

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-065-05-5</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>6-22-2005</i>	
1 FROM (Agency or establishment) <b>DEPARTMENT OF JUSTICE</b>		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 <b>FEDERAL BUREAU OF INVESTIGATION</b>			
3 MINOR SUBDIVISION <b>RECORDS MANAGEMENT DIVISION</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Teresa C. Sharkey, CRM</b>	5 TELEPHONE NUMBER <b>202-324-1613</b>	DATE	ARCHIVIST OF THE UNITED STATES <i>WITHDRAWN</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> 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 <i>6/16/05</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>William F. Horton</i>		TITLE Assistant Director
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	The attached pages provide disposition instructions for Freedom of Information/Privacy Act (FOI/PA) records maintained in the FOI/PA Document Processing System (FDPS) In the past, FOI/PA requests were assigned a Classification 190 file number and processed manually This process was automated in 1999	NC1-65-82-04 N1-065-04-04 (Classification 190)	<i>WITHDRAWN</i>

# Freedom of Information/Privacy Act Document Processing System (FDPS)

## FDPS OVERVIEW

The Record/Information Dissemination Section (RIDS) of the Records Management Division is responsible for processing the Federal Bureau of Investigation's (FBI's) Freedom of Information/Privacy Act (FOI/PA) requests. In July 1999, an automated system for handling requests, the FOI/PA Document Processing System (FDPS), was implemented. The FDPS automates the previously manual redaction process, enabling the FBI to scan textual records and electronically process requests. The system has tracking capabilities and the typical functionality of a document management system.

Previously, requests were assigned a classification 190 file number for tracking purposes. FDPS requests are tracked through a system assigned consecutive number. Information regarding each request, such as requester's name, address, etc. is also entered into FDPS. In addition to information about each request, FDPS also manages electronic files containing both the redacted and non-redacted images of the requested FBI records and images of any related internal and external correspondence.

FDPS contains tracking information about every FOIPA request. However, only records that are classified at Secret or below are imaged and imported into the system. Records classified as Top Secret and/or Sensitive Compartmented Information (SCI) and requests for audiovisual material are processed outside FDPS.

## FDPS PROCESS

Requests are received in hard copy or electronic format, scanned, and imported into the electronic FOI/PA folder. Once the electronic FOI/PA folder has been created, information about the request is entered, such as the requester's name, address, and subject matter of the request.

RIDS personnel research each request, retrieve the records necessary to fulfill the request, scan the originals, and import the images into FDPS. The imported images are saved as the master version. The master version is reviewed by the RIDS staff, who note exemptions and redact certain protected information. The master version is also reviewed for national security classification/declassification purposes, and the classification/declassification review staff follows the same procedures of marking portions of the documents for exemption or release. The comments and redactions are saved as the redacted version, which is the master version with an overlay of comments and redactions. For security purposes, FDPS creates a final sealed version that contains no overlay; the sealed version is one single redacted image that is provided to the requester as a printed hard copy or electronically on a CD-ROM or other medium.

The system is also used to manage requests that are appealed or litigated. For appeals, the appeal letter is scanned and imported into the system, and a new FDPS number is assigned that has a relationship to the original request's data and images. For litigated requests, the case number is entered and images of the complaint, declarations, and any other legal documentation are imported into FDPS.

## A INPUTS

Data about each request, images of the requested records, and any related correspondence are imported into FDPS. The images are maintained as the master version. Requests for Top Secret and/or SCI records and audiovisual records are covered in Section E.

### 1. Requests and Related Correspondence (hard copy)

DESTROY the hard copy requests and any other hard copy correspondence related to the requests after verification of a successful scan.

### 2. Electronic FOI/PA Folder (data and electronic images)

DELETE/DESTROY in accordance with Section B, Item 1.

### 3. Record Copy of the Requested Records

The retention of the requested records is governed by the disposition authority approved for that file classification.

### 4. Master Version (electronic)

DELETE/DESTROY in accordance with Section B, Items 2 and 3.

## B IMAGES AND RELATED DATA FILES

Data about requests from the period of 1975 to 1999 was migrated into the system for statistical reporting purposes. Since 1999, the electronic FOI/PA folder contains both data about each request and any images of the related correspondence, as described in Section A. The images of the requested FBI records are imported into a file called the master version, which is a non-redacted version of the requested FBI records. Two additional files are generated from the master version:

- The redacted version contains the image of the master version and an overlay of any blacked out redaction streaks exempting information and any electronic notations. Notations include the reviewer's "sticky notes" and other electronic markings annotating portions of the case file that are to be protected from release.
- The sealed version is the final image of the FBI records released to the requester.

Metadata is captured in the system, e.g. the request number, the name of the RIDS processor, the number of pages released, etc.

### 1. Electronic FOI/PA Folder and Related Metadata (data and electronic images)

DELETE/DESTROY when 25 years old or when no longer needed for reference, whichever is later

WITHDRAWN

### 2. Master/Redacted/Sealed Versions and Related Metadata for Requests Marked With FOIA (b) (1) or Privacy Act (k) (1) Exemptions: FDPS contains the sole copy of records processed for national security classification and/or declassification purposes and marked with FOIA (b) (1) and/or Privacy Act (k) (1) exemptions. Since a copy is not maintained in the official paper file or elsewhere, these records must be retained until the file itself is reviewed for destruction or transfer to NARA.

DELETE/DESTROY ~~or TRANSFER to NARA when 25 years old~~ in accordance with the disposition instructions established for the file classification to which the exempted record pertains.

### 3. Master/Redacted/Sealed Versions and Related Metadata for All Other Requests

DELETE/DESTROY six years after the request is closed (GRS 14, Item 11a3a)

### 4. Scanned Versions of Files Used to Create the Master Version in FDPS (electronic copies stored on the RIDS' shared (T) drive to expedite processing future requests)

DELETE/DESTROY when superseded, when no longer needed for reference purposes, or when the established retention period has expired for the related records, whichever is sooner.

### 5. Appealed or Litigated Requests and Related Metadata

DELETE/DESTROY the master, redacted, and sealed versions six years after final determination by the agency, six years after the time at which a requester could file suit, or three years after final adjudication of the courts, whichever is later (GRS 14, Item 12a)

### 6. Requests Litigated Before the U.S. Supreme Court and Related Metadata

PERMANENT Transfer the electronic FOI/PA folder, the master/redacted/sealed versions, and any related records to NARA 25 years after the case is closed (NC1-65-82-04)

## C. OUTPUTS

Outputs from FDPS include statistical reports, system generated form letters retained in the electronic FOI/PA folder, and the sealed version sent to the requester in hard copy or through an electronic format. Additional copies of frequently requested sealed versions are also available in the FBIHQ's public reading room in hard copy or in an electronic format, which may also be available through the FBI's website ([www.fbi.gov](http://www.fbi.gov))

### 1. Sealed Version, Copies

DELETE/DESTROY when superseded or when the related records have been deleted/destroyed or transferred to NARA, whichever is sooner

### 2. Statistical Reports

DELETE/DESTROY when 2 years old or when no longer needed for reference purposes, whichever is later

**D. SYSTEM DOCUMENTATION**

System documentation includes system specifications, file specifications, codebooks, user guides, output specifications, and final reports

DELETE/DESTROY when superseded or obsolete, whichever is sooner (GRS 20, Item 11a)

WITHDRAWN

**E. RELATED RECORDS**

**Audiovisual Record Requests**

**Requests for Top Secret and/or SCI Records**

For requests for audiovisual records or requests for records classified as Top Secret and/or SCI, administrative data about each request is input into the electronic FOI/PA folder, and any related correspondence is scanned and imported into FDPS. For audiovisual record requests, the official record is duplicated, the duplicate record is reviewed and redacted, as necessary, the redacted record is provided to the requester, and a duplicate of the redacted record is retained as the FBI's record of what was provided to the requester. For Top Secret and/or SCI requests, the official record is duplicated in paper form, the duplicate paper record is reviewed and redacted manually, as necessary, the redacted record is reproduced on a copier with a special filter to "black out" the exempt information, and the reproduced "black out" paper copy is provided to the requester, and a duplicate of the redacted "black out" record is scanned and retained in the FDPS as the FBI's record of what was provided to the requester. Additional duplicates may be created and retained to expedite the processing of future requests. Duplicates may also be retained in the FBIHQ's public reading room.

**1. Requests and Related Correspondence (hard copy)**

DESTROY the hard copy requests and any other hard copy correspondence related to the requests after verification of a successful scan

WITHDRAWN

**2. Electronic FOI/PA Folder (data and electronic images)**

DELETE/DESTROY when 25 years old or when no longer needed for reference, whichever is later

WITHDRAWN

**3. Record Copy of the Requested Records**

The retention of the requested records is governed by the disposition authority approved for that file classification

**4. Records Provided to the Requester, FBI's Record (hard copy, electronic, audiovisual)**

DELETE/DESTROY six years after the request is closed (GRS 14, Item 11a3a)

WITHDRAWN

**5. Duplicate Redacted Copies Maintained to Process Future Requests (hardcopy, electronic, audiovisual)**

DELETE/DESTROY when superseded or when the related records have been deleted/destroyed or transferred to NARA, whichever is sooner

WITHDRAWN

**6. Appealed or Litigated Requests**

DELETE/DESTROY six years after final determination by the agency, six years after the time at which a requester could file suit, or three years after final adjudication of the courts, whichever is later (GRS 14, Item 12a)

**7. Requests Litigated before the Supreme Court**

*and paper version*

PERMANENT Transfer the electronic FOI/PA folder, the FBI's record of redacted records, and any related records to NARA 25 years after the case is closed (NC1-65-82-04)

WITHDRAWN

WITHDRAWN