Deputy Chief Management Officer
of the Department of Defense

ADMINISTRATIVE INSTRUCTION

NUMBER AI 50
May 20, 2015
Incorporating Change 1, April 14, 2017

DCMO

SUBJECT: Historical Research in the Files of the Office of the Secretary of Defense

References: See Enclosure 1

1. PURPOSE. In accordance with the authority in DoD Directives (DoDD) 5105.53 and 5105.82 (References (a) and (b)) and Deputy Secretary of Defense Memorandum (Reference (c)), this administrative instruction (AI) reissues AI 50 (Reference (d)), to implement policy and update procedures for the programs that permit authorized personnel to perform historical research in records created by or in the custody of OSD consistent with References (e) through (l)).

2. APPLICABILITY. This AI applies to:

a. OSD, the Defense Agencies, and the DoD Field Activities in the National Capital Region that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the "WHS-serviced Components")

b. All historical researchers as defined in the Glossary.

c. Cabinet level officials, former Presidential appointees (FPAs) to include their personnel, aides, and researchers, seeking access to records containing information they originated, reviewed, signed, or received while serving in an official capacity.

3. POLICY. It is OSD policy that:

a. Pursuant to Executive Order 13526 (Reference (e)), anyone requesting access to classified material must possess the requisite security clearance.

b. Members of the public seeking the declassification of DoD documents under the provisions of section 3.5 of Reference (e) will contact the appropriate OSD Component as listed in DoD Manual 5230.30-M (Reference (f)).

c. Records and information requested by FPA and approved historical researchers will be accessed at a facility under the control of the National Archives and Records Administration (NARA), NARA's Archives II in College Park, Maryland, a Presidential library, or an appropriate U.S. military facility or a DoD activity, in accordance with Volume 3 of DoD Manual 5200.01 (Reference (i)).

d. Access to records and information will be limited to the specific records within the scope of the proposed research request over which OSD has authority and to any other records for which the written consent of other agencies with authority has been granted in accordance with Reference (i).

e. Access to unclassified OSD Component records and information will be permitted consistent with the restrictions of the exemptions of section 552(b) of Title 5, United States Code (also known and referred to in this AI as the "Freedom of Information Act" (FOIA) (Reference (m)), DoD 5400.7-R (Reference (g)), Enclosure 2 of this AI, and consistent with DoD 5400.11-R (Reference (h)). The procedures for access to classified information will be used if the requested unclassified information is contained in OSD files whose overall markings are classified.

f. Except as otherwise provided in (Reference (i), no person may have access to classified information unless that person has been determined to be trustworthy and access is essential to the accomplishment of a lawful and authorized purpose.

g. Persons outside the Executive Branch who are engaged in approved historical research projects may be granted access to classified information, consistent with the provisions of References (e) and (i), provided that the OSD official with classification jurisdiction over that information grants access.

h. Contractors working for Executive Branch agencies may be allowed access to classified OSD Component files provided the contractors meet all the required criteria for such access as an historical researcher including the appropriate level of personnel security clearance set forth in paragraphs 3a and 3i of this enclosure. No copies of OSD records and information may be released directly to the contractors. The Washington Headquarters Services Records and Declassification Division (WHS/RDD) will be responsible for ensuring that the contractor safeguards the documents and the information is only used for the project for which it was requested per section 4.1 of Reference (e).

i. All DoD-employed requesters, to include DoD contractors, must have critical nuclear weapons design information (CNWDI) to access CNWDI information. All other non DoD and non-Executive Branch personnel must have a Department of Energy-issued "Q" clearance to access CNWDI information in accordance with DoD 5220.22-M (Reference (n)).

j. The removal of federal records and information from OSD custody is not authorized; this includes copies and e-mail according to part 1230.10 of Title 36, Code of Federal Regulations

(CFR) (Reference (j)). Copies of records and information that are national security classified will remain under the control of the agency.

k. Access for FPAs is limited to records they originated, reviewed, signed, or received while serving as Presidential appointees, unless there is another basis for providing access, in accordance with Reference (i).

l. Authorization is required from all agencies whose classified information is, or is expected to be, in the requested files before granting approval for access. Separate authorizations for access to records and information maintained in OSD Component office files or at the federal records centers will not be required in accordance with Reference (i).

