September 2 and 3. We would like to visit the New York Field Office the week of September 13.

We would like to meet with you soon to discuss this appraisal and to discuss other pending schedules. We are available to meet with you on June 8, 9, or 10. Please call me at 301/837-3055.

A handwritten signature in cursive script, appearing to read "Kevin G. Tiernan".

KEVIN G. TIERNAN
Senior Records Analyst
Life Cycle Management Division

Attachment: April 2, 2004 Tiernan to Sharkey memo

cc: Larry Baume, NWML
Janis Wiggins, NWCTC



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

December 16, 2004

Dr. Michael Kurtz
Assistant Archivist - Records Services
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

Dear Dr. Kurtz: *MK*

As I am sure you are aware, two years ago the Federal Bureau of Investigation (FBI) began an extensive initiative to improve and modernize its entire records management operation. One part of that initiative was to improve record disposition operations, including both the scheduling of records and the accessioning of permanent records to the National Archives.

I would like to take a moment to bring to your attention what I consider to be a remarkable statistic reflecting our improvement in this area. During Fiscal Year 2004, the FBI transferred over 6,000,000 pages of historic records to the National Archives facility at College Park. This triples any previous year's transfers. This was mainly possible through re-engineering the disposition process in our Records Disposition Unit in coordination with our NARA liaisons.

Improvements such as this have been a long time in coming and we consider them, in part, to be reflective of the cooperative spirit developing between our agencies. We appreciate the efforts of those individuals within your organization who work regularly with the FBI to resolve issues of mutual interest.

We would like to express our appreciation especially to Kevin Tiernan (NWML), Paul Wester (NWML), Dick Wood (NWMD), Ray Whitelock (NWMW) and Steve Tilley (NWC). We look forward to continuing our productive and successful partnership with the National Archives.

Paul, Dick, Ray, and Steve :

Sincerely yours,

William L. Hooton

William L. Hooton
Assistant Director
Records Management Division

*Thanks so much
for such good
work!*

Michael Kurtz



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

April 25, 2005

Mr. Michael J. Kurtz *AK*
Assistant Archivist
National Archives and Records Administration
Office of Records Services
8601 Adelphi Road
College Park, MD 20740-6001

Mr. Thomas E. Mills
Assistant Archivist
National Archives and Records Administration
Office of Regional Records Services
8601 Adelphi Road, Room 3600
College Park, MD 20740-6001

Re: FBI Records Under the TIL Freeze

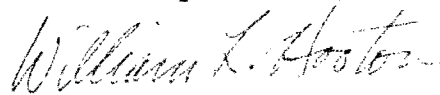
Dear Mr. Kurtz and Mr. Mills:

During the tobacco industry litigation (TIL), the National Archives and Records Administration (NARA) halted the destruction of all records potentially containing information pertinent to the litigation. Agencies were subsequently instructed to review accessions stored in Federal Records Centers (FRCs) and notify NARA if the TIL freeze could be lifted.

The Records Management Division (RMD) has reviewed the FBI accessions that are stored in the Washington National Records Center (WNRC) in Suitland, Maryland, and the National Personnel Records Center (NPRC) in St. Louis, Missouri. After consulting with the owners of these records, RMD has determined that the TIL freeze should be lifted from the accessions listed on the attached spreadsheet. Normal disposal activities should resume at this time. RMD is aware that the "Audit Case File" accessions are unscheduled. The Records Disposition Unit (RDU) plans to begin scheduling these records in the near term.

Should you have questions regarding this issue, please contact Gerald Whitmore, RDU Unit Chief, at 202-324-4770 or Teresa Sharkey, Records Scheduling Coordinator, at 202-324-1613.

Sincerely,

A handwritten signature in cursive script, reading "William L. Hooton".

William L. Hooton
Assistant Director
Records Management Division

List of FBI Records Affected by the Tobacco Industry Litigation (TIL) Freeze:

RG	AFY	ACNO	FRZ	VOL	BEGIN_LO	ENDING_LO	DAU	DISP	SERIES	BDATE	EDATE
065	76	0007	TIL	14	88888888	88888888	GRSN/2/1B	2024	PAY CARDS	196701	196712
065	93	0013	TIL	5	02552764	02552772	GRSN/22/2		AUDIT CASE FILE	198801	198812
065	93	0014	TIL	7	02543854	02543864	GRSN/22/2		AUDIT CASE FILE	198901	198912
065	94	0021	TIL	16	03225415	03225442	GRSN/22/2		AUDIT CASE FILE	199001	199012
065	95	0001	TIL	50	13754934	13755145	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0002	TIL	50	18390574	18390915	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0003	TIL	50	13503526	13503741	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0004	TIL	50	11483726	11483941	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0005	TIL	50	13730723	13730934	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0006	TIL	50	14240925	14241136	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0007	TIL	50	14241141	14241352	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0008	TIL	50	14241353	14241564	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0009	TIL	50	14805811	14810244	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0010	TIL	4	14241565	14241572	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	95	0012	TIL	50	16905653	16910032	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0013	TIL	50	16910041	16910276	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0014	TIL	50	16910411	16910622	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0015	TIL	50	16910623	16910834	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0016	TIL	50	16910835	16911046	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0017	TIL	16	14143443	14143466	GRSN/6/1A	TIL	SITE AUDIT	199210	199309
065	95	0027	TIL	7	16452145	16452155	GRSN/22/2		AUDIT CASE FILE	198810	198909
065	95	0028	TIL	9	160A1812	160A1836	GRSN/22/2		AUDIT CASE FILE	198910	199009
065	95	0029	TIL	5	16520364	16520372	GRSN/22/2		AUDIT CASE FILE	199010	199109
065	95	0030	TIL	3	16032034	16032036	GRSN/22/2		AUDIT CASE FILE	199110	199209
065	96	0001	TIL	50	17913671	17914012	GRSN/6/1A	TIL	SITE AUDIT	199310	199403
065	96	0002	TIL	50	17914013	17914224	GRSN/6/1A	TIL	SITE AUDIT	199310	199403
065	96	0003	TIL	50	17914225	17914436	GRSN/6/1A	TIL	SITE AUDIT	199310	199403
065	96	0004	TIL	50	19320A32	19320171	GRSN/6/1A	TIL	SITE AUDIT	199310	199403
065	96	0005	TIL	23	14781514	14781552	GRSN/6/1A	TIL	SITE AUDIT	199310	199403
065	96	0006	TIL	50	18043146	18043531	GRSN/6/1A	TIL	SITE AUDIT	199404	199409
065	96	0007	TIL	50	18043532	18043763	GRSN/6/1A	TIL	SITE AUDIT	199404	199409
065	96	0008	TIL	50	18043764	18044165	GRSN/6/1A	TIL	SITE AUDIT	199404	199409
065	96	0009	TIL	50	18044166	18044571	GRSN/6/1A	TIL	SITE AUDIT	199404	199409
065	96	0010	TIL	37	18044572	18044954	GRSN/6/1A	TIL	SITE AUDIT	199404	199409
065	96	0012	TIL	50	19272873	19273214	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	96	0013	TIL	50	19273215	19273426	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	96	0014	TIL	50	19273431	19273642	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	96	0015	TIL	50	19273643	19273854	GRSN/6/1A	TIL	SITE AUDIT	199310	199409
065	96	0016	TIL	16	20561643	20561666	GRSN/6/1A	TIL	SITE AUDIT	199310	199409

