

Request for Records Disposition Authority

Records Schedule Number DAA-0015-2014-0001

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 (VHA)

Minor Subdivision Office of Research Oversight (ORO)

Schedule Subject VHA Office of Research Oversight Research Case Files

Internal agency concurrences will be provided Yes

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 and assurance in human subject protections, laboratory animal welfare, research safety and security, and research impropriety and misconduct. ORO conducts a variety of oversight activities to fulfill its responsibilities and legislative mandate.

ORO is organizationally structured under the Office of the Under Secretary for Health, Veterans Health Administration (VHA), VHA Central Office, Department of Veterans Affairs (VA). ORO provides program directions through its Central Office and strategically located Regional Offices. ORO oversees VHA’s research misconduct program and is responsible for the oversight of suspensions and Government wide debarments for research impropriety.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	2	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0015-2014-0001

Sequence Number	
1	Research Misconduct Case Records Involving Allegations Referred for an Inquiry and/or Investigation
1.1	Research Misconduct Case Records with Significant Historical Value that are Maintained by ORO Involving Allegations that are Referred for an Inquiry or Investigation Disposition Authority Number: DAA-0015-2014-0001-0001
1.2	Research Misconduct Case Records with Minimal Historical Value that are Maintained by ORO Involving Allegations Referred for an Inquiry and/or Investigation Disposition Authority Number: DAA-0015-2014-0001-0002
1.3	Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Involving Allegations Referred for an Inquiry and/or Investigation Disposition Authority Number: DAA-0015-2014-0001-0003
2	Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation
2.1	Research Misconduct Case Records Maintained by ORO Disposition Authority Number: DAA-0015-2014-0001-0004
2.2	Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Disposition Authority Number: DAA-0015-2014-0001-0005
3	Case Records Maintained Throughout VHA for Government-wide suspensions and Debarments Based on Research Impropriety
3.1	Suspension and Debarment Case Records with Significant Historical Value that are Maintained by ORO Disposition Authority Number: DAA-0015-2014-0001-0006
3.2	Suspension and Debarment Case Records with Minimal Historical Value that are Maintained by ORO Disposition Authority Number: DAA-0015-2014-0001-0007
3.3	Suspension and Debarment Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Disposition Authority Number: DAA-0015-2014-0001-0008

Records Schedule Items

Sequence Number					
1	<p>Research Misconduct Case Records Involving Allegations Referred for an Inquiry and/or Investigation</p>				
1.1	<p>Research Misconduct Case Records with Significant Historical Value that are Maintained by ORO Involving Allegations that are Referred for an Inquiry or Investigation</p> <p>Disposition Authority Number DAA-0015-2014-0001-0001</p> <p>Records with significant historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, final (issued) Inquiry and Investigation reports, Inquiry and Investigation report attachments and exhibits that are deemed significant by ORO, final (corrected) transcripts or recordings of interviews conducted during an Inquiry or Investigation, copies of research records or relevant sections thereof, final (issued) notifications and decisional letters, written appeals, and case information sheets (or equivalent case summary documents).</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>XLVII-1a</td> <td>Records Control Schedule 10-1</td> </tr> </tbody> </table> <p>Disposition Instruction</p> <p>Cutoff Instruction When case file is closed</p> <p>Transfer to Inactive Storage Transfer to FRC 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 25 year(s) after case closure</p>	Manual Citation	Manual Title	XLVII-1a	Records Control Schedule 10-1
Manual Citation	Manual Title				
XLVII-1a	Records Control Schedule 10-1				

Additional Information

First year of records accumulation **2001**

What will be the date span of the initial transfer of records to the National Archives? **From 2001 To 2006**

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	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

1.2

Research Misconduct Case Records with Minimal Historical Value that are Maintained by ORO Involving Allegations Referred for an Inquiry and/or Investigation

Disposition Authority Number **DAA-0015-2014-0001-0002**

Records with minimal historical value that are maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-1a.

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-1b	Records Control Schedule 10-1

1.3

Disposition Instruction

Cutoff Instruction When case file is closed
Retention Period Destroy 7 year(s) after case is closed or after all claims for or against the VA related to this matter are finalized, whichever is later.

Additional Information

GAO Approval Not Required

Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO Involving Allegations Referred for an Inquiry and/or Investigation

Disposition Authority Number DAA-0015-2014-0001-0003

Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, Inquiry and Investigation reports, all Inquiry and Investigation report attachments and exhibits, transcripts or recordings of interviews conducted during an Inquiry or Investigation, case-related evidence, copies of research records, notifications and decisional letters, and written appeals.

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

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

Disposition Instruction

Cutoff Instruction When case file is closed
Retention Period Destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later

2	Additional Information				
	GAO Approval	Not Required			
	Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation				
	2.1	Research Misconduct Case Records Maintained by ORO			
		Disposition Authority Number	DAA-0015-2014-0001-0004		
	Records maintained by ORO in the course of ORO's oversight of research misconduct cases, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, copies of research records or relevant section thereof, final (issued) notifications and decisional letters, case information sheets (or equivalent case summary documents), draft versions of documents, e-mail correspondence, telephone logs, notes, and other 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?	No			
<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">Manual Citation</td> <td style="width: 50%;">Manual Title</td> </tr> <tr> <td>XLVII-2a</td> <td>Records Control Schedule 10-1</td> </tr> </table>		Manual Citation	Manual Title	XLVII-2a	Records Control Schedule 10-1
Manual Citation	Manual Title				
XLVII-2a	Records Control Schedule 10-1				
2.2	GRS or Superseded Authority Citation	NI-015--06-1-, Item 2			
	Disposition Instruction				
	Cutoff Instruction	When case file is closed.			
	Retention Period	Destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.			
	Additional Information				
	GAO Approval	Not Required			
	Research Misconduct Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO				
	Disposition Authority Number	DAA-0015-2014-0001-0005			

Records created and maintained in the course of responding to allegations of research misconduct, including, but not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, case-related evidence, copies of research records, and notifications and decisional letters.

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-2b	Records Schedule 10-1

Disposition Instruction

Cutoff Instruction When case file is closed.

Retention Period Destroy 7 year(s) after case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.

Additional Information

GAO Approval Not Required

3

Case Records Maintained Throughout VHA for Government-wide suspensions and Debarments Based on Research Impropriety

This item pertains to records that are created and/or used as a result of a recommendation to suspend or debar individuals from participating in Governmentwide nonprocurement activities based on research impropriety. The records are maintained by various VHA offices and at various locations, including VA medical facilities, VISN offices, ORO Central and Regional Offices, and VA Central Office. NOTE: Where applicable, the records are protected from disclosure by exemptions to the Freedom of Information Act (5 United States Code (U.S.C. 552(b)), the Privacy Act (5 U.S.C. 552a), 38 U.S.C. 5701, 5705, and 7332, and the HIPAA Privacy Rule (45 CFR Parts 160 and 164).

3.1

Suspension and Debarment Case Records with Significant Historical Value that are Maintained by ORO

Disposition Authority Number DAA-0015-2014-0001-0006

Records with significant historical value that are created or maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-wide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension

or debarment, final (issued) reports and other documents resulting from a fact-finding process that support the recommendations and decisions, transcripts or recordings of interviews and proceedings, documentary evidence deemed significant for retention by ORO, final (issued) notifications and decisional letters, written requests for reconsideration of decisions, and case information sheets (or equivalent case summary documents).

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-18a	Records Control Schedule 10-1

Disposition Instruction

Cutoff Instruction When case file is closed

Transfer to Inactive Storage Transfer to FRC 7 years after the case is closed or 7 years after all claims for or against VA related to the matter are finalized, whichever is later.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 25 year(s) after case closure

Additional Information

First year of records accumulation 2001

What will be the date span of the initial transfer of records to the National Archives? Unknown
VA ORO has not had to suspend or debar a researcher yet, but criteria for such actions are included in their procedures.

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

3.2 **Suspension and Debarment Case Records with Minimal Historical Value that are Maintained by ORO**

Disposition Authority Number DAA-0015-2014-0001-0007

Records with minimal historical value that are maintained by ORO in the course of ORO's oversight or making of recommendations to institute a Government-

wide suspension or debarment based on research impropriety, including, but not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records not specifically covered by Item XLVII-18a.

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-18b	Records Control Schedule 10-1

Disposition Instruction

Cutoff Instruction When case file is closed

Retention Period Destroy 7 year(s) after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later

Additional Information

GAO Approval Not Required

Suspension and Debarment Case Records Maintained by VA Medical Centers and VHA Offices Other than ORO

Disposition Authority Number DAA-0015-2014-0001-0008

Records created and maintained in the course of recommending or instituting a Governmentwide suspension or debarment based on research impropriety, including, but not limited to, the underlying written recommendation for suspension or debarment, reports and other documents resulting from a fact-finding process that support the recommendations and decisions, transcripts or recordings of interviews and proceedings, documentary evidence, notifications and decisional letters, and written requests for reconsideration of decisions.

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

3.3

Manual Citation	Manual Title
XLVII-18c	Records Control Schedule 10-1

Disposition Instruction

Cutoff Instruction

When case file is closed

Retention Period

Destroy 7 year(s) after after the case is closed or after all claims for or against VA related to the matter are finalized, whichever is later.

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
01/24/2014	Certify	Martin Hill	Program Management Office	Office of Information and Technology - Enterprise Records Service
01/31/2014	Return for Revision	David Weber	for	National Archives and Records Administration - Records Management Services
02/24/2014	Submit For Certification	Jennifer Gary	Program Specialist Records Management	Veterans Health Administration - Health Information Management
03/10/2014	Certify	Martin Hill	Program Management Office	Office of Information and Technology - Enterprise Records Service
08/11/2014	Submit for Concurrence	David Weber	for	National Archives and Records Administration - Records Management Services
08/15/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
08/18/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/20/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Executive Summary

Summary

Department of Veterans Affairs, Veterans Health Administration(VHA), requests disposition authority for records of the Office of Research Oversight. Proposed for permanent retention are misconduct cases involving allegations that are referred for an inquiry or investigation, and misconduct cases that result in suspensions or debarment based on research impropriety. These are permanent because they have significant research value. Proposed for temporary retention are cases which did not merit an investigation or inquiry, duplicate records maintained in other VHA offices, and the work papers and transitory records of the cases which did result in an inquiry or investigation. These are temporary because they lack significant research value.

Permanent Item Numbers	0001, 0006
Federal Register Notice	Required
Publication Date	2014-05-13
Copies Requested	1
Comments Received	1