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83-0140/15

**ROUTING AND RECORD SHEET**

SUBJECT: (Optional)

Phase IV Long-Range Plan Action Items

FROM:



Director of Information Services  
1206 Ames Building

EXTENSION

NO.

OIS 83-102/2

25X1

DATE

14 JUN 1983

25X1

TO: (Officer designation, room number, and building)

DATE

RECEIVED

FORWARDED

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. EO/DDA

15 JUN 1983

15 JUN 1983

*JA*

2.

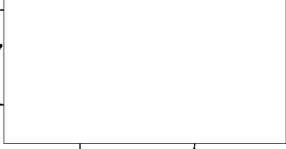
3. ~~ADDA~~

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7. *mgmt staff*



*- Action pl*

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83-0140/15

OIS 83-102/2

14 JUN 1983

MEMORANDUM FOR: Deputy Director for Administration

FROM:

Director of Information Services

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SUBJECT: Phase IV Long-Range Plan Action Items

REFERENCE: Your memorandum dated 4 February 1983;  
same subject (DDA 83-0140/10)

1. This paper responds to your questions raised after the Executive Committee meeting and discussion on Phase IV long-range planning action for the DDA. We have addressed the general issues, which you asked about in the referenced memorandum, in the main body of this report. Under separate tabs we are providing individual papers on the subjects raised in the EXCOM meeting which required more indepth study and review. These tabs cover the following:

- a. Tab A - Agency Vital Records Program
- b. Tab B - Electronic Records Archiving and Storage
- c. Tab C - The Records Information System (TRIS)
- d. Tab D - The Freedom of Information Act and Related Activities

The Tab D paper on the Freedom of Information Act has received much attention recently because of the proposed relief legislation that has been introduced in the Senate, and we thought it would be of interest to you. Subjects related in a general manner to our responsibilities are contained in the following paragraphs.

## 2. MANAGEMENT OF RECORDS.

a. In the area of records management we have made many improvements in providing advice and guidance to Agency components on the creation, maintenance, use, and disposition of records. Examples of some of these accomplishments are as follows:

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(1)  Files Management, and  Records Disposition Handbook, have been published as the first official Agency handbooks providing guidance and instruction on these subjects. These handbooks will enable Records Management Officers and other employees throughout the Agency to find information more easily and to destroy unneeded information more quickly than in the past. They also will reduce paperwork by eliminating the need for separate instructions and correspondence to be prepared.

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(2)  National Security Classification Guide, has also been published, consolidating the guidance and instruction previously contained in four separate Directorate classification guides. This handbook is organized in a new subject-matter arrangement that is much clearer and easier to use than the guides it replaces.

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(3) As part of the Headquarters Records Review, 20 "common items" have been developed for Agency records control schedules, providing disposition instructions for some 75 series of records held in common by most Agency offices. These new items will help ensure consistency in the disposition of a large portion of the Agency's files and will reduce the need for Records Management Officers and other employees to learn new instructions each time they move to a different office.

(4) Development of TRIS has been improved by focusing requirements on more realistic goals and by assuming responsibility for development work from the Office of Data Processing. TRIS subsystems are being integrated to increase efficiency and reduce paperwork by automating document accounting activities from the time records are created until they are destroyed or transferred to the National Archives.

(5) In addition, we have taken advantage of the regulatory update cycle to work with originating offices on clarifying sections of their publications that involve records management or information security activities. No additional authorities or regulations are required in order to perform these responsibilities, but we do plan to update  Records Management, to incorporate information resource management requirements under the Paperwork Reduction Act of 1980.

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(6) Improvements in Methods and Procedures. In addition to the items cited above, we, in a continuing effort to reduce unnecessary paperwork, have accomplished a 15 percent reduction in official Agency forms through the efforts of component Records Management Officers this year. Continued attention toward improving efficiency and economy in other areas include enhancing our capabilities in auditing component records management

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practices, studying further the feasibility of establishing consolidated registries, developing our ADP Records Management Program, and expanding the automation of OIS information management activities.

b. In the area of administrative reporting, only two periodic reports in the records management field are required from Agency components. Both of these requirements originate outside the Agency.

(1) Agency Records Inventory. The National Archives and Records Service (NARS) requires an annual inventory of Agency records holdings, which is prepared by component Records Management Officers and consolidated by our Records Management Division (RMD). RMD has attempted several times to have this reporting requirement reduced or eliminated. These efforts have been unsuccessful, however, because NARS needs the information for reporting to Congress.

