Sourcing Requirements for Disseminated Analytic Products

A. AUTHORITY: The National Security Act of 1947, as amended; the Intelligence Reform and Terrorism Prevention Act of 2004; Executive Order 12333, as amended; and other applicable provisions of law.

B. PURPOSE: This Intelligence Community Directive (ICD) establishes the requirements for sourcing information in disseminated analytic products. This Directive supersedes ICD 206, *Sourcing Requirements for Disseminated Analytic Products*, 17 October 2007.

C. APPLICABILITY

1. This ICD applies to the Intelligence Community (IC), as defined by the National Security Act of 1947, as amended; and to such elements of any other department or agency as may be designated an element of the IC by the President, or jointly by the DNI and the head of the department or agency concerned.

2. This ICD applies to those disseminated analytic product types (or product lines) developed by IC elements to convey analytic assessments based predominantly on intelligence reports, diplomatic reports, or publicly available information.

3. Applicable types of disseminated analytic products shall be designated by IC elements in consultation with the Deputy Director of National Intelligence for Intelligence Integration (DDNI/II), and be identified in a central listing (hereafter, "covered analytic products").

D. POLICY

1. Sourcing information shall be included in covered analytic products to enhance the credibility and transparency of intelligence analysis, and to assist readers in making an informed assessment of the quality and scope of sources underlying the analysis. Sourcing information shall enable readers to discover and retrieve sources consistent with ICD 501, *Discovery and Dissemination or Retrieval of Information within the Intelligence Community*. Sourcing information in each product should be sufficient to meet these purposes, while avoiding exhaustive source listings. Sourcing information shall also be structured to enable assessment of the use and utility of sourcing.

2. Every disseminated version of a covered analytic product shall contain sourcing information, except in accordance with Sections D.4 and D.7.

3. The presentation of sourcing information in covered analytic products shall be in the form of source reference citations, appended reference citations, source descriptors, and source summary statements. Analysts should use a combination of these mechanisms to optimize clarity and reader understanding.

a. Source reference citation (SRC): Covered analytic products shall contain SRCs.

(1) SRCs shall be presented as sequentially numbered endnotes that correlate to superscript numbers in the main body of the analytic product.

(2) An SRC shall be generated each time a source is directly cited in product text (e.g., "according to...") or a specific aspect of analysis (i.e., judgment, assessment, estimate, alternative hypothesis or view, confidence level) depends on a source.

(3) The relevance of a source referenced in an SRC should be clearly apparent if a reader chooses to consult the source report directly; otherwise, the product text shall explain why the source pertains (e.g., when the relevance of the source can be understood only in conjunction with another source).

(4) An SRC should reference the most original source that presents the relevant information in a form appropriate for use in analysis.

(5) An SRC shall not be used to reference information that only meets the criteria for an appended reference citation, as discussed in Section D.3.b, and is not directly cited in product text.

(6) SRC endnotes shall include the following elements:

(a) Portion marking that presents the classification of the SRC;

(b) Identification of the information originator, author, producer, or owner. For intelligence-based sources, this is the publishing IC element, named source originators or sub-organization, or liaison service country of origin;

(c) An unambiguous source identifier. At least one unambiguous source identifier that provides succinct source identifying, labeling, or tagging information that enables unambiguous and efficient location and retrieval of the source;

(d) A title for the source document or information with volume and issue number if applicable, and if included, the title classification. The title of an intelligence-based report may be omitted if necessary and consistent with guidance in Section D.4.c;

(e) The date of issuance, publication, or posting. If date of online posting is unknown, then date of online access;

(f) Page number, if applicable;

(g) Classification of the information extracted from the source;

(h) Overall classification of the source document; and

(i) A source descriptor. If the source descriptor is included in the main body of the product, it is optional in the SRC. If the source descriptor is extracted from the source and includes a portion marking different from the SRC classification, the portion marking shall be included.

(7) Unique or emergent types of sources or media to which the set of SRC elements above do not adequately apply shall be identified to the implementing authority to consider establishing guidance, which shall be developed in consultation with IC elements and published in the form of an IC Standard.

b.   Appended reference citation (ARC): An ARC is appropriate for information that relates to analysis in a supplemental or complementary way, but does not expressly affect or support a specific aspect or outcome of analysis. ARCs may be used to provide further reading options or to show broader context or background. ARCs are an appropriate method for identifying insights or other data gleaned from analytic outreach that contributes to a covered analytic product, especially if not conveyed in an SRC.

(1)   Inclusion of ARCs in covered analytic products is optional.

(2)   ARCs shall not be included solely to delineate the overall scope of analytic inquiry or research involved in preparation of the covered analytic product.

(3)   ARCs, if included, shall be listed separately from, and after, SRCs. Each ARC shall include at least the following elements:

(a)   Portion marking that presents the classification of the ARC;

(b)   If the reference information is accessible, source identifying, labeling, or tagging information that enables unambiguous and efficient location and retrieval of the referenced information; and

(c)   A succinct explanation for why the ARC is being included (e.g., provides further information related to an SRC or a specific passage in the body of the product or notes the use of analytic outreach or other type of engagement or analytic technique).

c.   Source descriptor: A source descriptor should be included in the main body of the text. If not, a source descriptor shall be included in the SRC. A source descriptor is used in conjunction with an SRC to describe source qualitative factors germane to specific product judgments, or when the time of pertinent information in a source is significantly different from the time of publication of the source.

(1)   Source descriptors for intelligence-based or diplomatic sources shall be derived from source documents. If a source descriptor is substantially changed from the source, this shall be indicated, with a rationale.

(2)   Analysts may devise their own source descriptors for sources of publicly available information not obtained from an IC-produced open source report.

(3)   For a source directly cited in product text (e.g., "according to...."), the source descriptor should also appear in product text and be clearly associated.

d.   Source summary statement: Source summary statements are strongly encouraged in covered analytic products to provide a holistic assessment of sourcing that supports a covered analytic product.

(1)   The importance of including a source summary statement increases with the complexity of a product, complexity of the sources, or the number of sources cited.

(2)   A source summary statement should cover strengths and weaknesses of the source base, which sources are most important to key judgments, what sources are meaningfully corroborative or conflicting, and should highlight any specific subject matter expertise used to develop the assessment.

4.   The presentation of sourcing information shall be subject to IC policy on classification and control markings and foreign disclosure and release. The sensitivity of sourcing information

presented shall be consistent with the classification and controls intended for the covered analytic product.

a. Downgraded or sanitized copies of covered analytic products should contain sourcing information. In instances where covered analytic products are intended for public release, sourcing information will be removed prior to publication. Sourcing information shall be appropriately modified, or if necessary, removed, from downgraded or sanitized copies of a covered analytic product, consistent with ICD 710, *Classification Management and Control Markings System.*

b. In covered analytic products that include a tearline, SRCs should be inserted after the body of the report and before the tearline version.

c. If necessary, one or more SRC data elements can be omitted so that the resulting endnote does not exceed the classification of the main body, but still provides sufficient information to search and discover the source in an appropriately authorized system.

d. If an IC Identifier (IC-ID) is used to meet the requirement of the unambiguous source identifier, it may remain as the only SRC element after downgrading or sanitization because IC-IDs are unclassified and releasable.

5. If citing a source that is dynamic (e.g., from an Internet posting), ephemeral (e.g., an analyst phone conversation), or not subject to an IC element's policy for systematic storage for analyst access (e.g., a chat session transcript or briefing), a record of the source shall be preserved for retention by the IC element producing the covered analytic product for at least one year. If this requirement conflicts with an IC element's internal record keeping policies, the IC element may request an exemption in accordance with Section D.7. For products with a specified time horizon, a period for which the judgments remain valid (e.g., National Intelligence Estimates), applicable source information shall be retained for the period of the time horizon or five years, whichever is shorter. This section does not supersede retention limits prescribed in law, Executive Order, or Presidential directive.

6. The covered analytic product with all appropriate sourcing information shall be retained as a document of record, along with associated downgraded, sanitized, or tearline products. Consistent with the implementation of ICD 501, identical versions shall also be submitted to the Library of National Intelligence or successor systems.

7. An IC element may request exemption from specific provisions of this Directive for an identified covered analytic product type, if it foresees mission critical circumstances that will consistently prevent compliance. Exemption requests must be submitted in writing to the DDNI/II for adjudication, and describe the specific factors that render the requirements infeasible for that covered analytic product type.

8. If it is not feasible to produce a covered analytic product with all appropriate sourcing information prior to dissemination (e.g., due to urgent requirements in a crisis or time-sensitive or unit-level military operations), the product shall be re-issued with all appropriate sourcing information as soon as feasible, but not more than 30 days thereafter, in accordance with Section D.6.

9. As soon as practicable and under the direction of the DDNI/II in coordination with the IC CIO, the IC shall adopt a method to provide customized, Public Key Infrastructure-enabled access to cited source material without additional textual references.

E. ROLES AND RESPONSIBILITIES

1. The DDNI/II shall:

   a. Designate an implementing authority within the office of the DDNI/II for this Directive;

   b. Compile, within 60 days of the effective date, and annually update a central listing of covered analytic products, based on review of IC element nomination lists;

   c. Issue implementing guidance in the form of an IC Standard for source or types of products that require new or modified approaches to SRC data elements or format;

   d. Monitor IC element compliance and identify areas for improvement;

   e. Assist and guide IC elements in their development of related processes and training; and

   f. Adjudicate IC element requests for exemptions from provisions of this Directive.

2. The IC CIO shall ensure that relevant provisions of this Directive are reflected in IC information technology minimum standards and specifications within 120 days of the effective date.

3. Heads of IC elements shall:

   a. Provide within 30 days of the effective date and annually thereafter to the DDNI/II implementing authority a nomination list of their covered analytic products to be covered by this Directive;

   b. Fully implement the information technology minimum standards and specifications as issued by the IC CIO within 365 days of the effective date;

   c. Submit written requests to the DDNI/II for any exemptions to provisions of this Directive;

   d. Retain copies of covered analytic products, with full sourcing information included, as documents of record in keeping with Section D.6 of this ICD;

   e. As necessary, identify to the implementing authority new or unique sources or types of products for which the SRC data elements and sequence in Section D.3(a)(6) do not adequately apply;

   f. Provide their employees the necessary training, tools, and guidance to comply with this directive;

   g. Establish implementation guidelines; and

   h. Report to the DDNI/II as directed on efforts to implement this directive.

F. EFFECTIVE DATE: This Directive becomes effective on the date of signature.

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Director of National Intelligence

22 JAN 2015
_____
Date

APPENDIX – GLOSSARY

Appended reference citation (ARC) – A specified set of descriptive elements about information that relates to analysis in a supplemental or complementary way, but that does not expressly affect or support a specific aspect or outcome of analysis. ARCs may refer to information considered with sources in the development of analysis, or may refer to information that provides broader context or background.

Covered analytic product – A subset of disseminated analytic products designated by IC elements in consultation with the DDNI/II that fall under the authority of ICD 206.

Disseminated analytic product – Any intelligence product, such as an assessment, study, estimate, compilation, database, graphic, or interactive publication, created by the analytic component of an IC element, reviewed or validated by that IC element, and disseminated to consumers outside that IC element.

Source – An originator or discrete parcel of data or information that provides material that comprises, contributes to, affects, or is used to evaluate, the basis for intelligence analysis. A source can be a person, document, passage, quotation, data record, database, tweet, email, book, web page, etc. Source identifying parameters and characteristics are described in source reference citations, source descriptors, and source summary statements.

Source descriptor – A brief, narrative exposition of factors that affect or indicate the quality or credibility of a single source. These factors are distinct from the information elements in a source reference citation. Source descriptor factors may include accuracy and completeness, possible denial and deception, age and continued currency of information, and technical elements of collection as well as source access, validation, motivation, possible bias, or expertise. When a source's relevance is unlikely to be apparent if a reader consults the source report directly, a source descriptor may also include an explanation of the source's relevance.

Source reference citation (SRC) – A specified set of factual information elements about a source, presented in uniform format in an endnote. Information in SRCs enables readers to locate and retrieve the source, and may help readers assess the quality or credibility of the source.

Source summary statement – An explanation of quality, credibility, or validity factors that pertain for sources considered together – usually for the whole set of sources upon which a disseminated analytic product is based.

Sourcing information – Descriptive information about sources or reference information, presented in covered analytic products as SRCs, ARCs, source descriptors, and source summary statements.