4. RESPONSIBILITIES. See Enclosure 3.

5. PROCEDURES. See Enclosures 4 - 9.

6. RELEASABILITY. **Cleared for public release**. This AI is available on the DoD Issuances Website at http://www.dtic.mil/whs/directives.

7. SUMMARY OF CHANGE 1. The changes to this issuance are administrative and update organizational titles and references for accuracy.

8. EFFECTIVE DATE. This AI is effective May 20, 2015.

David Tillotson III
Assistant Deputy Chief Management Officer

Enclosures

1. References
2. Explanation of FOIA Exemptions and Classification Categories
3. Responsibilities
4. Procedures for Historical Researchers Permanently Assigned Within the Executive Branch Working on Official Projects
5. Procedures for the DoS Foreign Relations of the United States (FRUS) Series
6. Procedures for Historical Researchers Not Permanently Assigned to the Executive Branch
7. Procedures for Document Review for the FRUS Series
8. Procedures for Copying Documents
9. General Guidelines for Researching DoD Records

Glossary

TABLE OF CONTENTS

ENCLOSURE 1

REFERENCES

(a) DoD Directive 5105.53, "Director of Administration and Management (DA&M)," February 26, 2008
(b) DoD Directive 5105.82, "Deputy Chief Management Officer (DCMO) of the Department of Defense," October 17, 2008
(c) Deputy Secretary of Defense Memorandum, "Reorganization of the Office of the Deputy Chief Management Officer," July 11, 2014
(d) Administrative Instruction 50, "Historical Research in the Files of the Office of the Secretary of Defense," July 23, 2007 (hereby cancelled)
(e) Executive Order 13526, "Classified National Security Information," December 29, 2009
(f) DoD Manual 5230.30-M, "DoD Mandatory Declassification Review (MDR) Program," December 22, 2011, as amended
(g) DoD 5400.7-R, "DoD Freedom of Information Act Program," January 25, 2017
(h) DoD 5400.11-R "Department of Defense Privacy Program," May 14, 2007
(i) DoD Manual 5200.01, Volume 3, "DoD Information Security Program: Protection of Classified Information," February 24, 2012, as amended
(j) Parts 1230.10 and 1236 of Title 36, Code of Federal Regulations
(k) DoD Directive 5230.09, "Clearance of DoD Information for Public Release," August 22, 2008, as amended
(l) Part 197.5 of Title 32, Code of Federal Regulations
(m) Section 552(b) of Title 5, United States Code
(n) DoD 5220.22-M, "National Industrial Security Program Operating Manual (NISPOM)," February 28, 2006, as amended
(o) DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," August 13, 2014, as amended
(p) Public Law 102-138, "Title IV – The Foreign Relations of the United States Historical Series," October 28, 1991

ENCLOSURE 2

EXPLANATION OF FOIA EXEMPTIONS AND CLASSIFICATION CATEGORIES

1. EXPLANATION OF FOIA EXEMPTIONS. Exemptions and their explanations are provided in the Table. See chapter III of Reference (g) for further information.

Table. Explanation of FOIA Exemptions

Exemption	Explanation
(b)(1)	Applies to records and information currently and properly classified in the interest of national security.
(b)(2)	Applies to records related solely to the internal personnel rules and practices of an agency.
(b)(3)	Applies to records and information protected by another law that specifically exempts the information from public release.
(b)(4)	Applies to records and information on trade secrets and commercial or financial information obtained from a private source which would cause substantial competitive harm to the source if disclosed.
(b)(5)	Applies to records and information of internal records that are deliberative in nature and are part of the decision making process that contain opinions and recommendations.
(b)(6)	Applies to records or information the release of which could reasonably be expected to constitute a clearly unwarranted invasion of the personal privacy of individuals.
(b)(7)	Applies to records or information compiled for law enforcement purposes that could: (a) reasonably be expected to interfere with law enforcement proceedings; (b) deprive a person of a right to a fair trial or impartial adjudication; (c) reasonably be expected to constitute an unwarranted invasion of the personal privacy of others; (d) disclose the identity of a confidential source; (e) disclose investigative techniques and procedures; or (f) reasonably be expected to endanger the life or physical safety of any individual.
(b)(8)	Applies to records and information for the use of any agency responsible for the regulation or supervision of financial institutions.
(b)(9)	Applies to records and information containing geological and geophysical information (including maps) concerning wells.

