

Request for Records Disposition Authority

(See Instructions on reverse)

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

1. From: (Agency or establishment) S

Office of the Director of National Intelligence

2. Major Subdivision S

National Intelligence Council Fh

3. Minor Subdivision S

4. Name of Person with whom to confer iS

John H. Hackett F

5. Telephone (include area code)

703-275-2215

6. Agency Certification S

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 S 9 S 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:

is not required S

is attached S

has been requested S

Signature of Agency Representative

John H. Hackett

Title cy

Director of Information Management

Date (mm/dd/yy)

07/31/2009

7. Item S
NumberS

8. Description of Item and Proposed Disposition S

9. GRS S
uperseded S
JSb CitaliSn S

10. Action S
taken (NARA S
Use Only) S

1. Records of the National Intelligence Council. h
See attached to pages. h

Leave Blank (NARA Use Only)

Job Number

NI-576-09-8

Date Received

8/24/09

Notification to Agency S

In accordance with the provisions of 44 U.S.C. §303a, the disposition shall include any amendment to proposed except for items that may be marked "disposition not approved" or "withdrawn" in column 10. S

Date S

10/21/2011

Archives of the United States
OAS

**Office of the Director of National Intelligence
OFFICE OF THE DIRECTOR OF
NATIONAL INTELLIGENCE FOR ANALYSIS**

NATIONAL INTELLIGENCE COUNCIL

Records Control Schedule

Mission Description

The National Intelligence Council (NIC) is the Intelligence Community's (IC's) center for term and long-term strategic analysis. Its primary functions are to:

- d Support the DNI in his role as ~~ea~~ of the Intelligence Community and as the principal adviser to the President, the National Security Council, and the Homeland Security Council for intelligence matters related to national security.
- d Support the policy community, Congress, an ~~lity~~ decision makers through production of Intelligence Community-coordinated all-source strategic analyses on key topics of interest.
- d Reach out to non-government experts in academia and the private sector to broaden the Intelligence Community's perspective.
- d Lead the Intelligence Community's effort to produce National Intelligence Estimates (NIEs). NIEs are the DNI's most authoritative written judgments concerning national security issues. They contain the coordinated judgments of the Intelligence Community regarding the likely course of future events. The NIC's goal is to provide policymakers with the analysis that exhibits the highest standards of analytic tradecraft and is independent of political considerations.

National Intelligence Officers' (NIOs) primary functions are to:

- Advise the DNI on subjects in their areas of expertise.
- Maintain close contact with national level customers in order to understand their intelligence requirements and to respond effectively to their requirements for analytical products.
- Engage with outside experts to tap their knowledge and insights.
- Articulate substantive intelligence priorities to guide intelligence analysis and promote collaboration among IC analytic producers.
- Identify and articulate the IC's analytic needs and priorities for collection, an entity both critical strategic and crisis situation intelligence gaps that must be addressed...

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 the NIC personnel or NIC 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 NIC records 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 NIC.

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Note on Sensitivity of NIC 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 TS/SCI level, requiring planning for their continued security until they are declassified or destroyed. The user of this schedule should assume the subject records are highly 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, or 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 NIC Record Keeping

From the establishment of the ODNI until July 2009, the Chairman of the NIC also held the position of Deputy Director of National Intelligence (DDNI) for Analysis and the Vice Chairman held the position of Assistant Deputy Director of National Intelligence (ADDNI) for Analysis. The records created in both roles were commingled, with paper copies of many permanent files maintained by the DDNI/Analysis staff. In July 2009 the appointment of a Chairman who was not also the DDNI/A necessitated the separation of the Front Office files, although the legacy files remain commingled.

The Chairman and staff maintain record copies of many official files in electronic form on the Common Work Environment (CWE) S: shared drive and in paper. Formal NIC products are published in paper, with any also published in electronic form for ease of distribution and reference. Many are formally published in paper but later scanned to PDF format for ease of storage and retrieval. Some individual staff members may keep files on their CWE personal U: drive and their local C: drives. Although the practice of maintaining files on the unclassified Agency Internet Network (AIN) S:, U:, and C: drives is not as common, analysts who consult with outside experts in academic and other non-government policy organizations may keep resulting materials in the unclassified system. Records kept on the AIN system that are not disposable under the General Records Schedule (GRS) are to be moved to the CWE system for proper disposition. Files not covered by the GRS must be maintained on the CWE S: drive or in paper files, as appropriate, and are to be retained or destroyed in accordance with an approved ODNI disposition authority.

Because of the multiplicity of record keeping systems and formats employed by the NIC, ~~ost~~ of the items enumerated below describe aggregations of record series and record types under generic descriptions that are grouped according to function or analytical product. Many of the paper permanent records are duplicated by electronic versions also proposed for permanent retention for ease of retrieval and reference in the future.

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Records Descriptions and Disposition Instructions D

Item	Title & Description in Chronological Order	Disposition
NIC 1.d	<p>Chairman's/ODNI-Analysis Outgoing Chronological Files.</p> <p>These Front Office files contain all outgoing correspondence signed or reviewed by the Chairman of the NIC. Prior to July 2009 these were common, commingled files of the Chairman and the Deputy Director of National Intelligence/Analysis, both roles filled by a single individual. The file also includes any of the similar records created by the Vice Chairman. In many respects these files function as the NIC central file. Other subseries of note include the National Intelligence Board Scripts (talking points), NSC policy summaries that serve as guidance, and weekly activity reports to the Director of National Intelligence. Also included are the outgoing correspondence of the Counselor and the Director of Strategic Plans and Outreach. Electronic files are kept on the S: Drive, with some ready reference files kept in hard copy</p>	<p>Permanent.</p> <p>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.</p> <p>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.</p>
NIC 2.d	<p>Intelligence Publications Files and Related Production Files.</p> <p>NIC 2a.d</p> <p>Intelligence Publications. The record hard copy set of intelligence publications, record electronic set (PDF format), and the final source document as received, maintained by the Analysis and Production Staff (APS). This item covers an array of NIC intelligence publications, the most important of which is the National Intelligence Estimate, but also including many publications serving special audiences and purposes, that are no longer produced.</p> <p>Also included are Dissemination Lists for each product, file with the product, and Terms of Reference (TORs), which outline the proposed and agreed upon specifications for major analytical products.</p>	<p>Permanent.</p> <p>Paper Records: Retain 2 hard copies in current files until no longer needed and then transfer to ODNI storage facility. Transfer to NARA in five year blocks when most recent file in block is 30 years old.</p> <p>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.</p> <p>Previously scheduled in D-1-RES-Item 3 and 21.</p>

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NIC 2b.	Sanitized versions of publications, providing a record copy of information released to a broader audience.	<p>Permanent.</p> <p>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 is 30 years old.</p> <p>Electronic records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference.</p> <p>Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations</p>
NIC 2c. d	Director of the Analytic Production Staff (APS) Files. Drafts and other work related to policy decisions governing Intelligence publications and records created that contain information that adds to a proper understanding of the formation, development, and execution of policy, decisions, or actions.	<p>Permanent.</p> <p>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 is 30 years old.</p> <p>Electronic records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference.</p> <p>Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.</p>
NIC 2d. d	Intelligence Production Guides. Yearly compilation of all intelligence analysis production, including type, title, classification, author, NIO account, and date of publication.	<p>Permanent.</p> <p>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 is 30 years old.</p> <p>Electronic records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference.</p> <p>Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations</p>
NIC 2e. d	Final publications stored in the NIC Repository. Web-based storage from which products are drawn for posting on the NIC website, CIA Wire, and other venues or for individual research. This is a reference library of recent materials, with some scanned	<p><i>Previously retired as permanent under DCI RCS, Items 18A, 21A1, and 22A.</i></p> <p>Temporary. Delete when no longer needed.</p>

