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Description of document: **Documents related to FBI policies for placing records on CD-ROM, 2003-2004**

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Source of documents: Federal Bureau of Investigation
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U.S. Department of Justice

Federal Bureau of Investigation

Washington, D.C. 20535

September 23, 2010

Subject: FBI POLICIES FOR PLACING RECORDS ON
CD-ROM

FOIPA No. 1148596- 000

The enclosed documents were reviewed under the Freedom of Information/Privacy Acts (FOIPA), Title 5, United States Code, Section 552/552a. Deletions have been made to protect information which is exempt from disclosure, with the appropriate exemptions noted on the page next to the excision. In addition, a deleted page information sheet was inserted in the file to indicate where pages were withheld entirely. The exemptions used to withhold information are marked below and explained on the enclosed Form OPCA-16a:

Section 552

- ☐ (b)(1)
- ☐ (b)(2)
- ☐ (b)(3) _____
- _____
- _____
- _____
- ☐ (b)(4)
- ☐ (b)(5)
- ☒ (b)(6)

Section 552a

- ☐ (b)(7)(A)
- ☐ (b)(7)(B)
- ☒ (b)(7)(C)
- ☐ (b)(7)(D)
- ☐ (b)(7)(E)
- ☐ (b)(7)(F)
- ☐ (b)(8)
- ☐ (b)(9)
- ☐ (d)(5)
- ☐ (j)(2)
- ☐ (k)(1)
- ☐ (k)(2)
- ☐ (k)(3)
- ☐ (k)(4)
- ☐ (k)(5)
- ☐ (k)(6)
- ☐ (k)(7)

24 page(s) were reviewed and 24 page(s) are being released.

☐ Document(s) were located which originated with, or contained information concerning other Government agency(ies) [OGA]. This information has been:

- ☐ referred to the OGA for review and direct response to you.
- ☐ referred to the OGA for consultation. The FBI will correspond with you regarding this information when the consultation is finished.

☒ You have the right to appeal any denials in this release. Appeals should be directed in writing to the Director, Office of Information Policy, U.S. Department of Justice, 1425 New York Ave., NW, Suite 11050, Washington, D.C. 20530-0001. Your appeal must be received by OIP within sixty (60) days from the date of this letter in order to be considered timely. The envelope and the letter should be clearly marked "Freedom of Information Appeal." Please cite the FOIPA Number assigned to your request so that it may be easily identified.

☐ The enclosed material is from the main investigative file(s) in which the subject(s) of your request was the focus of the investigation. Our search located additional references, in files relating to other individuals, or matters, which may or may not be about your subject(s). Our experience has shown, when ident, references usually contain information similar to the information processed in the main file(s).

Because of our significant backlog, we have given priority to processing only the main investigative file(s). If you want the references, you must submit a separate request for them in writing, and they will be reviewed at a later date, as time and resources permit.

☐ See additional information which follows.

Sincerely yours,

A handwritten signature in black ink, appearing to read "D. Hardy", with a stylized flourish at the end.

David M. Hardy
Section Chief
Record/Information
Dissemination Section
Records Management Division

Enclosure(s)

EXPLANATION OF EXEMPTIONS

SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552

- (b)(1) (A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified to such Executive order;
- (b)(2) related solely to the internal personnel rules and practices of an agency;
- (b)(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute(A) requires that the matters be withheld from the public in such a manner as to leave no discretion on issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;
- (b)(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;
- (b)(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;
- (b)(6) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;
- (b)(7) records or information compiled for law enforcement purposes, but only to the extent that the production of such law enforcement records or information (A) could be reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could be reasonably expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of confidential source, including a State, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of record or information compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or (F) could reasonably be expected to endanger the life or physical safety of any individual;
- (b)(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or
- (b)(9) geological and geophysical information and data, including maps, concerning wells.

SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552a

- (d)(5) information compiled in reasonable anticipation of a civil action proceeding;
- (j)(2) material reporting investigative efforts pertaining to the enforcement of criminal law including efforts to prevent, control, or reduce crime or apprehend criminals;
- (k)(1) information which is currently and properly classified pursuant to an Executive order in the interest of the national defense or foreign policy, for example, information involving intelligence sources or methods;
- (k)(2) investigatory material compiled for law enforcement purposes, other than criminal, which did not result in loss of a right, benefit or privilege under Federal programs, or which would identify a source who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(3) material maintained in connection with providing protective services to the President of the United States or any other individual pursuant to the authority of Title 18, United States Code, Section 3056;
- (k)(4) required by statute to be maintained and used solely as statistical records;
- (k)(5) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or for access to classified information, the disclosure of which would reveal the identity of the person who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(6) testing or examination material used to determine individual qualifications for appointment or promotion in Federal Government service the release of which would compromise the testing or examination process;
- (k)(7) material used to determine potential for promotion in the armed services, the disclosure of which would reveal the identity of the person who furnished the material pursuant to a promise that his/her identity would be held in confidence.



