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MEMORANDUM FOR: Chief, Counterintelligence Staff

FROM   :   Charles A. Briggs
                   Chief, Information Services Staff

SUBJECT   :   CI Staff Records Study

REFERENCE   :   Memorandum for the Record dated 4 February 1976,
                   Subject: Meeting with Chief, CI Staff, from
                   Chief, Information Services Group

A.   PURPOSE AND SCOPE

     1.   At the request of Chief, CI Staff, an ISS Analyst Team
has worked with the CI Staff to:

          a.   Conduct a study of CI Staff's records holdings,
     records keeping practices and problems.

          b.   Develop recommendations for bringing CI Staff's
     twenty-five year accumulation of compartmented and sensitive
     records and files under control of the DDO Central Records
     System.

          c.   Design methods for recording sensitive information
     in the DDO Central Records System to provide leads to CI
     Staff's, holdings while providing appropriate protection.

          d.   Coordinate systems development activity needed to
     help CI Staff accomplish the recommended objectives.

     2.   The ISS Team surveyed the CI Staff's records holdings
to determine how these records relate to the DDO Central Records
System. All records being held at Headquarters were reviewed; a
sampling of the material being held at the Records Center was
reviewed.

     3.   The ISS team reviewed current re···d· handling practices
to measure records traffic and ascertain that material was being
properly processed into the DDO Central Records System.

B.   FINDINGS

     1.   The records currently being maintained by CI Staff to
support its existing organization are generally well organized
and for the most part, properly maintained. There are cases where

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official files have not been opened and records are not being processed into the DDO Central Records System because the material is considered too sensitive. Procedures for processing this material into the records system are being developed.

2.   CI Staff has accumulated several hundred feet of files that contain a mixture of record and non-record material. Many of these files are fragmented, reflecting previously divided or parallel responsibilities among CI Staff, and in some cases, other DDO components. There are many files, and many documents within files, particularly CI Staff memoranda, codeword material, sensitive liaison correspondence, etc., which have never been processed into the records system. Some of these files, especially those being held at the Records Center, are ambiguously identified. Some of the documents in these files are completely unrelated to the subject of the file. The files that have a continuing operational value should be pulled together and the records in the files indexed and abstracted in accordance with existing procedures. The files that no longer have an operational value should be retired in their present form. While it is not necessary to perform in-depth indexing of these dormant records, it is important that the names of people with whom the Agency has been operationally involved be identified in the records system. Files that contain background, reference, and working papers are being held but apparently are not being used. The ISS recommendations for disposition of the files, including the destruction of much material in accordance with approved records schedules and the retirement or transfer of other holdings to more appropriate components, are contained in Annex A.

3.   There are a number of policy and management files that should be established for the documents that reflect the Staff's plans, policies and procedures. The documents that provide this type of information are currently buried in miscellaneous files and cannot be retrieved in an organized manner.

4.   There are several card indexes being held by CI Staff. These indexes do not reflect current Staff needs nor do they meet the indexing criteria established for the DDO Records System. They are filled with extraneous information such as the names of authors of CI Staff papers. CI/Research and Analysis Group maintains an index of 270,000 3x5 cards that provides access by name to its extensive document holdings. The cards in this index contain a name and document reference but no biographic data to facilitate identification. Many of the cards should be purged, but there is insufficient data on the cards themselves to make a judgment. These indexes should not be integrated into the Records System. The names can be indexed into the system directly from the documents that warrant processing into the central system.

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5.   Some material is considered too sensitive to be processed by the Central Records System. There are names that cannot be disclosed during a routine name trace because of the personality's notoriety or operational significance. There are documents which require special handling to protect sensitive sources and the CI Staff's interest in certain cases and subjects.

C.   DISCUSSION AND CONCLUSIONS

1.   Annex A identifies the files being held in each CI Staff office and the Records Center and contains recommendations for their disposition. A considerable number of these files should be analyzed to ensure that records are properly filed and identified in the DDO Central Records System. Miscellaneous files such as background, reference, and working papers that do not contain record material need not be processed into the records system. CI Staff should review them to determine their utility and destroy those that are no longer used. The following recommendations on staffing, computer support, and space should help to support integration of the appropriate records into the central system. ·

a.   Staffing

(1) A project team consisting of ISS personnel should be established to analyze the record material and perform the necessary codification, abstracting, indexing, cross-referencing and cross-filing. Experience or training as an ISS analyst is a prerequisite for processing this material. The age and diversity of the material will present unusual problems. Experience with both the older records and the facilities provided by the records system to support document processing is desirable.