065	97	0001	TIL	50	18415272 18415613	GRSN/6/1A	TIL	SITE AUDIT	199410	199503
065	97	0002	TIL	50	18415614 18415861	GRSN/6/1A	TIL	SITE AUDIT	199410	199503
065	97	0003	TIL	50	18415862 18420263	GRSN/6/1A	TIL	SITE AUDIT	199410	199503
065	97	0004	TIL	50	18420264 18420475	GRSN/6/1A	TIL	SITE AUDIT	199410	199503
065	97	0005	TIL	17	18123141 18123165	GRSN/6/1A	TIL	SITE AUDIT	199410	199503
065	97	0006	TIL	1	14565055 14565055	GRSN/22/2		AUDIT CASE FILE	199410	199509
065	97	0007	TIL	3	03693414 03693422	GRSN/22/2		AUDIT CASE FILE	199210	199309
065	97	0008	TIL	3	03371041 03371043	GRSN/22/2		AUDIT CASE FILE	199110	199209
065	97	0009	TIL	2	03380975 03380976	GRSN/22/2		AUDIT CASE FILE	199310	199409
065	97	0010	TIL	48	17145711 17150A54	GRSN/6/1A	TIL	SITE AUDIT	199504	199509
065	97	0011	TIL	50	11305423 11305634	GRSN/6/1A	TIL	SITE AUDIT	199504	199509
065	97	0012	TIL	50	20662255 20662466	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0013	TIL	50	20662471 20662812	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0014	TIL	50	18463646 18463861	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0015	TIL	50	18463862 18464073	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0016	TIL	50	13071823 13072034	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0017	TIL	22	19744011 19744044	GRSN/6/1A	TIL	SITE AUDIT	199410	199509
065	97	0018	TIL	2	20460A63 20460A64	GRSN/22/2		AUDIT CASE FILE	198910	199009
065	97	0019	TIL	3	11594763 11594765	GRSN/22/2		AUDIT CASE FILE	199010	199109
065	97	0020	TIL	16	13622221 13622244	GRSN/22/2		AUDIT CASE FILE	199110	199209
065	97	0021	TIL	6	13330471 13330476	GRSN/22/2		AUDIT CASE FILE	199210	199309
065	97	0022	TIL	3	19410575 19410711	GRSN/22/2		AUDIT CASE FILE	199310	199409
065	97	0023	TIL	50	19735575 19740A54	GRSN/6/1A	TIL	SITE AUDIT	199504	199509
065	97	0024	TIL	50	17590843 17591054	GRSN/6/1A	TIL	SITE AUDIT	199504	199509
065	97	0025	TIL	50	13561921 13562132	GRSN/6/1A	TIL	SITE AUDIT	199504	199509
065	98	0001	TIL	50	16234556 16234771	GRSN/6/1A	TIL	SITE AUDIT	199510	199603
065	98	0002	TIL	50	16234772 16235113	GRSN/6/1A	TIL	SITE AUDIT	199510	199603
065	98	0003	TIL	50	16235114 16235325	GRSN/6/1A	TIL	SITE AUDIT	199510	199603
065	98	0004	TIL	50	16235326 16235541	GRSN/6/1A	TIL	SITE AUDIT	199510	199603
065	98	0005	TIL	23	16235542 16235576	GRSN/6/1A	TIL	SITE AUDIT	199510	199603
065	98	0006	TIL	50	18284711 18284922	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0007	TIL	50	10164811 10165022	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0008	TIL	50	10232164 10232375	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0009	TIL	50	10115351 10115562	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0010	TIL	50	10523431 10523642	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0011	TIL	19	10523643 10523673	GRSN/6/1A	TIL	SITE AUDIT	199604	199609
065	98	0017	TIL	50	16372522 16372733	GRSN/6/1A	TIL	SITE AUDIT	199510	199609
065	98	0018	TIL	50	16372734 16372945	GRSN/6/1A	TIL	SITE AUDIT	199510	199609
065	98	0019	TIL	50	16372946 16373161	GRSN/6/1A	TIL	SITE AUDIT	199510	199609
065	98	0020	TIL	50	16373162 16373373	GRSN/6/1A	TIL	SITE AUDIT	199510	199609
065	98	0021	TIL	41	16373374 16373572	GRSN/6/1A	TIL	SITE AUDIT	199510	199609

065	99	0001	TIL	50	10380423 10380634	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0002	TIL	50	10380635 10380846	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0003	TIL	50	10240462 10240673	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0004	TIL	50	10240674 10241015	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0005	TIL	50	10405245 10405456	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0006	TIL	50	10405461 10405672	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0007	TIL	50	10080411 10080622	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0008	TIL	50	10080623 10080834	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0009	TIL	50	10440453 10440664	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0010	TIL	50	10440665 10440876	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0011	TIL	5	10375742 10375762	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0017	TIL	50	05130641 05130852	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0018	TIL	50	05130853 05131064	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0019	TIL	50	05131065 05131476	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0020	TIL	50	05131611 05131822	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0021	TIL	50	05131823 05132034	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	99	0022	TIL	12	05132035 05132054	GRSN/6/1A	TIL	SITE AUDIT	199610	199709
065	00	0001	TIL	50	17472553 17472764	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0002	TIL	50	17472765 17472976	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0003	TIL	50	17473111 17473322	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0004	TIL	50	17473323 17473534	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0005	TIL	50	17473535 17473756	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0006	TIL	50	17473761 17474112	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0007	TIL	50	17474113 17474324	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0008	TIL	50	17474325 17474536	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0009	TIL	50	17083011 17083232	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0010	TIL	40	09144056 09144253	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0017	TIL	50	20581721 20581932	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0018	TIL	50	20581933 20582144	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0019	TIL	50	20582145 20582356	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0020	TIL	50	20582361 20582572	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0021	TIL	50	20582573 20582914	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	00	0022	TIL	1	20582915 20582915	GRSN/6/1A	TIL	SITE AUDIT	199710	199809
065	01	0001	TIL	70	15331155 15331552	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0002	TIL	50	12302541 12302752	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0003	TIL	50	12302325 12302536	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0004	TIL	50	20653975 20654316	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0005	TIL	50	20653551 20653762	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0006	TIL	50	20654321 20654532	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0007	TIL	50	12300573 12300914	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0008	TIL	50	20653763 20653974	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0009	TIL	50	12301131 12301342	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0010	TIL	50	12300915 12301126	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0011	TIL	11	14452613 14452631	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0014	TIL	50	07131642 07131853	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0015	TIL	50	07131854 07132065	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0016	TIL	50	07262235 07262446	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0017	TIL	50	07262451 07262662	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0018	TIL	45	07130665 07130871	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0019	TIL	50	07131214 07131425	GRSN/6/1A	2007	SITE AUDIT	199910	200009