RECORD/INFORMATION DISSEMINATION SECTION

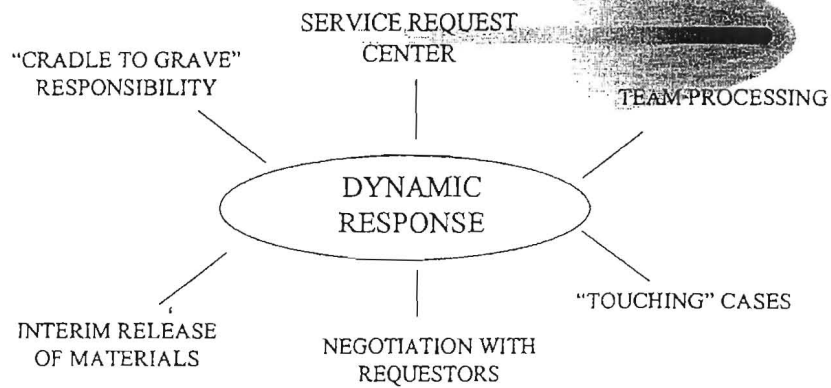
RE-ENGINEERING PROJECT

David Hardy
Section Chief

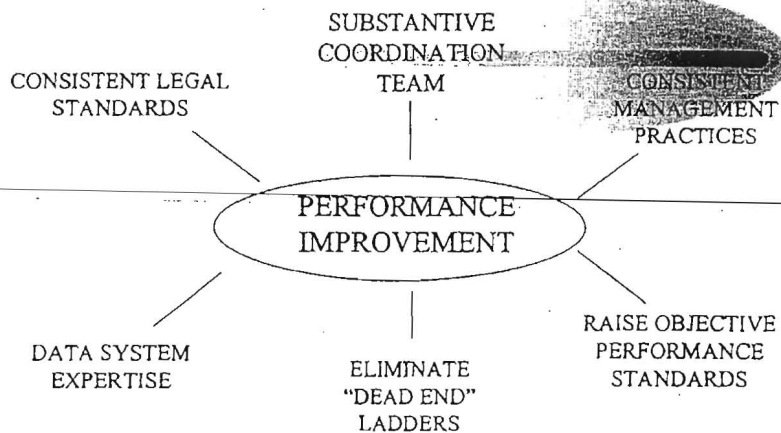
RECORD/INFORMATION DISSEMINATION SECTION

- *FREEDOM OF INFORMATION ACT*
- *CRIMINAL DISCOVERY*
- *NATIONAL NAME CHECK PROGRAM*
- *PRIVACY ACT*
- *CLASSIFICATION REVIEW*
- *HISTORIC DOCUMENT CLASSIFICATION*
- *FOIA LITIGATION SUPPORT*
- *LITIGATION CLASSIFICATION*
- *PREPUBLICATION REVIEW*
- *OTHER AGENCY REFERRAL*
- *SPECIAL PROJECTS*

FOIPA RE-ENGINEERING PROJECT



FOIPA RE-ENGINEERING PROJECT

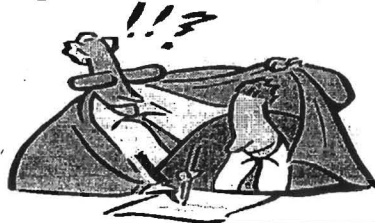


MANAGEMENT EXPECTATIONS

TEAM CAPTAINS

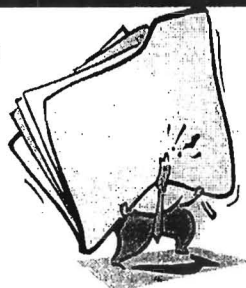
MANAGE YOUR WORK FLOW

- Monitor the amount of work assigned to each PLS.



ASSIGN CASES

- Each PLS should have :
 - one project
 - two medium
 - five small cases



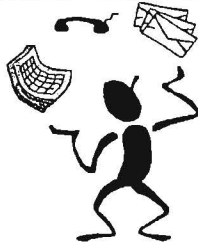
AGGRESSIVELY ATTACK THE CASELOAD

- Don't wait for whatever is turned in by the PLS.
- Identify cases that need to get done and set up a plan to close the case.



INTERIM RELEASES

- You must make interim releases on medium and large queue cases.
- Most cases should have multiple work items.



WALK THE FLOOR

- Who is working ?
- Who is on the phone?



Queue Management

Queues should be checked daily by PLSs

All queues should be checked daily by Team Captains to monitor workflow at PLS/team level

Team Captains should check "**Assign to PLS**" queue daily for new cases

Cases should be previewed and direction given when necessary within one day

If longer than two days - why?