(2) There is a total of 418 feet of record material to be analyzed and it will take an estimated 11.9 man years based on the following statistics.

# pages per foot	# pages per document	# documents analyzed per hour
2000	2 1/2	7

(3) The project team should consist of four ISS analysts. Three of these analysts should process records full time. The fourth should be a senior analyst who can supervise the project and process records half time. The senior-analyst must have a practical knowledge of the records system, especially the older records, and the CI Staff's past records keeping practices.

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b.   Computer Support

(1)   It is recommended that a Video Display Terminal and a remote printer be installed in the CI Staff area. This display terminal and associated printer will enable the analysts to communicate directly with the computerized data base containing name, file, and document status information. These terminals will be used to process the old records into the system and to perform current records processing needs.

(2)   It is recommended that two Four-Phase Data Entry terminals be installed in the CI Staff area to allow analyst to key new index and abstract records. It is estimated that somewhat less than 50% of the documents to be analyzed will require processing. Using an average of two index and one abstract records per document, approximately 500,000 records will have to be keyed. Remote installation at the analysts' working area will eliminate the need to mail documents to IP Electronic Data Input Section for processing.

c.   Space

A secure area will be needed as work space for the analysts, computer and data entry terminals, and document storage. The CI/Research and Analysis Group's vault, Room 2B-28 is recommended. It is large enough to accommodate a team of four analysts. Its proximity to ODP's Special Computer Center and IP/Electronic Data Input Section facilitates computer and data entry terminal installation. Also, a large portion of the files to be analyzed are already stored in this area.

2.   The responsibility for maintenance of files that are split between two or more CI Staff components should be assigned to a single component and the material in the files consolidated.

3.   The CI/RMO should establish Policy and Management files to provide a repository for the records that document the plans, policies, and procedures of the CI Staff. Annex A, Attachment 3 identifies such files deemed necessary by the ISS survey team.

4.   The senior analyst who supervises the ISS team should also serve permanently as the CI Staff analyst to perform four basic functions:

a.   Process CI material currently being handled by the IP/Data Management Section.

b.   Ensure that files are properly opened and maintained.

c.   Serve as a records referent to provide advice on how sensitive cases and projects can be processed into the records system in a manner that protects the privacy of sources and methods.

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   d.   Analyze and process current as well as backlogged, sensitive material, (including CI Operational Letters and (ZRJAFFY) into the Central Records System.

   5.   A computerized information system should be developed to enable CI Staff to maintain a central index of names that are considered too sensitive to record in the DDO Central Records System. Indexes to sensitive names are currently being held by individual case officers and it is difficult to account for the names and the documents they are identified in. A compartmented computer file will enable CI Staff to identify readily their sensitive name holdings and account for the associated documents.

   6.   The system should also allow DDO main index name trace requests to be compared with the sensitive name file. The fact that another component or agency is conducting a trace on a name considered sensitive by CI Staff concerns the Staff. This type of comparison will provide a mechanism for alerting the Staff to outside interest. CI Staff personnel can then take appropriate action (such as contacting the requester).

   7.   All processing that involves these names must be done in a manner that affords maximum security. Annex B contains a proposal for developing a computerized system for handling these sensitive names. However, ISS is considering other alternatives for meeting this requirement.

D.   ALTERNATIVES

   1.   All solutions to the CI Staff's record keeping problems explored by the ISS team involved processing the appropriate holdings into the DDO Central Records System. Failure to process the material into the Central Records System means running the risk that, in any investigation, or in response to Freedom of Information Act or Privacy Act inquiries, information will be overlooked or brought forth piecemeal to erode the Agency's credibility or bring into question management's control over information collection and exploitation. The following solutions were explored:

      a.   The various card indexes being held by CI Staff could be entered into the records system to provide access to the CI files. The files could continue to be held in hard copy or converted to microform to reduce storage require-ments. However, these indexes do not contain the biographic data necessary to facilitate positive identification during a name trace of the central system. The files themselves must also be reviewed and processed to eliminate fragmentation, incorrect titles and filing, etc.

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b. The existing records could be sent to IP/Data Management Section for processing into the records system. IP/DMS has the records expertise and the computer terminals necessary to support records processing. This approach would necessitate moving the records from CI Staff to IP/DMS which could present security problems. It would also impede CI access to the material while it was being processed. Because the IP/DMS analysts have other work to perform, the CI material would have a secondary priority which would defer the completion of the project.

E.   RECOMMENDATIONS

The ISS Team's recommendations are that:

1.   CI Staff's record material should be integrated into the DDO Central Records System.

2.   A project team should be established to expedite this records integration.

3.   Computer terminals should be installed in CI Staff to facilitate records processing.

4.   Fragmented files should be consolidated and responsibilities for them fixed.

5.   Policy and management files should be opened.

6.   A computer system should be developed to allow names of sensitive personalities to be recorded in the central system for access by authorized CI Staff personnel and to enable CI Staff to monitor interest in these personalities. Controls for sensitive files should be developed on a case by case basis.

7.   A senior ISS analyst should be assigned to CI Staff to handle current records processing needs.

8.   Although the ISS Team did not attempt to make recommendations on altering the design of the DDO Records System, they did see a need to improve the system's facilities for handling sensitive material. CI Staff is not the only component that deals with sensitive material, and other components like CI Staff tend to control their sensitive material outside the central system. To ensure that sensitive material is accounted for in the central system, methods for protecting sensitive holdings must be designed into a future records system.

/s/ Charles A. Briggs

Charles A. Briggs

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Subject: CI Staff Records Study

Attachments:
1.   Annex A - Survey of the Active Records of the
            Counterintelligence Staff

     Attachment 1: Records requiring processing
     Attachment 2: Sensitive records requiring special
                    processing
     Attachment 3: Recommendations for Policy and
                    Management files

2.   Annex B - Computer system proposal for handling
            CI Staff's sensitive names

DDO/ISS/SG/AD/[*3*   ]:bg (19 November 1976) X7371

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29 Nov 79

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CI 140-79

MEMORANDUM FOR: Chief, Information Management Staff

ATTENTION   :   Chief, Operations Group

FROM   :   David H. Blee
                    Chief, Counterintelligence Staff

SUBJECT   :   CI Staff Record Study

REFERENCE   :' Information Services Staff Memorandum,
                    76-572, dated 23 November 1976

    1. The IMS Analyst Team assigned to CI Staff has
completed a little over two years of an estimated 3.4
years' assignment to the Staff. During this period
much of the original 417 feet of Staff unprocessed
records have been reviewed by either the IMS Analysts
or CI Staff personnel. The Analysts recently completed
the processing of over 2,000 soft files which are the
responsibility of our Technical Branch. This task was
done in a most expeditious manner. We remain thankful
for the caliber of personnel you have been sending to
the Staff. (C)

    2. In order to more fully understand how best to
complete the remaining unprocessed records we have
compiled a listing of those records reviewed by the ISS
Analyst Team in 1976, but not yet completed. We estimate
that 246 feet of files have been reviewed by the Task
Force and another 81 feet by CI Staff personnel, leaving
roughly 90 feet of unprocessed material yet to be reviewed
and possibly incorporated into the DO Central Records
System. Much of the paper reviewed by CI Staff personnel
were found to be duplicate and were destroyed. Those
documents which had to be processed were given to the
IMS Analysts for processing. (U)

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3. The following files remain to be reviewed and possibly processed: (S)

