

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		VE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-509-04-1	DATE RECEIVED 8/25/04
1 FROM (Agency or establishment) Office of the Inspector General		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Department of Defense			
3 MINOR SUBDIVISION Deputy Inspector General for Auditing			
4 NAME OF PERSON WITH WHOM TO CONFER Retta Graham-Hall, Records Officer	5 TELEPHONE (703) 604-9781	DATE 8/10/04	ARCHIVIST OF THE UNITED STATES Allen Wainstein

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 5 page(s) are not now needed for the business of 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,

is not required; is attached, or has been requested

DATE 07/06/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Joni Lynn M. Polacheck	TITLE Director, Administration & Logistics Services Directorate
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7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>THIS REQUEST FOR RECORDS DISPOSITION AUTHORITY COVERS RECORDS FOR THE</p> <p>OFFICE OF THE INSPECTOR GENERAL DEPARTMENT OF DEFENSE DEPUTY INSPECTOR GENERAL FOR AUDITING</p> <p>which are not covered by the NARA General Records Schedule and have been added or revised from the previously approved records disposition schedule number N1-509-00-007 dated September 18, 2001.</p> <p>Please see the attached five pages for the narrative.</p> <p><i>[Signature]</i> June 29, 2004 Concurred with on this date by the Office of the General Counsel, OIG</p> <p><i>cc Agency, hwmw</i></p>		

Audit Mission

The Office of the Deputy Inspector General for Auditing performs the primary internal audit functions of the Office of the Inspector General within the Office of the Secretary of Defense, Joint Chiefs of Staff, the Unified and Specified Commands, Military Departments and the Defense agencies; advises the Inspector General on policy direction and performance of DoD audit activities; and oversees non-federal auditors engaged in audits of DoD grants and contracts. Audit coverage may involve matters of special interest to the Secretary of Defense and the Inspector General; allegations of fraud, waste and mismanagement; DoD Hotline complaints; information on alleged violations of law, rule or regulations; information on alleged abuse of authority or danger to public health and safety; matters involving economy and efficiency in DoD operations, contracts and programs; financial audits; and cooperative projects with other DoD and governmental audit, inspection and investigative organizations.

A. Records Concerned: Audit Files

Files created and/or maintained in the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management.

1. Audit Policy and Program Procedures Files. The Audit Follow-up and Technical Support (AFTS) Directorate creates records to implement Government Auditing Standards, OMB Circulars, DoD Directives and Regulations, and other procedures to direct, control, and carry out ODIG-AUD operations. These records include, but are not limited to, handbooks, procedures, guidelines, best practices, and other policy documents that address audit policy and procedures, such as the Audit Handbook and the TeamMate Procedures and Best Practices. AFTS generally includes supporting documentation such as American Institute of Certified Public Accountants code on accounting and auditing practices, or legislation that precipitated new or revised ODIG-AUD policies in electronic files accumulated to develop the ODIG policies.

DISPOSITION:

- a. Recordkeeping copy (Paper): Create new files during course of calendar/fiscal year. Cut off in fiscal/calendar year in which all actions are completed. **Maintain newly revised record and one old record until cancelled or significantly revised. Destroy/delete old record when two (2) years old.**
- b. Recordkeeping copy (Electronic): Create new files during course of calendar/fiscal year. Cut off in fiscal/calendar year in which all actions are completed. **Maintain newly revised record and one old record until cancelled or significantly revised. Destroy/delete old record when two (2) years old.**

*Withdrawn by
DoD-IG 8/5/05*

2. Audit Planning Files. Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan and related documents. **(N1-509-00-7, Item 715, dated 9/18/2001)**

DISPOSITION:

*Withdrawn by
DoD-IG 8/5/05*

- a. Recordkeeping copy (Paper): Create new files during course of calendar/fiscal year. Cut off in fiscal/calendar year in which completed. **Destroy when 2 years old. (GRS 23, Item 1)**
- b. **Recordkeeping copy (Electronic): Destroy when two (2) years old.**
- c. Other copies to include but not limited to: work papers and background material (paper and electronic): Destroy when two (2) years old.

*Withdrawn by
DoD-IG 8/5/05*

3. Internal OIG Audit Files. Reports of audits and/or surveys that pertain to the operations and findings of a mission or function within the OIG. **(N1-509-00-7, Item 701, dated 9/18/2001)**

DISPOSITION:

- a. Recordkeeping copy (Paper): Create audit files during course of fiscal year. Cut files off in fiscal year in which all actions are completed.
 1. Working Papers: Destroy two (2) years after all actions are completed.
 2. Final Internal Audit Report: Retain on site for two (2) years and retire to WNRC for five (5) years. Destroy eight (8) years after all actions are completed.
- b. Recordkeeping copy (Electronic): Destroy/delete eight (8) years after all actions are completed.

*Withdrawn by
DoD-IG 8/5/05*

4. Audit Project Files. Documents created or maintained by the OIG DoD pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include **but are not limited to** such documents as: fact sheets for proposed audits and evaluations, procedures pertaining to the selected audits, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft audit reports and management comments on draft reports and final audit reports. Also included are related indexes. **(N1-509-00-7, item 750 and 751, dated 9/18/2001)**

DISPOSITION:

1. Recordkeeping copy (paper): Create new audit files during course of fiscal year. Cut audit files off in fiscal year in which final action taken.
 - a. Working papers: Destroy working papers two (2) years after all actions are completed.
 - b. Final Report: Retain on site for two (2) years. Destroy after 2 years old.
2. Recordkeeping copy (electronic): Create new audit files during course of fiscal year. Cut audit files off in fiscal year in which final action taken.
 - a. Workingpapers: To include all electronic references to audit files maintained in any electronic format to include but not limited to TeamMate. Destroy/delete two (2) years after all final action taken.
 - b. Final Report, electronic data and related records: (a) Retain only Final Report permanently on the OIG DoD InterNet. (b) Includes master file of electronic data, source documents/data and output documents/data. Transfer to National Archives with technical documentation, 2 years after the final report is issued in accordance with 36 CFR 1228.270 and 36 CFR 1234.

*Withdrawn by
DoD-IG 8/5/05*

~~5. GAO/OIG Audit Follow-up Case Files. Documents that include but are not limited to: Final audit reports, records of the mediation of disputes regarding recommendation in OIG DoD audit reports and follow-up on management corrective action on recommendations in both IG DoD and GAO reports (N1-509-00-7, Item 735, dated 9/18/2001)~~

DISPOSITION:

- a. Recordkeeping copy (paper): Create new files in fiscal year in which Follow-up files created. Close Follow-up files in fiscal year in which all-final actions completed. Transfer closed files to WNRC two (2) years after the case closed. Destroy 20 years after case closed
- b. Copy (electronic). Create new files in fiscal year in which created. Close Follow-up files in fiscal year in which all-final actions completed.
~~Destroy/delete when eight (8) years after all actions are completed.~~

*Withdrawn by
DOD-IG
8/5/05*

6. The Defense Audit Management Information System (DAMIS)

Description: The Defense Audit Management Information System (DAMIS) is a web base application that provides a centralized system for the collection, storage and retrieval and destruction, of data and other information relating but not limited to audits, evaluations, training, audit follow-ups and time and attendance. DAMIS tracks all audits and evaluations conducted by the Office of the Deputy Inspector General for Auditing (ODIG-AUD) employees, from the beginning of a project until all the recommendations and finding relating to the project and final report are closed. It tracks the hours charged by ODIG-AUD employees directly to each project, and hours of continuing professional education training for each employee to ensure that employees are qualified to perform their assigned duties.

~~**System Inputs** Audit project and report information type data input and maintained by audit personnel. Consists of report summaries, findings, recommendations, status on same, project data, staff assigned, hours charged, elapsed days, training courses planned, scheduled and completed and continuing professional education hours earned.~~

- a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule

TEMPORARY: Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

GRS 20/2a

~~b Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.~~

GRS 20/26

~~**TEMPORARY:** Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.~~

① **Master File:** The Masterfile contains data relating to audit projects, final reports, training, and time and attendance information. Sample of elements include project milestones, functional area code, issue area codes, findings, recommendations, executive summaries, status on recommendations, training courses, associated costs, and hours charged to each project, and leave taken.

TEMPORARY: Destroy/delete 20 years after the case is closed.

② **System Outputs:** Specific use reports (not required periodic reports) or results of queries on selected data. Such as training history report, project management status report, status of recommendations reports, training budget report.

TEMPORARY: Keep in current file until no longer needed for conducting business, but not longer than 2 years, then destroy.

~~**System Documentation:** Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule~~

GRS 20/11a

~~**TEMPORARY:** Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.~~