065	01	0020	TIL	50	07131426 07131641	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0021	TIL	50	07130872 07131213	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	01	0026	TIL	50	18833513 18833724	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0027	TIL	50	18833725 18833936	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0028	TIL	50	18833941 18834152	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0029	TIL	50	18834153 18834364	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0030	TIL	50	18521122 18521333	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	01	0031	TIL	20	11521733 11521764	GRSN/6/1A	2006	SITE AUDIT	199810	199909
065	02	0026	TIL	50	17791245 17791456	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	02	0027	TIL	50	17790475 17790816	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	02	0028	TIL	50	17790821 17791032	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	02	0029	TIL	50	17791033 17791244	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	02	0030	TIL	27	10512433 10512631	GRSN/6/1A	2007	SITE AUDIT	199910	200009
065	03	0026	TIL	50	08043676 08044021	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	03	0027	TIL	50	08070221 08070452	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	03	0028	TIL	50	08123011 08123222	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	03	0029	TIL	50	08193972 08194313	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	03	0030	TIL	50	08514945 08515156	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	03	0031	TIL	1	09803121 09803121	GRSN/6/1A	2008	SITE AUDIT	200010	200109
065	04	0026	TIL	50	18735664 18740231	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	04	0027	TIL	50	19110211 19110422	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	04	0028	TIL	50	19110423 19110634	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	04	0029	TIL	50	19231634 19231845	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	04	0030	TIL	50	19883874 19884215	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	04	0031	TIL	8	18162765 18162776	GRSN/6/1A	2009	SITE AUDIT	200110	200209
065	05	0026	TIL	50	12342315 12342526	GRSN/6/1A	2010	SITE AUDIT	200210	200309
065	05	0027	TIL	50	12341973 12342314	GRSN/6/1A	2010	SITE AUDIT	200210	200309
065	05	0028	TIL	50	07285536 07290A61	GRSN/6/1A	2010	SITE AUDIT	200210	200309
065	05	0029	TIL	50	07285324 07285535	GRSN/6/1A	2010	SITE AUDIT	200210	200309
065	05	0030	TIL	50	07285112 07285323	GRSN/6/1A	2010	SITE AUDIT	200210	200309
065	05	0031	TIL	5	19815043 19815051	GRSN/6/1A	2010	SITE AUDIT	200210	200309

October 20, 2005

Dr. Michael L. Miller
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear Dr. Miller:

On the occasion of your retirement I am writing to congratulate and thank you for your 31 years of Federal service. Your distinguished career with the National Archives and Records Administration, the Environmental Protection Agency, and the Federal Bureau of Investigation has established you as a leader in Federal records management and electronic records, and you will be greatly missed.

Not long ago NARA said good-bye to you after 19 years of dedicated service to the agency during two separate tours of duty. You were responsible for establishing agency program direction and goals, and resolving policy issues relating to records scheduling and appraisal. You oversaw all aspects of records management in the Federal sector, including the development, implementation, and evaluation of records management requirements followed by Federal agencies.

In just three years at the FBI you have been instrumental in integrating records management functionality into the development and establishment of new electronic systems. NARA awarded the FBI with an Archivist's Achievement Award in 2005, largely for your work in the establishment of an electronic recordkeeping certification process.

As an archivist, records officer, manager and supervisor, mentor, author, trainer and teacher - you have certainly left your mark in Federal records management. It is with sincere appreciation and gratitude that I join the Federal community, and especially your friends and colleagues here at NARA, in wishing you many years of good health and happiness in your retirement. Again, thank you very much for your service.

Sincerely,

/signed/
ALLEN WEINSTEIN

ALLEN WEINSTEIN
Archivist of the United States

S:\correspondence\MillerRetirement

Official File: 1301-1a Agency correspondence – FBI
Reading File: N, NWML

Cc: Taylor

TT/SG/10/20/05

October 20, 2005

Mr. Gerald F. Whitmore
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear Mr. Whitmore:

On the occasion of your retirement I am writing to congratulate and thank you for your 37 years of Federal service at the Federal Bureau of Investigation. The National Archives and Records Administration also owes you our gratitude for your dedication to coordinating efforts between our two agencies to transfer an unprecedented volume of historically valuable FBI records to NARA over the past several years.

When you became the Records Disposition Unit Chief in 2002, you made it a priority to reduce the backlog of processing records eligible for transfer to NARA. You are among those most responsible for the staggering volume of approximately 8 million pages transferred to NARA in the past three years. When the FBI's San Francisco field office identified some old platter recordings relating to the Tokyo Rose case, you were instrumental in getting the records transferred to headquarters for review and processing before transferring these records to NARA. You also made possible the transfer of the Hoover Official and Confidential Files, to name just a couple of high profile NARA acquisitions. You took a personal interest in these transfers and other delicate, controversial records issues and always cleared away any obstacles to finding reasonable and practical solutions to problems.

NARA's debt to you is not easily repaid, so allow me this opportunity to thank you again for your service and to wish you many years of good health and happiness in your retirement. I hope you enjoy spending time with relatives in Alabama and relaxing on warm sandy beaches. Sounds like a welcome reprieve from bureaucratic Washington, DC.

Sincerely,

/signed/
ALLEN WEINSTEIN

ALLEN WEINSTEIN
Archivist of the United States

S:\correspondence\WhitmoreRetirement

Official File: 1301-1a Agency correspondence – FBI
Reading File: N, NWML

Cc: Taylor

TT/SG/10/20/05

December 21, 2005

Mr. William L. Hooton
Department of Justice
Federal Bureau of Investigation
Office of Records Management
Room 10143
935 Pennsylvania Avenue NW
Washington, DC 20535-0001

Dear Mr. Hooten:

This is in response to your letter of November 23, 2005, requesting emergency authorization to destroy training related records damaged by insect infestation pursuant to 36 CFR 1228.92(a). NARA approves your request for the emergency destruction of 34 volumes of a multi-case file designated for permanent retention under Classification 1.

Please contact Thomas Jenkins by telephone at 301-837-3080 or by email at thomas.jenkins@nara.gov if you have any questions or comments about this matter.

Sincerely,

LAURENCE BREWER
Director
Life Cycle Management Division

Official File - NWML
Reading File - NWML
Reading File – NWM

cc: Jenkins (NWML)

S:/correspondence/FBI.CFR1228.92.14Dec05.doc

File: 1301-1b Disposal – Emergency
X-Federal Bureau of Investigation

Drafted by: Jenkins (NWML)

Tj/sg/12/21/05



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

November 23, 2005

Dr. Michael J. Kurtz
Assistant Archivist
National Archives and Records Administration
Office of Records Services
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Dr. Kurtz:

During a routine review of files stored at the FBI's Alexandria Records Center, employees discovered a file that had been damaged by insect infestation. This file was immediately isolated from the other holdings, and steps were taken to prevent further destruction. A thorough review of the surrounding files determined that the damage was limited to one case file consisting of 34 volumes.