LOCATION	FILE DESCRIPTION	FOOTAGE	REMARKS
a. C/CI	Miscellaneous Policy, Operational, and Subject Files	6	Some COMINT-primarily integrate into existing files.
b. C/CI	Operation [CANARY] - Soviet Contacts - Misc Subject Files	1	Open Subject files. Integrate into 201 files.
c. C/CI	[ZR]TAFFY Chrono	8	Sensitive - Restricted - None in DO Records System.
d. C/CI (Records Center)	Vogel- Case - The X-Y-Z Case -[DE]WINDOW Project- [NOBETTER] Case - [BO]HORNING - [ZR]PASSKEY Project - [ZR]CHEST Project - [PE]HULKAGE Project - MIKE/PORTIO/HAITI - [MI]MILKY Case - ITKIN File	11	IMS Analyst processing required. Some sensitive. 5 X 8 Card Index in CI/A/IS.
e. CI/A/IS (Records Center)	[GROUNDHOG] Case - Covers period 1944- 1969.	22	Review files. Some material integrate into PMF and other official files. Obtain file number, register crypt. Index individuals involved in case.
f. C/CI/OG	Misc. Liaison Files - Sensitive portions of 201 and Operations Files.	1	Processing required.

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LOCATION	FILE DESCRIPTION	FOOTAGE	REMARKS
g. CI/A/T	COMINT Case Files.	2	Review for processing into official files.
h. CI/A/IS	[LCMAYFOWL] Project	9	Some official documents. Includes approximately 10,000 5 X 8 index cards. Official subject file 100-006-113 already indexed but should be reviewed for future retention. Request IMS advice on how to proceed with this review.
i. CI/A/IS	Sensitive CIA/ LIAISON Files.	30	Contains memoranda - Very Sensitive - None in DO Records System.

4.   In addition to the above, a member of your Staff has been reviewing and consolidating the [WHEAT] Project. When the review is completed we hope to receive a recommendation on whether or not this material should be processed. This project is sensitive and contains some 35 feet of unprocessed paper. Present plans, agreed to by members of your Staff, call for the same kind of review of the [GROUNDHOG] Material (Item e) prior to processing by the IMS Analysts assigned to the Staff. (S)

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5. Unfortunately the time required to complete
the above will have to be a rough estimate. At times
the Analysts have been able to move rapidly through
the files, while at other times they have run into
records problems and the work has been slow. They
have just begun the processing of Item i above. This
is a compartmented codeword file and every document
will have to be reviewed and most processed into the
DO Central Records System (STAR). We believe there
will be considerable indexing to do and it may take
from 6 to 8 months to complete this project. The time
remaining to complete everything will depend upon the
decision made concerning the WHEAT Project, the GROUNDHOG
Project, and the LCHAYFOWL Material. These three files
constitute 66 feet of paper. We will work closely with
members of your Staff on these decisions. (S)

David H. Blee

DDO/C/CI/A/IS/Bradley:as   29 March 1979   R-9429

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5 August 1977

MEMORANDUM FOR THE RECORD

FROM: Leslie S. Raty
           Deputy Chief, IMPG

SUBJECT: Processing of Documents by the Analysis Unit
           in CI Staff

    1.   This will confirm the conclusions of a
discussion held on 26 July 1977 between the members of
the CI Staff Analysis Unit and the undersigned.

    2.   It was the understanding of the ISS team that
surveyed the records of CI Staff that the Analysis Unit
would process information found in the Staff which had
not been previously processed into the records system.
It would compare files opened by CI Staff with files
already opened in the central system consolidating them
where duplication existed and registering unique files
centrally when warranted. It would also process unique
documents found in the staff which had not been
previously processed. The survey team recognized,
however, that the CI Staff held literally thousands of
documents which were duplicates of documents already
processed for the central system for other DDO
components. These included non-record or carbon copies

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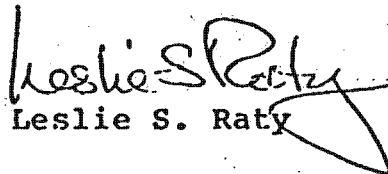MICROFILMED   ADMINISTRATIVE-INTERNAL USE ONLY

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of cables and dispatches and memorandums for which CI
Staff was only an information addressee. These the
team did not believe warranted reprocessing. Where
these documents are an integral part of a file being
integrated into or consolidated with a duplicate file
in the central system the documents should be retained
in the official file but not be reprocessed
individually.

Leslie S. Raty

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5 August 1977

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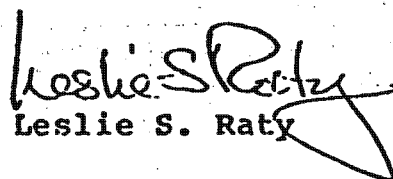
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