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NIC 2f.i	<p>material predating electronic publication. Maintained because it is searchable and user-friendly.</p> <p>Extra copies of printed or otherwise finished published materials for which complete record sets exist maintained inside or outside the office responsible for maintaining the record set.</p>	<p>Temporary. Delete or destroy when no longer needed.</p>		
NIC 3.i	National Intelligence Officers' Production Files			
NIC 3a.i	<p>Production Case Files for Publications and Other Final Products. In addition to final products listed in Item 2, series includes source documents, research, consultation, and analysis on which final publication is based and records of the coordination and approval process. These files often contain supplementary material resulting from the Intelligence Community coordination process and follow up notes and reactions to publications. Will include records of dealings with DNI Committees and outside groups for which the particular NIO has primary subject matter responsibility. Also included are unique e-mail, reports, and other final work products in response to inquiries and taskings not undertaken in connection with publications. 2005 to Present. Arranged by product type, number, name, subject area, and date. Each of the 13 NIOs maintains files based on individual preferences, subject matter, and convenience. No single filing system is followed. Most files are maintained as text files in subject folders on the S: Drive or in Lotus Notes under the name of the NIO account.</p>	<p>Permanent.</p> <p>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 is 30 years old.</p> <p>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</p> <p>Previously scheduled in DCI RCS Item 21—</p>		
NIC 3b.i	<p>NIC Technical Production Committee Records (including JAEIC, STIC, WSSC, and FDDC), including charter documentation and agendas, meeting minutes, and results of substantive policy deliberations and interaction reflected in DNI Committee Reports.</p>	<p>Permanent.</p> <p>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 is 30 years old.</p> <p>Electronic Records: Maintain electronic files in active system until no longer needed, copy to verified new media as required for preservation and occasional 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.</p>		
NIC 3c.i	<p>National Security Threat Analysis Files. Created by the Committee on Foreign Investment in the United States Support Group (NIC/CSG) under the National Intelligence Officer for Economic Issues. Records generated during the interagency threat assessment process required by the Foreign Investment and</p>	<p>Permanent.</p> <p>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.</p>		

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	National Security Act of 2007 and prior authorities. The files include the final assessment as sent to the CFIUS and major inputs collected during the interagency process.	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.
NIC 3d. d	NIO Committee and Working Group Facilitative and Reference Records. NIC Technical Production Committee staff-level papers and those maintained by the Deputy NIO for Economics Issues in the role supporting the Committee for Foreign Investment in the United States (CFIUS). These records include staff interchanges and postings in collaborative environments or are maintained for convenience of reference.	Temporary. Delete or destroy when 3 years old or when no longer needed, whichever is later.
NIC 4.	Working Papers.	
NIC 4a.	Substantive Working Papers.	
NIC 4a1.	Drafts and other work papers that were coordinated outside the unit of origin and contain information that adds to a proper understanding of the formation and development of final products that embody significant policies, decisions, or actions. Such products have Community-wide reach, public visibility, initiate change, or set precedent.	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.
NIC 4a2.	Drafts and associated materials related to final decisions, actions, products, or policies of transitory or routine significance.	Temporary. Delete or destroy when 3 years old or when no longer needed, whichever is later.
NIC 4b.	Preliminary Drafts and Non-Substantive Working Papers. Collected and created materials not coordinated and/or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These drafts and working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference or consultation, and associated transmittals, notes,	Temporary. Screen annually and maintain in current files until no longer needed for business purposes, then delete or destroy

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	reference and background materials.	
NIC 5.	<p>National Intelligence Board Records. Formerly, National Foreign Intelligence Board, which succeeded U.S. Intelligence Board. Records include agendas, minutes, schedules, the results of Board review of major analytical products, including NIEs, and exchanges with the PDB staff regarding, and input to, the President's Daily Brief.</p> <p>The NIC serves as Executive Secretariat for the Board.</p>	<p>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.</p> <p>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.</p>
NIC 6.	<p>NIC Collaborative Environment (NICOLE) Databases. Lotus Notes databases, most centered on geographic or topical communities of interest containing records (principally MS Office and PDF documents) created and exchanged in the process of drafting and coordinating any major NIC products.</p>	<p>Permanent. 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.</p>
NIC 7.	NIC Databases. See Item 10 for Calendars.	
NIC 7a.	<p>Lotus Notes databases that contain mission-related documentation that adds to a proper understanding of the formation, development, and execution of policy, decisions, or actions which is either not available elsewhere in permanent form or is presented in the database in a uniquely efficient, manipulable, or searchable format.</p>	<p>Permanent. 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.</p>
NIC 7b.	<p>Facilitative databases used for administrative tracking, housekeeping, access control and other transitory functions; databases established but not used, containing no or minimal data; and databases supplanted by updated versions or successor programs which contain the same data.</p>	<p>Temporary. Delete when no longer needed.</p>
NIC 8.	Principals Committee and Deputies Committee Submission/Participation Records.	
NIC 8a.	<p>Records of NIC participation in NSC policymaking committees. All submissions to the PC/DC become permanent Presidential records. Copies of submissions retained by NIC are thus the institutional Federal records of NIC transactions at this high policy</p>	<p>Permanent.</p> <p>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</p>

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NIC 8b.	<p>level, and are subject to different access requirements with regard to FOIA. Office of Record is the Analysis Production Staff. Electronic copies filed in DNI Transition folder. 2005 to Present, filed by meeting date.</p> <p>Background material which is collected to support submissions to PC/DC that does not document substantive policy deliberations. Includes drafts, reference materials, and final analyses collected from the Intelligence Community and kept as permanent records by the originating agencies.</p>	<p>years old.</p> <p>Electronic records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference.</p> <p>Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.</p> <p>Temporary. Delete or destroy when no longer needed.</p>
NIC 9.	<p>Common NIC Administrative Records.</p> <p>Office Operating Files and Facilitative Records, includes administrative subject files, suspense files, tracking and control records, transactional databases, calendars below the senior level, 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 and detailees. 2005 to Present.</p>	<p>Temporary. Delete or destroy when 2 years old or when no longer needed per GRS 23, Item 1.</p>
NIC 10.	<p>Calendars</p> <p>Lotus Notes (or successor) databases or hard copy appointment books containing the schedule and activities of the Chairman and each staff member. 2005 to Present.</p> <p>Chairman's Calendar and Schedule of front office Chair-level Activities.</p>	<p>Permanent.</p> <p>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.</p> <p>Electronic records: Maintain in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued reference.</p> <p>Transfer to NARA when 30 years old in a medium and format acceptable to NARA in accordance with standards set forth in Federal regulations.</p>

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NIC 10b.	Individual and Group Calendars for officials and units below Chair level.	Temporary. Delete or destroy when 2 years old in accordance with GRS 23, Item 5a.
NIC 10c.	NIC NSC weekly calendar. Contains names of briefers, attendees, and subjects of meetings with NSC/NSC staff relating to current intelligence issues.	Permanent. 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.
NIC 11.	Reference Files. Copies of memoranda, reports, budgets, publications, products, and other agency records maintained for convenience of reference.	Temporary. Delete or destroy when no longer needed or when superseded.
NIC 12.	Human Resources Records.	
NIC 12a.	Supervisors' copies of Official Personnel Files documentation.	Temporary. Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer per GRS 1, item 18.
NIC 12b.	Applications for employment, interview files, position descriptions, vacancy notices, supervisor's informal personnel records, including performance appraisals. Identified by applicant name, position title, as applicable.	Temporary. Employee interview records: Destroy within 1 year after transfer or separation of employee per GRS 1, item 8. Interview records and applications of unsuccessful applicants, vacancy postings: Destroy when no longer needed. Supervisor's personnel files: Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. GRS 1, item 18.