2. CLASSIFICATION CATEGORIES. Information will not be considered for classification unless its unauthorized disclosure could reasonably be expected to cause identifiable or describable damage to the national security in accordance with section 1.2 of Reference (e), and it pertains to one or more of the following:

a. Military plans, weapons systems, or operations;

b. Foreign government information;

c. Intelligence activities (including covert action), intelligence sources or methods, or cryptology;

d. Foreign relations or foreign activities of the United States, including confidential sources;

e. Scientific, technological, or economic matters relating to the national security;

f. U.S. Government programs for safeguarding nuclear materials or facilities;

g. Vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans, or protection services relating to the national security; or

h. The development, production, or use of weapons of mass destruction.

ENCLOSURE 3

RESPONSIBILITIES

1. DIRECTOR OF ADMINISTRATION, OFFICE OF THE DEPUTY CHIEF MANAGEMENT OFFICER OF THE DEPARTMENT OF DEFENSE (DA ODCMO). Under the authority, direction, and control of the Deputy Chief Management Officer of the Department of Defense, the DA, ODCMO, or designee is the approval authority for access to DoD information in OSD Component files and in files at the National Archives, Presidential libraries, and other similar institutions in accordance with Reference (f).

2. OSD RECORDS ADMINISTRATOR. Under the authority, direction, and control of the DA, ODCMO, through the Director, WHS, the OSD Records Administrator:

a. Exercises approval authority for research access to OSD and WHS Serviced Components records, information, and the Historical Research Program.

b. Maintains records necessary to process and monitor each case.

c. Obtains all required authorizations.

d. Obtains, when warranted, the legal opinion of the General Counsel of the Department of Defense regarding the requested access.

e. Coordinates, with the originator, on the public release review on documents selected by the researchers for use in unclassified projects in accordance with DoDD 5230.09 (Reference (k)) and DoDI 5230.29 (Reference (o)).

f. Coordinates requests with the OSD Historian.

g. Provides prospective researchers the procedures necessary for requesting access to OSD Component files.

3. WHS-SERVICED COMPONENTS HEADS. The WHS-serviced Components heads, when requested:

a. Determine whether access is for a lawful and authorized government purpose or in the interest of national security.

b. Determine whether the specific records requested are within the scope of the proposed historical research.

c. Determine the location of the requested records.

d. Provide a point of contact to the OSD Records Administrator.

ENCLOSURE 4

PROCEDURES FOR HISTORICAL RESEARCHERS PERMANENTLY ASSIGNED WITHIN THE EXECUTIVE BRANCH WORKING ON OFFICIAL PROJECTS

1. In accordance with part 197.5 of Title 32, CFR (Reference (l)), the WHS-serviced Components heads, when requested, will:

a. Make a written determination that the requested access is essential to the accomplishment of a lawful and authorized U.S. Government purpose, stating whether the requested records can be made available. If disapproved, cite specific reasons.

b. Provide the location of the requested records, including accession and box numbers if the material has been retired to the Washington National Records Center (WNRC).

c. Provide a point of contact for liaison with the OSD Records Administrator if any requested records are located in OSD Component working files.

2. The historical researcher or requestor will:

a. Submit a request for access to OSD files to:

OSD Records Administrator
WHS/Records and Declassification Division
4800 Mark Center Drive
Suite 02F09-02
Alexandria, VA 22350-3100

b. All requests must be signed by an appropriate official and must contain:

(1) The name(s) of the researcher(s) and any assistant(s), level of security clearance, and the federal agency, institute, or company to which the researcher is assigned.