(2) ISOO Classification Action Report. The Information Security Oversight Office (ISOO) requires an annual report of classification actions and other information security data. This data also is needed for reporting to Congress, but RMD has negotiated an arrangement with ISOO under which Agency components count classification actions during a one-week sampling period rather than continuously throughout the year. ISOO also has worked with the Agency and other affected agencies to limit future reports solely to statistical information rather than continuing to require narrative information as well.

### 3. MANAGEMENT OF REGULATORY ISSUANCES.

a. In the area of initiating, processing, and producing regulatory issuances, progress has been made too. The challenges are still there but we are constantly striving for more efficiency and productivity using the resources we have.

(1) Survey of Regulations. Currently, there are 261 headquarters regulations in the Agency's regulatory system  field regulations. A survey conducted recently to pare down the number further, if possible, revealed that these headquarters and field regulations were considered necessary to provide the proper guidance on policies and procedures and, therefore, none could be eliminated.

(2) Value and Need - Regulations. Perhaps more than at any time before, the Agency is subject to a plethora of Legislative, Executive Branch, and Judicial oversight on all its activities so that all policies and procedures that govern Agency employees' activities and actions must be documented carefully and accurately in the Agency's regulatory system. Extracts of our Agency regulations frequently are introduced into the courts to

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counter a legal point raised by an employee or former employee as to policy and procedural guidance they have received from Agency managers. That the regulatory system is serving the Agency well and meeting its mission in this regard is supported by the Agency's record of success in these court cases. In addition, various DCIs have cited regulatory issuances during Congressional inquiries to prove the Agency's adherence to the laws and directives governing Agency operations.

(3) Value and Need - Notices. Headquarters and field notices provide timely information and guidance to Agency employees. The number of notices in effect at any time is usually between 60 and 70. They are considered temporary in nature. If they are to be continuing policy, the information is incorporated into the more permanent form of regulations and handbooks. Notices currently require an expiration date of six months, but in unusual circumstances may be renewed with DDA approval.

(4) Reduction in Processing Time. The Office has been successful in reducing the amount of paper handled and retained in files through a number of measures such as limiting the number of drafts that are in coordination through personal contacts, obtaining concurrence, and circulating a revised draft for final review. Some lengthy and complex regulations and handbooks generate considerable comment and divergent views requiring three and four drafts, but these are the exceptions.

(5) Reduction in Paper Holdings. The work files on issuances that have been completely processed and published are purged after six months. The contents of the file deemed necessary for future reference and research are microfiched. The Office monitors Agency distribution schedules to ascertain that the number of copies of issuances received by components remains valid. Further, the "all employees" distribution is most often restricted to one copy for every six employees even though the initiator may routinely want each employee to receive a copy. The content of the message is considered when invoking the more stringent distribution.

(6) Problems. These items occur frequently but are minimized to some extent by the good relations enjoyed between the components involved and the Regulations Control Division.

(a) Regulatory issuances are essential to the conduct of Agency business but the manpower available for this activity throughout the Agency is minimal. Personnel involved in the initiation and coordination of regulations usually have other responsibilities which compete with the need to review and concur in proposed regulations. The Office of General Counsel (OGC), for example, has legal

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oversight responsibility for most Agency activities. The OGC attorneys are involved with high visibility court cases as well as over 400 proposed issuances a year for legal approval. Their cooperation and response has been highly commendable. The same is true of similar workload and responses from offices such as the Inspector General, Comptroller, Personnel, and others including the primary DA support offices of Security, Finance, Logistics, Communications, and Training. Coordination is vital to the publication of regulations. The challenge is to accommodate the resources available and the competing priorities with an appropriate publication schedule.

(b) Problems occasionally occur with what seems to be cases of pride-of-authorship where diplomacy with all its ramifications must be used to its fullest to adjudicate agreements and meet deadlines. Our editing is gratefully accepted by most components, but initiators such as OGC and/or Office of Personnel may develop phraseology which is deliberate but bureaucratic and only minimal changes are made in these instances. In other instances, where disagreement between components involves content, much time-consuming work in negotiation and coordination must be accomplished before the final regulation or notice can be produced.

(c) Location away from the components involved in the majority of the coordination work, e.g., OGC, Personnel, Security, Finance, Logistics, Communications, and the Inspector General, presents a problem in accomplishing the work in an efficient and timely manner. An interim solution to this problem, until these offices are co-located, is to electronically link our Wang word processing equipment with facilities in Headquarters which will permit rewriting, editing, and the exchange of such information in a more rapid manner. We understand that such a capability has been developed, but funding and equipment availability are delaying the installation.

(d) The use of the Employee Bulletin for announcing programs to be held in the Auditorium needs review. There are some Agency components that resort to too much saturation or overkill with this method when there are many other forms of advertising which can be utilized effectively.

#### 4. MANAGEMENT OF INFORMATION REVIEW.

a. In the area of document search, classification review, and public release of information, there are persistent problems relating to the administration of the Freedom of Information Act (FOIA), Privacy Act (PA), Executive Order (EO) 12356, and mandatory review

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programs. The ever present need to protect intelligence sources and methods against an inadvertent release of classified information, while being responsive to public needs against a constant backlog of requests, creates a continually stressful atmosphere for our reviewers and case officers. We review these programs frequently in search of ways to reduce the backlog and related workload in order to relieve this pressure.

b. There are also administrative requirements which must be met. Some are self-imposed because of the necessity to keep Agency management informed while others are imposed by laws and Executive Orders. Reports involved are as follows:

(1) A Weekly Activity Report, sent to all levels of senior Agency management, highlights FOIA requests received and pertinent responses returned during the week. It also includes data on cases which have been closed and the current backlog. Agency managers provide comments on cases when they deem it appropriate to alert the Information and Privacy Division (IPD) to a possible flap or to provide other significant information for use in processing a request.

(2) The Backlog Report (every two months) is a status report of the total FOI/PA workload, with particular focus on the oldest cases. It is sent to specific managers in OIS, DO, and OGC for information and corresponding action as appropriate.

(3) Annual Reports are required by law or by the office with the responsibility to compile the related statistics.

(a) The Annual Report to Congress is required by law and covers Agency FOIA activities during the past year.

(b) The Annual Report to the Office of Management and Budget is required by the Privacy Act and covers Agency activities in this area during the past year.

(c) The Annual Report to the Information Security Oversight Office is provided at their request and reports on the amount of material which was declassified during the past year.

c. Other administrative matters include:

(1) Quality Control. Our case officers initiate the correspondence, along with other actions that must be taken, and before the information is mailed it passes four levels of review and proofing. The staff is trained in handling its responsibilities through four seminars and one annual symposium each year. In addition, a flap control panel, chaired by the

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Chief, IPD with other members from OGC, OEXA, DDA, and the Directorate affected, reviews cases which are controversial and could result in unfavorable publicity for the Agency.

(2) New Techniques Improve Response Time. It is extremely important for us to be responsive to requests from the public. We rarely are able to provide the information requested within ten days as required by law, but our policy is to respond in some manner, even though it may be only an interim reply, within the specified time. Techniques include the following:

(a) During the past year we have attempted to determine the scope of each FOIA request and thus provide more efficient handling prior to tasking components to search for the information requested. This requires addressing broad subjects covered by the request in the attempt to define the subject matter more specifically. This results in a decreased search problem for the component and allows us to be more prompt in our response to the public.

(b) We have become more cognizant of how the request is stated in order to develop a better strategy to handle each case. This is particularly important in those cases where we neither confirm nor deny the existence or non-existence of records, i.e., the "Glomar" response. A "Glomar" phrase should be used only at the immediate outset of a case.

(c) Discussions have been held with the DO/FOI officials with the objective of possibly modifying their queuing procedures to deal more effectively with requests involving OSS records. OGC has tentatively agreed to rule on such a procedural change which would result in more rapid responses on OSS-related requests.

(d) The recent addition of three word processors for the case officers will improve the flow of correspondence by allowing case officers to compose some of their letters in final form, including the on-line editing, before they are printed for mailing. If this experiment is successful, we plan to make word processors available to each case officer and to the Deputy Chief. The first printing of a letter would then take place when it is ready for Chief, IPD's signature.

(3) The Intelligence Information Act of 1983, as proposed by Senator Goldwater, would be a significant improvement to the Agency's FOIA program. The legislation would exclude FOIA search for operational records in the Office of Security, the Directorate of Operations, and the Directorate of Science and Technology. While a number of cases would be eliminated from our

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backlog, if the bill is passed as proposed, we still would attempt to improve our responsiveness to the public. This may require additional internal reorganization or a temporary increase in resources devoted to our FOI/PA/EO programs. Such a reorganization is discussed in more detail in Tab D as related to the possibility of a centralized review capability.

5. Even though we have discussed these items at various times before, this represents our latest thinking on these topics. We hope that this information will be of value to you.



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**Attachments:**

- A. Agency Vital Records Program
- B. Electronic Records Archiving  
and Storage
- C. The Records Information System
- D. Freedom of Information Act and  
Related Activities

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