

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> <table border="0"> <tr> <td data-bbox="345 982 755 1014">Disposition Authority Number</td> <td data-bbox="763 982 1516 1014">DAA-0513-2019-0001-0001</td> </tr> <tr> <td data-bbox="345 1052 755 1083">Final Disposition</td> <td data-bbox="763 1052 1516 1083">Temporary</td> </tr> <tr> <td data-bbox="345 1108 755 1140">Item Status</td> <td data-bbox="763 1108 1516 1140">Active</td> </tr> <tr> <td data-bbox="345 1165 755 1197">Is this item media neutral?</td> <td data-bbox="763 1165 1516 1197">Yes</td> </tr> <tr> <td data-bbox="345 1222 755 1346">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td data-bbox="763 1222 1516 1346">Yes</td> </tr> <tr> <td data-bbox="345 1371 755 1455">Do any of the records covered by this item exist as structured electronic data?</td> <td data-bbox="763 1371 1516 1455">No</td> </tr> <tr> <td colspan="2" data-bbox="345 1480 1516 1512">Disposition Instruction</td> </tr> <tr> <td data-bbox="345 1537 755 1568">Cutoff Instruction</td> <td data-bbox="763 1537 1516 1568">Cut off file upon issuance of the Final Report.</td> </tr> <tr> <td data-bbox="345 1593 755 1625">Retention Period</td> <td data-bbox="763 1593 1516 1755">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.</td> </tr> <tr> <td colspan="2" data-bbox="345 1780 1516 1812">Additional Information</td> </tr> <tr> <td data-bbox="345 1837 755 1869">GAO Approval</td> <td data-bbox="763 1837 1516 1869">Not Required</td> </tr> </table> | Disposition Authority Number | DAA-0513-2019-0001-0001 | 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 | Cut off file upon issuance of the Final Report. | 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. | Additional Information | | GAO Approval | Not Required |
| Disposition Authority Number | DAA-0513-2019-0001-0001 | | | | | | | | | | | | | | | | | | | | | | |
| 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 | Cut off file upon issuance of the Final Report. | | | | | | | | | | | | | | | | | | | | | | |
| 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. | | | | | | | | | | | | | | | | | | | | | | |
| Additional Information | | | | | | | | | | | | | | | | | | | | | | | |
| GAO Approval | Not Required | | | | | | | | | | | | | | | | | | | | | | |
| 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 |

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|------------|------------------------|------------------|---|---|
| 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 |