(2) A statement on the purpose of the project, including whether the final product is to be classified or unclassified.

(3) An explicit description of the information being requested and, if known, the originating office, so that the identification and location of the information may be facilitated.

(4) Appropriate higher authorization of the request.

(5) Ensure researcher's **security manager** or **personnel security office** verifies his or her security clearances in writing to the OSD Records Administrator's Security Manager.

c. Maintain the file integrity of the records being reviewed, ensuring that no records are removed and that all folders are replaced in the correct box in their proper order.

d. Make copies of any documents pertinent to the project, ensuring that staples are carefully removed and that the documents are re-stapled before they are replaced in the folder.

e. Submit the completed manuscript for review before public presentation or publication to:

Department of Defense
Defense Office of Prepublication and Security Review
1155 Defense Pentagon
Washington DC 20301-1155

f. If the requester is an official historian of a federal agency requiring access to DoD records at the National Archives facilities or a Presidential library, the requested must be addressed directly to the pertinent facility with an information copy sent to the OSD Records Administrator. The historian's security clearances must be verified to the National Archives or the Presidential library.

3. The use of computers, laptops, computer tablets, personal digital assistants, recorders, or similar devices listed in Enclosure 9 of this instruction is prohibited. Researchers will use letter-sized paper (approximately 8 ½ by 11 inches), writing on only one side of the page. Each page of notes must pertain to only one document.

4. The following applies to all notes taken during research:

a. All notes are considered classified at the level of the document from which they were taken.

b. Indicate at the top of each page of notes the document:

(1) Originator.

(2) Date.

(3) Subject (if the subject is classified, indicate the classification).

(4) Folder number or other identification.

(5) Accession number and box number in which the document was found.

(6) Security classification of the document.

c. Number each page of notes consecutively.

d. Leave the last 1 1/2 inches on the bottom of each page of notes blank for use by the reviewing agencies.

e. Ensure the notes are legible, in English, and in **black** ink.

f. All notes must be given to the staff at the end of each day. The facility staff will forward the notes to the OSD Records Administrator for an official review and release to the researcher.

5. The OSD Records Administrator will:

a. Process all requests from Executive Branch employees requesting access to OSD Component files for official projects.

b. Determine which OSD Component originated the requested records and, if necessary, request an access determination from the OSD Component and the location of the requested records, including but not limited to electronic information systems, databases or accession number and box numbers if the hardcopy records have been retired offsite.

c. Request authorization for access from other OSD Component as necessary.

(1) Official historians employed by federal agencies may have access to the classified information of any other agency found in DoD files, as long as authorization for access has been obtained from these agencies.

(2) If the requester is not an official historian, authorization for access must be obtained from the Central Intelligence Agency (CIA), National Security Council (NSC), Department of State (DOS), and any other non-DoD agency whose classified information is expected to be found in the files to be accessed.

d. Make a written determination as to the researcher's trustworthiness based on the researcher having been issued a security clearance.

e. Compile all information on the request for access to classified information, to include evidence of an appropriately issued personnel security clearance, and forward the information to the DA, ODCMO; OSD Component; or designee, who will make the access determination.

f. Notify the researcher of the authorization and conditions for access to the requested records or of the denial of access and the reason(s).

g. Ensure that all conditions for access and release of information for use in the project are met.

h. Make all necessary arrangements for the researcher to visit the review location and review the requested records.

i. Provide all requested records and information under OSD control in electronic formats consistent with part 1236 of Reference (j). For all other information, a staff member will be assigned to supervise the researcher's copying of pertinent documents at the assigned facility.

j. If the records are maintained in the OSD Component's working files, arrange for the material to be converted to electronic format for the researchers to review.

k. Notify the National Archives, Presidential library, or military facility of the authorization and access conditions of all researchers approved to research OSD records held in those facilities.

