

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

ADNI/Human Capital (HC) and IC CHCO

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

N1-576-113

Date Received

11/16/10

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

7 Dec 2013

Archivist of the United States

[Signature]

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 9 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

☐

is attached

☐

has been requested

Signature of Agency Representative

[Signature of John F. Hackett]

Title

Director of Information Management

Date (mm/dd/yyyy)

11-16-2010

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Superseded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 ADNI/Human Capital (HC) and the IC Chief Human Capital Officer (IC CHCO). See attached 9 pages.

Office of the Director of National Intelligence
ASSOCIATE DIRECTOR OF NATIONAL INTELLIGENCE
FOR HUMAN CAPITAL (ADNI/HC)
AND THE
IC CHIEF HUMAN CAPITAL OFFICER (IC CHCO),
OFFICE OF THE ADNI FOR HUMAN CAPITAL

Records Control Schedule

Mission

The Assistant Director of National Intelligence for Human Capital (ADNI/HC) and IC Chief Human Capital Officer (IC CHCO) has the responsibility to 1) support IC-wide strategic workforce planning, 2) facilitate the development of IC-wide programs to attract and retain the best candidates, and 3) foster a culture of leadership at all organizational levels.

Application of the Records Control Schedule Disposition Instructions

The disposition instructions in the records control schedule are mandatory. Any Federal record(s) received or created by ADNI/HC office 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 Technical Officer with responsibility for the records of the ADNI/HC office 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 office of the ADNI/HC.

Note on Sensitivity of Human Capital Records

Many of the records addressed in this schedule are classified as national security information in accordance with statutory and national policy directives. Many 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 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

Although no vital records are currently identified in this schedule, records management personnel should be alert to the need to identify such 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/HC office staff maintains 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. In addition, electronic records may be stored at or accessed from other locations such as IC element or approved contractor facilities.

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Records kept on the ADNI/HC network and local individual drives or other locations that are not disposable under the General Records Schedules (GRS) are to be moved or copied to the network shared drives or systems 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

Item	Title & Description	Disposition
CHCO 1	Strategic Human Capital Planning Materials. These materials pertain to all final reports, plans, reviews, program implementation and documentation for Intelligence Community Strategic Human Capital Planning efforts including the Foreign Language Program Office.	
CHCO 1a	Strategic Human Capital Plan. The final report documenting the U. S. Intelligence Community's Five Year Strategic Human Capital Plan and associated formal implementation reports and reviews.	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.
CHCO 1b	Reference and Background Materials for Strategic Human Capital Planning. Included are such materials as rough notes and calculations; drafts produced solely for proof reading; meeting minutes, research material, and other documents, such as correspondence, notes, and other types of working papers associated with the development of the final Strategic Human Capital Plan or Final Reports; readily available reference material; originating office copies of letters or transmittals that do not add any information to that contained in the final materials. <u>Does not include</u> information documenting substantive policy development, action, or decision making that may result in a final product or an approved finished report	Temporary. Delete or destroy when no longer need or when superseded.
CHCO 2	ADNI/HC Correspondence Files. These files	Permanent. Paper Records: Retain paper

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	contain all formal outgoing correspondence relating to CHCO programs signed by the ADNI/HC. Included are communications concerning Memorandums of Agreements (MOA). In many respects these files function as the ADNI/HC central file. Front Office electronic files are kept on the shared drive.	<p>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.</p> <p>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.</p>
CHCO 3	Working Papers	
CHCO 3a	Substantive Working Papers	
CHCO 3a1	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. These records relate to CHCO programs other than the Strategic Human Capital Planning efforts identified above in item CHCO1.	<p>Permanent. Paper records: If possible, file working papers with the final version of the document to which they relate. Or, retain in current files until no longer needed, 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: If possible, file working papers in appropriate recordkeeping systems with the final version of the document to which they relate. Or, 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>
CHCO 3a2	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.
CHCO 3b	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	Temporary. Screen annually and maintain in current files until no longer needed for business purposes, then delete or destroy.

	consultation, and associated transmittals, notes, reference and background materials.	
CHCO 4	Intelligence Community Human Capital Policy Files and Reference Materials which relate to ODNI policy development. Materials in these files include communication materials; pre-coordination drafts; initial, intermediate and final ODNI drafts; meeting minutes; coordination materials; review materials, and working papers associated with the development of the final policies. Final policy case files are retained by the ADNI for Policy and Strategy (P&S).	Temporary. Review when three years old. Delete or destroy when no longer needed.
CHCO 5	Intelligence Community Human Capital Program Records. Program files on the shared drive containing all work products intended for circulation or needed for administrative control, within and outside of the component. Records document the primary mission of coordinating and overseeing the human capital programs of the Intelligence Community and include responses to actions and inquiries. This also includes databases and other systems developed in the course of the ADNI/HC mission.	
CHCO 5a	Intelligence Community Human Capital Formal Program Records. These records specify significant final ODNI programs, decisions, or actions. Materials in these files include formal communication materials; formal pre-coordination drafts; final ODNI drafts; formal meeting minutes, coordination materials, surveys, review materials and other correspondence used in the development of Intelligence Community human capital programs. Examples: IC Awards Program, Joint Duty Program.	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.
CHCO 5b	Background reference materials for Program Records which are created, collected, or received during the development of the formal program records above. Typically the files consist of transaction logs associated with the development of the final program. Includes those not selected.	Temporary. Review when three years old. Delete or destroy when no longer needed.
CHCO 5c	Human Capital Information Technology Systems.	

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CHCO 5c1	IC information systems or databases developed or managed by ADNI/HC as required to accomplish the ADNI/HC mission. These systems include the Intelligence Community Capabilities Catalog (IC3), and other systems used to facilitate workforce and strategic planning, reporting, and analyses as well as the conduct of IC programs such as Joint Duty. Data resident in these systems are needed for long-term planning as well as longitudinal analyses. Audit logs are present.	Temporary. Review when 15 years old. Delete or destroy when no longer needed.
CHCO 5c2	System-related documentation (security, configuration management, etc.)	Temporary. Review when 15 years old. Delete or destroy when no longer needed.
CHCO 5c3	Substantive outputs from ADNI/HC systems or databases associated with other ADNI/HC records identified in this schedule.	<p>Temporary. Review when 15 years old. Delete or destroy when no longer needed.</p> <p>The disposition of these items is accomplished in accordance with the disposition instructions applicable to the specific outputs associated with the related ADNI/HC records identified elsewhere in this schedule.</p>
CHCO 6	ADNI/HC Briefings, Speeches. These records contain all briefings, speeches and roundtable talks and similar items delivered within or outside of the ADNI/HC offices.	
CHCO 6a(1)	External Briefings, Speeches. Record copies of external briefings, speeches and related materials delivered by the ADNI or senior officials (handouts, etc.) that are unique in substance and significance in delineating IC human capital programs to high level officials outside the ODNI in government and the private sector.	<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 is 30 years old.</p> <p>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.</p>
CHCO 6a(2)	Routine External Briefings, Speeches. These are frequent, process and procedural focused presentations that convey time sensitive operational guidance and direction for IC human capital managers and other officials outside the ODNI.	Temporary. Screen annually and maintain in current file areas until no longer needed for business purposes, then destroy.

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CHCO 6b	Internal Briefings, Speeches. Records related to internal briefings, speeches, and related materials that are disseminated by ADNI/HC personnel within ODNI.	Temporary. Screen annually and maintain in current file areas until no longer needed for business purposes, then destroy.
CHCO 7	Records of Human Capital Boards, Councils, and Working Groups. Minutes, agendas, decision documentation, and copies of materials circulated at meetings, taken and collected by staff in the course of executive secretarial functions. Filed under the name of the working group, council, or board. Disposition based on the reach and authority of the boards with respect to external community-wide policy and policy implementation.	
CHCO 7a	Senior Level Board Records, including records of the Human Capital Board, IC CHCO Council, Civilian Employment Oversight Board. Boards at this level establish policy, set standards, and take precedent-setting actions.	Permanent. 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. 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.
CHCO 7b	Staff Level Working Group and Committee Records. Staff level boards gather information, exchange information between member agencies, and recommend policies and courses of action to higher authorities. Includes records of groups such as the Resource Board and the Employee Council. Similar groups have been formed for special topics such as Comp Time and Attendance working groups.	Temporary. Screen when three years old. Maintain until no longer needed for business purposes, then delete/destroy.
CHCO 8	Human Capital Reports Official reports from the ADNI/HC and their background and related working files.	
CHCO 8a	Official Human Capital Reports from the ADNI/HC on major personnel matters to include Annual Employee Survey, Statutory Reports (unless covered by Legislative Affairs), and	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

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	Executive Department required reports, including, Annual Core Contractor Inventory, final review reports and implementation plans for the Strategic Human Capital Plan, and reports responding to Congressionally Directed Actions.	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.
CHCO 8b	Background and Reference Files. Files related to the development and promulgation of Official Human Capital Reports.	Temporary. Review when three years old. Delete or destroy when no longer needed.
CHCO 9	ADNI/HC Web Pages. Materials posted on the ADNI/HC's internal and external Web pages. Items posted to these sites are for informational purposes and include internal official administrative and program documents or portions thereof that are covered under other items in this schedule (e.g. issuances, instructions, directives).	Temporary. Dispose of when superseded or no longer need for business purposes.
CHCO 10	Calendars. Lotus Notes (or successor) databases or hard copy appointment books, wherever kept, containing the schedule and activities of CHCO officials.	Temporary. Delete or destroy when two years old in accordance with GRS 23, Item 5a.
CHCO 11	ADNI/HC Administrative Records. Office operating files and facilitative records, including administrative subject files, suspense files, tracking and control records, copies of contracts, office rosters and telephone lists, routine budget and expenditure files, calendars below the senior level, indexes, 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 missions functions for which the office exists.	Temporary. Delete or destroy when two 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.
CHCO 12	ADNI/HC Reference Files. Copies of memoranda, reports, budgets, publications, and other office records maintained for convenience of reference.	Temporary. Destroy when no longer needed or when superseded.

Intelligence Learning Network (ILN)

Through the ILN the IC CHCO provides IC-wide training for the joint-duty program in focused training packages specifically designed to foster the achievement of the program's goals.

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Item	Title & Description	Disposition
CHCO 13	ILN Training Materials	
CHCO 13a	Final and Most Current Versions of Training Course Materials, including manuals, syllabuses, textbooks, and other training aids.	Temporary. Destroy when 5 years old or 5 years after completion of a specific training program.
CHCO 13b	Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and the development of training packages.	Temporary. Destroy when 5 years old or 5 years after completion of a specific training program.
CHCO 13c	Background and working files.	Temporary. Destroy when 3 years old.

Redactions have been made to this record control schedule pursuant to 5 U.S.C. 552(b)(3) with the corresponding statute 50 U.S.C. 3024(m)(1) which "protects, among other things, the names and identifying information of Office of the Director of National Intelligence personnel." You will need to submit a Freedom of Information Act (FOIA) request to the Office of the General Counsel for the withheld information. Information on how to file a FOIA may be found here:

<http://www.archives.gov/foia/>