

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) Department of Veterans Affairs (VA)	
2. MAJOR SUBDIVISION Office of the Inspector General	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Kurt Hessling	5. TELEPHONE (202) 565-8938

LEAVE BLANK (NARA use only)	
JOB NUMBER <i>N1-015-01-6</i>	
DATE RECEIVED <i>06/07/01</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or withdrawn" in column 10.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 <i>9-26-02</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 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,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE <i>5/24/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Donald L. Neilson	TITLE Dir., Information Mgmt. Svc. (045A4)

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>Audit Case Files. Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.</p> <p>Temporary. Cut off at end of fiscal year in which case is closed and retire to Federal Records Center.</p> <p>Destroy 8 years after cut off.</p>	<p>RCS 10-1, item 39, VB-1 Pt. II, item 2-14.3, and GRS 22, item 2.</p>	
1.	<p>Investigative Case Files. Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of law and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the</p>	<p>GRS 22, item 1b <i>N1-15-99-3, item 2</i></p>	

REQUEST FOR RECORDS DISPOSITION - CONTINUED		JOB NO. N1-15-01-6	Page 2 of 2
7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARA USE ONLY)</i>
	<p>agency. This includes investigations files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and work papers.</p>		
1a.	<p>a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. The include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and supporting files providing general information that may prove useful in Inspector General investigations.</p> <p>Temporary. Destroy when 5 years old.</p>	N1-15-99-3	
1b.	<p>b. All other investigative files EXCEPT those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others</p> <p>Temporary. Place in inactive files when case is closed. Cut off inactive file at the end of fiscal year and retire to the Federal record center. Destroy when 10 years old.</p> <p>[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF 115.]</p>		
2.	<p>Electronic version of records created by electronic mail and word processing applications.</p> <p>Delete 180 days after recordkeeping copy has been produced or when referencing or updating is completed, whichever is later.</p> <p>Note: This schedule provides for continuing disposition authority for Department of Veterans Affairs records which are stored in the FRCs, WNR, and in the agency.</p> <p><i>Changes to schedule approved by discussion w/ Ron Taylor of VAD 7/20/01</i></p>	N1-15-99-3	

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2a.	<p style="text-align: center;">SEE ATTACHED SHEET(S) FOR:</p> <p><u>ELECTRONIC MAIL & WORD PROCESSING APPLICATIONS.</u> Electronic Mail copies that have no further administrative value after the record-keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy.</p> <p>Disposition: Delete within 180 days after the recordkeeping copy has been produced</p>		
2b.	<p><u>ELECTRONIC MAIL & WORD PROCESSING APPLICATIONS.</u> Copies used for dissemination, revision or updating and are maintained in addition to the recordkeeping copy.</p> <p>Disposition: Delete when dissemination, revision, or updating is complete.</p>		

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Kurt Hessling	(202) 565-8938

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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 1 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 8/7/2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Dir., Information Mgmt. Svc. (045A4)
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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)
1	Audit Case Files. Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers. Temporary. Retire to Federal records center when case is closed. Destroy 8 years after cut off.	RCS 10-1, item 39, VB-1, Pt. II, item 2-14.3, and GRS 22, item 2	
2	Investigative Case Files. Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of law and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to	GRS 22, item 1b	

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	<p>agency. This includes investigations files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and work papers.</p> <p>a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. The include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and supporting files providing general information that may prove useful in Inspector General investigations.</p> <p>Temporary. Destroy when 5 years old.</p> <p>b. All other investigative files EXCEPT those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others</p> <p>Temporary. Place in inactive files when case is closed. Cut off inactive file at the end of fiscal year and retire to the Federal record center. Destroy when 10 years old.</p> <p>[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF 115.]</p> <p>3. Electronic version of records created by electronic mail and word processing applications.</p> <p>Temporary. Delete when file is generated or when no longer needed for reference or updating or when records have reached appropriate disposition as contained in items 1 and 2 above.</p> <p><u>JUSTIFICATION.</u> The records described on this SF 115 were previously scheduled as disposable under the rescinded GRS 22, item 1B and 2. As part of the WNRC project, I reviewed approximately 179 cubic feet of audit case files and investigative case files coded as "E". They are clearly temporary and should be disposed of in accordance with the disposition instructions herein. They consist of audit of employee relocation policies and costs program; audits of travel</p>		

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	<p>authorizations to various VA cemeteries and hospitals; required state reports citing VA appropriations, working papers, reference papers, preliminary surveys, and correspondence; audits of VA medical centers programs, contract files, allocation of funds, reports of fraud, waste and abuse.</p>		