ENCLOSURE 5

PROCEDURES FOR THE DOS FOREIGN RELATIONS OF THE UNITED STATES (FRUS) SERIES

1. The DOS historians will:

a. Submit requests for access to OSD files. The request should list the names and security clearances for the historians doing the research and an explicit description, including the accession and box numbers, of the files being requested. Submit request to:

OSD Records Administrator
WHS/Records and Declassification Division
4800 Mark Center Dr
Suite 02F09-02
Alexandria, VA 22380-2100

b. Submit to the OSD Records Administrator requests for access for members of the Advisory Committee on Historical Diplomatic Documentation to documents copied by the DOS historians for the series or the files reviewed to obtain the documents.

c. Request that the DOS Diplomatic Security staff verify all security clearances in writing to the OSD Records Administrator's Security Manager.

d. Give all document copies to the OSD Records Administrator staff member who is supervising the copying as they are made.

e. Submit any OSD documents desired for use or pages of the manuscript containing OSD classified information for declassification review before publication to the Chief, Security Review Division at:

Department of Defense
Defense Office of Prepublication and Security Review
1155 Defense Pentagon
Washington DC 20301-1155

2. The OSD Records Administrator will:

a. Determine the location of the records being requested by the DOS for the FRUS series according to Title IV of Public Law 102-138 (Reference (p)).

b. Act as a liaison with the CIA, NSC, and any other non-OSD agency for access by DOS historians to records and information and such non-DoD agency classified information expected to be interfiled with the requested OSD records.

c. Obtain written verification from the DOS Diplomatic Security staff of all security clearances, including "Q" clearances.

d. Make all necessary arrangements for the DOS historians to access, review, and copy documents selected for use in their research in accordance with procedures in accordance with Enclosure 4 of this AI.

e. Provide a staff member to supervise document copying in accordance with the guidance provided in Enclosure 7 of this AI.

f. Compile a list of the documents that were copied by the DOS historians.

g. Scan and transfer copies to DOS in NARA an approved electronic format.

h. Submit to the respective agency a list of CIA and NSC documents copied and released to the DOS historians.

i. Process DOS Historian Office requests for members of the Advisory Committee on Historical Diplomatic Documentation with appropriate security clearances to have access to documents copied and used by the DOS historians to compile the FRUS series volumes or to the files that were reviewed to obtain the copied documents. Make all necessary arrangements for the Advisory Committee to review any documents that are at the WNRC.

ENCLOSURE 6

PROCEDURES FOR HISTORICAL RESEARCHERS NOT PERMANENTLY ASSIGNED TO THE EXECUTIVE BRANCH

1. The WHS-serviced Components heads, when required, will:

a. Recommend to the DA, ODCMO, or his or her designee, approval or disapproval of requests to access OSD information. State whether access to, release, and clearance of the requested information is in the interest of national security and whether the information can be made available. If disapproval is recommended, specific reasons should be cited.

b. Provide the location of the requested information, including but not limited to the office, component, information system or accession and box numbers for any records that have been retired to the WNRC.

c. Provide a point of contact for liaison with the OSD Records Administrator if any requested records are located in OSD Component working files.

2. The OSD Records Administrator will:

a. Process all requests from non-Executive Branch researchers for access to OSD or WHS-serviced Components files. Certify via the WHS Security Officer that the requester has the appropriate clearances.

b. Determine which OSD Component originated the requested records and, as necessary, obtain written recommendations for the research to review the classified information.

c. Obtain prior authorization to review their classified information from the DOS, CIA, NSC, and any other agency whose classified information is expected to be interfiled with OSD records.

d. Obtain agreement from the researcher(s) and any assistant(s) that they will comply with conditions governing access to the classified information (see Figure).

Figure. Form Letter – Conditions Governing Access to Official Records for Historical Research Purposes

(LETTERHEAD STATIONERY)

Date:

OSD Records Administrator
WHS/Records and Declassification Division
4800 Mark Center Drive
Suite 02F09-02
Alexandria Va 22350-3100

To Whom It May Concern:

I understand that the information to which I have requested access for historical research purposes may include information concerning the national defense or foreign relations of the United States. Unauthorized disclosure could reasonably be expected to cause damage, serious damage, or exceptionally grave damage to the national security regardless of the classification of that information. If granted access, I therefore agree to the following conditions governing access to OSD files:

1. I will abide by any rules and restrictions issued in your letter of authorization, including those of other agencies whose information is interfiled with that of the OSD.

