

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-371-02-4</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date received <i>2-26-2002</i>	
1. FROM (Agency or establishment) Department of Defense		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Defense Information Systems Agency (DISA)			
3. MINOR SUBDIVISION Office of the Inspector General (IG)			
4. NAME OF PERSON WITH WHOM TO CONFER <i>[Signature]</i> Robert D. Cozart, Deputy Inspector General	5. TELEPHONE NUMBER  (703) 607-6309	DATE <i>7-26-02</i> <del>02-12-02</del>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6. 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 on the attached <u>45</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  X <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 02-12-02	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Tommie Gregg		TITLE DISA Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	IG RECORDS SECTION V. INSPECTOR GENERAL FILES (See attachment for Retention Schedules)	DISA 210-15-6, SUPPLEMENT 1	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;"><b>IG RECORDS</b></p> <p style="text-align: center;"><b>Section V. INSPECTOR GENERAL FILES</b></p> <p><b>205-01 Inspection Coordination Files.</b> [No substantive change]</p> <p><b>205-02 Inspection Files.</b> Documents created or maintained by the DISA IG pertaining to unclassified or classified inspections and assessments of programs, operations, policies, procedures, and organizations. Inspection files include inspection/assessment final reports and work papers.</p> <p style="padding-left: 40px;"><b>A. <u>Permanent Inspection Final Reports.</u></b> Inspection/assessment final reports created by the DISA IG pertaining to unclassified or classified inspections and assessments of programs, operations, policies, procedures, and organizations that meet one or more of the following criteria: (1) establish a substantive procedural change within a DISA program or operation; (2) are involved in extensive litigation; (3) receive widespread news media attention; 4) involve an inspection resulting from, or directly related to, specifically expressed Congressional concerns; (5) are reviewed at length in any DISA annual report.</p> <p style="padding-left: 40px;"><b>1. <i>Organizational Inspection Reports.</i></b></p> <p>Disposition: PERMANENT. Cut off at end of FY in which report is issued. Retire to WNRC 5 years after cutoff. Transfer to the National Archives in 5-year blocks when the most recent records in the block are 20 years old. Indexed/arranged: Inspection number/Fiscal Year. Total Volume: Less than 0.25 cubic foot. Projected annual accumulation: Less than 0.25 cubic foot.</p> <p style="padding-left: 40px;"><b>2. <i>Special Inspection/Quick Look Reports.</i></b></p> <p>Disposition: PERMANENT. Cut off at end of FY in which report is issued. Retire to WNRC 5 years after cutoff. Transfer to the National Archives in 5-year blocks when the most recent records in the block are 20 years old. Indexed/arranged: Inspection number/Fiscal Year. Total Volume: Less than 0.25 cubic foot. Projected annual accumulation: Less than 0.25 cubic foot.</p>	<p>NC1-371-81-3, formal inquiries; NN 172-37, informal inquiries &amp; surveys</p>	

**B. Routine Inspection Final Reports.** Includes published findings, recommendations, executive summaries, report cover letters, and listed appendices resulting from inspections/assessments.

1. ***Organizational Inspection Reports.*** Includes reports from inspections/assessments conducted on a single organization but spanning a variety of topics or functional areas.

Disposition: Destroy 1 year after completion of next comparable inspection/assessment or when record is 5 years old, whichever comes sooner, unless inspection management classifies those files as "Permanent Inspection Final Reports."

2. ***Special Inspection/Quick Look Reports.*** Includes reports from inspections/assessments conducted on a topic or functional area but spanning multiple organizations or in response to a command directive to study a problem.

Disposition: Destroy when record is 10 years old, unless inspection management classifies those files as "Permanent Inspection Final Reports."

**C. Inspection Work Papers.** Includes documents and analytical products used to arrive at inspection/assessment findings and recommendations but not published as part of a final report. Examples include interview notes, mathematical tables, survey results, flow charts, diagrams, receipts, vouchers, spreadsheets, primary source documents collected from an organization, and intermediate draft reports.

1. ***Organizational Inspection Work Papers***

Disposition: Destroy 2 years after completion of the inspection/assessment to which records pertain or when no longer needed, whichever is later.

2. ***Special Inspection/Quick Look Work Papers.***

Disposition: Destroy 5 years after completion of inspection/assessment to which records pertain or when no longer needed, whichever is later.

**205-03 Inspection Guideline Files.** Inspection and assessment guidelines, checklists, methods of approach, and organization or inspection/assessment and team training materials which are not used to record a completed inspection or assessment.

Disposition: Destroy when superseded, obsolete, or no longer needed.

**205-04 Inspector General Complaint Files.**

**A. Requests for Advice, Assistance and Information.**

[No change from disposition currently under 205-04]

**B. DOD Hotline Referral Files.** Documents include preliminary investigations and memoranda of telephone conversations pertaining to complaints received by the DOD Hotline.

1. ***Information not referred:*** Documents include records of allegations not warranting investigation or further documentation.

Disposition: Destroy when 2 years old.

2. ***Information Referred:*** Documents include records of allegations warranting investigation or further documentation.

Disposition: File with records in paragraph C or D, as appropriate.

**C. Administrative Investigations.** Complaint files, inquiries, replies, comments, and other documents relating to investigation of non-criminal allegations of misconduct and mismanagement. Also included are investigative notes, statements and other evidence supporting the findings of the case.

Disposition: Destroy 5 years after case closure.

**D. Criminal Investigation Case Files.** Case files of investigations of alleged violations of laws, regulations, and directives by DISA/National Capital Region personnel, contractors and grantees. Included are official reports, case initiations, case closings, agents' notes, sworn statements, affidavits and subpoenas, and requests for authorization to use electronic equipment for consensual monitoring. Also included are consensual monitoring reports; significant incident reports; supplemental reports on closed cases; and evidence to include pictures; finger prints; and any other case related documents or information used during the investigation of a particular case, such as audiocassette and videocassette tapes. Categories of criminal investigations consist of fraud, waste and abuse; procurement irregularities; conflict of interest; gross mismanagement; misuse of government property or resources; false statements and claims; pay and attendance; and employee reprisal.

Disposition: Retire to WNRC 10 years after case close date. Destroy 20 years after case closure.

**205-05 Inspector General Audit Files.** Records (electronic media and paper) consist of audit working papers and final audit reports on DISA's programs, operations, and activities as well as documents used in directing and managing DISA's internal audit function. Working papers, including notes and other files, accumulate during the course of an audit and are used in the development of the final report. Audit research records are created or accumulated during the identification of short-range and long-range auditing needs.

A. **Final Reports**

Disposition: Cut off at end of FY in which report is issued.  
Destroy/delete 10 years after cutoff.

B. **Working Paper Files**

Disposition: Cut off at end of FY in which final report is issued.  
Destroy/delete 5 years after cutoff.

C. **Audit Research Files**

Disposition: Cut off at end of FY in which research is completed.  
Destroy/delete 5 years after cutoff.

D. **All other Audit Records**

Disposition: Cut off at end of FY. Destroy/delete 18 months after cutoff or when no longer needed, whichever is later.

**205-06 Inspector General Inspection Reference Files.** [No substantive change]

**205-07 External Audit and Inspection Reports.** Reports, summary reports and draft reports issued by external auditors or inspectors, such as the General Accounting Office (GAO) and the Department of Defense Inspector General (DoDIG). Included are DISA responses to GAO finding and recommendations. Also included are inspection reports previously issued by the DoDIG, along with DISA responses, as well as any audit reports issued by ASD Comptroller.

Disposition: Destroy 5 years after the last recommendation has been confirmed closed by the DoDIG or other inspection agency.

NC-371-76-5  
(GAO reports)

**205-08 Electronic Mail and Word Processing System Copies of Inspector General Files.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also included are electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

A. **Copies That Have No Further Administrative Value After the Recordkeeping Copy Is Made.** Included are copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: Destroy/delete within 180 days after the recordkeeping copy has been produced.

B. **Copies Used for Dissemination, Revision, or Updating That Are Maintained in Addition to the Recordkeeping Copy.**

Disposition: Destroy/delete when dissemination, revision, or updating is completed.

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Superseded

of the following criteria: 1) establish a procedural change; 2) are involved in extensive litigation; 3) receive widespread news media attention; 4) are widely recognized for their uniqueness by specialists or authorities outside the Government; 5) are reviewed at length in the Agency' Annual report.

**1. Organizational Inspection Reports.**

Disposition: PERMANENT. Cut off at end of FY in which report is issued. Retire to WNRC 5 years after cutoff. Transfer to the National Archives in 5-year blocks when the most recent records in the block are 20 years old. Indexed/arranged: Inspection number/Fiscal Year. Total Volume: Currently zero. Projected annual accumulation: less than 0.25 cubic foot.

**2. Special Inspection/Quick Look Reports.**

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**1. Organizational Inspection Work Papers**

Disposition: Destroy 2 years after completion of the inspection/assessment to which records pertain or when no longer needed.

**2. Special Inspection/Quick Look Work Papers.**

Disposition: Destroy 5 years after completion of inspection/assessment to which records pertain or when no longer needed.

**205-03 Inspection Guideline Files.** Inspection and assessment guidelines, checklists, methods of approach, and organization or inspection/assessment and team training materials which are not used to record a completed inspection or assessment.

Disposition: Destroy when superceded, obsolete, or no longer needed.

Superseded



**205-04 Inspector General Complaint Files.**

**A. Requests for Advice, Assistance and Information.**

[No change from disposition currently under 205-04]

**B. DOD Hotline Referral Files.** Documents include preliminary investigations and memoranda of telephone conversations pertaining to complaints received by the DOD Hotline.

1. ***Information not referred:*** Documents include records of allegations not warranting investigation or further documentation.

Disposition: Destroy when 2 years old.

2. ***Information Referred:*** Documents include records of allegations warranting investigation or further documentation.

Disposition: Destroy as noted below in paragraph "C" or "D", as appropriate.

**C. Administrative Investigations.** Complaint files, inquiries, replies, comments, and other documents relating to investigation of non-criminal allegations of misconduct and mismanagement. Also included are investigative notes, statements and other evidence supporting the findings of the case.

Disposition: Destroy 5 years after case closure.

**D. Criminal Investigation Case Files.** Case files of investigations of alleged violations of laws, regulations, and directives by DISA/National Capital Region personnel, contractors and grantees. Included are official reports, case initiations, case closings, agents' notes, sworn statements, affidavits and subpoenas, and requests for authorization to use electronic equipment for consensual monitoring. Also included are consensual monitoring reports; significant incident reports; supplemental reports on closed cases; and evidence to include pictures; finger prints; and any other case related documents or information used during the investigation of a particular case, such as audiocassette and videocassette tapes. Categories of criminal investigations consist of fraud, waste and abuse; procurement irregularities; conflict of interest; gross mismanagement; misuse of government property or resources; false statements and claims; pay and attendance; and employee reprisal.

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C. **Audit Research Files**

Disposition: Cut off at end of FY in which research is completed.  
Destroy/delete 5 years after cutoff.

D. **All other Audit Records**

Disposition: Cut off at end of FY. Destroy/delete 18 months after cutoff or when no longer needed, whichever is later.

**205-06 Inspector General Inspection Reference Files.** [No substantive change]

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Disposition: Destroy/delete when dissemination, revision, or updating is completed.

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