

## Request for Records Disposition Authority

Records Schedule Number           DAA-0361-2021-0017  
Schedule Status                    Modified Approved Version

Agency or Establishment           Defense Logistics Agency  
Record Group / Scheduling Group   Records of the Defense Logistics Agency  
Records Schedule applies to       Agency-wide  
Schedule Subject                   Audits and Reviews

Internal agency concurrences will be provided   No

Background Information           This schedule relates to records related to Activities of the DLA Office of Inspector General (Investigations Division and Audit Division) that conducts reviews across DLA offices as well as coordinates with external audits. It also includes internal reviews that are performed by Component DLA Internal Review Offices within their own organizations.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0361-2021-0017

Sequence Number	
1	Hotline Inquiry Case Files. Disposition Authority Number: DAA-0361-2021-0017-0001
2	Hotline Data Base/Case Log Records. Disposition Authority Number: DAA-0361-2021-0017-0002
3	Inspector General Reviews /Surveys. Disposition Authority Number: DAA-0361-2021-0017-0003
4	Audits, Reviews, and Surveys Disposition Authority Number: DAA-0361-2021-0017-0004
5	Inspector General External and Internal Audit Management. Disposition Authority Number: DAA-0361-2021-0017-0005
6	Internal Review Working Papers Disposition Authority Number: DAA-0361-2021-0017-0006
7	Internal Review Case Files Disposition Authority Number: DAA-0361-2021-0017-0007

## Records Schedule Items

Sequence Number						
1	<p><b>Hotline Inquiry Case Files.</b></p> <p>Disposition Authority Number      <b>DAA-0361-2021-0017-0001</b></p> <p><b>Inquiries, Reports of Investigations, or reviews conducted by HQ DLA Elements, DLA Field Activities, and Investigators, including all related supporting documentation.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>No</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td><b>7050.01</b></td> <td><b>DLA Records Retention Schedule</b></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-361-08-003 / 09 (159.50A) N1-361-08-003 / 10 (159.50B)</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Temporary. Cutoff at end of CY.</b></p> <p>Retention Period                      <b>Destroy/delete 10 years after completion of case.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>		Manual Citation	Manual Title	<b>7050.01</b>	<b>DLA Records Retention Schedule</b>
Manual Citation	Manual Title					
<b>7050.01</b>	<b>DLA Records Retention Schedule</b>					
2	<p><b>Hotline Data Base/Case Log Records.</b></p> <p>Disposition Authority Number      <b>DAA-0361-2021-0017-0002</b></p> <p><b>Information used to control processing of inquiries.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p>					

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**

Manual Citation	Manual Title
7050.03	DLA Records Retention Schedule

GRS or Superseded Authority Citation **N1-361-08-003 / 11 (159.75A)  
N1-361-08-003 / 12 (159.75B)**

**Disposition Instruction**

Cutoff Instruction **Temporary. Cutoff at end of CY.**

Retention Period **Destroy/delete 10 years after completion of case.**

**Additional Information**

GAO Approval **Not Required**

**Inspector General Reviews /Surveys.**

Disposition Authority Number **DAA-0361-2021-0017-0003**

**Documents pertaining to reviews/surveys of DLA operations performed by Inspector General auditors which are terminated without conducting an audit.**

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**

Manual Citation	Manual Title
7600.01	DLA Records Retention Schedule

GRS or Superseded Authority Citation **N1-361-87-002 / 03 (461.20)**

**Disposition Instruction**

3

4

Cutoff Instruction Temporary. Cutoff at end of CY.  
Retention Period Destroy immediately after 4 years.

Additional Information

GAO Approval Not Required

Audits, Reviews, and Surveys

Disposition Authority Number DAA-0361-2021-0017-0004

Relates to audits, reviews and surveys of DLA functions and operations performed by the DoD Inspector General for Auditing, DLA Internal Review Staff, the General Accounting Office (GAO), and congressional staff representatives. Contains documents relating to the overall administration of audits, reviews, and surveys not filed elsewhere.

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? No

Manual Citation	Manual Title
7600.02	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-87-002 / 01 (460.01)

Disposition Instruction

Cutoff Instruction Cutoff at end of Calendar Year (CY)

Retention Period Destroy after 2 years

Additional Information

GAO Approval Not Required

Inspector General External and Internal Audit Management.

Disposition Authority Number DAA-0361-2021-0017-0005

Reports pertaining to audits performed by the Inspector General and GAO, includes supporting documents accumulated during the review, survey, and audit as well as follow-up documents relating to recommendations. Includes: • DLA Comptroller (J8) Audits; • GAO Audits; • Other Office Internal Audits.

Final Disposition Temporary

5

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**

Manual Citation	Manual Title
7600.04	DLA Records Retention Schedule

GRS or Superseded Authority Citation **N1-361-87-002 / 04 (461.30A)  
N1-361-87-002 / 04 (461.30B)**

**Disposition Instruction**

Cutoff Instruction **Cutoff at end of event. Event is after all necessary actions pertaining to the report are completed.**

Retention Period **Disposition: Destroy 5 years after all necessary actions pertaining to the report are completed**

**Additional Information**

GAO Approval **Not Required**

**Internal Review Working Papers**

Disposition Authority Number **DAA-0361-2021-0017-0006**

**Documents relating to audit programs, administrative time controls, interview notes, flowchart, results of analysis, spreadsheets, and draft reports used for background information in preparation of final survey reports, and follow-up reviews of recommendation implementation.**

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? **No**

Manual Citation	Manual Title
7600.08	DLA Records Retention Schedule

6

7

GRS or Superseded Authority Citation N1-361-90-02 / 180.20

Disposition Instruction

Cutoff Instruction Cutoff at end of Event. Event is after implementation or follow-up review.

Retention Period Destroy after recommendations have been implemented or follow-up reviews have been completed, whichever is later.

Additional Information

GAO Approval Not Required

Internal Review Case Files

Disposition Authority Number DAA-0361-2021-0017-0007

Documents reflecting results of internal audits of program operations and procedures, audit reports, follow-up reviews of management actions, staff summary sheets, and related correspondence used to review internal control systems, systems adequacy, policy compliance, resource safeguards, economic and efficient management.

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? No

Manual Citation	Manual Title
7600.09	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-90-02 / 180.30

Disposition Instruction

Cutoff Instruction Cutoff at end of Calendar Year

Retention Period Destroy after 10 years

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
04/13/2021	Certify	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
04/20/2021	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/11/2021	Submit For Certification	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
05/11/2021	Certify	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
06/17/2021	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/26/2021	Submit For Certification	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
07/26/2021	Certify	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
01/04/2022	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/10/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist