

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-060-09-44</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>9/21/09</i>	
1 FROM (Agency or establishment) U.S. Department of Justice		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Office of the Inspector General			
3 MINOR SUBDIVISION Audit Division/Office of Policy and Planning			
4 NAME OF PERSON WITH WHOM TO CONFER Jane H. Alperson <i>9-17-09 Jane H. Alperson</i>	5 TELEPHONE 202-616-4550	DATE <i>9/21/09</i>	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>1</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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>9/21/2009</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE <i>Director/OPMP</i>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Audit Division Operational Tracking System (ADOT) The Office of the Inspector General (OIG) was established in the U.S. Department of Justice on April 14, 1989. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their numerous and diverse activities. The OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness within the Department and its financial, contractual, and grant relationships with others (SEE ATTACHED)		

Department of Justice Office of the Inspector General
Audit Division
Audit Division Operational Tracking System (ADOT)

The Audit Division conducts, reports on, and tracks the resolution of financial and performance audits of organizations, programs, and functions within DOJ. Financial audits examine financial statements and financially related activities. Performance audits review economy, efficiency, and programmatic issues. The Audit Division also monitors expenditures made under DOJ contracts, grants and other agreements.

The Audit Division Operational Tracking System (ADOT) is a system used by Audit Headquarters and all regional audit offices to track the process of resolving and closing audit recommendations for both internal and external audits, and to assist in collecting data for the OIG's Semiannual Report to Congress. The system identifies each audit, each of an audit's recommendations, and the Audit Division's related correspondence with the auditee, and guides audit follow-up activities.

1. Inputs.

Description. The data is manually entered into the system by authorized personnel of the Audit Division from source documents including, but not limited to, draft audit reports, final audit reports, and audit correspondence.

Disposition: TEMPORARY. File source documents with the appropriate case file. *Filing instructions*

2. Master File.

Description. The Master File includes the following information: audit information such as audit report number, audit title, final issued, audit type, office, and auditee; recommendation status information such as recommendation number, agency, status, date resolved, and date closed; and correspondence tracking information such as memo date, action description, agency, and comments.

Disposition: PERMANENT. Cut off at the end of the fiscal year in which all recommendations resulting from an audit are closed. Transfer the official record copy to the National Archives 15 years after cutoff. *according to the standards of 36 CFR 1228.270 or the applicable regulations at the time of transfer (per discussion w/ agency records officer 6/29/10)*

3. Output.

Description. Ad hoc reports are generated from the ADOT system on an as-needed basis.

Disposition: TEMPORARY. Destroy/delete when no longer needed. *CRS 20.5, 20.4*

4. System Documentation.

Disposition: PERMANENT. Transfer to National Archives with the initial transfer of the Master File and then subsequently with every change made to the documentation.

GRS 20.11a2