

Request for Records Disposition Authority

Records Schedule Number DAA-0513-2019-0001
Schedule Status Approved

Agency or Establishment Indian Health Service
Record Group / Scheduling Group Records of the Indian Health Service
Records Schedule applies to Major Subdivision
Major Subdivision Office of Environmental Health and Engineering
Minor Subdivision Division of Sanitation and Facilities Construction
Schedule Subject Sanitation Facilities Construction
Internal agency concurrences will be provided No

Background Information The Division of Sanitation Facilities Construction (DSFC) is the environmental engineering component of the Office of Environmental Health and Engineering (OEHE). The DSFC administers the Sanitation Facilities Construction (SFC) Program, which is responsible for providing technical and financial assistance to Indian tribes and Alaska Native communities for the cooperative development and continuing operation of safe water, wastewater, and solid waste systems, and related support facilities. Sanitation Public Law No. (P.L.) 86-121 authorized the creation of the Indian Health Service (IHS) Sanitation Facilities Construction (SFC) Program. IHS appropriated dollars are used to construct sanitation infrastructure projects in partnership with tribes and tribal organizations nationwide. Projects are established and funding is obligated through the execution of project-specific memoranda of agreement for projects under the direct service provisions of P.L. 86-121, 42 U.S.C. § 2004a; or construction contracts under the Indian Self-Determination and Education Assistance Act, 25 U.S.C. § 5301 et seq.

There are five (5) phases of a sanitation infrastructure project:

- * Project development - project identification; development of an approved Project Development Plan (PDP) and associated obligating documents if funding required;
- * Planning and design - execution of the PDP to help address project risks and define scope, schedule, budget, and quality requirements of project;

- * Formulation of construction documents - transform development plans into tangible construction plans, specifications, and procurement documents that are approved and certified by a Registered Professional Engineer;
- * Construction - construction documents serve as the mechanism to build or install completed structures or systems that are inspected and paid for;
- * Closeout - last phase of the project management lifecycle. During the project closeout phase, a Final Report is created and deliverables are transferred to the final owner and the responsibilities for operation and maintenance by the owner are begun

This schedule documents the disposition authority for records associated with the construction of sanitation projects, from project development through closeout.

Item Count

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

GAO Approval

Outline of Records Schedule Items for DAA-0513-2019-0001

Sequence Number	
1	Sanitation Facilities Construction Project Files
1.1	Completed projects. Disposition Authority Number: DAA-0513-2019-0001-0001
1.2	Incomplete projects. Disposition Authority Number: DAA-0513-2019-0001-0002

Records Schedule Items

Sequence Number	
1	<p>Sanitation Facilities Construction Project Files This records series consists of case files documenting various sanitation-related construction projects in American Indian and Alaska Native communities. Includes, but is not limited to the following types of sanitation infrastructure projects: • cistern water systems • onsite wastewater disposal systems • community sewage collection systems • sewage treatment plants • solid waste collection and disposal systems • source water facilities and treatment systems • water distribution systems • water storage tanks Documentation may include, but is not limited to: • correspondence • memoranda • project proposal • project development plan • project summary • project scope • memorandum of agreement • construction project agreement • environmental reviews • as-built drawings • surveys • construction logs • contract documents • documents related to archaeological clearance • forms (e.g., compliance) • affidavits • photographs • permits • surveys • reports • notes • transfer agreement • notice of completion • final reports</p>
1.1	<p>Completed projects.</p> <p>Disposition Authority Number DAA-0513-2019-0001-0001</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off file upon issuance of the Final Report.</p> <p>Retention Period Destroy 20 year(s) after execution of the Final Report or after replacement of the sanitation system, whichever occurs later, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Incomplete projects.</p>

Disposition Authority Number **DAA-0513-2019-0001-0002**

Consists of sanitation projects that are canceled due to lack of funding or other reasons.

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 **Cut off file upon issuance of the Final Report.**

Retention Period **Destroy 10 year(s) after execution of the Final Report, but longer retention is authorized if required for business use.**

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
07/29/2019	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
09/18/2019	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/18/2019	Submit For Certification	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
11/07/2019	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
12/05/2019	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
12/06/2019	Submit For Certification	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
12/06/2019	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
12/11/2019	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
12/11/2019	Submit For Certification	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
12/11/2019	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services

04/21/2020	Submit for Concurrency	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/11/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/19/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist