

# Request for Records Disposition Authority

(See instructions on reverse)

## Leave Blank (NARA Use Only)

Job Number

N1-576-11-11

Date Received

6/14/11

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

27 July 15

Archivist of the United States

**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 Inspector General**

3. Minor Subdivision

4. Name of Person with whom to confer

**John F. Hackett**

5. Telephone (include area code)

**703-275-2215**

### 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 8 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)

6/13/2011

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 GRS or Superseded Job Citation	10.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 Office of the Inspector General. See attached 8 pages.		

**Office of the Director of National Intelligence  
OFFICE OF THE INSPECTOR GENERAL OF THE  
INTELLIGENCE COMMUNITY**

**Records Control Schedule**

**Mission**

The Office of the Inspector General (IG) was initially established in 2005 pursuant to Section 8K of the Inspector General Act of 1978, as amended by Section 1078 of the Intelligence Reform and Terrorism Prevention Act of 2004. The Intelligence Authorization Act (IAA) for FY 2010 (P.L. 111-259) broadened the authority of the ODNI Office of Inspector General by establishing the Inspector General of the Intelligence Community (IC IG) with the authority to initiate and conduct independent audits, inspections, investigations, and reviews of programs and activities within the responsibility and authority of the Director of National Intelligence (DNI). The IC IG promotes economy, efficiency, and effectiveness in the administration and implementation of such programs and activities and prevents and detects fraud, waste, and abuse. The broad authority of the IAA allows the IC IG to identify and investigate systemic IC issues that impact the DNI's ability to achieve intelligence integration. In addition, the IC IG provides leadership and coordination to other IC Inspectors General through the Intelligence Community Inspectors General Forum (IC IG Forum), which was also established by the IAA for FY 2010.

**Principal Functions**

- (1) Initiates and conducts independent audits, inspections, investigations, and reviews of the programs and activities within the authorities and responsibilities of the DNI;
- (2) Promotes economy, efficiency, and effectiveness in the administration and implementation of programs and activities within the authorities and responsibilities of the DNI programs and activities;
- (3) Prevents and detects fraud and abuse in programs and activities within the authorities and responsibilities of the DNI;
- (4) Keeps the DNI fully and currently informed concerning fraud and other serious problems, abuses, and deficiencies relating to the programs and activities within the DNI's authorities and responsibilities, to recommend corrective action concerning such problems, abuses, and deficiencies, and to report on the progress made in implementing such corrective action;
- (5) Investigates complaints and other information indicating possible employee misconduct including abuses of civil liberties and privacy in the administration of the programs and activities of the DNI, as referred by the Civil Liberties Protection Officer,
- (6) Reports expeditiously to the Attorney General whenever the IC Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law;
- (7) In coordination with the General Counsel, assists and cooperates with the Department of Justice and other Federal agencies in investigating alleged violations of criminal law involving ODNI programs, activities or employees within the DNI's authorities or responsibilities;
- (8) Reports to the President's Intelligence Oversight Board, in accordance with Executive Orders 12333 and 13462, concerning intelligence activities which the Inspector General has reason to believe may be unlawful or contrary to Executive order or Presidential directive;

(9) Reports to the congressional intelligence committees to ensure that the committees are kept informed of significant problems and deficiencies relating to the programs and activities with the responsibility and authority of the DNI and the necessity for, and the progress of, corrective actions;

(10) Chairs the Intelligence Community Inspectors General Forum; and

(11) Represents the Office on the Council of Inspectors General on Integrity and Efficiency with;

**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 personnel or contractors on behalf of the Office of the IC IG 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 Office of the IC IG 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 OIG 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 highly classified unless noted otherwise. In addition, certain series may contain material covered by the Privacy Act, Freedom of Information Act, or Inspector General statutory restrictions other than National Security, such as law enforcement information.

**Note on Vital Records**

Although no vital records are currently identified in this schedule, records management personnel should 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 IC IG 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) 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 and Description	Disposition
<p><b>IG-1</b></p> <p><b>IG-1a</b></p>	<p><b>Inspector General (IG) Reports and Associated Case Files</b></p> <p><b>Investigation Reports</b> which document violations of criminal law or ethical standards by ODNI or other Intelligence Community officials or which related to major issues of mismanagement, waste of funds, fraud, abuse of authority, or endangerment to public health and safety within the IC, in particular, matters that attract national media attention or Congressional interest or relate to substantive changes in Agency policy or procedures. Background material for these records may also be filed under item IG-6. <i>Minor, routine or other case files fall under IG-1e or IG-1F.</i></p>	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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><b>IG-1b</b></p>	<p><b>Inspection Reports</b> which concern the promotion of economy, efficiency and effectiveness in the administration of, or the prevention and detection of fraud or abuse in programs and operations administered or financed by the ODNI or within the authorities and responsibilities of the DNI. Case files may include identification of fraud, waste of funds, abuse of authority, mismanagement, or endangerment of public health and safety, as well as matters associated with ethical standards and issues that attract national media attention or Congressional interest; or that may relate to substantive changes in Agency policy or procedures. Background material for these records may also be filed under item IG- 6. <i>Minor, routine or other case files fall under IG-1e or IG-1F.</i></p>	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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>

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Item	Title and Description	Disposition
IG-1c	<p><b>Audit Reports</b> that document formal audits of operations, components, as well as individual employees of the ODNI and Intelligence Community Agencies' under the DNI's authorities and responsibilities. The audits may address matters of financial integrity as well as program and administrative performance as described and authorized in DNI instruction 2005-10 OIG and by PL 111-259. Audits review and evaluate existing programs and activities and prepare analyses and recommendations to promote efficiency, improve effectiveness, and foster performance of assigned responsibilities. Audits span the entire spectrum of ODNI operations and those operations of the IC as they present major or multi-agency issues. Background material for these records may also be under item IG 6. <i>Minor, routine or other case files fall under IG-1e or IG-1F.</i></p>	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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>
IG-1d	<p><b>Oversight and Review Reports</b> document comprehensive, multi-disciplinary reviews of systemic issues within the ODNI, national mission centers, and the IC to evaluate efficiency and effectiveness, identify vulnerabilities, and prevent and detect fraud, waste, and abuse. Oversight and Reviews reports evaluate management and processes; identify redundancies, gaps, and areas for improvement; develop and provides strategies for improvement; and advise the DNI and other major stakeholders of shortfalls. Background material for these records fall under item IG 6. <i>Minor, routine or other case files fall under IG-1e or IG-1F.</i></p>	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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>
IG-1e	<p><b>Minor and Routine Case Files</b> Investigation reports, inspection reports, and audit reports resulting from IG scrutiny of housekeeping matters not affecting IC-wide or ODNI-wide operations, policies, mission, or other broad or systemic issues. These matters may include individual employee abuse, malpractice, or</p>	<p><b>Temporary.</b> Place in inactive file when case is closed. Cut off inactive file at end of calendar year, hold in current files area for 2 years or until no longer needed. Destroy 5 years after cutoff.</p>

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	mismanagement in areas such as timekeeping, use of government property, or personnel practices.	
<b>IG-1f</b>	<b>Other Case Files</b> not associated with a specific investigation, inspection, audit, review, or consultative and advisory activities. Cases contain information or allegations based on anonymous or vague allegations but, after review, do not warrant extensive investigation resulting in a finished IG report. These files may include matters referred to other components or other agencies and may provide general information of short-term use in other IG investigations.	<b>Temporary.</b> Place in inactive file when case is closed. Cut off inactive file at end of calendar year, hold in current files area for 2 years or until no longer needed. Destroy 5 years after cutoff.
<b>IG-2</b>	<b>Inspector General Correspondence, Speeches, and Related Materials.</b> Background material for the records under this item may fall under item IG 6.	<b>Permanent.</b> 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.
<b>IG-2a</b>	<b>Inspector General Correspondence Files.</b> Incoming and outgoing correspondence signed or reviewed by the Inspector General, including reports with transmittals. These files function as the OIG Front Office central file.	<b>Electronic Records:</b> 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.
<b>IG-2b</b>	<b>Inspector General Briefings and Speeches.</b> Briefings and speeches given by the Inspector General to internal and external audiences, including interviews and public statements,	<b>Permanent.</b> 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.  <b>Electronic Records:</b> Maintain electronic files in active system until no longer needed, copy to verified accessible format and medium as required for preservation and continued

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		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.
IG-3	<b>Records of IC-Level Boards, Councils, Working Groups, and Forums.</b> Minutes, agendas, decision documentation, and copies of materials circulated at meetings, created and collected by staff in the course of executive secretarial functions. Filed under the name of the working group, council, board, or forum. Includes the IC Inspectors General Forum and other Intelligence Community working groups sponsored by OIG	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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>
IG-4	<b>Reports to Congress.</b> Semi-annual reports to Congress on IC Inspector General activities. Other Congressionally Directed Actions (CDA) and other reviews conducted at the request of Congress.	<p><b>Permanent. Paper Records:</b> 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><b>Electronic Records:</b> 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>



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	and preliminary drafts produced solely for proof reading or internal discussion, reference or consultation, and associated transmittals, notes, reference and background materials.	
IG-7	<b>Intelligence Community Inspector General Awards Program Records.</b> Records related to the administration of the IC IG Awards Program.	<b>Temporary.</b> Destroy 2 years after approval or disapproval of award
<del>IG-8</del>	<del><b>Common Administrative Records.</b> Office operating files and facilitative records, including administrative subject files, suspense files, tracking and control records, copies of contracts, 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 mission functions for which the office exists.</del>	<del><b>Temporary.</b> 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.</del>
IG-9	<b>OIG Calendars.</b> Databases or hard copy appointment books, wherever kept, containing the schedule and activities of the Inspector General (IG) and staff. 2005 to present.	<p><b>Permanent.</b> 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 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>
IG-9a	<b>IG Daily and Monthly File.</b> IG calendars and schedule of IG activities. Records of meetings and appointments, giving attendees, contact information, time, places, and other facilitative arrangements.	
IG-9b	<del><b>Individual and Group Calendars</b> for officials and units below Inspector General level.</del>	

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Item	Title and Description	Disposition
IG-10	<b>OIG Reference Files.</b> Copies of memoranda, reports, budgets, publications, and other agency records maintained for convenience of reference.	<b>Temporary.</b> Destroy when no longer needed or when superseded

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/>