PLSs should check their "**Assign to team member**" and "**Add new files**" type queues daily.

PLSs should check electronic folder for notes and direction from TC

Determine how to break down into multiple work items and do so within one day

PLSs should check the "**Appeals**" queue daily for new appeals

Ensure that all appeals are forwarded to the OIP Attorney for review

All appeals should be reviewed by OIP within 90 days

Team Captains should check the "**Appeals**" queue daily

Check for new appeals

Identify appeals that have not been reviewed by OIP within 90 days of being in queue

Team Captains should check the "**Disclosure Processing**" queue daily

Monitor flow of small queue cases

Monitor flow of monthly interim releases on med/lg queue cases

Identify cases that are 18-24 months or older based on receipt date at the FBI and determine how to make progress and close

Monitor flow of "uncounted reopens" and ensure quick completion

Monitor return of cases from WPU/DCU that are returned directly to this queue

Check for/reassign cases of PLS on TDY/transfer/litigation etc

PLSs should check the "**Disclosure Processing**" queue daily

Be aware of "uncounted reopens" and ensure quick completion

Be aware of cases returned from WPU or DCU and progress to next step in case

Identify cases that have been returned from the review queue and follow through to complete interim or close case

Identify small queue cases and process within 30 days when possible

Identify med/lg queue cases and process monthly interims when possible

Goals: Small cases- No older than 60 days

Medium cases- No older than 5 months

All cases- No older than January 1, 2003

GS-13 Team Captain

Manage workflow on team

Monitor amount of work

request/preview/assign cases to PLSs

each GS-12 PLS should have 1 proj, 2 med and 5 small cases so they will be able to meet their pages reviewed standard

aggressively attack the caseload of PLS and team,

don't wait for whatever the PLS happens to turn in, identify cases that need to get done and set up a plan

interim release monthly on med/lg queue cases

most cases should have multiple work items

walk floor, who is working, who is always on phone

Monitor quality of work

spend time on team with PLSs daily

check queues with them

talk to them about their cases, start dialog

questions, issues, uncertainties with case

assist to resolve questions/issues before finished case is turned in

be familiar with all the cases on the team

spot check cases

spot check at one/two work items each month for each PLS

spot check any case at his/her discretion but general rule would be

GS-11 (50%) and GS-12 (25% or less)

spot checking based on skill of the PLS with emphasis placed on certain cases (OPR, informant, FCI, current OC, CI and CT) with level of spot check at TC discretion

identify weak PLS/or assist GS-11 to be a GS-12

what is the weakness

develop plan to help

identify training that may assist/encourage 15 hrs continuing ed.

Monitor all queues

which cases/appeals are not moving and why

Goals: Small cases- no more than 60 days

Medium cases- no more than five months

All cases- Nothing earlier than January 1, 2003

monitor review queue (14 days or less if possible)

monitor ASP release queue page (print queue)

Monitor Metrics

Assist PLSs in reaching their pages reviewed standard

do they have enough cases, are there questions/issues, stuck in review/print queue

GS-14 Lead

Manage the workflow within the Unit

Have access to all Unit Chief queues.

Assignment/Reassignment of cases within team/unit.

Take delivery of all cases to be assigned to teams in the unit.

Make case assignments within the unit based on team closings and as necessary to maintain caseloads for each PLS.

When necessary reassign cases within team/unit to effectively close cases.

Monitor workflow within team/unit.

Monitor Perfected Backlog queue and other similar queues to ensure PLSs are taking assignments in timely fashion.

Monitor Processing queues and ASP pages to check for old cases. Determine status of cases and discuss with Team Captain to facilitate handling.

Monitor Request Review queue and ASP pages to ensure work items are not their more than 14 days.

Set ticklers on all cases that leave the Unit (DCU, WPU and other divisions).

Use the Call Center to track Hi Vis EC's and Congressionals.

Rally with each team on a monthly basis.

Project cases within the unit.

Oversee all project/large queue cases.

Collect monthly project reports.

Ensure progress being made monthly, interims being made and telephone contact with requester when feasible.

Appeals

Monitor appeal queue to ensure appeals are handled in a timely fashion.

Litigations

Oversee litigations within the Unit.

Ensure processing deadlines are met.

Request and track overtime to meet deadlines.

