

## Request for Records Disposition Authority

Records Schedule Number      DAA-0015-2013-0004  
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      Major Subdivision  
Major Subdivision      Office of Inspector General  
Minor Subdivision      Office Of Management and Administration  
Schedule Subject      Request for a change to disposition of OIG records  
Internal agency concurrences will be provided      No

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
12	4	8	1

### GAO Approval

## Outline of Records Schedule Items for DAA-0015-2013-0004

Sequence Number	
1	Hotline Records
1.1	Hotline Contacts Disposition Authority Number: DAA-0015-2013-0004-0001
1.2	Hotline Cases Disposition Authority Number: DAA-0015-2013-0004-0002
1.3	Congressional Case Work Disposition Authority Number: DAA-0015-2013-0004-0003
1.4	Executive correspondence Disposition Authority Number: DAA-0015-2013-0004-0004
1.5	IG Personal Papers Disposition Authority Number: DAA-0015-2013-0004-0005
1.6	Project Oversight Reports Disposition Authority Number: DAA-0015-2013-0004-0006
1.7	Working Papers Disposition Authority Number: DAA-0015-2013-0004-0007
1.8	Follow-Up Records Disposition Authority Number: DAA-0015-2013-0004-0008
1.9	Semiannual Report to Congress and Strategic Plan Disposition Authority Number: DAA-0015-2013-0004-0009
1.10	Investigative Case Files Disposition Authority Number: DAA-0015-2013-0004-0010
1.11	Joint Review Reports Disposition Authority Number: DAA-0015-2013-0004-0011
1.12	Electronic Working Papers Disposition Authority Number: DAA-0015-2013-0004-0012
2	Hearings/Testimony Records Disposition Authority Number: DAA-0015-2013-0004-0013

## Records Schedule Items

Sequence Number	
1	<b>Hotline Records</b> Hotline Contacts. Maintain In MCI for 7 years after contact is closed. Records will then be deleted only if it does not destroy electronic system integrity or until the system of records is decommissioned (and replaced), whichever occurs first.
1.1	<b>Hotline Contacts</b> Disposition Authority Number <b>DAA-0015-2013-0004-0001</b>  Communications containing actionable information that is evaluated and considered for referral to an OIG line element or to the Department  Final Disposition <b>Temporary</b>  Item Status <b>Active</b>  Is this item media neutral? <b>Yes</b>  Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>Yes</b>  Do any of the records covered by this item exist as structured electronic data? <b>No</b>  <b>Disposition Instruction</b>  Cutoff Instruction <b>When contact is closed</b>  Retention Period <b>Destroy immediately after 7 years after cutoff</b>  <b>Additional Information</b>  GAO Approval <b>Not Required</b>
1.2	<b>Hotline Cases</b> Disposition Authority Number <b>DAA-0015-2013-0004-0002</b>  Contacts that are referred for action to a line element of OIG or the Department.  Final Disposition <b>Temporary</b>  Item Status <b>Active</b>  Is this item media neutral? <b>Yes</b>  Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>Yes</b>

1.3	Do any of the records covered by this item exist as structured electronic data?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	When case is closed.
	Retention Period	Destroy 7 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Congressional Case Work</b>	
	Disposition Authority Number	DAA-0015-2013-0004-0003
	<b>Documents related to responses to congressional inquiries generated through the OIG Hotline or other sources</b>	
	Final Disposition	Temporary
1.4	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off when the response is sent
	Retention Period	Destroy 7 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Executive correspondence</b>	
	Disposition Authority Number	DAA-0015-2013-0004-0004
	<b>Official documents, related to the mission of OIG, signed by the IG or Deputy IG</b>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	No

electronic format(s) other than e-mail and word processing?

### Disposition Instruction

Cutoff Instruction

Cutoff at the end of each fiscal year

Transfer to Inactive Storage

Transfer to the National Archives immediately after 3 years

Transfer to the National Archives for Accessioning

Transfer to the National Archives 3 year(s) after 3 years increments

### Additional Information

First year of records accumulation 2008

What will be the date span of the initial transfer of records to the National Archives?

Unknown

Maintain on site for 3 years, then offer to NARA.

How frequently will your agency transfer these records to the National Archives?