This case file is from Classification 1, which is used for filing records related to training matters. Under the provisions of our retention schedule, this file (1-17) is designated as permanent due to its large number of volumes. The insect damage has rendered this file unusable with many pages completely destroyed and other pages severely damaged. Pursuant to the provisions of Title 36, Code of Federal Regulations, Part 300, Chapter 12, Subpart F, Section 1228.92, the FBI hereby requests NARA's authorization for the emergency destruction of this file.

Should you have any questions regarding this matter, please contact Teresa C. Sharkey, Acting Chief of the Records Disposition Unit, at (202) 324-1613.

Sincerely yours,

William L. Hooton
Assistant Director
Records Management Division

January 4, 2006

Mr. William L. Hooton
Assistant Director, Records Management Division
Department of Justice
Federal Bureau of Investigation
Office of Records Management
Room 10143
935 Pennsylvania Avenue NW
Washington, DC 20535-0001

Dear Mr. Hooton:

Thank you for your letter of December 21, 2005, reporting the unauthorized destruction of employee performance records that resulted in the loss of all the 2001 Federal Bureau of Investigation (FBI) personnel Performance Appraisal Reports (PARs) in paper format. We acknowledge that PARs ratings are still available electronically, with the exception of written comments, through the FBI's Bureau Personnel Management System. The description of events and the additional information that you provided, including preventive measures, are in compliance with 36 CFR 1228.104. We consider this matter closed.

Thank you for your cooperation, and if you have any questions, please contact Thomas Jenkins of the Life Cycle Management Division on (301) 837-3080, or by email at thomas.jenkins@nara.gov.

Sincerely,

PAUL M. WESTER, JR.
Director
Modern Records Programs

Official File – NWML
Reading File – NWM
Reading File – NWML

Cc: Jenkins(NWML)
s:/correspondence/FBI.CFR1228.104_4Jan06.doc
File: 1301-1b Disposal – Unauthorized
X-Federal Bureau of Investigation

Drafted by: Jenkins (NWML)
Tj/sg/1/4/06

January 9, 2006

Ms. Elizabeth L. Fugitt
Federal Bureau of Investigation
Records Management Division
Records Automation Section
Room 11703
935 Pennsylvania Ave., NW
Washington, D.C. 20535

Dear Ms. Fugitt:

I want to thank you for helping NARA and the Business Process Analysis Benchmarking Team by sharing information about the FBI's Electronic Recordkeeping Certification Manual and process with the members of the benchmarking team who contacted you this past spring. Your responses to their questions and the documentation you shared were a critical contribution to the benchmarking project. You helped us to understand best practices that we believe can benefit electronic records management in many Federal agencies. Innovators such as the FBI play an important role in raising the level of practice of the whole community by sharing your experiences through projects like this one. NARA is already integrating lessons we learned from you and our other benchmarking partners into our thinking about electronic records management.

Please find attached a copy of NARA's Benchmarking Report on Business Process Analysis and Systems Design for Electronic Recordkeeping. I hope you will find that the report accurately represents your process and provides interesting insights into the processes of other organizations. If you have any questions or comments about the report, please feel free to contact Meg Phillips at meg.phillips@nara.gov or 215-305-2023 or Larry Baume at larry.baume@nara.gov or 301-837-1505.

Thank you again for the generosity you showed in sharing your information and your time. The benchmarking team and I greatly appreciate your assistance to NARA in this effort.

Sincerely,

PAUL M. WESTER, JR.
Director
Modern Records Programs

Enclosure

Doc: s:/wpfiles/correspondence/Fugittbenchmarkingltr.doc

LB:sg/1/09/06

Official file - NWML

File: 1311.1a

Day file – NWML

cc: NWML (Baume)
NRAB (Phillips)

MAR 14 2006

Mr. William L. Hooton
Assistant Director
Federal Bureau of Investigation
935 Pennsylvania Avenue, NW
Washington, DC 20535

Dear Mr. Hooton:

Thank you for participating as a panel speaker at the NARA/OMB Forum on February 28th. Your discussion on the Federal Bureau of Investigation's electronic records issues and solutions was both timely and interesting. I especially appreciate your flexibility in agreeing to participate under very short notice.

I was very pleased with the turnout at the session and hopefully we reached more than a few agency CIOs in conveying the importance of this subject. Towards that goal, your presentation was very effective and will undoubtedly help us in our future work with the FEA Records Management Profile. I very much appreciate your contributions to the great success of this event, and we look forward to working with you in the future on other related projects.

Sincerely,



MICHAEL J. KURTZ
Assistant Archivist for
Records Services - Washington, D.C.

Official file: NWML
Reading file: NWML, NW
S:\Correspondence\Hooton022806Forum.doc
LBREWER/JPC 3/14/06

April 14, 2006

Ms. Kathleen A. Meman, CRM
Unit Chief
Policy and Procedures Unit
Records Management Division
Federal Bureau of Investigation
955 Pennsylvania Ave.
Washington, DC 20535

Dear Ms. Meman:

I am delighted that you have agreed to participate as a panel member at the National Archives and Records Administration's (NARA) annual records administration conference, RACO 2006. We expect over 400 Federal records officers, information technology managers, and others with an interest in Federal records management. I know they will find your insights on disaster planning and recovery during the recent Gulf Coast hurricanes interesting and useful.

The conference will be held on Tuesday, May 9, 2006, at the International Trade Center—Ronald Reagan Building, at 1300 Pennsylvania Avenue, NW, Washington, DC. It will begin at 8:00 am and conclude at 4:00 pm, followed by an informal networking reception. Lunch will be served at 12:15pm. The RACO 2006 theme is "Partnerships and Practices in Electronic Records" and we will focus on ways Federal agencies can learn from each other to strengthen their records management and vital records program. Two morning panels will address "NARA Updates" and "Partnerships and Practices in Electronic Records Management and E-Government" and two afternoon sessions will address "Partnership in Preservation" and "Recent Developments in Electronic Records Archives (ERA) Program."

Your keynote session "Disaster Preparedness and Recovery" will focus on steps taken by the FBI both before and after the Gulf Coast hurricanes disaster to protect vital records and ensure continued operations is scheduled to begin at 10:15 am and conclude at 12:15 pm. Your presentation should last for approximately 15-20 minutes. The last 15 minutes of the panel session will be reserved for questions from the audience. To ensure that all of the session participants are aware of the contents of each others' presentations, please share a copy of your remarks with the other panelists C. Preston Huff, Southwest Assistant Regional Administrator, NARA at preston.huff@nara.gov; Jeffrey A. Myers, Manager, Air Traffic Litigation, Federal Aviation Administration at jeffery.myers@faa.gov; Debra Byrnes, Chief, Administrative Management Staff, National Finance Center, New Orleans at DEBBIE.BYRNE@usda.gov; Mary Lynn Ritzenthaler, Chief, Document Conservation

Laboratory, NARA at marylynn.rizenthaler@nara.gov and Howard P. Lowell, Deputy Assistant Archivist for Records Services – Washington, DC, NARA at howard.lowell@nara.gov by May 1, 2006.

Please assist us in serving you by providing the following information by April 26, 2006 to Laurence Brewer, at 301-837-1539 or laurence.brewer@nara.gov

- (1) A brief biographical sketch for the session's introductory remarks and the conference printed materials;
- (2) The time that you plan to arrive at the conference (you are welcome to attend the entire conference as our guest);
- (3) Whether you will join us for lunch (and if so, whether you prefer chicken or a vegetarian entrée as a main course); and
- (4) A copy of your remarks and any visuals you may use in your presentation (we will convert all visuals into PowerPoint slides).

Shortly after the conference, we will also post copies of the RACO 2006 conference proceedings on the NARA web pages. Again, I am delighted that you will be participating in RACO 2006 and if you have any questions, please let me know.

Sincerely,

LAURENCE BREWER
Director
Life Cycle Management Division

File – NWML Official
NWML Reading
RACO 2006 Letters

Doc Name: S: /RACO/2006/Letters/Meman Letter.doc

WL/sg/04/13/06



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

May 1, 2006

Dr. Michael J. Kurtz
Assistant Archivist
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740

Dear Dr. Kurtz: *Michael*

I want to express my gratitude for the excellent assistance provided to the Federal Bureau of Investigation (FBI) by Mr. Thomas Jenkins of the Life Cycle Management Division. Mr. Jenkins arranged for and led four tours of the National Archives and Records Administration (NARA) facilities at College Park during February, March and April for approximately 75 FBI Records Management Division employees.

Mr. Jenkins ensured that the time spent at NARA was relevant to the work performed by these employees by including a tour of the FBI records' stack area, a discussion of FBI photographs in the NARA collection, and an in-depth presentation of NARA's scanning operation. Mr. Jenkins' knowledge about NARA and its central role in Federal records management and his extensive work with FBI records resulted in an extremely worthwhile experience for these employees, many of whom had little prior knowledge of NARA or its records management work with the FBI.

I look forward to our continued work with Mr. Jenkins and the further cooperation between our two agencies, to which Mr. Jenkins' expertise contributes greatly.

Sincerely,

William L. Hooton

William H. Hooton
Assistant Director
Records Management Division

27 0000

Mr. William L. Hooton
Assistant Director
Records Management Division
U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

Dear Mr. Hooton:

I am responding to your letter of June 9, 2006, on behalf of Allen Weinstein, Archivist of the United States. I understand that you discussed many of the issues raised in your letter with my deputy, Howard Lowell, so I will expand on that discussion in this letter.

I understand your concern regarding the expense involved to move and store permanent records eligible to be transferred to the National Archives and Records Administration (NARA). The problem is exacerbated by trying to complete thirty years of transfers in two or three years. We are ready to assist you with the transfers; however, we also have storage and expense issues, so there are limits to the assistance we can provide. As you know, space is limited here at Archives II, particularly for classified records, and even though the FBI automatically declassifies the records, NARA may need to store the records in classified space because the files may contain equities from other agencies which are not declassified. We are increasing our space in an off-site storage facility in the Midwest, but it cannot accommodate classified records. The off-site storage should be available by October 1, 2006. We will keep you informed as we increase our classified and unclassified storage space.

The problem, as I understand it, is that the FBI has about 45,000 cubic feet of permanent records eligible for transfer to NARA. An unknown portion of this volume will be automatically declassified by the FBI making it eligible for transfer after the FBI has separated the permanent and temporary records, and after the FBI has completed its FOIA (b) (3) review of the records tabbing records restricted under grand jury, 6103, Title III, witness informant, and other restrictions covered by the FBI review. It would be helpful to both our agencies if the FBI could provide us with a FY 2007 and FY 2008 work plan for transferring records to NARA. The plan should be arranged by class number and provide an approximate volume and date for completing the disposition and (b) (3) review. It would also be useful if the FBI could tell us if there are classified records from other agencies in the case files. You have already provided us with the FOIA workload for each class so if the records are totally

declassified we could allocate the class to Archives II or to off-site storage based on the potential reference activity of the class.

In the meantime we have already started accessioning FBI records. Last week we received the first 10 skids (400 cubic feet) and we are accessioning the remaining 20 (800 cubic feet) skids over the next month. After we complete the first 30 skids we are accessioning 10 skids per month of Class 157 followed by Class 104 and Class 65. We are also working with your staff to develop a work plan for the remainder of this year.

(b)(5)

I have directed Stephen Cooper and Jeanne Schauble to work with your staff to develop a transfer plan for the remainder of this year and a plan for the next two years based on the amount of records the FBI can review in that time period and the available space at NARA. Once this plan is in place, we will know better what other efforts our two agencies need to make to facilitate the transfer of permanent records from the FBI to NARA.

We look forward to working with your staff on a transfer plan for the next two years. If you have any questions, please call me at 301-837-3110.

Sincerely,

MICHAEL J. KURTZ
Assistant Archivist for Records Services -
Washington, DC

Cc:

Official File – NWML ✓

Reading file - NWML

Jeanne Schauble, NWMD

Ann Cummings, NWCT

Steve Tilley, NWCT

Steve Cooper

Thomas Jenkins

A.J. Daverele, NWMD

S:\correspondence\fbihooton6-21-06

File: 1301-1a FBI

Sc/sg/06/22/06



U.S. Department of Justice

JUN 09 2006

Federal Bureau of Investigation

Washington, D. C. 20535-0001

May 30, 2006

Professor Allen Weinstein
Archivist of the United States
National Archives and Records Administration
Washington, D.C. 20408

Dear Professor Weinstein:

As you know, the FBI is currently planning for a Central Records Complex (CRC) to be ready for occupancy in October 2009. This complex will house the Records Management Division, as well as, the vast majority of FBI records until they are either eligible for destruction or transfer to NARA. In order to ensure that records currently eligible for destruction or transfer are not moved to the CRC unnecessarily or at an increased financial cost to the federal government, the FBI is undertaking a massive destruction/transfer campaign. To this end, I seek your assistance.

[REDACTED]

(b)(7)(E)

In addition, by the end of this calendar year, the FBI will comply with Executive Order 12958, which requires automatic declassification of certain material after 25 years. This will significantly decrease the amount of review time required by the FBI. In turn, this will increase the amount of material the FBI will have available for transfer.

[REDACTED]

[REDACTED]

(b)(7)(e)

Sincerely,

William L. Hooton

William L. Hooton
Assistant Director
Records Management Division

CC: Michael Kurtz

Final Report with Findings and Recommendations
National Archives and Records Administration
Assessment of FBI Recordkeeping
July 3, 2002

General Background

The FBI is an organization whose core mission depends on maintaining high quality, accurate, and complete records that can be easily and efficiently retrieved for a long period of time after the case is closed. Changes in FBI work processes and recordkeeping practices brought about by the increasing use of computers and information technology culminated in the Bureau instituting a universal case numbering system in 1991, developing the Automated Case Support (ACS) system in 1995, and eliminating the headquarters case file as a separate investigative record in 1997.

To begin addressing the impact of these recordkeeping changes, NARA agreed to conduct a focussed records management assessment in selected headquarters and field offices. The assessment addressed specific questions developed by NARA and the FBI relating to agency-wide recordkeeping attitudes and practices (see attached questionnaire). The FBI Records Management Division requested that NARA focus this assessment on the core records of the FBI, its investigative files. The principal goal of the assessment project was to review the management of FBI investigative records across the records lifecycle (i.e., records creation and receipt; maintenance and use, and final disposition) by interviewing selected FBI staff, and to bring specific records management issues and recommendations to the attention of FBI management for future action. Another goal of the assessment project was to identify a variety of cross-cutting cultural

aspects relating to FBI records management that the Records Management Division must also consider as it reorganizes its records management program. The entire project was coordinated directly with the Assistant Director and Deputy Assistant Director of the FBI in charge of the Records Management Division.

Since the early 1980s, NARA's interaction with the FBI has been defined by a lawsuit filed against the FBI and NARA by the American Friends Service Committee concerning the FBI's retention and disposition of records. As part of the resolution of the case (along with the development of a revised records schedule), the FBI executed a Memorandum of Understanding with NARA to update the new schedule at five-year intervals. This assessment is the first of a series of projects required to update the Bureau's records schedule as part of the current five-year update cycle

FBI support of the assessment project

The FBI Records Management Division provided excellent assistance to the NARA assessment team. They initially provided a wide range of background information including operations and procedures manuals, training manuals, and briefing materials. They also provided tours of FBI records facilities, and arranged necessary meetings with FBI staff in other headquarters and field offices, sometimes on short notice. Records management personnel and individual interview subjects have been universally helpful in providing information and especially forthcoming in sharing their opinions about recordkeeping issues at the FBI.

Methodology

Following planning meetings between the FBI and NARA, the NARA assessment team developed a questionnaire and conducted a series of test interviews with investigative and support staff at all levels at headquarters. In addition to receiving background briefings from the Correspondence Unit, the Archival Unit, and the Historical and Executive Review Unit to get a baseline understanding of the FBI records lifecycle, we interviewed an Information Management Assistant (IMA), a Supervisory Special Agent, and an Inspector who formerly served as an Assistant Special Agent in Charge of a field office. We quickly realized that a traditional view of FBI records management, with headquarters records and files being the starting point for examining recordkeeping issues at the FBI, was not going to work well for this assessment.

The focus of the pilot assessment shifted to the field offices, because, since 1999, they are the office designated to keep the “record copy” of all investigative case files. Cases are now assigned to a “lead” field office (known as the “office of origin”), with other field offices participating in the investigation as necessary or as requested by the office of origin. Headquarters units generally provide case monitoring and oversight, approvals of special requests and procedures, policy-level guidance for investigations, and liaison and coordination between field offices, headquarters staff, and the Department of Justice. Headquarters units do not typically keep entire copies of investigative files.

The first phase of the project was the completion of a “pilot” assessment in selected headquarters and field offices, and the submission of an interim report for review by the

FBI. We organized our pilot questionnaire and analysis around recordkeeping attitudes and practices relating to the stages of the records life cycle: creation and receipt; maintenance and use; and final disposition of records in all formats and media. We then interviewed six Bureau personnel at the Washington Field Office (WFO): the Administrative Officer, an agent with more than ten years experience, an agent with less than three years experience, an Administrative Unit Supervisor, a Senior Administrative Specialist for Records, and an Information Management Assistant. We also reviewed records in the ACS system and in hard copy files when it was necessary to understand or clarify a point, or when it was helpful to differentiate the many types of records maintained by the FBI in various locations.

The interim report identified major issues, findings related to each issue, and one or more recommendations for each issue. The assessment team met with the leadership of the Records Management Division to discuss the focus and format of the final assessment report. They agreed that it would be most useful to them in its current bulleted format.

The second phase of the project was to visit three additional field offices (Richmond, Virginia; Kansas City, Missouri; and Los Angeles, California), and interview essentially the same cross-section of staff as in the Washington Field Office visit. Los Angeles has established new positions to address the problems of diminished support staff in the field office. These positions combine the duties of the squad secretary and the investigative management analyst and are known as Squad Operations Assistants. They have also established supervisors for the Squad Operations Assistants known as Office Services

Supervisors. We interviewed two Office Services Supervisors in addition to the Supervisory Administrative Specialist.

On each of these visits, we identified certain personnel in the field offices with whom we wanted to speak, but with whom it would not be appropriate to conduct a full-fledged interview using the detailed questionnaire. These included a computer specialist in each office, the Chief Division Counsel and his assistant in Kansas City, the squad supervisor of a Joint Drug Intelligence Group (JDIG) in Kansas City, and a former supervisor who had recently returned to being a street agent in Los Angeles. With these individuals, we had discussions on a range of issues relating to FBI recordkeeping. The JDIG supervisor also demonstrated the capabilities and content of a JDIG document database.

For the second-phase field visits, we reviewed paper and electronic records with Investigative Management Assistants to see the capabilities of the system and to see whether there were any discrepancies between the paper and electronic case files. We also identified the use of electronic mail as an area that needed to be examined. The FBI has an internal-only electronic mail system for its employees. Most FBI employees do not have electronic mail accounts that provide access outside the FBI's network. The FBI Office of General Counsel did not clear our access to electronic mail in time for our visits to Richmond and Kansas City. At the Los Angeles field office, we were able to review the electronic mail records in the accounts of one agent and one support staff.

Issues, Findings, and Recommendations

1. **Issue:** There are multiple copies of every investigation case file, and multiple copies (electronic copy, hard copy, lead copy and notification copy) of Bureau generated documents.

Findings

- ACS contains a portion of every investigative case file. ACS consists of documents created by the FBI in a word processing program. Most FBI offices do not have scanning equipment, so records received from sources outside the FBI cannot be loaded into ACS.
- The office of origin for an investigation is designated as the custodian of the “official” case file. An office creating or receiving a document in hardcopy should enter the document attributes into ACS and forward the original document to the office of origin for inclusion into the office of origin case file. There is considerable confusion as to what should be sent to the office of origin.
- Field offices and headquarters offices that create or receive documents pertaining to a case maintain a copy of those documents in a case file, after forwarding the original to the office of origin. The same case number is supposed to be used by each field office, headquarters office, and office of origin.
- Agents often maintain a reference copy of approved documents they create or receive in the event that something happens to the paper copy.
- Duplicate files create the potential for the official file not being complete.

- A review of paper and electronic records during the assessment field office visits verified the creation and maintenance of multiple copies of investigative files.

Recommendations

Short Term

- Establish clear policies for recordkeeping responsibilities for headquarters offices, the office of origin and the auxiliary offices.
- Establish clear recordkeeping requirements for working papers and background material for investigative case files, which are not sent to the office of origin.
- Recordkeeping requirements should also cover non-investigative records, especially in headquarters. Currently, there is no mechanism for separating and identifying policy and implementation files in a headquarters office. These records are often interfiled with headquarters investigative case files.