2. I agree to safeguard the classified information to which I gain possession or knowledge in a manner consistent with Part 4 of Executive Order 13526, "Classified National Security Information," and the applicable provisions of the DoD issuances concerning safeguarding classified information, including DoD Instruction 5200.01, "DoD Information Security Program and Protection of Sensitive Compartmented Information."

3. I agree not to reveal to any person or agency any information obtained as a result of this access except as authorized in the terms of your authorization letter or a follow-on letter. I further agree that I will not use the information for purposes other than those set forth in my request for access.

4. I agree to submit my research notes to determine if classified information is contained in them before their removal from the specific area assigned to me for research. I further agree to submit my manuscript for a security review before its publication or presentation. In each of these reviews, I agree to comply with any decision of the reviewing official in the interests of the security of the United States, including the retention or deletion of any classified parts of such notes and manuscript whenever the federal agency concerned deems such retention or deletion necessary.

5. I understand that failure to abide by the conditions in this statement constitutes sufficient cause for canceling my access to OSD information and for denying me any future access and may subject me to criminal provisions of federal law as referred to in paragraph 6.

6. I have been informed that provisions of Title 18 of the United States Code impose criminal penalties, under certain circumstances, for the unauthorized disclosure, loss, copying, or destruction of defense information.

7. Removal Subject to a Nondisclosure Agreement. Cabinet Level officials may remove copies of unclassified information and/or materials not previously released to the public or with clearly identified restrictions upon request of the departing official if he or she signs a non-disclosure agreement. The former official must agree not to release or publish the information, orally or in writings (paper or electronically), without the written approval of the DoD. Upon request by the Cabinet level official, the DoD will perform an official review of the information. The review may result in possible denial or redaction of the information. The Director of Administration and Management will serve as the appellate authority to any denials or redactions that may be contested.

Signature

THIS STATEMENT IS MADE TO THE UNITED STATES GOVERNMENT TO ENABLE IT TO EXERCISE ITS RESPONSIBILITY FOR THE PROTECTION OF INFORMATION AFFECTING THE NATIONAL SECURITY. I UNDERSTAND THAT ANY MATERIAL FALSE STATEMENT THAT I MAKE KNOWINGLY AND WILLFULLY SHALL SUBJECT ME TO THE PENALTIES OF TITLE 18, U.S. CODE, SECTION 1001.

e. If the requester is an FPA, submit a memorandum after completion of the actions described in this enclosure to WHS, Human Resources Directorate, Security Operations Division, requesting the issuance (including an interim) or reinstatement of an inactive security clearance for the FPA and any assistant and a copy of any signed form letters. The Security Division will contact the researcher(s) and any assistant(s) to obtain the forms required to reinstate or initiate the personnel security investigation to obtain a security clearance. Upon completion of the adjudication process, notify the OSD Records Administrator in writing of the reinstatement, issuance, or denial of a security clearance.

f. Make a written determination as to the researcher's trustworthiness based on his or her having been issued a security clearance.

g. Compile all information on the request for access to classified information, to include either evidence of an appropriately issued or reinstated personnel security clearance. Forward the information to the DA, ODCMO, or designee, who will make the final determination on the applicant's eligibility for access to classified OSD or WHS-serviced Component files. If the determination is favorable, the DA, ODCMO, or designee will then execute an authorization for access, which will be valid for not more than 2 years.

h. Notify the researcher of the approval or disapproval of the request. If the request has been approved, the notification will identify the files authorized for review and specify that the authorization:

(1) Is approved for a predetermined time period.

(2) Is limited to the designated files.