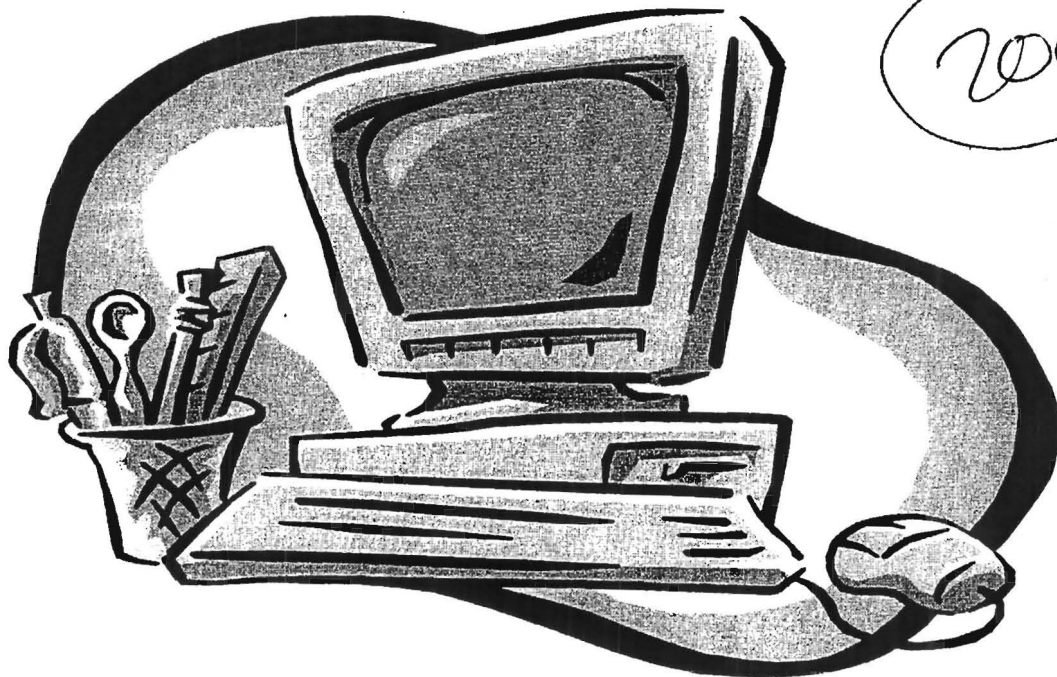
Meet with Team Captains as necessary regarding the workflow on their team.

Meet with Unit Management every two weeks.

Handle Unit projects at Unit Chief discretion.

Priority 2: Freedom of Information/Privacy Act System

1. Long term goals.
 - Develop a seamless relationship between processing of requests and litigation requirements;
 - Be completely paperless;
 - Establish division call center;
 - Develop self sustaining process improvement through organizational structure.
 - Merge FOIA redaction and classification units
2. Major objectives for FY 04 and FY 05.
 - Develop work flow measurement for all processes;
 - Eliminate all file movement through scanning;
 - Integrate classification onto FDPS;
 - Develop individual performance standards;
 - Develop a seamless relationship between processing of requests and litigation requirements;
 - Expand FDPS to Savanna;
 - Improve litigation support skills;
 - Set consistent FOIA, PA, and classification standards; and
 - Establish unit organizational structure that promotes self-sustaining process improvement.
3. FY 04 specific actions and milestones.
 - Establish the service request center (SRC) to receive name check requests and all non-FOIA service requests;
 - Develop central FBI intranet site managed by SRC that will record and monitor requests for services for the section;
 - Develop central FBI intranet site managed by SRC that will record and monitor service development of monitoring system for workflow management;
 - Complete development of dynamic response to FOIA requests, including team processing, negotiations with requesters, interim releases of materials, and early identification of problem requests;
 - Develop a seamless relationship between processing of requests and litigation requirements;
 - Complete implementation of multitask work stations;
 - Complete development of monitoring system of individual performance;
 - Complete elimination of paper processes;
 - Develop and measure greater professional excellence and consistent management practices;
 - Expand quick response team;
 - Integrate classification onto FDPS;
 - Expand FDPS to Savanna;
 - Improve litigation support skills; and
 - Establish and fill unit organizational structure that promotes self-sustaining process

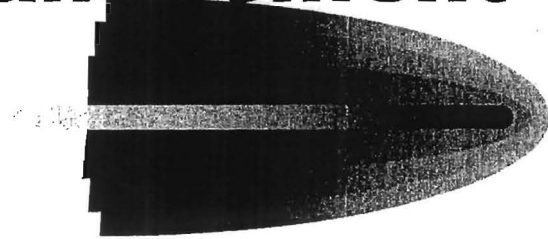


TRAINING MATERIALS for Processing

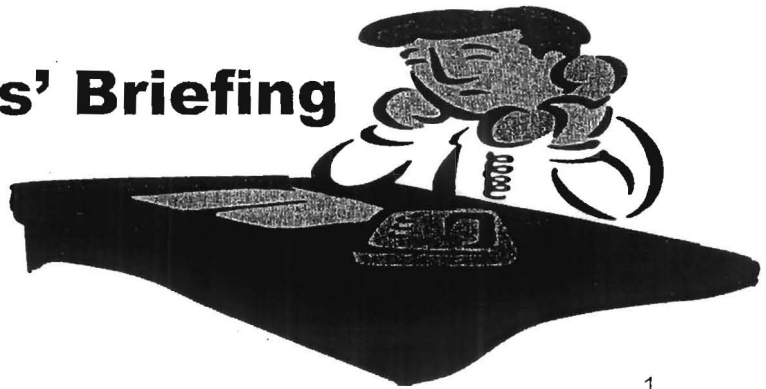
Freedom of Information - Privacy Acts Requests

**Records Management Division
Record/Information Dissemination Section
David M. Hardy, Section Chief**

Queue Management



Supervisors' Briefing



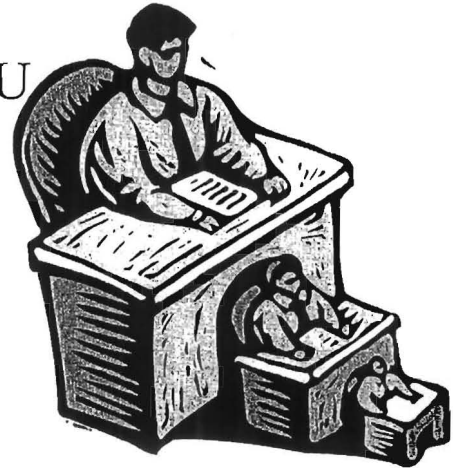
7/14/03

1

Today's ~~Situation~~

- **Transition to a Paperless Environment**

- No backlog
- Single-station processing –WPU
- FDPS- Classification Units
- Scanning raw files
- Expanding negotiation
- Increase of interim releases

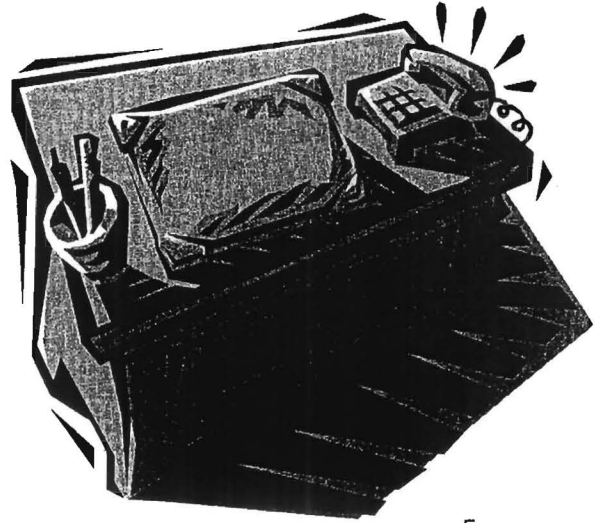


7/14/03

4

How Did We Get Here?

- **FDPS**
 - No brown-outs or Red-outs
- **Background Reduction**
 - Continuous communication with the requester
 - Emphasis on every requester received material
- **Reorganization**
 - Change in FBI's mission
 - Reallocation of resources



7/14/03

5

2003

MAJOR PROGRAMS

- 1 Personnel structure
- 2 Call Center set up
- 3 FDPS met for SC on demand
- 4 SAIC Program requirements
- 5 Quick response unit
- 6 Clear old queues
- 7 Weekly summary metrics
- 8 Prof Excellence
- 9 FDPS for CLASS G, CACI

- 1 Bottom up - NNC
- 2 Bottom up - Call Center
- 3 Integrate FDPS into RMS

SRC ~~Field~~ T

- 1 Call Center set up
- 2 Reading room - #s and process
- 3 Appeal coordination
- 4 FO coordination
- Long term: Bottom up Call Center
- 5 Training/assessment

WPC

- 1 Identify all queues
- 2 Clear queues
- 3 Training/assessment
- 4 Metrics.

SSU

- 1 Negotiation procedures, coordination
- 2 FDPS for SC on demand
- 3 Weekly summary - metrics
- 4 FDPS for classification
- 5 Training/assessment

FOIA

- 1 Clear queues
- 2 Set current standards
- 3 Quick response
- 4 Interim releases
- 5 Review efficiency/FPS stops
- 6 Training/assessment

