

Request for Records Disposition Authority

Records Schedule Number : DAA-0566-2017-0016
 Schedule Status : Approved
 Agency or Establishment : Citizenship and Immigration Services
 Record Group / Scheduling Group : Records of U.S. Citizenship and Immigration Services
 Records Schedule applies to : Agency-wide
 Schedule Subject : GAO/OIG Audit Files
 Internal agency concurrences will be provided : No

Background Information

The Department of Homeland Security's (DHS) Office of Inspector General (OIG) serves as an independent and objective inspection, audit, and investigative body to promote effectiveness, efficiency, and economy in the department's programs and operations. The OIG's objective is to prevent and detect fraud, waste, and abuse in such programs and operations. The U.S. Government Accountability Office (GAO) is an independent, nonpartisan agency, working for Congress, which investigates how the federal government spends taxpayer money.

This schedule covers records related to OIG and GAO audits, inspections, and other types of non-financial, non-investigatory reviews (reviews). The records include draft and final reports, supporting documentation and work papers, OIG/GAO correspondence, policy and procedural guidance, and other records maintained for an OIG/GAO audit, inspection, or review.

Excluded are OIG/GAO Investigative case files and the Enforcement Data System, which are covered under OIG Records Schedule #N1-563-07-5.

The record categories described below consist of both paper files and electronic records. This schedule applies to records created/stored by email, on an electronic share drive or any other media.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0566-2017-0016

Sequence Number	
1	Audit Files Disposition Authority Number: DAA-0566-2017-0016-0001
2	Follow-Up Documentation Disposition Authority Number: DAA-0566-2017-0016-0002
3	Audit Agency Final Decision Documentation Disposition Authority Number: DAA-0566-2017-0016-0003

Records Schedule Items

Sequence Number		
1	Audit Files	
	Disposition Authority Number	DAA-0566-2017-0016-0001
	Files established in response to non-financial audits and inspections of USCIS, conducted by the DHS OIG and the GAO.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year in which: • the final report is issued, if there are no recommendations or no open recommendations, • the last USCIS recommendation is closed, or • the audit/inspection is otherwise concluded based on notification from the audit agency, whichever period is latest.
	Retention Period	Destroy 6 year(s) after cut-off.
	Additional Information	
	GAO Approval	Not Required
2	Follow-Up Documentation	
	Disposition Authority Number	DAA-0566-2017-0016-0002
	Documents related to monitoring USCIS responses and actions taken on GAO/OIG recommendations contained in performance audit, inspection, or review reports. Such documents may include USCIS and/or DHS management responses, corrective action plans, correspondence and requests for close-out, responses from audit agency, and other documentation.	
	Final Disposition	Temporary
	Item Status	Active

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Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Disposition Instruction	
Cutoff Instruction	Cut off files at end of fiscal year in which all recommendations are closed and implemented.
Retention Period	Destroy 6 year(s) after cut off.
Additional Information	
GAO Approval	Not Required
Audit Agency Final Decision Documentation	
Disposition Authority Number	DAA-0566-2017-0016-0003
Documents from the audit agency showing final decision related to closing a recommendation.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
Disposition Instruction	
Retention Period	Destroy 6 years after the end of fiscal year in which: •the final report is issued, if there are no recommendations or no open recommendations, •the last USCIS recommendation is closed, or •the audit/inspection is otherwise concluded based on notification from the audit agency, whichever period is latest.
Additional Information	
GAO Approval	Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
01/31/2017	Certify	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
04/26/2017	Return for Revision	Addie Compton	Appraisal Archivist	National Archives and Records Administration - Records Management Consulting Services
05/10/2017	Submit For Certification	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
05/10/2017	Certify	Joseph Martinez	Records Officer	US Citizenship and Immigration Services - Policy and Implementation Branch
09/12/2017	Submit for Concurrence	Addie Compton	Appraisal Archivist	National Archives and Records Administration - Records Management Consulting Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/22/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist