

## Request for Records Disposition Authority

Records Schedule Number DAA-0015-2018-0004

Schedule Status Approved

Agency or Establishment Department of Veterans Affairs

Record Group / Scheduling Group Records of the Department of Veterans Affairs

Records Schedule applies to Department-wide

Schedule Subject VA Sponsored Health Professions Training Programs: Trainee Certificate of Completion Documentation

Internal agency concurrences will be provided No

### Background Information

One of our statutory missions of the Department of Veterans Affairs (VA) is to conduct education and training programs for health professions trainees. In accordance with this mission, VHA's Office of Academic Affiliations is mandated to assure VA's education and training efforts are accomplished through coordinated programs and activities in partnership with affiliated U.S. academic institutions (38 USC 7302). VA conducts the largest education and training effort for health professionals in the Nation. Each year, approximately 120,000 trainees receive some or all of their clinical training in a VA facility. While most (about 99%) of VA's graduate medical education (GME) programs are sponsored in the name of an affiliate (generally a medical school or teaching hospital), in other professions, VA is responsible for a larger share of the sponsorship and accreditation activities. For example, approximately one-third of VA's dental residency training programs are sponsored by the VA. Two-thirds of VA's funded associated health professions have at least one level of training sponsored in the name of V A. For example, Psychology has over 200 VA-sponsored doctoral internship and postdoctoral residency programs. Additional professions with VA sponsored training programs include pharmacy, nursing, podiatry, optometry, chiropractic care, physical therapy, occupational therapy, dietetics, prosthetics, and clinical pastoral education. When VA sponsors an accredited health professions training program, it is the entity of record for selecting, educating, and graduating trainees. For this reason, sponsorship of accredited training programs in the various health professions comes with additional VA responsibilities in tracking and reporting trainee completions.

**Sponsoring organization:** An organization that assumes' ultimate responsibility for the coordination and administration of an accredited clinical training program. Also called "accredited sponsor," this is the entity which is legally responsible for maintaining accreditation standards in the training program. The sponsoring organization is charged with ensuring that trainees' experiences are educationally sound and are conducted in a quality practice environment. The sponsoring organization is also responsible for submitting the accreditation application and ensuring periodic evaluations are conducted. If several organizations share responsibility for the financial and management aspects of the residency (e.g., a pharmacy consortium), the organizations must mutually designate one organization as the sponsoring organization.

**Program Completion:** A process by which an accredited training program grants a graduation certificate or other documentation of program completion to an individual who has met the requirements for program completion as defined in the specific accrediting body criteria

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**Issue:** When trainees complete their education and training in a VA owned and operated (sponsored) Health Professions Training Program, the graduating trainee receives a 'Certificate of Completion' from the VA signifying the individual has met certain predetermined milestones for graduation as defined by the program's accrediting body.

This Certificate of Completion (graduation/completion documentation) is key documentation of advanced training for many professions, and may be required for licensure or privileging. Because of the importance of advanced training, a healthcare professional may include this information on their resume and applications for new roles, responsibilities or jobs. This information will need to be independently confirmed and verified through contact with the Health Professions Training Program of record. When the VA is the owner (sponsor) of the Health Professions Training Program of record, the VA is required to consistently and reliably maintain evidence of the successful completion of these programs by all completers/graduates, including records that are searchable in a timely manner far into the future.

These records should accurately document entry and completion dates of training.

Additional descriptive information may be archived that would help to clarify the nature of the training completed including: major rotations completed, areas of specialization, and any special achievements that may need to be verified at a future date

Documentation should also be maintained for individuals who are selected for and enter into training, but fail to complete the program. Entry and exit dates should be documented, whether the trainee withdrew or was involuntarily terminated, and a brief statement as to the reason for premature separation (e.g., withdrew to provide care to a family member, involuntarily terminated for performance issues which were not resolved through remediation).

The documentation may be maintained either as

- a) Validated copies of individual Certificates of Completion in a paper file maintained by graduation year, or
- b) Lists of names of program completers/ graduates, and names of individuals enrolled but who did not complete training (along with other identifying information such as Social Security Numbers) in a paper file maintained by graduation year
- c) An electronic database that is searchable by individual enrollee name and year program completed

#### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

#### GAO Approval

## Outline of Records Schedule Items for DAA-0015-2018-0004

Sequence Number	
1	Veterans Affairs (VA) Health Professions Training Programs Trainee Completion Documentation Disposition Authority Number: DAA-0015-2018-0004-0001

## Records Schedule Items

Sequence Number					
1	<p><b>Veterans Affairs (VA) Health Professions Training Programs Trainee Completion Documentation</b></p> <p>Disposition Authority Number      DAA-0015-2018-0004-0001</p> <p><b>Case Files will be maintained for all "completers/graduates" who have successfully completed the accredited Health Professions Training Program and those enrolled but do not complete.</b></p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No</p> <table border="1"><tr><td>Manual Citation</td><td>Manual Title</td></tr><tr><td>New</td><td>Records Control Schedule (RCS 10-1)</td></tr></table> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cutoff upon completion of the program; Maintain Records onboard</p> <p>Transfer to Inactive Storage          Note: Transfer to Federal Records Center is not authorized.</p> <p>Retention Period                      Destroy 50 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                          Not Required</p>	Manual Citation	Manual Title	New	Records Control Schedule (RCS 10-1)
Manual Citation	Manual Title				
New	Records Control Schedule (RCS 10-1)				

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
04/12/2018	Certify	Matthew Staden	Records Officer	Veterans Health Administration - Records Management
06/25/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist