

Request for Records Disposition Authority

Records Schedule Number **DAA-0015-2015-0002**

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 **Veterans Health Administration**

Minor Subdivision **Office of Research Oversight (ORO)**

Schedule Subject **Office of Research Oversight Records**

Internal agency concurrences will be provided **No**

Background Information **Public Law 108-170, Veterans Health Care, Capital Asset, and Business Improvement Act of 2003 established by statute in the Veterans Health Administration an "Office of Research Oversight." ORO serves as the primary advisor to the Under Secretary for Health on matters of compliance, assurance, and technical assistance in human subject protections, laboratory animal welfare, research safety, research laboratory security, research information security, facility research compliance officer education, research misconduct, and government suspension and debarment for research impropriety. ORO conducts a variety of oversight activities to fulfill its mandate.**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 8 | 3 | 5 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0015-2015-0002

| Sequence Number | |
|-----------------|---|
| 1 | Case Records Containing Official Determinations Disposition Authority Number: DAA-0015-2015-0002-0001 |
| 2 | Evidential Records Disposition Authority Number: DAA-0015-2015-0002-0002 |
| 3 | Policy and Guidance Records Disposition Authority Number: DAA-0015-2015-0002-0003 |
| 4 | Formal Briefing Records Disposition Authority Number: DAA-0015-2015-0002-0004 |
| 5 | Congressional Relations Records Disposition Authority Number: DAA-0015-2015-0002-0005 |
| 6 | Transitory Records with Limited Historical Value Disposition Authority Number: DAA-0015-2015-0002-0006 |
| 7 | Duplicate Records Disposition Authority Number: DAA-0015-2015-0002-0007 |
| 8 | Reference Documents Disposition Authority Number: DAA-0015-2015-0002-0008 |

Records Schedule Items

| Sequence Number | | | | | |
|-----------------|---|-----------------|--------------|-----------------|---------------------------------------|
| 1 | <p>Case Records Containing Official Determinations</p> <p>Disposition Authority Number DAA-0015-2015-0002-0001</p> <p>ORO records, including case reports and electronic databases containing official determinations (e.g., findings and required actions) related to ORO's compliance oversight, technical assistance, and quality assurance activities.</p> <p>Final Disposition Permanent</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"><thead><tr><th>Manual Citation</th><th>Manual Title</th></tr></thead><tbody><tr><td>XLVII-3a</td><td>Records Control Schedule 10-1,</td></tr></tbody></table> <p>GRS or Superseded Authority Citation XLVII-12, NARA Job # N1-015-07-003- item 4</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Electronic Records</p> <p>Cutoff Instruction 7 years after relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later</p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 2008</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2008 To 20016</p> | Manual Citation | Manual Title | XLVII-3a | Records Control Schedule 10-1, |
| Manual Citation | Manual Title | | | | |
| XLVII-3a | Records Control Schedule 10-1, | | | | |

How frequently will your agency transfer these records to the National Archives? **Every 10 Years**

| | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital | 2000 MB | MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

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Evidential Records

Disposition Authority Number **DAA-0015-2015-0002-0002**

Records that provide critical evidence in support of ORO determinations and/or actions that may be disputed or subjected to litigation.

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**

| Manual Citation | Manual Title |
|-----------------|--------------------------------------|
| XLVII-3b | Records Control Schedule 10-1 |

Disposition Instruction

Cutoff Instruction **7 years after all relevant ORO actions are completed or 7 years after all relevant claims for or against VA are finalized, whichever is later.**

Retention Period **Destroy 7 year(s) after relevant ORO actions are completed or 7 year(s) after all relevant claims for or against VA are finalized, whichever is later.**

Additional Information

GAO Approval **Not Required**

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Policy and Guidance Records

Disposition Authority Number DAA-0015-2015-0002-0003

Directives, handbooks, guidance, training materials, and standard operating procedures developed by ORO

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

| Manual Citation | Manual Title |
|-----------------|-------------------------------|
| XLVII-3c | Records Control Schedule 10-1 |

GRS or Superseded Authority Prior RCS 10-1 XLVII-13, NARA Job# N1-015-07-3,
Citation item 11

Disposition Instruction

Cutoff Instruction 7 years after documents are rescinded or superseded
or 7 years after all relevant claims for or against VA
are finalized, whichever is later.

Retention Period Destroy 7 years after documents are rescinded or
superseded or 7 years after all relevant claims for or
against VA are finalized, whichever is later.

Additional Information

GAO Approval Not Required

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Formal Briefing Records

Disposition Authority Number DAA-0015-2015-0002-0004

Materials prepared by ORO for the Under Secretary for Health, the Secretary of Veterans Affairs, or other VA officials to describe issues of concern or special interest, including materials for formal face-to-face briefings, presentations, activity reports, and issue briefs.

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?

| | |
|-----------------|-------------------------------|
| Manual Citation | Manual Title |
| XLVII-3d | Records Control Schedule 10-1 |

GRS or Superseded Authority Citation

Prior RCS 10-1 XLVII-4, NARA Job# N1-015-07-3 Item 2

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction

End of year in which documents are delivered to the relevant official or all relevant claims for or against VA are finalized, whichever is later.

Transfer Electronic Records to the National Archives for Pre-Accessioning

Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff

Transfer to the National Archives for Accessioning

Transfer to the National Archives in 5 year blocks 25 year(s) after youngest record in block is 5 years old

Additional Information

First year of records accumulation 2008

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

From 2008 To 2013

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

Every 5 Years

| | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital | 2400 MB | 3000 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

Disposition Authority Number **DAA-0015-2015-0002-0005**

Quarterly and annual reports to Congress as required by statute, special reports created at the request of Congress, written testimony, and supporting materials for face-to-face briefings of Members of Congress and Congressional staff.

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? **No**

| Manual Citation | Manual Title |
|-----------------|--------------------------------------|
| XLVII-3e | Records Control Schedule 10-1 |

GRS or Superseded Authority Citation **XLVII 8a/8b, NARA Job # N1-015-07-3 Items -6a and 6b**

Disposition Instruction

Cutoff Instruction **Annually after documents are delivered to Congress.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after closure of youngest record in block**

Additional Information

First year of records accumulation **2008**

What will be the date span of the initial transfer of records to the National Archives? **From 2008 To 2013**

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

| | Estimated Current Volume | Annual Accumulation |
|---------------------------|--------------------------|---------------------|
| Electronic/Digital | 5 GB | 2 MB |
| Paper | | |
| Microform | | |

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Hardcopy or Analog Special Media

Transitory Records with Limited Historical Value

Disposition Authority Number DAA-0015-2015-0002-0006

All records not specifically covered under other subsections of Section XLVII.

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

| Manual Citation | Manual Title |
|-----------------|-------------------------------|
| XLVII-3f | Records Control Schedule 10-1 |

GRS or Superseded Authority Citation
RCS 10-1, XLVII-3a
RCS 10-1, XLVII-5a
RCS 10-1, XLVII-6
RCS 10-1, XLVII-7a
RSC 10-1, XLVII- 10
RSC 10-1, XLVII- 13a, b
RSC 10-1, XLVII- 15a
N1-015-07-3 Items 1a, 3a, 4, 5a, 9, 12a, b, 14a

Disposition Instruction

Cutoff Instruction Destroy when no longer needed

Retention Period Destroy when no longer needed

Additional Information

GAO Approval Not Required

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Duplicate Records

Disposition Authority Number DAA-0015-2015-0002-0007

Duplicate copies of records retained by ORO.

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**

| Manual Citation | Manual Title |
|-----------------|--------------|
| XLVII-3g | RCS 10-1 |

GRS or Superseded Authority Citation **RCS 10-1 - XLVII-17**

Disposition Instruction

Cutoff Instruction **When no longer needed**

Retention Period **Destroy when no longer needed**

Additional Information

GAO Approval **Not Required**

Reference Documents

Disposition Authority Number **DAA-0015-2015-0002-0008**

Materials retained solely for reference or informational purposes.

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**

| Manual Citation | Manual Title |
|-----------------|---------------------------------|
| XLVII-3h | Records Control Schedule 10 - 1 |

GRS or Superseded Authority Citation **RCS 10-1 XLVII-14**

Disposition Instruction

Cutoff Instruction **When no longer needed**

Retention Period **Destroy when no longer needed**

Additional Information

GAO Approval **Not Required**

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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 |
|------------|------------------------|-----------------|---|--|
| 01/07/2015 | Certify | Martin Hill | Program Management Office | Office of Information and Technology - Enterprise Records Service |
| 06/30/2015 | Submit for Concurrence | David Weber | for | National Archives and Records Administration - Records Management Services |
| 07/09/2015 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 07/09/2015 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 07/10/2015 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |