Request for Records Disposition Authority

(See Instructions on reverse)

To: National Archives and Records Administration (NARA)
Washington, DC 20408

1. From: (Agency or establishment)
Office of the Director of National Intelligence

2. Major Subdivision
Associate DNI and Chief Information Officer

3. Minor Subdivision

4. Name of Person with whom to confer
John F. Hackett

5. Telephone (include area code)
703-275-2215

Leave Blank (NARA Use Only)

Job Number: N1-576-10-1

Date Received: 6/7/10

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Date: 5 DEC 2012

Archivist of the United States

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 12 page(s) are not now needed for the business of 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:

[X] is not required [ ] is attached [ ] has been requested

Signature of Agency Representative: John F. Hackett

Title: Director of Information Management

Date (mm/dd/yyyy): 6/7/2010

7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
1.	Records of the Associate Director of National Intelligence and Intelligence Community Chief Information Officer/Information Sharing Executive		

Office of the Director of National Intelligence

OFFICE OF
THE ASSISTANT DIRECTOR OF NATIONAL INTELLIGENCE/
CHIEF INFORMATION OFFICER (ADNI/ CIO)

Records Control Schedule

Mission Description and Organization
The ADNI/ CIO is responsible for the overall formulation, development, and management of the Intelligence Community's information technology enterprise required to implement the strategy, program, and business directives of the DNI. A Presidential appointee, the ADNI/CIO leads the Community's information technology enterprise while coordinating with other U.S. Government departments and agencies as well as state and local organizations to produce compatible information technology architectures and common standards and policies to assure the most effective intelligence support for national security. The ADNI/CIO also acts as the IC's Information Sharing Executive. The ADNI/CIO's duties and responsibilities are outlined in Intelligence Community Directive 500.

The Office of the ADNI/IC CIO accomplishes its mission through a coordinated governing structure consisting of the IC CIO Council and its subordinate committees: IT Investment Committee, the Architecture, Standards, and Engineering Committee, and the Information Security Risk Management Committee. These organizations contribute to both IC CIO leadership and management coordination that ensures that IT strategy and policy meet community requirements, program goals, and performance objectives. They also support the IC CIO's continuing responsibility to oversee and validate the development and implementation of 1) the enterprise architecture, 2) Community IT standards, 3) information security/risk management, and 4) the delivery of IT initiatives and solutions.

Organization of this Schedule
The Office of the ADNI/CIO has allocated specific functional responsibilities among its subordinate organizations headed by deputies. These organizations' basic missions are to provide oversight and coordination for the Intelligence Community as a whole within their areas of responsibility. Thus, this schedule is arranged by types of records generated by the oversight, analysis, and coordination roles rather than by organizational construct. Most of the records are similar to those covered by the General Records Schedules (GRS), particularly GRS 24 and GRS 27, although the GRS is not applied here because of the multi-agency responsibility of the ADNI/CIO. This schedule does describe organization-specific record types or file series when they are unique to a particular component, such as the records of IC Enterprise Services, or when they are evidence of authoritative policy making or activities of high officials, such as the records of the CIO Front Office.

Application of the Records Control Schedule Disposition Instructions
The disposition instructions in the records control schedule are mandatory. Any Federal records received or created by ADNI/CIO personnel or contractors not specifically covered by this schedule or the General Records Schedules are to be retained until such time as an applicable disposition authority approved by the National Archives and Records Administration (NARA) is obtained. To take into account the fluid nature of electronic filing, those responsible for implementing this schedule should be aware that record copies of record types described in this schedule are to receive the prescribed disposition wherever they are filed.

The Information Management Officer with responsibility for the records of the Office of the ADNI/CIO will support effective implementation of the disposition requirements of this schedule

through the development and issuance of appropriate operational guidance and supplementary instructions necessary to assure adequate and proper documentation of the official mission, responsibilities, and actions of the component.

Note on Sensitivity of ADNI/IC CIO Records
The majority of the records addressed in this schedule are classified as national security information in accordance with statutory and national policy directives. Most of the records series described in this schedule contain information classified to the highest levels, requiring planning for their continued security until they are declassified or destroyed. The user of this schedule should assume the subject records are classified unless noted otherwise. In addition, certain series may contain material covered by Privacy Act or Freedom of Information Act restrictions other than national security, such as law enforcement information, and commercially sensitive ("trade secrets") information. An effort has been made to note these series.

Note on Vital Records
Records management personnel should be alert to the need to identify vital records so that they can be accessed quickly when needed. Vital records are (1) those that specify how the ODNI will operate in case of an emergency or disaster, (2) those necessary to the ODNI's continued mission critical operations during and after an emergency, and (3) those that must be preserved to protect the legal and financial rights and interests of the ODNI and of persons affected by the ODNI.

Note on Electronic Records
The ADNI/CIO and staff maintain record copies of many official files in electronic form on both shared and individual network drives. In addition, some staff members may keep some files on their individual local drives, although this is discouraged. Records kept on both the network and local individual drives that are not disposable under the General Records Schedules (GRS) or under this schedule, as approved, are to be moved or copied to the network shared drives or kept in paper files, as appropriate, to be retained or destroyed in accordance with an approved ODNI disposition authority.

Records Descriptions and Disposition Instructions

Front Office and Leadership Establishment

Item	Title & Description	Disposition
CIO 1	**Action Tracking System.** Tracking system maintained in three forms to assure preservation and completeness of a system in transition. The Action Tracker and versions adapted by subordinate units is used at all levels throughout the OCIO.	
CIO 1a	**Action Tracker Database.** A tasking and tracking system for document packages containing substantive mission, policy, program, decision-making actions initiated by and/or passing through the CIO/Front Office and/or tasked to, or initiated by, subordinate components. Each case or package is assigned a CIO serial number (CIO-yyyy-nnn). Executive Secretary "E/S"	**Permanent.** Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.

	numbers and subordinate components' tracking system numbers may also be referenced where they apply to packages entered into those systems.	
CIO 1b	**Action Tracker Paper Files.** Action Tracker case files and attachments kept in paper form as backup to the database to assure completeness of the record. Arranged by serial number, which reflects rough chronological order. .	**Permanent.** Retain in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old.
CIO 1c	**Action Tracker Electronic Copies.** Action Tracking packages kept in non-database electronic form.. Arranged by year and serial tracking number.	**Permanent.** Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 2	**Information Sharing Dispute Resolution Case Files.** Files generated during the multi-level process under the authority of the CIO as Information Sharing Executive. Includes case files implementing the dispute resolution process outlined in ICD 501 and ICPG 501.2. Files also include quarterly and annual reports on the cases as well as background files contributing to cases sent to higher authority for resolution.	
CIO 2a	**Sensitive Review Board (SRB) and Information Sharing and Mission Requirements (ISMR) Dispute Resolution Case Files and Related Records.** Case file documentation at the initial level of notification, presentation, and negotiation of the dispute by IC agency information stewards and requestors in forums below the PDDNI. Case files maintained by ISMR arranged by year and, there under, by alpha-numeric serial number. ISMR process supplanted in part by the SRB process in late 2009. Cases not resolved at this initial level are forwarded to the Senior Review Group (SRG) for review and processing preparatory to presentation to the PDDNI or DNI for final resolution. Files also include tracking spreadsheets, quarterly reports, and other documentation associated with monitoring and measurement of the process, and input for the DNI's annual report to Congress.	**Temporary.** Retain in files until no longer needed for current business, and then retire to ODNI record storage. Destroy/Delete when 7 years old.

CIO 2b	**Senior Review Group (SRG) Dispute Resolution Case Files: Cases Presented to PDDNI/DNI.** Precedent-setting or otherwise significant information sharing cases decided at the highest level of the ODNI. Case files include support documentation for the parties' positions, a record of deliberations, tracking information, and final decision memoranda.	**Permanent.** Paper Records: Retain paper records in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old. Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 3	**Records of the IC CIO Council.** Records include minutes or meeting notes, agendas, decision documentation, and copies of materials circulated at meetings. The record keeping responsibility for the Council is delegated to the Governance, Policy, and Outreach Division (ICGPO) functional unit. The Council is chaired by the CIO and approves products of subordinate activities, thereby setting policy or otherwise making far-reaching, authoritative decisions. This item includes the records of the Information Integration Program Action Council (I2PAC), the predecessor of CIO Council	**Permanent.** Paper Records: Retain paper records in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old. Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 4	**Speech File.** CIO personal speech and remarks file.	**Permanent.** Paper Records: Retain paper records in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old. Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.

Records Common to OCIO

Item	Title & Description	Disposition
CIO 5	**Front Office and Functional Units Mission-Related Subject Files**	
CIO 5a	**Substantive Program Records and Working Papers.**	
CIO 5a1	**Substantive Program Records and Working Files.** These high-level and/or finished policy and program records contain information that adds to a proper understanding of the formation and development of significant final policy, decisions, or actions. Includes records not included in Action Tracker that were accumulated or approved at the deputy level that meet these criteria and are not documented elsewhere. May supplement documentation held in the Action Tracker files.	**Permanent.** Maintain electronic records in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 5a2	**Substantive Drafts, Working Papers and Associated Materials.** Files related to decisions, actions, products, and policies of transitory or routine significance.	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is later.
CIO 5b	**Preliminary Drafts and Non-Substantive Working Papers.** Files produced at or below the ADNI/IC CIO level and not coordinated and /or disseminated outside the unit of origin and that do not contain information documenting substantive policy development, action, or decision making. These drafts and working papers do not result in a final product or an approved finished report or contain additional significant information. Included are such materials as notes and calculations; drafts produced solely for proof reading or internal circulation; readily available reference material; originating office copies of letters or transmittals that do not add any information to that contained in the transmitted material.	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is later.
CIO 6	**Records of DADNI- level and Other Boards, Committees, and Working Groups.** Minutes, agendas, decision documentation, final products and copies of materials circulated among members. Work products of these groups consist of recommendations, information gathered for higher review, and policy drafts and other preliminary products proposed for adoption by the DNI, the CIO, or IC-wide. Item Includes subcommittees, "tiger teams" and other task-specific working groups that	**Temporary.** Destroy/delete when 5 years old or when no longer needed, whichever is later.

	may recommend, evaluate, and report, but do not set policy or initiate IC-wide tasks. Products of these bodies that advance beyond internal deliberation, such as IC-wide standards, performance objectives, and other guidance are captured in the CIO or Executive Secretary Tracking systems or in the records of senior-level boards such as the IC CIO Council, the DEXCOM, and the EXCOM. Groups include, but are not limited to the following and their predecessors and successors: -Information Sharing Steering Committee -Architecture, Standards and Engineering Committee -Systems Engineering Committee -Joint Systems Engineering Forum -Integrated Solutions Committee -Information Security Risk Management Committee -Allied Collaboration Board -IT Investment Committee -DTS Governance Board -ICD 501 Working Group -BTO Steering Committee -Enterprise Standards Working Group -Joint Architecture Working Group -Communications Requirements Committee -IT Environment Board -Enterprise Operations Board	
CIO 7	**Calendars.** Lotus Notes (or successor) databases or hard copy appointment books, wherever kept, containing the schedule and activities of the CIO and other staff. 2005 to Present.	
CIO 7a	**CIO Calendar.** Electronic and paper schedules of meetings and events attended personally by the CIO or those who represented the CIO as authoritative surrogates. Records include background information, attendee lists, and other information provided at the time.	**Permanent.** Paper Records: Retain in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file is 30 years old. Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 7b	**Staff Calendars.** Individual and Group Calendars for officials and units below CIO level.	**Temporary.** Delete or destroy when 2 years old in accordance with GRS 23, Item 5a and GRS 27, Item 7.

CIO 8	**Common CIO Administrative Records.** Office operating files and facilitative records including administrative subject files, suspense files, tracking and control records, transactional databases, travel records, and other transitory documents kept for convenience of reference and which relate to routine internal administration or housekeeping activities of the office rather than the mission functions for which the office exists. Includes routine office administrative files containing standard operating procedures and resulting products relating to orientation, paperwork, and system privileges for arriving and departing employees, including copies of materials maintained as record by Human Resources.	**Temporary.** Delete or destroy when 2 years old or when no longer needed per GRS 23, Item 1 or, for personnel-related records, delete or destroy as specified for type of record per GRS 1. Travel records are governed by GRS 9.
CIO 9	**Legal and Regulatory Compliance Records.** Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies	**Temporary.** Destroy/delete when 5 years old.
CIO 10a	**Briefing Files ("Read-aheads")** <u>Record copies</u> of binders, folders, and documents prepared by OCIO components and used as briefing materials for high-level meetings, conferences, off-sites, congressional hearings, military briefings, and sessions with foreign visitors. These files detail major or special activities and plans.	**Permanent.** Paper Records: Retain in current files until no longer needed, and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old. Electronic Records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference. Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.
CIO 10b	<u>Reference and Distribution copies</u> of binders, folders, and documents received by OCIO from other agencies, state and local organizations, business and academic institutions, and other ODNI components.	**Temporary.** Destroy/delete when no longer needed.
CIO 11	**Internal Operating Policy Files.** Information management, business, technical and non-technical security, and operational policies, protocols, and procedures relating to ODNI/CIO IT operations.	**Temporary.** Delete or destroy when 5 years old or when no longer needed, whichever is later.

Records of OCIO Functional Components

The Office of the ADNI/IC CIO has allocated specific functional responsibilities to these DADNI/CIO organizations, whose records are described here as functional classes of records. Some records created and maintained at the DADNI level have been specifically noted if they are unique. Most of the records are covered by the General Records Schedule and are noted here for the convenience of local record keepers. The specific GRS references are to records generated and maintained within one or more of the functional units herein identified and reflect pertinent functionalities.

IC Information Sharing and Mission Requirements (ISMR)
Implements information sharing policy as set forth in ICD 501 through exercise of the responsibilities associated with the CIO's role as Information Sharing Executive. Functions include overseeing and keeping records of the information sharing dispute resolution process, acting as secretariat to the Sensitive Review Board and the Information Sharing Steering Committee, and the ICD 501 Working Group. The Mission Architecture Division performs mission-related IT transformation activities. The CUI Activity coordinates and oversees the IC's involvement in the Government-wide CUI Council. Most of the significant records of these activities are captured in Front Office systems as final products advance to the CIO and above.

Intelligence Community Enterprise Architecture (ICEA)
Promotes the development of the Intelligence Community Enterprise Architecture to improve information sharing, collaborative collection and analysis, and customer support.

Information Integration and Engineering (I2E)
Oversees planning and implementation relating to information integration among the agencies of the Intelligence Community with regard to "Build to" engineering, IC Data Layer, and service level agreements, in support of data/information interoperability throughout the Intelligence Community.

IC Information Assurance (ICIA)
Develops authoritative guidance on information security. Standardizes processes within the IC that facilitate protection of information while ensuring its availability to customers.

Intelligence Community Technology Planning (ICTP)
Evaluates IC IT investment decisions to assure alignment with the intelligence mission. Services include IC IT portfolio management, program assessment services, and program compliance assessment.

Information Technology Governance, Policy, and Outreach (ITGPO)
Provides compliant and standardized information technology and information security policy and guidelines to the IC; and assists the ADNI/IC CIO to develop appropriate mechanisms for governing information technology and enhancing sharing across the IC, within the Federal Government, and with allied partners.

Business Transformation Office (BTO)
Addresses standard business processes, common systems, and staff competency development issues in order to improve IC decision-making processes to assure timely and reliable information through improved access, integration, collaboration, and sharing of critical data.

Item	Title & Description	Disposition
CIO 12	**DADNI Tracking Systems.** Systems for tracking tasks within or received by Deputy Associate-level components. These databases either feed into the CIO and/or Executive Secretary systems or are used for purely internal workflow monitoring. Data elements and functions are similar or identical to those of the CIO Action Tracker.	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is later.
CIO 13	**Enterprise Architecture Records.** Deputy Associate-level records identifying and exploring the IT systems and networks required to carry out the mission of integrating the intelligence community through information sharing and the use of collaborative environments, including planning for the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narrative that describe the baseline architecture, target architecture and related sequencing plans. Includes records relating to the Joint Architecture Reference Model, the Architecture, Standards, and Engineering Committee, and the records of the IC Enterprise Standards Committee. Note: This item relates in particular to the records of the DADNI for Intelligence Community Enterprise and Architecture (ICEA) and his staff, but such records will be found throughout DADNI-level components.	**Temporary.** Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.
CIO 14	**Information Sharing and Mission Requirements CUI Records.** Documentation of the coordination of implementation of the Controlled Unclassified Information Framework across the Intelligence Community, including records of meetings and collaboration of IC agencies and IC representation to the CUI Council.	**Temporary.** Delete or destroy when 5 years old or when no longer needed, whichever is later.

CIO 15	**Technology Program and Planning Records.** Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.	**Temporary**. Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.
CIO 16	**Records Relating to Information Technology Investment Assessment**. Records documenting the integration of IT investments with IC-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in capital investment portfolios; and clearance and review records.	**Temporary**. Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.
CIO 17	**Records Relating to Information Technology Asset and Configuration Coordination and Integration Management.** Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and the interoperability of systems. Included are data and detailed reports on implementation of systems, evaluation applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.	**Temporary**. Destroy/delete 1 year after termination of system, network, or service[redacted]

CIO 18	**Information Technology Infrastructure Design and Implementation Management Files.** Records detailing projects designed to provide and support IC IT infrastructure, systems, and services. Includes records documenting requirements for and implementation of functions through network operations, computers, and other hardware, maintaining and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/ accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.	**Temporary.** Destroy/delete 5 years after project is terminated.
CIO 19	**Records Relating to Information Security and Risk Management.** Included are files that identify IC IT information security needs and risks, impact analyses, risk measurements and assessments, and proposed implementation plans and tasks to mitigate risks.	**Temporary.** Destroy/delete 1 year after system is superseded[redacted]

Records of CIO Special Centers

Item	Title & Description	Disposition
CIO 20	**Intelligence Community Enterprise Services (ICES) Records.** Operating, reference, and customer support files reflecting the mission of designing, building, and operating automated tools and services. ICES maintains and operates enterprise-focused services, such as search engines and hosting, and supports users.	
CIO 20a	**Customer Services Files.** Intelink, DNI-U, Ugov, blogs, ivideo, Intellipedia, Inteldocs, gallery, instant messaging quick reference guides and similar systems and services.	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is later.
CIO 20b	**Operational Services Records.** ICES Networking Services, monitoring, Database Secure	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is

	Infrastructure Services (SIS), Visitor Control Application, ICES ticket system files.	later.
CIO 20c	**Standard Operating Procedures.** Configuration Management Plan, Tier 1 and 2 Procedures, SOP for ICES Watch, NTP Configuration, A-Space COP SOP. Operational, not substantive files.	**Temporary.** Delete or destroy when 3 years old or when no longer needed, whichever is later.
CIO 20d	**Records Governed by General Records Schedule 24.** Included are -System Backups and Tape Library Records -Files Related to Maintaining the Security of Systems and Data -User Identification, Profiles, Authorizations, and Password Files -Computer Security Incident Handling, Reporting and Follow-up Records.	**Temporary.** Delete or destroy as specified in GRS 24, Items 4 – 7.
CIO 21	**Unified Cross Domain Management Office Records (UCDMO).** The Office, established jointly with the Department of Defense, provides centralized direction, coordination, and oversight for all cross domain activities and investment by the Intelligence Community to promote common technologies and practices that enable networks of varied classification levels to share information. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessments of operational networks and the interoperability of systems.	**Temporary**. Destroy/delete 5 years after project is terminated[redacted].