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Date: August 3, 2018
Appraiser: Steven B. Rhodes, ACRA
Agency: Department of Defense. Defense Security Service
Subject: DAA-0446-2018-0003

INTRODUCTION

Schedule Overview

Agency Inspector General Records

Background

Established by the Inspector General Act of 1978, along with the Offices of Inspector General throughout the Federal government, the Defense Security Service (DSS) Inspector General is specifically charged with conducting and supervising audits and investigations relating to the DSS. The mission of the DSS Inspector General quotes directly from the 1978 Act stating its purpose is “to promote economy, efficiency, and effectiveness” and “prevent and detect fraud” within the agency. In practice this means the IG conducts independent and impartial investigations, reviews, inspections and so on by verifying compliance; identifying fraud, waste, abuse, and mismanagement while promoting agency best practices. For good measure, the DSS IG also manages internal and external Hotline complaints for the Department of Defense. This schedule supersedes six long-standing items previously approved as temporary relating to the mission and function of the DSS Inspector General. The retention period and disposition is unchanged for each item save for one item. This schedule also establishes media neutrality for the scheduled items.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 1: Inspector General Planning Files

Documents related to plans for the management and conduct of inspections performed by the DSS Office of the Inspector General (OIG) and other authorized agencies. This item supersedes IG Inspections (NC1-446-76-1, item 2-26) which was previously approved as temporary. Neither the disposition nor the retention period are altered.

Proposed Disposition: Temporary

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Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Little or no research value.

*Previously approved as temporary. This item supersedes IG Inspections (NC1-446-76-1, item 2-26) which was previously approved as temporary.

Adequacy of Proposed Retention Period(s):

*Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Requested and approved.

Item 2: Reports of IG Inspections, Investigations, and Special Case Inquiries

Records created as a result of inspections, investigations, and inquiries conducted or directed by the Office of the Inspector General, including records of interviews, actions taken, and all supporting documentation. Special case inquires, including Questionable Intelligence Activities, and related documentation. DSS IG has not generated any records that would be significant enough to warrant permanent retention. Normally, records with that type of importance involve senior officials which fall under the investigative authority of the DoD IG and not the Inspector General of the DSS. This item supersedes Reports of IG Inspections. Office of Primary Responsibility (NC1-446-76-1, item 2-27A) and Reports of IG Inspections. Other Offices (NC1-446-76-1, item 2-27B) both previously approved as temporary. Disposition and retention period are unchanged for Reports of IG Inspections. Office of Primary Responsibility (NC1-446-76-1, item 2-27A). For Reports of IG Inspections. Other Offices (NC1-446-76-1, item 2-27B) however, while the disposition remains the same, the retention is altered from “hold 1 year; destroy” to “Destroy 2 year(s) after cutoff.”

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Little or no research value.

*Previously approved as temporary. This item supersedes Reports of IG Inspections. Office of Primary Responsibility (NC1-446-76-1, item 2-27A) and Reports of IG Inspections. Other Offices (NC1-446-76-1, item 2-27B) which were previously approved as temporary.

Adequacy of Proposed Retention Period(s):

*Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Requested and approved.

Item 3: Complaints (Inspector General)

Formal and informal complaints, locally produced forms reflecting a record of interviews, personal conference reports, and results that do not require formal investigation. Documents accumulated because of processing complaints made by, or about, DSS employees, programs, and processes. This item supersedes Complaints. Personal Conference Period Reports or Formal Complaints (NC1-446-76-1, item 2-33A) and Complaints. Documents Accumulated during the

Processing of Complaints (NC1-446-76-1, item 2-33B) which were previously approved as temporary. Unchanged are disposition and retention period.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Little or no research value.

*Previously approved as temporary. This item supersedes Complaints. Personal Conference Period Reports or Formal Complaints (NC1-446-76-1, item 2-33A) and Complaints. Documents Accumulated during the Processing of Complaints (NC1-446-76-1, item 2-33B) which were previously approved as temporary.

Adequacy of Proposed Retention Period(s):

*Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Requested and approved.

Item 4: Intelligence Oversight Reports

Quarterly reports to the DoD Senior Intelligence Oversight Official (SIOO). This information is a compilation of summaries extracted from other IG products such as inspection reports. The DoD Senior Intelligence Oversight Official (SIOO) compiles input from all DoD intelligence components and prepares a report to Congress, a copy of which is retained by the DoD SIOO. This item supersedes Semiannual OIG Report to DoD IG (N1-446-92-2, item 1) which was previously approved as temporary. The retention period and the disposition remains the same.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Little or no research value.

*Previously approved as temporary. This item supersedes Semiannual OIG Report to DoD IG (N1-446-92-2, item 1) which was previously approved as temporary.

Adequacy of Proposed Retention Period(s):

*Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Requested and approved.



STEVEN B. RHODES

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