Every 3 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	12 Cubic feet	2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.5

### IG Personal Papers

Disposition Authority Number

DAA-0015-2013-0004-0005

### Personal documents generated by the IG

Final Disposition

Temporary

Item Status

Withdrawn

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

1.6

Withdrawn Status Explanation	These records are Transitory and will be scheduled under GRS 23/7.
 Disposition Instruction	
Cutoff Instruction	Cutoff at the end of the calendar year.
Retention Period	Destroy immediately after 1 year
 Additional Information	
GAO Approval	Not Required
 <b>Project Oversight Reports</b>	
Disposition Authority Number	DAA-0015-2013-0004-0006
<b>Official, final copies (hardcopy or electronic) of reports produced by any line element of the OIG</b>	
Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
 Disposition Instruction	
Cutoff Instruction	Cutoff at the end of the fiscal year in which the report is issued and maintain onsite for 5 years from the date of issue
Transfer to the National Archives for Accessioning	Transfer to the National Archives 5 year(s) after date of issue
 Additional Information	
First year of records accumulation	1980
What will be the date span of the initial transfer of records to the National Archives?	Unknown Every 5 years from the date issue.
How frequently will your agency transfer these records to the National Archives?	Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	30 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.7

### Working Papers

Disposition Authority Number **DAA-0015-2013-0004-0007**

**Harcopy and electronic working papers and records in an existing system of records**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

### Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the final report closed or final peer review report was issued**

Retention Period **Destroy 3 year(s) after closure of final report**

### Additional Information

GAO Approval **Not Required**

1.8

### Follow-Up Records

Disposition Authority Number **DAA-0015-2013-0004-0008**

**Records related to follow-up actions on open report recommendations**

Final Disposition **Temporary**

Item Status **Active**

1.9

Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
<b>Disposition Instruction</b>	
Cutoff Instruction	Cutoff at the end of the fiscal year in which the last recommendation closed
Retention Period	Destroy 5 year(s) after last recommendation
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Semiannual Report to Congress and Strategic Plan</b>	
Disposition Authority Number	DAA-0015-2013-0004-0009
<b>Semiannual report as mandated by the Inspector General Act of 1978 and the multi-year OIG Strategic Plan</b>	
Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
<b>Disposition Instruction</b>	
Cutoff Instruction	Cutoff at the end of the fiscal year
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 5 year(s) after cutoff
<b>Additional Information</b>	
First year of records accumulation	1978
What will be the date span of the initial transfer of records to the National Archives?	From 1978 To 1996



How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.10

#### Investigative Case Files

Disposition Authority Number **DAA-0015-2013-0004-0010**

These files contain reports of criminal and other investigations of the OIG, Office of Investigations (OI).

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **N1-015-01-006, item 1B.**

#### Disposition Instruction

Cutoff Instruction **Maintained for 10 years.**

Retention Period **Records maintained in MCI will be deleted only if its does not destroy electronic system integrity or until the system of records is decommissioned (and replaced), whichever occurs first. 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 a schedule via ERA.

**Additional Information**

GAO Approval Not Required

**Joint Review Reports**

Disposition Authority Number DAA-0015-2013-0004-0011

**Official, final copies (hardcopy or electronic) of reports.**

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

**Disposition Instruction**

Cutoff Instruction Cutoff at the end of the fiscal year in which the review closed.

Transfer to the National Archives for Accessioning Transfer to the National Archives 5 year(s) after in 5 years increments

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? Unknown  
5 years

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	2 Cubic feet	
Microform		

Hardcopy or Analog Special Media		
----------------------------------	--	--

1.12

**Electronic Working Papers**

Disposition Authority Number      **DAA-0015-2013-0004-0012**

**Workpapers related to the product of Joint Reviews**

Final Disposition      **Temporary**

Item Status      **Active**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?      **No**

**Disposition Instruction**

Cutoff Instruction      **Cutoff at the end of the fiscal year in which the review closed**

Retention Period      **Destroy 3 year(s) after publication date of the review**

**Additional Information**

GAO Approval      **Not Required**

2

**Hearings/Testimony Records**

Disposition Authority Number      **DAA-0015-2013-0004-0013**

**Documents related to final submissions for herings and testimony by OiG employees**

Final Disposition      **Temporary**

Item Status      **Active**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

**Disposition Instruction**

Cutoff Instruction      **Cutoff at the end of each Congressiional term**

Retention Period	Destroy immediately after 6 years
Additional Information	
GAO Approval	Not Required

## 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
07/05/2013	Certify	Martin Hill	Program Management Office	Office of Information and Technology - Enterprise Records Service
07/24/2013	Return for Revision	David Weber	for	National Archives and Records Administration - Records Management Services
09/16/2013	Submit For Certification	Janet Pedro	Management Analyst	Office of Information and Technology - Enterprise Records Service
10/30/2013	Certify	Martin Hill	Program Management Office	Office of Information and Technology - Enterprise Records Service
04/10/2014	Submit for Concurrence	David Weber	for	National Archives and Records Administration - Records Management Services
04/22/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
04/22/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
04/24/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist