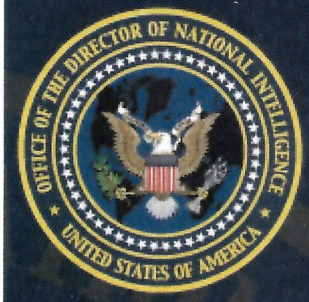

INTELLIGENCE COMMUNITY POLICY GUIDANCE

906.1

Intelligence Community Portfolio Management

A. AUTHORITY: The National Security Act of 1947, as amended; Executive Order (EO) 12333, as amended; EO 12968, as amended; EO 13526; ICD 906, *Controlled Access Programs*; and other applicable provisions of law.

B. PURPOSE: This Intelligence Community Policy Guidance (ICPG) provides guidance for the establishment, administration, and disestablishment of Intelligence Community (IC) Portfolios, hereinafter Portfolio(s).

C. APPLICABILITY

1. This Guidance applies to the 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 Director of National Intelligence (DNI) and the head of the department or agency concerned.

2. Pursuant to ICD 906, this Guidance applies to Portfolios created under the DNI's authority, which includes Sensitive Compartmented Information (SCI) and non-SCI Controlled Access Programs (CAPs).

3. Portfolios designated prior to the effective date of this Guidance will be reviewed by the Senior Review Group (SRG) within 180 days of the effective date of this Guidance and a determination will be made as to their status.

4. This ICPG expands upon Portfolio procedures established in ICD 906.

D. GUIDANCE

1. A Portfolio, defined in ICD 906, may be established based upon the President's Intelligence Priorities and the National Intelligence Priority Framework. Establishment of a Portfolio may be required in order to achieve unity of effort and effect against the highest priority requirements or when compartmentalization hinders or prevents access to information necessary for intelligence integration.

2. Joint portfolios may also be established with other Executive Branch departments or agencies that have Special Access Programs (SAPs). Joint portfolios are governed by Memoranda of Agreement.

3. To establish a Portfolio, an Office of the Director of National Intelligence (ODNI) Component Chief shall submit a Portfolio concept proposal to the SRG for endorsement. The proposal shall outline the objectives, scope, and anticipated Portfolio duration.

4. After SRG endorsement of the Portfolio concept proposal, the relevant ODNI Component Chief or relevant National Intelligence Manager (NIM) shall serve as the Portfolio Lead. The Portfolio Lead shall complete a Terms of Access (TOA) dossier to establish and administer the Portfolio. At a minimum, the proposed TOA dossier shall include mission requirement/ deliverables, Portfolio billet structure (by agency), CAPs included in the Portfolio, security requirements, roles and responsibilities of the Portfolio leadership, and disestablishment procedures. The Portfolio Lead shall submit the proposed TOA dossier to the SRG for review and recommendation. After the SRG recommends the TOA, the Portfolio Lead shall submit the proposed TOA dossier to the Controlled Access Program Oversight Committee (CAPOC) Chair who shall approve or deny the TOA dossier, based on the SRG recommendation and in coordination with the relevant CAP Program Managers. The approved TOA dossier shall document the detailed guidelines and processes that enable the efficient execution of the Portfolio.

5. Once approved, the Portfolio shall be established and resourced with new CAP billets, as needed, separate from IC element CAP billet authorizations. These new CAP billets shall be assigned to the Portfolio as directed by the Portfolio Lead with oversight by the CAPOC Chair. The day-to-day management of CAP billets may be performed by IC elements as directed by the Portfolio Lead. Portfolio billets shall not be realigned to other missions by IC elements or the Portfolio Lead. CAP Program Managers will establish reliable processes to identify and segregate the CAP billets designated for the Portfolio to ensure that they are not otherwise assigned.

6. Denial of CAP inclusion in Portfolios and access requests for Portfolio members shall be addressed in accordance with the process established in ICPG 501.2, *Sensitive Review Board and Information Sharing Dispute Resolution Process*.

7. All Portfolios shall be reviewed annually to assess the continued mission need for the Portfolio, identify and resolve problems with CAPs included in the Portfolio, and ensure the appropriate CAPs are included in the Portfolio.

8. The Portfolio and its billet structure shall be disestablished when its objectives are accomplished or when the Portfolio is no longer required.

E. ROLES AND RESPONSIBILITIES:

1. As appropriate, the relevant ODNI Component Chief shall:

a. Submit Portfolio concept proposals for endorsement to the SRG;

b. Ensure Portfolios are appropriately managed and able to meet the requirements established in the TOA dossier; and

c. Jointly develop IC Standards, as needed, with the Assistant DNI for Policy & Strategy (ADNI/P&S).

2. The Portfolio Lead shall:

a. Serve as the primary administrator of Portfolio activities, products, and engagements;

b. Negotiate a Memorandum of Agreement with other Executive Branch departments or agencies when establishing a joint Portfolio that requires both CAPs and SAPs;

c. In coordination with the ADNI/P&S, develop and submit a TOA dossier for endorsed Portfolios to the SRG for review and recommendation and to the CAPOC Chair for approval;

d. Administer the Portfolio in accordance with applicable policies and the protocols identified in the TOA dossier;

e. Provide the participating organization CAP control officers with a list of approved participants and approved CAPs upon request;

f. Ensure all Portfolio personnel are indoctrinated to all CAPs within the Portfolio;

g. Provide an annual report to the SRG, in accordance with ICD 906, detailing the successes, challenges, and progress made against the Portfolio issue;

h. Address concerns identified during the annual review; and

i. Notify the SRG when the Portfolio mission objectives have been met or when the Portfolio is no longer required.

3. The SRG shall:

a. Endorse, as appropriate, Portfolio concept proposals using the criteria in Section D.1. and provide a recommendation of the need to establish a Portfolio to the CAPOC Chair;

b. Review and recommend a Portfolio TOA dossier;

c. Conduct annual Portfolio reviews; and

d. Notify the CAPOC Chair of the need to disestablish a Portfolio.

4. The ADNI/P&S shall:

a. Facilitate the establishment, administration, and disestablishment of a Portfolio; and

b. Jointly develop IC Standards, as needed, with the relevant ODNI Component Chief.

5. The CAPOC Chair shall:

a. Approve the establishment of a Portfolio and the TOA dossier based upon the SRG recommendation;

b. Authorize the CAP Program Manager to increase CAP limits to meet the Portfolio mission requirements;

c. Ensure Portfolio annual reviews are accomplished, and all resultant issues are addressed; and

d. Disestablish a Portfolio and its associated billet structure upon SRG recommendation.

6. CAP Program Managers shall:

a. Support CAP access requirements for Portfolios;

b. Adjudicate Portfolio justifications for identified CAP accesses and requests for CAP access for individuals identified with the Portfolio, and, if denied, provide rationale for non-concurrence in accordance with ICD 906;

c. Assist in the discovery of CAPs for inclusion in a Portfolio; and

d. Notify Portfolio Leads of new CAPs or modifications to existing CAPs.

7. IC element heads shall:

a. Support Portfolio Leads by creating all-source assessments of CAP provided data; and

b. Identify resource or administrative dependencies that preclude or inhibit support to Portfolios.

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

Dan R. Coats
Director of National Intelligence

Dec. 15, 2017
Date