Long Term

- Develop a centralized electronic recordkeeping system that contains a complete record of an investigation and which includes all electronic approvals and concurrences.
2. **Issue:** The office of origin file, which is the official record copy of an investigation, may not always be complete and up-to-date.

Findings

- One agent stated that her office is the office of origin for a case and she knew that other offices are working on the case but she has received very little paper from the other offices.
- On the question asking if there are procedures that define what documents are included in the official office of origin case file, most respondents answered yes, and the rest of the respondents were evenly split between those who said there were no procedures and those who said they did not know if there were procedures. Some of the respondents told us it was up to the agent to decide.
- Field offices and headquarters offices do not send all the documents to the office of origin. One person interviewed said that approximately 40% of the documents in a case were sent to the office of origin.
- Duplicate files create the potential for the official file not being complete.
- When offices send an original document to the office of origin, the original is sent by overnight mail and a copy is emailed or faxed. Duplicate copies of documents also create the potential for poor filing. Both versions of the document or neither version of a document might make it into the office of origin case file.
- One Investigative Management Assistant regularly regularly receives paper copies created in the lead or auxiliary office that have not been uploaded to the ACS electronic case file. She stated that if she uploads the attributes (metadata) of the documents without the text, she is exposing herself to a penalty when internal office audits are conducted. She keeps the paper

documents and repeatedly contacts the other office until they upload the documents. This process can take weeks.

- In reviewing electronic case files at headquarters, the correspondence unit showed the NARA team instances where field offices had established case file numbers for cases in which they were not the office of origin.
- There is a backlog of electronic communications in field offices that require indexing and uploading into ACS. Agents across the country may not be using the most current information in ACS.

Recommendations

- Establish clear policies for where investigative reports and other records are to be maintained.
- Establish easily understood procedures for transmitting all case documents to the office of origin in a timely manner.

3. **Issue:** Staff believes that the FBI needs to maintain paper copies of investigative case files.

Findings

- Agents believe that paper case files will always be required for legal reasons.
- Staff does not trust FBI computer systems for retrieval of records when they need them.

Recommendations

- Brief staff members on the issue of legal acceptability of electronic records in training sessions provided by FBI attorneys.
 - Ensure that FBI systems provide reliable access to needed documents, and organize users groups to provide feedback on system problems.
4. **Issue:** There are both paper and electronic records created or received in the course of investigations that are maintained and used outside of standard FBI recordkeeping practices.

Findings

- Areas defined as “High Intensity Drug Traffic Areas”, or HIDTA, by the Office of National Drug Control Policy have established Joint Drug Intelligence Groups (JDIG) which coordinate the efforts of multiple federal, state and local agencies. JDIG squads develop large document databases (using the Intel Plus program or “Major Case Database” programs) using the information from all of the participating agencies.
- The Kansas City JDIG squad demonstrated the capabilities and content of the document database used by the JDIG squad. The FBI has not considered the records management issues associated with creating localized Joint Drug Intelligence Group document databases (and other similar systems), especially whether they are official federal records.

- When the Bureau works on large, high priority, complex cases (such as the Oklahoma City Bombing, the September 11 terrorist attacks, or the Anthrax investigations), they enter lead information in a Rapid Start database in order to track the huge number of leads involved. Rapid start is a stand-alone system that does not link to ACS.
- In large white-collar crime or public corruption cases, squads often collect hundreds of thousands of pages of documents as evidence (pursuant to subpoena or discovery) that cannot be effectively managed or retrieved. One agent noted that there has never been any training in how to manage large collections of documents collected in the course of an investigation.
- Investigators also acquired electronic data (membership databases of professional organizations, electronic bank records, etc.) as evidence. The FBI is unable to fully manipulate and analyze this type of information because it cannot be integrated into the electronic case file. For example, a WFO squad was unable to use a database program developed by the National Drug Intelligence Center for a specific investigation because it was not approved for use on FBI computer systems.
- Los Angeles (along with eight other regional centers) has scanned all of the cases in certain foreign counterintelligence classifications going back to 1993 for review at headquarters and by the Congress. LA scanned 3,000,000 pages in three weeks. For these cases, the electronic documents are both more complete and potentially more useful than the correlating cases in ACS and in the paper files.

Recommendations

- Conduct a closer examination of the investigative process to determine exactly where all of the investigative records are created and maintained.
 - Establish a recordkeeping system that effectively manages all of the records created and maintained by the FBI, including local or stand-alone databases.
 - Develop systems capable of integrating electronic evidence into the case files, such as data warehouses.
5. **Issue:** ACS does not function adequately as an indexing, tracking, or recordkeeping system, and there are quality control problems for data entry.

Findings

- When indexing, IMAs sometimes enter information incorrectly, which means the entry cannot be searched. For example, Mr., Mrs., and Miss are not supposed to be entered but some IMAs do, which means a user would have to include those terms in order to search for the name.
- ACS does not contain copies of documents received by the FBI, any non-textual records, or odd sized documents. ACS is not capable of storing classified and need to know records (Title III, grand jury, confidential informant, 6103), meaning that entire investigative divisions are unable to use the system and the classified serials of a case are not uploaded into ACS.

- Certain personnel understand how to limit access to case information in ACS. Other personnel do not know how to utilize this capability to help assure ACS/case file security.
- It takes too long to print documents from ACS so agents write down information.
- There is no global search capability in ACS, and it is unclear when hits represent everything that is relevant in the file.
- Searches with too many hits cause the system to stop functioning without completing the search.
- One respondent stated that some agents do not use ACS, so their documents are not uploaded into the system.

Recommendations

- Improve the quality of data entry through increased staff training, by providing easy-to-follow data entry procedures, and by establishing uniform quality assurance standards to verify that information was correctly entered into FBI systems.
- Eliminate any backlog of uploading documents to ensure that the electronic case file has the most current and up-to-date information.
- Clearly identify responsibilities of IMAs and agents and provide unambiguous procedures for them to follow.
- Conduct periodic inspections or audits for data entry to ensure that training is successful and procedures are followed agency-wide.

Long Term

- To address the search limitations in ACS, explore using a browser-based system where hits are ranked by their relevance to the search. Such a system would give users more confidence in the system.

6. **Issue:** Records created and received using electronic mail applications are not compatible with ACS. If an agent creates or receives a case-related record using email the information must be converted to the word processing application to be uploaded into ACS.

Findings

- One agent said that he never uses email for case related work because email and ACS are not compatible. However, this practice may vary within the FBI.
- Agents maintain email in their own electronic mailboxes. No one we spoke with prints and files email messages.
- According to all of the computer specialists we interviewed, audits of Bureau employee electronic mail are not conducted. Consequently, there is no Bureau-wide understanding of how electronic mail is actually being used.
- Prior to September 11, there was a 90-day auto-delete function on the FBI electronic mail system. Headquarters has directed that function to be turned off since September 11.
- The assessment team's visit to the Los Angeles field office included a review of the electronic mail account of one agent and one squad operations assistant.

Our review indicated that these individuals use FBI electronic mail primarily for administrative and transmittal purposes.

Recommendations

- Establish a written electronic mail policy, which includes the use of electronic mail for case-related work.
- Establish an electronic recordkeeping system to enable external and internal electronic communications to be maintained with the related case file or be destroyed after their usefulness ends, in accordance with NARA-approved dispositions.

7. **Issue:** Agents and units maintain unofficial drop files in paper and electronic form.

Findings

- Nearly every agent mentioned the practice of maintaining drop files or reference files at their desk and also at the unit level.
- Agents maintain electronic drop files in electronic mail mailboxes and in word processing programs on personal computers and floppy disks.

Recommendations

- The reappraisal of headquarters and field office records should include these drop or reference files at all levels.
- Establish clear recordkeeping requirements for these records.

8. **Issue:** Procedures manuals are rarely read or followed by agents and administrative staff.

Findings

- There is a lack of inclusion of field office staff when changing policies and when implementing new policies. Often there are new requirements in ACS that field office staff must learn without any guidance from headquarters.
- In Richmond and in Los Angeles, the administrative supervisors are developing their own “IMA handbooks” for use by administrative staff which consist of procedures extracted from the Manual of Administrative Procedures and the Manual of Investigative Operations and Guidelines. Los Angeles has also issued directives that define how paperwork should flow through the office.

Recommendations

- Update and simplify all manuals in plain language.
- Utilize web-based or interactive prompts to provide easy lookup of specific information from manuals.
- Produce pocket guides for easy reference on particular topics.
- Include field staff when developing new policy.
- Notify field staff of policy changes before they are implemented.
- Utilize the work already done in the field offices (*see findings above*) if it is applicable Bureau-wide.

9. **Issue:** Because of the volume of information and the deficiencies of the ACS system in transmitting and maintaining case documents, there is no clear method of identifying the urgency of a specific document or lead.

Findings

- Under the old paper-based system, there was such a thing as an immediate teletype. A veteran agent in Los Angeles has never seen an “immediate” electronic communication, that is, a document that requires immediate attention.
- One veteran agent described a situation following September 11 where he and his partner covered a lead from Rapid Start, and as he was leaving the interviewee’s residence, two agents from one of the Resident Agencies arrived to cover the same lead.

Recommendation

- Develop a more effective workload assignment priority and tracking system module for the new recordkeeping system where a lead can be prioritized, checked out when it is assigned and being covered, and checked back into the system after it is covered and reported.

Cultural Aspects

The cultural aspects identified below are crosscutting issues found throughout FBI divisions, field offices, and headquarters. Finding solutions to the cultural aspects of FBI recordkeeping will be among the most difficult problems facing the FBI, especially the Records Management Division.

- There is a general lack of trust/respect of headquarters personnel by agent personnel in the field offices.
- Staff do not trust ACS, the mail, or other staff to correctly maintain records so everyone keeps copies of documents that pass through their hands.

- Because ACS does not contain complete, current, and accurate information on a case, some agents do not want to use it at all.
- Very few FBI personnel have confidence in ACS or in their ability to fully utilize ACS functions.
- Every staff member at all levels believes that they need to maintain a “record” of their transactions, even if the official record copy is elsewhere. There appears to be a feeling that since staff members are held accountable for their work, then their work must be maintained at their work site or even their work station.
- There is a lack of communication between IMAs and agents. Agents believe that the IMAs should automatically complete administrative tasks and the IMAs believe their job is to follow specific instructions from agents. The lack of communication inhibits information being entered into ACS.
- FBI policies and procedures (mainly relating to computer security) have prevented the FBI, as an organization, from taking maximum advantage of information technology including electronic mail for external communication, use of the World Wide Web, and the Internet.
- Many people are more comfortable using and maintaining paper to do their work.
- Most FBI employees do not have external electronic mail capabilities at their desktop, but have to use central workstations designated for Internet access.
- Electronic communications using ACS is the principle method of internal FBI communication, so FBI staff does not use electronic mail and other common desktop tools as most other Federal agencies do.
- Agents believe that manuals are out-of-date and are too “huge” to read and use.

- Staff members do not believe that defined procedures work.
- Agents said they use manuals “now and then.”
- Although manuals are not widely used, FBI management expects that the detailed written procedures be followed exactly.

Conclusion

As in most Federal agencies, records management at the FBI has largely focused on the disposition of records. This assessment shows that the Bureau’s recordkeeping problems begin with records creation and maintenance. Finding solutions to these problems and implementing them will require commitment from FBI leadership and the efforts of a team of people developed from many parts of the organization including the Director’s office; the Records Management Division; human resources staff; information technology staff; security staff; the investigative divisions; and representatives from the field offices. As the FBI works on technological solutions to improve records management, it should especially address issues of maintaining the enormous volume of records created in FBI offices, and the many cross-cutting cultural aspects identified in this assessment report.

The FBI should produce concise, understandable recordkeeping requirements for each type of file: office of origin, headquarters, and other offices working on an investigation. The recordkeeping requirements should include electronic records such as ACS, electronic mail, and all future systems. Duplicate files, an age-old problem in government offices, damage the integrity of the “record copy” of the case file. For example, documents uploaded into ACS and electronically sent to the office of origin are

also faxed and sent by mail to the office of origin. In a large case, the office of origin could receive numerous copies of each document, and these multiple copies can easily be misfiled and make cases unmanageable.

Implementing recordkeeping requirements and improved records management practices is largely a matter of consistency, communication, staffing and training. The recordkeeping responsibilities of agents, IMAs and supervisory agents should be specifically defined, and it must be clear in the FBI that all staff have important recordkeeping responsibilities regardless of their position and geographic location. There is a perception, especially among agents, that recordkeeping means additional administrative responsibility, and therefore less time for investigative work. The Records Management Division (and a senior-level records management task force) should work to change that perception so that agents understand that better recordkeeping can actually improve the efficiency of the entire organization.

Strengthening records management staffing is essential for successfully implementing a comprehensive, nationwide records management program. A nationwide network of professional records managers should be responsible for the implementation of new Bureau records management policies and recordkeeping requirements. An additional approach might be to assign an experienced records manager to major task forces or cases.

Records management training is a key element in the implementation of recordkeeping requirements. Specific training should be developed for supervisory special agents, special agents, IMAs and other staff. Short web-based interactive training modules could be effective training and professional development tools. Another method of developing a professional records management staff and providing training is to hold annual Bureau-wide records management conferences for FBI staff.

Recordkeeping should continue to be included in the regular FBI inspection program, and the Records Management Division should develop methods to identify problem areas and weak programs in FBI offices. In addition to these periodic program evaluations, the FBI should develop a quality assurance program to regularly audit recordkeeping on a day-to-day basis.

Although this assessment found many issues that need to be addressed by the FBI, it is important to note that the FBI staff interviewed during the assessment expressed concerns about FBI recordkeeping and believe it to be an important issue. Developing consistent policies, opening clear lines of communication, establishing a comprehensive records management training program, and developing a professional records management staff throughout the FBI are pro-active measures designed to assist in restoring the trust of staff in FBI recordkeeping practices.

Attachment