

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

Office of the Chief of Protocol

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

NI-576-09-4

Date Received

8/26/09

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

17 NOV 10

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 5 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

John F. Hackett

Title

Director of Information Management

Date (mm/dd/yyyy)

8/19/2009

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 GRS or Superseded Job Citation	10.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 the Office of the Chief of Protocol. See attached 5 pages.		

4 August 2010

Office of the Director of National Intelligence OFFICE OF THE CHIEF OF PROTOCOL

Records Control Schedule

Mission Description

The Office of the Chief of Protocol reports to the Director of National Intelligence on matters related to the following activities and areas of interest:

- Events coordination and planning for Director of National Intelligence (DNI), Principal Deputy Director of National Intelligence (PDDNI), and the Director of the Intelligence Staff (DIS);
- Promotion of, and adherence to, proper diplomatic, official and social comportment for the Office of the Director of National Intelligence;
- Foreign Gifts program;
- Oversight of Official Representational Funds for DNI and PDDNI;
- Coordination with White House/National Security Council for the administration of The National Security Medal Program.

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 Protocol 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 Officer with responsibility for the records of the Protocol 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 Protocol Office.

Note on Sensitivity of Protocol Records

Approximately twenty percent of Protocol records are classified up to the Top Secret/SCI level, requiring planning for their continued security until they are declassified or destroyed. 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, commercially sensitive ("trade secrets") information, or grand jury documentation. 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 Protocol Office 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.

4 August 2010

Records Descriptions and Disposition Instructions

Item	Title & Description	Disposition
PCL1.	Events Coordination and Planning	
PCL1a.	Event Case Files. Records of arrangements for visiting foreign government dignitaries and senior U.S. government officials, and associated official events and meetings. Case files include guest lists, details of Distinguished Visitors' special preferences or needs, and other pertinent details. Case files organized by country and by name of visitor or visiting party.	<p>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.</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>
PCL1b.	Foreign Visitor Protection & Hospitality. Records of access, escort and travel arrangements made for distinguished foreign visitors and their parties. Files organized by name of visitor or visiting party.	<p>Temporary. Delete or destroy 5 years after visit unless needed for further reference.</p>
PCL2.	National Security Medal Program Records relating to the DNI administration of the National Security Medal Program and actions associated with White House and National Security Council coordination. Maintained by recipient name and date.	<p>Temporary. Delete or destroy when 5 years old unless needed for further reference.</p>
PCL3.	Foreign Gifts and Decorations Act Program (PL 95-105) Records documenting the receipt and reporting of foreign government gifts to the DNI, and those related to the procurement, presentation, and recording of DNI gifts to foreign government officials. Records include annual reports to the Department of State pursuant to PL 95-105. Information on gifting maintained in a database which facilitates retrieval by single or multiple data fields. Gift files maintained by	<p>Temporary. Delete or destroy when 5 years old unless needed for further reference.</p>

4 August 2010

	country, dates, and names, if applicable.	
PCL4.	ODNI Policy Instructions Records relating to the implementation, interpretation and enforcement of ODNI gifting policies in (1) ODNI Instruction No. 2005-11, <u>Gifts from Foreign Governments</u> , and (2) ODNI Instruction No. 2006-15, <u>Giving and Receiving Gifts</u> . Policy files arranged by Subject and Policy Number. (Note: The Internal Policy Management office maintains record copies of ODNI Instructions.)	Temporary. Delete or destroy when superseded, revised or cancelled.
PCL5.	Common Protocol Administrative Records	
PCL 5a.	Facilitative records, including administrative subject files, suspense files, tracking and control records, transactional databases, 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 mission functions for which the office exists. Records are maintained chronologically or by subject.	Temporary. Delete or destroy when 2 years old or when no longer needed per GRS 23, Item 1.
PCL 5b.	Electronic and paper files maintained by the office staff for convenient reference. Includes books, publications, articles, and copies of federal records from internal and external sources which have continuing value as readily available reference material.	Temporary. Destroy when no longer needed or when superseded. NON-RECORD
PCL6.	Human Resources	
PCL 6a.	Supervisors' Personnel Files. Records on individual employees duplicated in or not appropriate for the Official Personnel File.	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.
PCL 6b.	Performance Appraisals. Employee performance related records, including appraisals, job elements, and standards upon which they are based, and supporting documents. Files maintained by employee names. (Note: Human Resources maintains record copies of performance appraisals.)	Temporary. Delete or destroy 4 years after date of appraisal per GRS 1, item 23a (4).

4 August 2010

PCL7.	Financial Management	
PCL 7a.	Official Representational Fund Account. General accounting ledger, showing debit and credit entries, and reflecting expenditures in summary, and associated documentation. Files maintained by date.	Temporary. Delete or destroy 6 years and 3 months after the close of the fiscal year involved per GRS 7, item 2.
PCL 7b.	Internal Office Budget. Budget guidance, cost data, rough data and similar material accumulated in preparing annual office budget estimates. Files maintained by date.	Temporary. Delete or destroy 1 year after the close of the fiscal year covered by the budget, if not needed for continued reference, per GRS 5, item 2.
PCL8.	Working Papers	
PCL8a.	Substantive Working Papers	
PCL 8a1.	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: 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. 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.
PCL 8a2.	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.
PCL8b.	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	TEMPORARY. Screen annually and maintain in current files until no longer needed for business purposes, then delete or destroy.

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4 August 2010

	<p>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, reference and background materials.</p>	
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