(3) Does not include access to records and/or information of other federal agencies, unless such access has been specifically authorized by those agencies.

i. Make all necessary arrangements for the researcher to visit the WNRC and review any requested records that have been retired there, to include written authorization, conditions for the access, and a copy of the security clearance verification.

j. If the requested records are at the WNRC, make all necessary arrangements for the scanning of documents.

k. If the requested records are maintained in OSD or WHS-serviced Component working files, make arrangements for the researcher to review the requested information and, if authorized, copy pertinent documents in the OSD or WHS-serviced Component's office. Provide the OSD Component with a copy of the written authorization and conditions under which the access is permitted.

l. Compile a list of all the documents requested by the researcher.

m. Coordinate the official review on all notes taken and documents copied by the researcher.

n. If the classified information to be reviewed is on file at the National Archives, a Presidential library, or other facility, notify the pertinent facility in writing of the authorization and conditions for access.

3. The researcher will:

a. Submit a request for access to OSD Component files to OSD Records Administrator, WHS/Records and Declassification Division, 4800 Mark Center Drive, Suite 02F09-02, Alexandria VA 22350-3100. The request must contain:

(1) As explicit a description as possible of the information being requested so that identification and location of the information may be facilitated.

(2) A statement as to how the information will be used, including whether the final project is to be classified or unclassified.

(3) A statement as to whether the researcher has a security clearance, including the level of clearance and the name of the issuing agency.

(4) The names of any persons who will be assisting the researcher with the project. If the assistants have security clearances, provide the level of clearance and the name of the issuing agency.

(5) A signed copy of their agreement (see Figure) to safeguard the information and to authorize a review of any notes and manuscript for a determination that they contain no classified information. Each project assistant must also sign a copy of the letter.

(6) The forms necessary to obtain a security clearance, if the requester is an FPA without an active security clearance. Each project assistant without an active security clearance will also need to complete these forms. If the FPA or assistant have current security clearances, their **personnel security office** must provide verification in writing to the OSD Records Administrator's Security Manager.

b. Maintain the integrity of the files being reviewed, ensuring that no records are removed and that all folders are replaced in the correct box in their proper order.

c. If copies are authorized, give all copies to the custodian of the files at the end of each day. The custodian will forward the copies of the documents to the OSD Records Administrator for a declassification review and release to the requester.

(1) For records at the WNRC, if authorized, provide the requested information in an electronic format. Review will occur only in the presence of an OSD Records Administrator staff member.

(2) Ensure that all staples are carefully removed and that the documents are re-stapled before the documents are replaced in the folder.

(3) Submit all classified and unclassified notes made from the records to the custodian of the files at the end of each day of research. The custodian will transmit the notes to the OSD Records Administrator for an official review and release to the researcher at the completion of researcher's project.

(4) Submit the final manuscript to the OSD Records Administrator for forwarding to the Chief, Security Review Division, Office of Security Review, for a security review and public release clearance in accordance with References (k) and (n) before publication, presentation, or any other public use.

ENCLOSURE 7

PROCEDURES FOR DOCUMENT REVIEW FOR THE FRUS SERIES

1. When documents are being reviewed, a WHS/OSD Records Administrator (WHS/RDD) staff member must be present at all times.

2. The records maybe reviewed at the Archives II, College Park Maryland, WNRC, Suitland, Maryland, or an appropriate military facility. All requested information will remain under the control of the WHS/RDD staff until a public release review is completed, and then provided in electronic formats.

3. If the requested records have been reviewed in accordance with the automatic declassification provisions of Reference (e), any tabs removed during the research and copying must be replaced in accordance with Reference (i).

4. The number of boxes to be reviewed will determine which of the following procedures will apply. The WHS/RDD staff member will make that determination at the time the request is processed. When the historian completes the review of the boxes, he or she must contact the WHS/RDD to establish a final schedule for scanning the documents. To avoid a possible delay, a tentative schedule will be established at the time that the review schedule is set.

a. For 24 boxes or fewer, review and scanning will take place simultaneously. Estimated time to complete scanning is 7 work days.

b. For 25 boxes or more, the historian will review the boxes and mark the documents that are to be scanned using WHS/RDD authorized reproduction tabs.

c. If the review occurs at facilities that OSD does not control ownership of the document, the documents must be given to the WHS/RDD staff member for transmittal for processing.

5. WHS/RDD will notify the historian when the documents are ready to be picked up. All administrative procedures for classified material transfers will be followed in accordance with References (i) and (n) and appropriate receipt for unclassified information will be used.

ENCLOSURE 8

PROCEDURES FOR COPYING DOCUMENTS

1. The records will be reviewed and copied at Archives II, College Park Maryland, WNRC, Suitland, Maryland, or an appropriate U.S. military facility.

2. If the requested records have been reviewed in accordance with the automatic declassification provisions of Reference (e), any tabs removed during the research and copying must be replaced in accordance with Reference (i).

3. The researcher will mark the documents that he or she wants to copy using WHS/RDD authorized reproduction tabs.

4. Any notes taken during the review process must be given to the WHS/RDD staff member present for transmittal to the WHS/RDD.

5. All reproduction charges are to the responsibility of the researcher.

6. All documents requested will be copied to an approved electronic format by WHS/RDD staff after official review.

a. The researcher will need to bring paper, staples, staple remover, and stapler.

b. When the researcher completes the review of the boxes, he or she must contact the WHS/RDD to establish a final schedule for scanning the requested documents.

c. When the documents are scanned, the WHS/RDD will notify the researcher.

d. All questions pertaining to the review, copying, or transmittal of OSD documents must be addressed to the WHS/RDD staff member.

ENCLOSURE 9

GENERAL GUIDELINES FOR RESEARCHING DoD RECORDS

DoD records and information are unique and often cannot be replaced should they be lost or damaged. In order to protect its collections and archives, the OSD Records Administrator has set rules that researchers must follow.

a. Researchers will work in room assigned. Researchers are not allowed in restricted areas.

b. Special care must be taken in handling all records. Records may not be leaned on, written on, folded, traced from, or handled in any way likely to damage them.

c. Records should be kept in the same order in which they are presented.

d. Items that may not be brought into these research areas include, but are not limited to:

(1) Briefcases.

(2) Cases for equipment (laptop computers).

(3) Computers. This includes laptops, tablet computers, personal digital assistants, smart phones, and other similar devices.

(4) Cellular phones.

(5) Computer peripherals including handheld document scanners and digital or analog cameras.

(6) Containers larger than 9.5" x 6.25" (e.g., paper bags, boxes, backpacks, shopping bags, and sleeping bags).

(7) Food, drinks (includes bottled water) and cigarettes, cigars, or pipes.

(8) Handbags or purses larger than 9.5" x 6.25".

(9) Luggage.

(10) Musical instruments and their cases.

(11) Newspapers.

(12) Outerwear (e.g., raincoats and overcoats).

(13) Pets (exception for service animals, i.e., any guide dog or signal dog that is trained to provide a service to a person with a disability).

(14) Scissors or other cutting implements.

(15) Televisions and audio or video equipment.

(16) Umbrellas.

e. Eating, drinking, or smoking is prohibited.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AI	administrative instruction
CIA	Central Intelligence Agency
CFR	Code of Federal Regulations
CNWDI	critical nuclear weapons design information
DA	Director of Administration
DoDD	DoD Directive
DoDI	DoD Instruction
DOS	Department of State
FOIA	Freedom of Information Act
FPA	former Presidential appointees
FRUS	Foreign Relations of the United States
NARA	National Archives and Records Administration
NSC	National Security Council
WHS/RDD	Washington Headquarters Services Records and Declassification Division
WNRC	Washington National Records Center
WHS	Washington Headquarters Services

PART II. DEFINITIONS

These terms and their definitions are for the purposed of this AI.

access. The availability of or the permission to consult records, archives, or manuscripts.

The ability and opportunity to obtain classified, unclassified, or administratively controlled information or records.

electronic records. Records stored in a form that only a computer can process and satisfies the definition of a federal record, also referred to as machine-readable records or automatic data processing records (including e-mail).

historical researcher or requestor. A person approved to conduct research in OSD files for historical information to use in a DoD approved project (e.g., agency historical office projects, books, articles, studies, or reports), regardless of the person's employment status. Excluded are Military personnel assigned to OSD; OSD employees, contractors, and students conducting research in response to academic requirements.

recorded information. All traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

records (also referred to as federal records or official records). The term "records" includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience.