

Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

Job Number

NI-509-10-2

Date Received

10/27/09

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

WITHDRAWN

Archivist of the United States

To National Archives and Records Administration (NIR)
Washington, DC 20408

1 From (Agency or establishment)

Office of Inspector General

2 Major Subdivision

Department of Defense

3 Minor Subdivision

AIG for Administration & Management

4 Name of Person with whom to confer

Bruce Womack, Recs. Mgr.

5 Telephone (include area code)

703-602-3794

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 7 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

has been requested

Signature of Agency Representative

[Signature]

Title

Director, Admin. & Logistics Svcs.

Date (mm/dd/yyyy)

09/28/2009

7 Item Number

8 Description of Item and Proposed Disposition

9 GRS or Superseded Job Citation

10 Action taken (NARA Use Only)

This request for records Disposition Authority covers records for the

Office of Inspector General
Department of Defense

which require disposition schedules for existing electronic database records per NARA Bulletin 2008-03.

WITHDRAWN

Ray O'Conor Jr. DATE: 9/9/09
Concurred with on this date by
the Office of Inspector General Counsel OGC

SEE email dated on 2/6/13

Name of System: Automated Security Administration System (ASAS)

Office: Office of Security, Office of Administration & Management

Purpose of System: ASAS is an Oracle application that is used to record, manage, and report personnel security, physical security, and security training. The ASAS system provides automated management of the following areas to the Office of Inspector General (OIG) Security office:

- Personnel security provides a listing of OIG employees and contractor's security clearances including clearance data and date of renewal
- Physical security provides a listing of secure containers, locks and facilities along with access list
- Credential management provides management of employee credentials
- Building passes and property passes are managed through ASAS

130-25 SECURITY ADMINISTRATION DATABASE SYSTEM FILES Electronic database use to track the status of personnel security clearances. Recordkeeping copies

Inputs: Electronic and paper documents pertaining to the day-to-day administration of the Security Program

Disposition Apply disposition instructions found under File Number 130-20 (GRS 23-1)

Master Files. OIG employees and contractor's security clearances including clearance data and date of renewal, secured containers, locks and facilities along with access list, employee credentials, and building and property passes

Disposition Temporary Delete when no longer needed for operational purposes

Outputs: Security certificates, visit and badge requests, safe, credential, and security training reports, visit letters, property passes, and SCI billet management roster

Disposition Outputs not filed under File Number 130-20, destroy/delete after 1 year or when no longer needed

Documentation: Record layouts, codebooks and other system documentation

Disposition Destroy/delete when no longer needed for operational purposes

Name of System: Comptroller Budget Analysis System (CBAS)

Office: Office of the Comptroller, Office of Administration and Management

Purpose of System: CBAS is an Oracle application that is used to manage and document the Office of Inspector General (OIG) Fiscal Year budget. CBAS is used by the OIG Comptrollers office and provides limited access to OIG components to enter and manage and view budget request. CBAS provides daily data concerning budget funding to the Defense Finance and Accounting Service (DFAS) via an export file. CBAS also imports data from DFAS and updates the budget files with data provided by DFAS on a daily basis. This exchange of information provides a means of keeping the OIG Comptrollers office updated with current OIG financial information.

The CBAS system provides automated management of the following areas to the OIG Comptrollers office

- Unfunded Requirements, Funded Requirements
- Obligations and Commitments
- Pending budget changes
- OIG Payroll budget

WITHDRAWN

421-22 COMPTROLLER BUDGET ANALYSIS DATABASE SYSTEM FILES.

Electronic database use to track the status of the OIG Fiscal Year budget. Recordkeeping copies

Inputs: Electronic and paper inputs consisting of budget data from OIG components, data imported from the Defense Finance Accounting System and the Defense Travel System

Disposition Apply disposition instructions found under File Number 421-21

Master Files: Unfunded and funded requirements, obligations and commitments, pending budget changes, and OIG Payroll budget

Disposition Temporary. Delete when no longer needed for operational purposes

Outputs: Electronic reports to DFAS

Disposition Destroy/delete when superseded or longer needed

Documentation: Record layouts, codebooks and other system documentation

Disposition Destroy/delete when no longer needed for operational purposes

Name of System: Waste Fraud and Abuse Application System (HOTLINE)

Office: Director, DoD Hotline Division, Office of the Assistant Inspector General for Communications and Congressional Liaison

Purpose of System: The HOTLINE application is used to record and report information relating to governmental mismanagement and criminal conduct that result in the misuse of government financial resources. The Hotline application provides management of cases reported to the Hotline by private citizens, Department of Defense (DoD) civilian/military personnel, Defense contractor employees, and Members of Congress.

Hotline cases are referred to the Directorate of Military Reprisal Investigations if the case involves military reprisal (violations of the Whistleblower Protection Act involving service members), violations of the Whistleblower Protection Act involving Defense contractor employees, non-appropriated fund employees, and improper referrals of military personnel for mental health evaluations. Cases that do not involve military reprisals are referred to the proper DoD entity.

The Defense Hotline is an important avenue for reporting fraud, waste, abuse and mismanagement. Cases reported to the DoD Hotline are received via e-mail, phone, fax, or letter. The Defense Hotline can be described as a system wherein, complaints are received, evaluated, investigated, and corrective measures are instituted.

840-10 HOTLINE REFERRAL DATABASE SYSTEM FILES.

Electronic database use to track the status of administrative investigations
Recordkeeping copies

Inputs: Electronic and paper correspondence, preliminary investigations and memoranda of telephone conversations pertaining to complaints received by the DoD Hotline

Disposition Apply disposition instructions found under File Number 840

Master Files: Records resulting from the referral of, and inquiry into, hotline complaints, such as the date of the complaint, the hotline control number, the name of the complainant, the actual allegations, referral documents to DoD components requesting investigation into DoD Hotline complaints, referral documents from DoD components transmitting the DoD Hotline Completion Report, which normally contains the name of the examining official(s) assigned to the case, background information regarding the investigation itself, such as the scope of the investigation, relevant facts discovered, information received from witnesses, and specific source documents reviewed, the investigator's findings, conclusions, and recommendations, and the disposition of the case, and internal DoD Hotline forms documenting review and analysis of DoD Hotline Completion Reports received from DoD components.

Disposition Delete when case is closed or when no longer needed for operational purposes, whichever is later

Outputs: Ad hoc and management reports

Disposition Outputs not filed under File Number 840 Destroy/delete when superseded or no longer needed

Documentation: Record layouts, codebooks and other system documentation

Disposition Destroy/delete when no longer needed for operational purposes

WITHDRAWN

Office: Directorates for Investigations of Senior Officials, Military Reprisal Investigations, and Civilian Reprisal Investigations, Office of the Assistant Inspector General for Administrative Investigations (AI)

1. Name of System: Military Reprisals (MRI)

Purpose of System: The application investigates military reprisal allegations and civilian reprisal allegations as referred to AI from the Hotline system. The AI system is also used to record and report allegations of serious misconduct against senior officials of Department of Defense.

2. Name of System: General Officers (GENOFF)

Purpose of System: GENOFF monitors cases of serious misconduct by senior DOD officials that were reported to and investigated by the services Inspector Generals Office. The Office of Inspector General (OIG) performs review and approval of cases reported by the service Inspector Generals and statistics are provided in the Semi-Annual Report (SAR) to congress.

3. Name of System: Service IG Reprisal Cases (SIRC)

Purpose of System: SIRC monitors cases of military reprisals that were reported to and investigated by the services Inspector Generals Office. The OIG reviews and provides approval of the cases and reports statistics to congress.

4. Name of System: Senior Officers Inquires System (SOIS)

SOIS tracks and provide checks on senior officials and general officers that are up for awards, promotions, and retirements that may appear in one of the OIG systems (Hotline, General Officers, SIRC). Information found is provided to Office of Secretary of Defense (OSD) and is stored in the system. Negative responses to OSD can stop awards, promotions, and retirements.

870-10 ADMINISTRATIVE INVESTIGATIONS DATABASE SYSTEM FILES.

Electronic database use to track the status of administrative investigations
Recordkeeping copies

a Temporary records

Inputs: Electronic and paper complaint files, inquiries, replies, comments, and other documents relating to investigation of non-criminal allegations of misconduct and mismanagement.

Disposition Apply disposition instructions found under File Number 870 and 870-01

Master Files: Data relating to allegations received and documentation created as a result of action by the Office of the Inspector General, including reports, records of action taken, and supporting documentation

Disposition Delete when case is closed or when no longer needed for operational purposes, whichever is later

Outputs: Case runs for semiannual reports, investigators' annual appraisals, Freedom of Information Act requests, and names provided by Service IGs for General Officers and Service Officials

Disposition Destroy/delete when superseded

Documentation: Record layouts, codebooks and other system documentation

Disposition Destroy/delete when no longer needed for operational purposes

b Permanent records

Electronic data and related records (Includes source documents/data, master file of electronic data and output documents/data)

Disposition Transfer to the National Archives with technical documentation, after final report is issued in accordance with 36 CFR 1228 270 and 36 CFR 1234

WITHDRAWN

Name of System: Office of General Counsel (OGC)

Office: Office of the General Counsel and Assistant Inspector General for the Office of Legal Counsel, Office of the Inspector General, Department of Defense

Purpose of System: A document managing system for the Office of General Counsel. The system provides status, schedule reminder, and log tracking of the attorney's legal documents. The system monitors documents assigned to attorneys and provides statistical reports to be generated monthly.

1106 OFFICE FUNCTIONAL DATABASE SYSTEM FILES.

Electronic database use to track the status of attorney legal documents. Recordkeeping copies.

Inputs: Electronic and paper legal documents assigned to attorneys from OIG components.

Disposition Apply disposition instructions found under file numbers 1105 and 1110-01.

Master Files: Data on case files assigned to attorneys.

Disposition Delete when no longer needed for operational purposes.

Outputs: Monthly statistical reports.

Disposition Outputs not filed under File Number 1102 and 1105. Destroy/delete when superseded or no longer needed.

Documentation: Record layouts, codebooks and other system documentation.

Disposition Destroy/delete when no longer needed for operational purposes.

WITHDRAWN