NO more releases
quality review

CLASSIFICATION

Indexing issue,

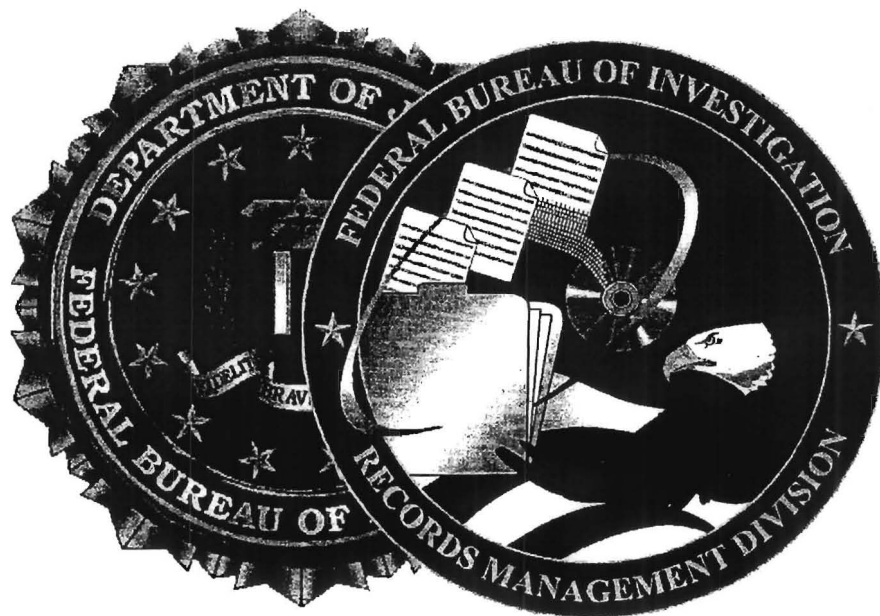
- 1 Atty/Agent position.
- 2 Searches/See files.
- 3 Call Center - web-based metrics
- 4 FDPS/Class.
- 5 SAIC
- 6 Queue Review
- 7 Alternate work style.

@ RDO Strategy of
@ XMAS;

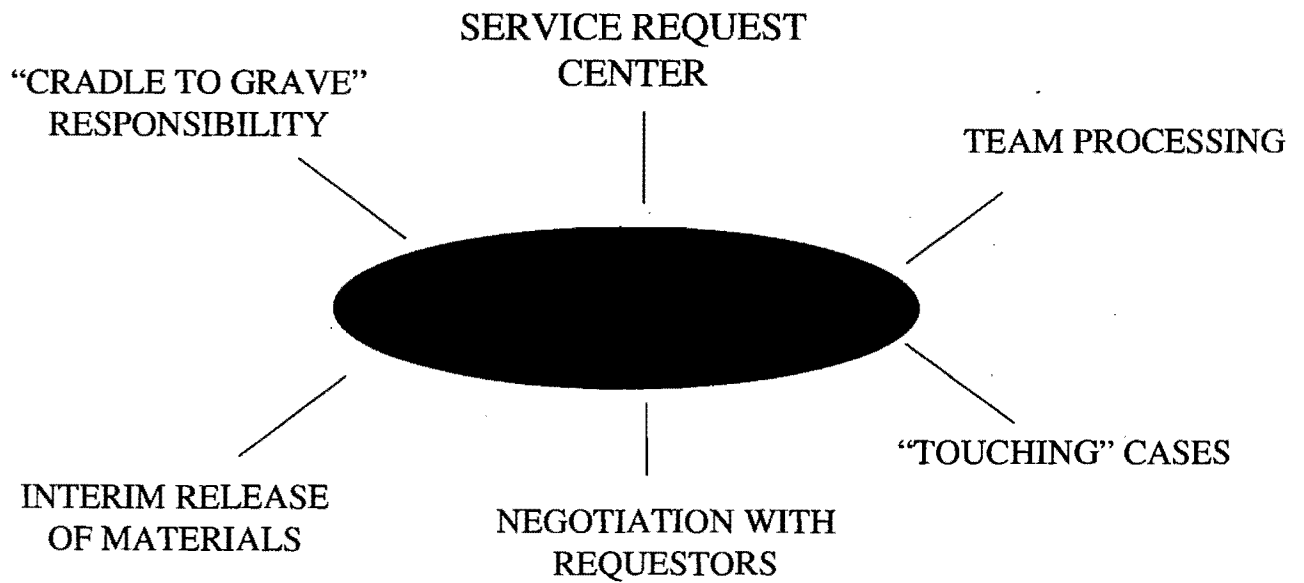
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2003

Record/Information Dissemination Section



FOIPA RE-ENGINEERING PROJECT

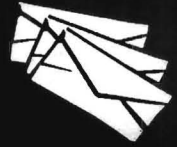


MANAGEMENT EXPECTATIONS

TEAM CAPTAINS

INTERIM RELEASES

- **You must make interim releases on medium and large queue cases.**
- **Most cases should have multiple work items.**



UNIT CHIEF RESPONSIBILITIES

1. Individual performance-
 - a. Production: Page production
 - b. Quality: Spotcheck results
2. Team captains-
 - a. Queue management: Method and effectiveness in moving cases (including knowledge-use of FDPS), including dynamic response, interim releases, negotiations, "touching" of cases, "cradle to grave" responsibility, queue movement
 - b. Quality: Methodology and quality of spotchecks
 - c. Personnel: Drop folder, individual development, administrative requirements
 - d. Innovation in carrying out responsibilities
 - e. Coordination with Unit Chief, including recommendations for improvement
3. Unit Expert-
 - a. Quality and consistency monitoring program
 - b. Coordination among teams for consistency
 - c. Coordination with other units for consistency
 - d. Training program for individuals, use of SCT
 - e. Innovation in carrying out responsibilities
 - f. Assistance to team captains
 - g. Innovation in carrying out responsibilities
 - h. Coordination with Unit Chief, including recommendations for improvement
4. Unit Lead-
 - a. Queue management- Knowledge of queues, including dynamic response, interim releases, negotiations, "touching" of cases, "cradle to grave" responsibility, queue movement
 - b. FDPS support- maximum use of FDPS capabilities
 - c. Metric support- collation on unit metrics, analysis, recommendations for improvement
 - d. Assistance to team captains
 - e. Innovation in carrying out responsibilities
 - f. Coordination with Unit Chief, including recommendations for improvement
5. Unit Chief-
 - a. Coordination with SC-ASC, other UCs including recommendations for improvement
 - b. Innovation in carrying out responsibilities
 - c. Personnel, administrative compliance



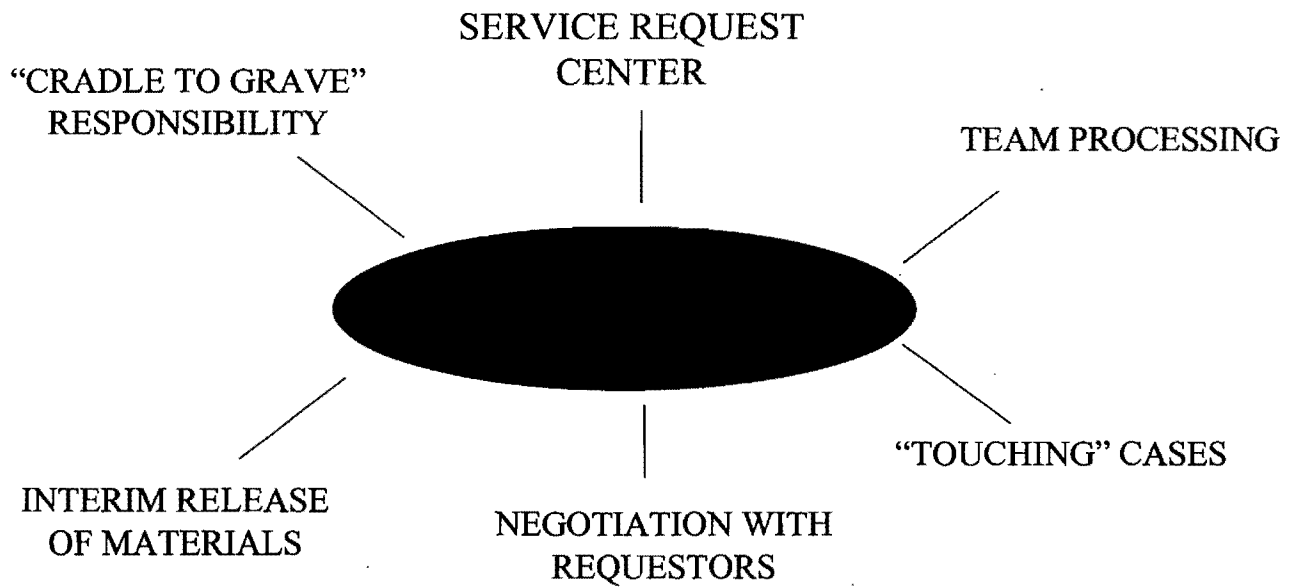
2004

RECORD/INFORMATION DISSEMINATION SECTION

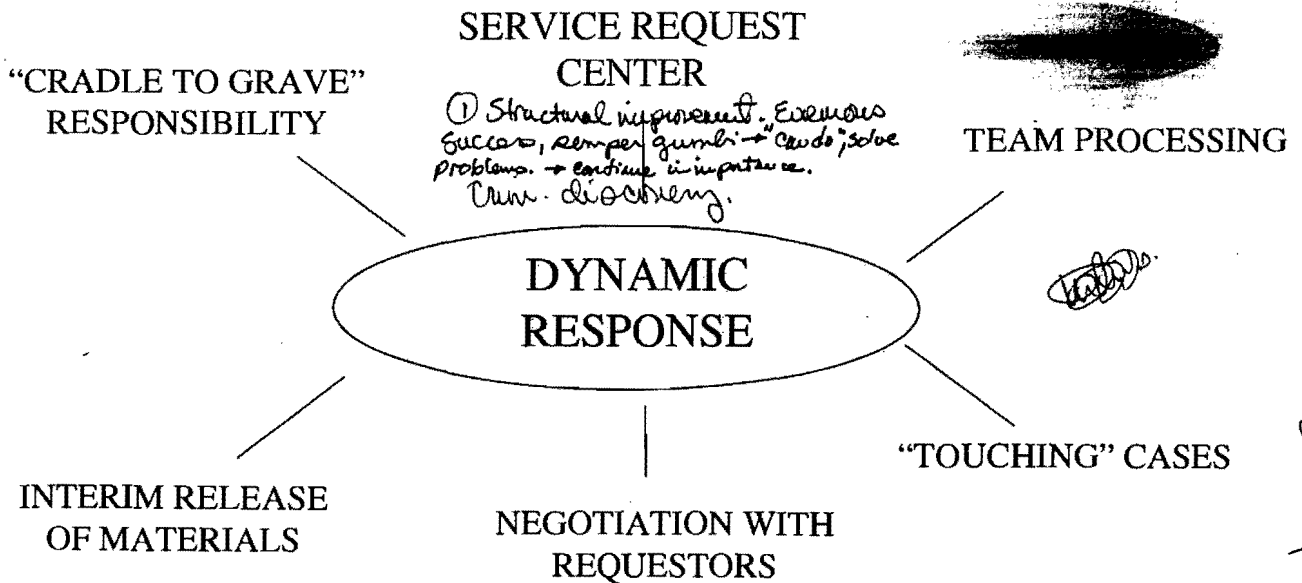
RE-ENGINEERING PROJECT

David Hardy
Section Chief

FOIPA RE-ENGINEERING PROJECT



FOIPA RE-ENGINEERING PROJECT



① I ask managers to lead in this respect, using their wisdom/knowledge/experiences to manage the cases in their team/units. This implies a sense of responsibility of a case and doing something with it, before crisis, even if not over in another unit.

Dynamic Response means being pro-active, ~~missing~~ solving problems ~~before they~~ when they see them, anticipating what comes next.

2004

2004

Process Improvement

a. Basic Policy. RIDS personnel will work cooperatively to achieve sustained improvement of the processes required to meet RIDS mission requirements. These processes include:

Freedom of Information/Privacy Acts Requests Process
Service Request/Work Process Function
FOIPA Redaction Function
FOIPA Classification Review Function
Litigation Function

Document Declassification Review Process
Document Declassification Support Function
Historic Document Declassification Function

Prepublication Review Process

Privacy Act Officer Process

National Security Criminal Trial Support Process

FBI/RMD Mission Support

Process Improvement Policies- RIDS personnel will implement the following policies in order to achieve sustained process improvement.

Emphasize Dynamic Response

RIDS personnel will be proactive in resolving issues, taking responsibility to affirmatively make the necessary steps to complete a task, seeking solutions to problems and anticipating what may next occur.

RIDS personnel will employ the following methods in managing pending tasks: team processing for large requests, "touching" requests often, negotiating with requesters, interim releases for larger requests, and assuming "cradle to grave" responsibility for requests that require multifunction work.

Implement System Performance Measurement

RIDS personnel will assist in developing process and function metrics that reflect, 1) actual meaningful system performance, and 2) information that can be collected without excessive manual efforts.

Use of IT systems to automatically capture system information is the preferred method of work flow measurement.

A. Process Improvement.

1. Basic Policy. RIDS personnel will work cooperatively to achieve sustained improvement of the processes required to meet RIDS mission requirements. These processes include:

Freedom of Information/Privacy Acts Requests Process - Obj 1-1 through 1-4

- Service Request/Work Process Function
- FOIPA Redaction Function
- FOIPA Classification Review Function
- Litigation Function

Document Declassification Review Process Obj: 1-6, 1-7

- Document Declassification Support Function
- Historic Document Declassification Function

Prepublication Review Process Obj: 1-8

~~Privacy Act Officer Process~~

National Security Criminal Trial Support Process Obj: 1-5

FBI/RMD Mission Support

2. Process Improvement Policies- RIDS personnel will implement the following policies in order to achieve sustained process improvement.

a. Emphasize Dynamic Response-

- RIDS personnel will be proactive in resolving issues, taking responsibility to affirmatively make the necessary steps to complete a task, seeking solutions to problems and anticipating what may next occur.
- RIDS personnel will employ the following methods in managing pending tasks: team processing for large requests, "touching" requests often, negotiating with requesters, interim releases for larger requests, and assuming "cradle to grave" responsibility for requests that require multifunction work.
- RIDS personnel will engage in continuing re-engineering of the various RIDS processes, assessing the effectiveness of the processes, IT systems, organizational structure, and strategic plan.
- The FOIPA Process Board will meet at least monthly to assess the effectiveness of the FOIPA process.
- All changes to RDPS will be approved by a Change Management Board. This Board will meet at least monthly.

FOIA RE-ENGINEERING PROJECT-JAN 04

