

Request for Records Disposition Authority

Records Schedule Number DAA-0566-2022-0004

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 Internal Self-Inspection, Tracking and Evaluation (INSITE) Program

Internal agency concurrences will be provided No

Background Information The Internal Self-Inspection, Tracking and Evaluation (INSITE) Program is a management tool designed to strengthen internal controls. The INSITE Program contributes to USCIS efforts to comply with mandates of Office of Management and Budget Circular A-123, "Management's Responsibility for Enterprise Risk Management and Internal Control" and USCIS Management Directive 628-002, USCIS Enterprise Risk Management and Non-Financial Internal Controls. The INSITE Program is managed by Office of Security and Integrity's (OSI) Enterprise Risk Management Division (ERMD). Annually, using assessments, United States Citizenship and Immigration Services (USCIS) offices (PARTICIPATING OFFICES) evaluate their compliance with established laws, regulations, and policies, and develop Corrective Action Plans ("CAPs") to address any internal control weaknesses identified. Assessments are developed by Program Offices (ASSESSMENT OWNERS), with the assistance of ERMD, and are designed to evaluate critical internal controls within the Assessment Owner's program. ERMD is responsible for INSITE development, implementation, training, management, validation of results, analysis of trends, and preparation of reports.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0566-2022-0004

Sequence Number	
1	PARTICIPATING OFFICES - INSITE Review Documentation Disposition Authority Number: DAA-0566-2022-0004-0001
2	ASSESSMENT OWNERS - INSITE Review Documentation Disposition Authority Number: DAA-0566-2022-0004-0002
3	OSI's ENTERPRISE RISK MANAGEMENT DIVISION – INSITE Documentation Disposition Authority Number: DAA-0566-2022-0004-0003

Records Schedule Items

Sequence Number	
1	<p>PARTICIPATING OFFICES - INSITE Review Documentation</p> <p>Disposition Authority Number DAA-0566-2022-0004-0001</p> <p>Copies of assessments used in the INSITE Review, list of INSITE Team members, copies of all INSITE Team members' INSITE training certificates, list of items reviewed, copies of completed worksheets, copies of Reviewers' notes, including sampling methodologies and randomization techniques used to select review samples, explanations of instances of modified responses or substitution of review sample items, Certifiers' notes, documentation showing all individually deficient items corrected, implementation of Corrective Action Plans for all deficiencies identified during the review, and any other documents related to the administration and operation of INSITE Review. Includes copies of automated results reports generated by the office from the INSITE System, end-of-cycle reports and presentations provided to the office by ERMD and any other records relating to the INSITE Program.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off upon closure of review.</p> <p>Retention Period Destroy 5 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>ASSESSMENT OWNERS - INSITE Review Documentation</p> <p>Disposition Authority Number DAA-0566-2022-0004-0002</p> <p>A copy of the assessment submitted by the Assessment Owner for use in an INSITE Review cycle, communications and documents used in the development of that assessment and documents related to responses and corrective actions taken in response to ERMD recommendations contained in end-of-cycle reports</p>

and presentations. Includes copies of automated results reports generated by the office from the INSITE System, end-of-cycle reports and presentations provided to the office by the INSITE Program team, and any other records relating to the INSITE Program.

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? Yes

Disposition Instruction

Cutoff Instruction Cut off upon closure of review.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

OSI's ENTERPRISE RISK MANAGEMENT DIVISION – INSITE Documentation

Disposition Authority Number DAA-0566-2022-0004-0003

Copies of assessments, worksheets, guidance, training materials, communications (including communications with Assessment Owners and Participating Offices), reports, presentations, and other materials used in the development and implementation, management, analysis and reporting of results of the INSITE Program, and electronically stored raw data, and any other documents related to the administration and operation of INSITE Review.

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? Yes

Disposition Instruction

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Cutoff Instruction	Cut off upon closure of review.
Retention Period	Destroy 5 year(s) after cutoff.
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
01/27/2022	Certify	Tracy Hamblet	Program Analyst	IRIS - IIMD
02/01/2022	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
02/04/2022	Submit For Certification	Tracy Hamblet	Program Analyst	IRIS - IIMD
02/15/2022	Certify	Tracy Hamblet	Program Analyst	IRIS - IIMD
04/12/2022	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
04/13/2022	Return to Submitter	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
04/15/2022	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
04/18/2022	Submit For Certification	Tracy Hamblet	Program Analyst	IRIS - IIMD
04/18/2022	Certify	Tracy Hamblet	Program Analyst	IRIS - IIMD
07/25/2022	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
07/30/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/01/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration

08/03/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office
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