

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
DDNI/Acquisition and Technology (A&T)

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-576-11-6

Date Received
11/16/10

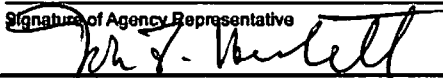
Notification to Agency
In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Date **9 April 2013** 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 10 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


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 GRS or Superseded Job Citation	10.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 DDNI/Acquisition and Technology (A&T). See attached 10 pages.		

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**Office of the Director of National Intelligence
OFFICE OF THE ASSISTANT DIRECTOR OF
NATIONAL INTELLIGENCE FOR ACQUISITION, TECHNOLOGY, AND
FACILITIES**

Records Control Schedule

Mission and Organization

The Office of the Assistant Director of National Intelligence for Acquisition, Technology, and Facilities (AT&F) was previously the Office of the Deputy Director for Acquisition and Technology (DDNI/A&T), which had been renamed from the DDNI/ Future Capabilities, which, in turn, had replaced the DDNI/Acquisitions, an office that had previously assumed some functions from the DDNI /Management. This Office is responsible for leading the Intelligence Community (IC) effort to enhance returns on investments in technology and facilities. AT&F is comprised of five divisions treated in this schedule: Acquisition, Facilities, Operations, Procurement, and Science and Technology. An additional component, Architecture, Engineering, and Integration (AE&I), was relocated to the Office of the Associate Director for Systems and Resource Analysis (SRA) in mid 2009. The Intelligence Advanced Research Projects Agency (IARPA) resides organizationally within AT&F, which is responsible for facilitating its development, but IARPA is treated in a separate records control schedule.

Application of Records Control Schedule Disposition Instructions

The disposition instructions in the records control schedule are mandatory. Any Federal records received or created by AT&F 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 records subject to this schedule date principally from 22 April 2005, the date of commencement of operations by the ODNI, and forward. However, ODNI records may include legacy records that were incorporated into or brought forward to the ODNI files for the purpose of continuity of operations. In general, records created and received by the Director of Central Intelligence and his Community Management Staff, the ODNI's predecessor, were managed under the CIA Records Control Schedule. In addition, the ODNI has used the CIA schedule retirement authority on an interim basis until the approval of the ODNI Records Control Schedule.

The Information Management Technical Officer with responsibility for AT&F 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 Office.

Note on Sensitivity of AT&F Records

The majority of the records addressed in this schedule are classified as national security information in accordance with statutes 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 that the subject records are highly classified unless noted otherwise. In addition, certain series may contain material covered by the Privacy Act or potentially exempt from disclosure under the Freedom of Information Act for reasons other than national security, such as law enforcement information or commercially sensitive ("trade secrets") information. An effort has been made to note these series.

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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 AT&F 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

Item	Title &Description	Disposition
ATF 1	Controlled Correspondence Action Files The Front Office and each of the subordinate units is assigned a range of AT&F numbers to identify its correspondence action packages. NOTE: This tracking system is similar to that of the ODNI Executive Secretary system in design and function.	
ATF 1a	<u>Chronological File</u> /"Chron Log" Correspondence management files, consisting of paper copies of all significant incoming and outgoing correspondence and taskings, including both review of tasks assigned to other components and action items for which AT&F is the principal. Contains copies of signed Front Office outgoing and comeback copies of DNI outgoing. Filed in folders under month and year, and ATF (vice FC) number thereunder.	Permanent. Retain in office 3 years and then transfer to ODNI storage area. Transfer to NARA in five year blocks when most recent file in block is 30 years old.
ATF 1b	<u>Correspondence Management Database</u> A Lotus Notes database tracking system that parallels the Chronological File, containing taskings, incoming correspondence that results in action, and outgoing (scanned) signed correspondence file by system-assigned serial number (format: FC-YY-0000). Searchable by assigned subject term and other basic fields.	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.

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<p>ATF 2</p>	<p>General Incoming Correspondence File Received correspondence on which no action is required. Filed in order of arrival by month and year, not indexed.</p>	<p>Temporary. Destroy when no longer needed.</p>
<p>ATF 3</p> <p>ATF 3a</p> <p>ATF 3b</p>	<p>Boards, Committees, 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 or board. May include final reports commissioned or ordered by the group. Disposition is based on the reach and authority of the boards with respect to Community-wide policy formulation and implementation.</p> <p>Senior-Level Boards and Committees. Records of groups comprised of senior officials that deliberate and decide matters of IC-wide significance and recommend policy directly to the DNI and other top officials of the Community.</p> <p>Item includes records of the Intelligence Science Board, (ISB), the National Intelligence Science and Technology Committee (NISTC), the Intelligence Community Acquisition Council (ICAC), and similar groups.</p> <p>Staff-Level Working Group and Committee Records. Series contains 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 ADNI/AT&F, or IC-wide, by higher level officials. Item Includes subcommittees, "tiger teams" and other task-specific working groups that may recommend, evaluate, and report. These working groups and committees do not create policy or make IC-wide decisions. Includes records of the IC Capability Roadmap groups such as the: Acquisition Workforce Working Group, Earned Value Management Working Group, Performance Metrics Working Group, Acquisition Workforce Advisory Group, and similar bodies.</p>	<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> <p>Temporary. Screen when three years old. Maintain until no longer needed for business purposes, then delete/destroy.</p>

<p>ATF 4</p>	<p>Substantive Program Subject Files Files related to, supporting, and fulfilling the mission of overseeing and coordinating the relevant activities of the various agencies and organizations within the IC, together with associated background material, reports, analyses, recommendations, correspondence, and directives. Filed as office automation products on shared drive, with some parallel files in paper form.</p>	
<p>ATF4a</p>	<p><u>Records of Activities with Direct Effect on National Intelligence Program.</u> Included are records created and maintained to support the following functions:</p> <ul style="list-style-type: none"> • Annual Portfolio Reviews • Annual Call for Proposals from IC S&T components to rapidly get their best-of-breed technologies into the hands of users • Outstanding technical achievement recognition in the IC • IT Tech Expo – briefings to Congress and national security leaders • Monitor and report metrics for acquisition related to the National Intelligence Strategy. • Prepare and issue to Congress annual reports on Program Management Plan adherence, including records of supporting briefings to Intelligence Committees and appendices. • Support ODNI oversight and delegation of Milestone Decision Authority at IC elements. 	<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>
<p>ATF4b</p>	<p><u>Advisory Program Background Files</u> Reference and case files gathered and created by special advisors or <i>ad hoc</i> review groups in the process of providing advice to higher officials (for example, advisory opinions on the Comprehensive National Cyber Security Initiative). Files are both in hardcopy and on the shared drive. Finished advice to the Office head and the DNI is captured in the in the tasking system and/or by the ODNI Executive Secretary</p>	<p>Temporary. Screen when three years old. Maintain until no longer needed for business purposes, then delete/destroy.</p>
<p>ATF 5</p>	<p>ATF Working Papers</p>	
<p>ATF 5a</p>	<p>Substantive Working Papers</p>	
<p>ATF 5a1</p>	<p>Drafts and other work papers that were</p>	<p>Permanent. Paper Records: If possible, file</p>

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	<p>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.</p>	<p>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>
<p>ATF 5a2</p>	<p>Drafts and associated materials related to final decisions, actions, products, or policies of transitory or routine significance.</p>	<p>Temporary. Delete or destroy when 3 years old or when no longer needed, whichever is later.</p>
<p>ATF 5b</p>	<p>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, reference and background materials.</p>	<p>Temporary. Screen annually and maintain in current files until no longer needed for business purposes, then delete or destroy.</p>
<p>ATF 5c</p>	<p>Facilitative Records Office operating files and facilitative records maintained in the Front Office and subordinate offices. Includes administrative subject files, suspense files, tracking and control records, 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.</p>	<p>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.</p>

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ATF 7	Reference Files Copies of memoranda, reports, budgets, publications, and other agency records maintained for convenience of reference.	Temporary. Destroy when no longer needed or when superseded.
ATF 8	Human Resources Records Staffing and employment materials, including copies of personnel-related materials maintained as record by the Human Resources Office.	
ATF 8a	<u>Supervisors' copies of Official Personnel Files</u> Documentation. Identified by employee name.	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.
ATF 8b	<u>Employee Interview Records.</u> Correspondence, reports, and other records relating to interviews with employees.	Temporary. Destroy 6 months after transfer or separation of employee per GRS 1, item 8
ATF 8c	<u>Applications for employment.</u> Unsuccessful applicant interview records and related vacancy postings.	Temporary. Cut off when position has been filled or canceled. Destroy 2 years after cutoff.
ATF 9	Budget Background Records Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.	Temporary. Destroy when 3 years old in accordance with GRS 5, items 2 & 3.
ATF 10	Calendars Lotus Notes (or successor) databases or hard copy appointment books, wherever kept, containing the schedule and activities of AT&F officials.	Temporary. Delete or destroy when 2 years old in accordance with GRS 23, Item 5a.

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/>