

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-60-09-72	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/29/09	
1 FROM (Agency or establishment) U S. Department of Justice		NOTIFICATION TO AGENCY In accordance with the provisions of 44 USC 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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			
4 NAME OF PERSON WITH WHOM TO CONFER Jape H Alpersen <i>Jane H Alpersen</i>	5 TELEPHONE 202-616-4550	DATE 19 Aug 10	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>2</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 9/30/2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Georgette Plante</i>		TITLE Director, OPRMP
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p align="center">Audit Management System</p> <p>The Office of the Inspector General (OIG) was established in the U.S. Department of Justice (DOJ) 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.</p> <p align="center">(SEE ATTACHED)</p>		

Department of Justice Office of Inspector General
Audit Division
Audit Management System

The Audit Division conducts and tracks the resolution of financial and performance audits of organizations, programs, and functions within the DOJ. Financial audits examine financial statements and financial-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 Management System is a management software system that enables the Audit Division to collaborate in a nearly paperless audit environment while bringing efficiencies to the audit planning, field work, review, and archival processes. Additionally, the system improves best practice communications and productivity, and assists in ensuring auditing standards and practices are transparent throughout the Audit Division. All information presented in a final audit report is cross-referenced to supporting information in the Audit Management System. Copies of the various versions of an audit report (working draft, draft, cross-indexed, and final) are stored in system.

1. ~~Inputs.~~

Description: ~~Authorized users upload audit templates and audit-specific documents into the Audit Management System and enter data manually as necessary. The system provides a centralized system for the manual collection of audit-related documents, including but not limited to correspondence, memoranda, project files, work paper files, findings, coaching notes, exception write-ups, peer reviews, internal and external draft and final reports, and documents that support resolution of the audit recommendations.~~

Disposition: File source documents with the appropriate audit records file.

Filing instruction

2. Master File.

Description: The Master File consists of Audit-Specific information and Audit Protocol information. The Audit-Specific information of the Master File captures data that documents the phases of an audit: Planning and Administration, Findings and Reports, and Procedures and Results. Information captured includes: audit identification number, audit name, audit type, office name, start date, identification information and roles for the lead auditor and other assigned team members, coaching notes indicating supervisory review, and exception title and type. Also included are audit-specific documents formatted in Microsoft Word, Excel, or Adobe PDF, and scanned images that users upload to a system audit file as analysis, evidence, or reference material. The Audit Protocol Master File includes templates for work programs and procedures and work papers, standard wordings of audit findings and issues, and the names of the divisions' team members and resources.

Disposition: TEMPORARY. Cut off at the end of the fiscal year in which all recommendations resulting from an audit are closed. Delete/destroy 15 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

3. ~~Output.~~

~~Description: The system is used to generate specific use reports (not required periodic reports) or results of ad hoc queries on selected data, such as coaching note reports, exception reports, project reports, procedure reports, procedure summary reports, and profile reports.~~

~~Disposition: TEMPORARY. Delete/destroy when no longer needed for the audit business process.~~

GRS 20/16

4. ~~System Documentation.~~

~~Disposition: TEMPORARY. Delete/Destroy when superseded or obsolete.~~

GRS 20/11