

Ref No 7 47244

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Education

2. MAJOR SUBDIVISION
Office for Civil Rights

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Lea Guarraia

5. TEL EXT

245-7211

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JOB NO
NCI-12-81-1

DATE RECEIVED
October 10, 1980

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

11-6-80 *[Signature]*
Date Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 12 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 9/29/80	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Norma Fenwick</i>	E. TITLE <i>Management Analyst</i>
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	Attached is a comprehensive records disposition schedule for the Office of Civil Rights. Items 1 through 14 were approved previously as part of Disposition Job NCI-235-80-1 when OCR was part of the Office of the Secretary, Department of Health, Education and Welfare.		

44 items

*Closed Out: 11-10-80: K.T.D.
Copies sent to Agency, NNF, NNR & NNS
Copies to FRC: 4-27-81: K.T.D.
WNEC*

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01	<p><u>Education Discrimination Review Files</u></p> <p>Case files developed in investigating complaints and in reviewing elementary, secondary and higher education programs to determine if these programs are in compliance with Federal laws which prohibit discrimination on the basis of race, color, national origin, sex, age and physical and mental handicaps in federally-assisted programs. These records are created in response to Title VI of the Civil Rights Act of 1974, Title IX of the Higher Education Amendments of 1972, and Section 504 of the Rehabilitation Act of 1973.</p> <p><u>Disposition:</u></p> <p>a. <u>Headquarters:</u> Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for five years. Destroy 15 years after cutoff.</p> <p>b. <u>Regions:</u> Cutoff at the close of the fiscal year in which the case is resolved, and transfer to the FARC after the case has been inactive for two years. Destroy 15 years after cutoff.</p>		
02	<p><u>Request for ESAA Assistance</u></p> <p>Documents accumulated in determining the eligibility of school districts to receive financial assistance under the Emergency School Aid Act (ESAA). Documents in these files include the notification of eligibility supporting evidence, requests for waivers, Secretary's response concerning granting or denial of the waiver, and related correspondence and documentation.</p> <p><u>Disposition:</u></p> <p>Cutoff annually following final determination of school district's eligibility for ESAA funds, in any one particular funding period. Transfer to FARC when case has been inactive for five years. Destroy 15 years after cutoff.</p>		

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03	<p><u>Reports of Monitoring Visits</u></p> <p>Reports and background documents developed as a result of monitoring visits in regional offices. Reports are used in evaluating the conduct of regional investigations.</p> <p><u>Disposition:</u></p> <p>Cutoff annually after report is prepared, destroy three years after cutoff.</p>		
04	<p><u>Civil Rights Investigative Manuals</u></p> <p>Procedural manuals prepared by the Special Projects and Procedures Division for the conduct of civil rights investigations in regional offices. The manual is used to assist investigators in determining problems, analyzing data, using statistical information, and similar techniques relating to investigations.</p> <p><u>Disposition:</u></p> <p>a. <u>Superseded pages.</u> Destroy two years after supersession, or when no longer needed for administrative purposes, whichever is earlier.</p> <p>b. <u>Background paper.</u> Destroy six months after final action on projec, or three years after completion of project if no final action is taken.</p>		
05	<p><u>Adams Order files and Related Cases</u></p> <p>Files developed in responding to the ADAMS court order requiring DHEWA to monitor state-wide higher education desegregation policies and plans. Under the order, the Department was required to issue criteria for removing vestiges of segregation in six states. These file consist of copies of legal documents, evaluation reports of state activities in higher education, plan correspondence, and similar documents.</p>		

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	<p><u>Disposition:</u></p> <p>PERMANENT: Cutoff at the close of the fiscal year following a determination by DHEW or the courts that all states cited in the ADAMS order have a unitary system, and transfer to the FARC five years after cutoff. Offer to NARS after 20 additional year.</p>		
06	<p><u>Assurance of Compliance Statements</u></p> <p>Statements from an educational or health facility assuring OCR that the facility is in compliance with Federal laws in federally-funded projects.</p> <p><u>Disposition:</u> Destroy on change of implementing regulation or repeal of enabling legislation, whichever is appropriate.</p>		
07	<p><u>Statistical Surveys (Edited and unedited survey forms)</u></p> <p>Annual and bi-annual statistical data submitted to and used by OCR in monitoring the compliance status pursuant to Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973. (Excluding ADAMS surveys).</p> <p><u>Disposition:</u> Cutoff annually after being superseded by next survey. Transfer to FARC five years after cutoff. Destroy 15 years after cutoff.</p> <p>NOTE: Recurring OCR statistical surveys conducted during the years 1968 through 1978 shall be cutoff at the end of FY 80, transferred to the FARC at the end of FY 85, and destroyed at the end of FY 95. (One-time surveys will not become inactive until superseded by the next survey of the same data.)</p>		

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08	<p><u>Big Cities Review Files</u></p> <p>Files developed in the special, comprehensive review of urban school systems in New York, Philadelphia, Chicago, and Los Angeles to determine if these systems are in compliance with Title VI, Title IX and Section 504. Included are contracts and related materials, monthly progress reports, preliminary analyses, final narrative reports, administrative files.</p> <p><u>Disposition:</u></p> <p>a. Contract records. See General Records Schedule (GRS) 3, Item 4, Routine Procurement files.</p> <p>b. Monthly progress reports and preliminary analyses. Destroy with related contract records.</p> <p>c. Final narrative reports. PERMANENT. Offer to NARS on completion of project. (Arranged by name of report. Volume: 4 reports).</p>		
09	<p><u>Case Management Data Files</u></p> <p>Forms and reports used for management purposes in monitoring the investigation of Civil Rights cases.</p> <p><u>Disposition:</u></p> <p>a. <u>Open Case System:</u></p> <p>1. <u>Monthly Case Control Forms:</u> Cutoff annually, destroy two years after cutoff.</p> <p>2. <u>Closed Case Control Forms:</u> Cutoff annually, destroy two years after cutoff.</p> <p>3. <u>Time Sheets:</u> Cutoff annually, destroy one year after cutoff.</p> <p>4. <u>Case Disposition Report:</u> Cutoff annually, destroy two years after cutoff:</p> <p>b. <u>Closed Case System:</u> Printout reports. Cutoff annually, destroy one year after cutoff.</p>		

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10	<p><u>Letters of Findings (LOF)</u></p> <p>A comprehensive file of all letters of findings for complaints and compliance reviews issued by regional offices. These files are maintained by OMA for budget analysis to determine when compliance reviews should be conducted, for program analysis to identify precedential cases, and for purposes of administrative management.</p> <p><u>Disposition:</u></p> <p>OCR/OMA: Cutoff annually after issuance of LOF. Transfer to Washington National Records Center (WNRC) four years after cutoff. Destroy ten years after cutoff.</p>		
11	<p><u>Case Production Statistical Data</u></p> <p>Data developed in analyzing case workloads on a national and regional basis. Charts or reports are prepared from this data to compare regional progress and MITS objectives, and to chart regional progress in each complaint and compliance review category.</p> <p><u>Disposition:</u></p> <p>Destroy when no longer needed for administrative purposes.</p>		
12	<p><u>Early Warning Reports</u></p> <p>Reports of letters of findings prepared by the regions and ready for release. These reports are evaluated by headquarters staff to determine if there is reason to withhold immediate release.</p> <p><u>Disposition:</u></p> <p>Cutoff annually after preparation of report, destroy two years after cutoff.</p>		

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13	<p><u>Special Problems and Requirements Survey</u></p> <p>Reports developed from interviews with regional officials concerning workload, records, staff needs, and staff efficiency. These reports are used by management personnel to analyze problems in the regions and to develop solutions to ensure better management.</p> <p><u>Disposition:</u></p> <p>Cutoff annually, destroy four years after cutoff.</p>		
14	<p><u>Conference Briefing Reports</u></p> <p>Reports developed on a particular region in anticipation of a conference with the Regional Director. These reports are summaries of regional activities, and provide information on complaint processing, compliance reviews, compliance with the ADAIS order, and administrative matters.</p> <p><u>Disposition:</u></p> <p>Cutoff annually destroy one year after cutoff.</p>		
15	<p><u>Case Information Management System (CIMS)</u></p> <p>This automated system of files monitors each complaint or case of discrimination filed with OCR from the initial action to final resolution. The system contains background to the complaint, the action taken by OCR to investigate and resolve the complaint, the amount of time spent by OCR personnel, and the final disposition. The system produces a series of reports which document the number and types of complaints and the effectiveness of OCR's investigative and enforcement activities and techniques.</p> <p>Input documents to the system are scheduled in item 9a, and reports from the system are scheduled in item 9b.</p>		

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16	<p><u>Disposition:</u></p> <p>a. <u>Input or initial data files.</u> Destroy after input into the system and no longer needed for reconstruction of the master data base.</p> <p>b. <u>Processing files.</u> Destroy after master data base files have proved satisfactory.</p> <p>c. <u>Master data base files.</u> Destroy when no longer needed for agency use.</p> <p>d. <u>Print or publication files.</u> Destroy upon issuance of reports or publications.</p> <p><u>Elementary and Secondary School Civil Rights Surveys</u>, biennial starting in 1968. 1-2 tapes per survey.</p> <p>The machine-readable data files are compiled from OCR Forms 101 and 102 which are designed to assist in monitoring the progress of desegregation in elementary and secondary schools nationwide.</p> <p>Information on the student body is broken down by race, ethnicity, and sex at the system, school and classroom levels. Staff data is also included in the 1968, 1970, and 1972 files.</p> <p>Related textual records are scheduled in item <u>07</u>.</p> <p><u>Disposition:</u></p> <p>a. <u>Final edited master.</u> PERMANENT. Transfer to the National Archives biennially as preparation of the final master is completed.</p> <p>b. <u>Copies of the final master at headquarters used for in-house reference or analysis.</u> Destroy when no longer needed for <i>agency use.</i> <i>StB</i></p> <p>c. <u>Copies of the final master in regional offices used for in-house reference or analysis.</u> Destroy when no longer needed for agency use.</p>		

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17	<p><u>Limited Elementary and Secondary School Civil Rights Surveys</u>, biennial in 1969, 1971, and 1973. 1-2 tapes per survey.</p> <p>These machine-readable data files were compiled from OCR Forms 101 and 102 as in item 16 above, but they cover only a small portion of the systems included in even years surveys. The limited surveys were discontinued after 1973.</p> <p>Related textual records are scheduled in item 07.</p> <p><u>Disposition:</u></p> <p><u>1. Final edited master tape, copies used for in-house reference or analysis at headquarters and in regional offices.</u> Destroy when no longer needed for agency use.</p>		
18	<p><u>Big Cities or Urban School Review Files (Equal Education Services Review)</u>, 1973-data. Approximately 700 tapes.</p> <p>These machine-readable data files were compiled as part of the special comprehensive review of urban school systems in New York City, Philadelphia, Chicago, and Los Angeles conducted to determine if these systems are in compliance with Title VI, Title IX, and Section 504. Data begins in 1973 for New York and in 1975 for the other three cities. The master data base is continuously updated from tapes sent per OCR request primarily from the cities, but also from state and federal agencies. The data collection began as a shotgun approach, gathering a wide range of information in New York; when the other cities were added to the review, however, the scope was gradually narrowed and more specific concerns for each city were identified.</p> <p>Related textual records are scheduled in 08.</p>		

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19	<p style="text-align: center;"><u>Disposition:</u></p> <p>a. <u>Original input tapes</u> (approximately 200 tapes) received from cities, states, and federal agencies which are needed for legal backup of master data base as proof of what data was submitted. PERMANENT. Offer to National Archives as soon as no longer needed for project or upon termination of the project, whichever is sooner.</p> <p>b. <u>Copies of original input tapes</u> (approximately 200 tapes) made by OCR which are cleaned, edited, and used for updating and merging new data with master file. Destroy when no longer needed for project.</p> <p>c. <u>Processing tapes</u> (approximately 250 tapes). Destroy after most recent update of the master file has proven satisfactory.</p> <p>d. <u>Master data base</u> (equivalent to approximately 50 tapes). PERMANENT. Transfer to the National Archives at termination of project according to FPMR 101-11.411-9.</p> <p><u>ADAMS Files</u> (Files on Progress in Implementing Statewidew Higher Education Desegregation Plans), annual since 1975. Approximately 3 tapes per survey.</p> <p>These machine-readable data files are compiled annually to monitor desegregation plans in the public higher education systems of several states cited as part of an order in <u>Adams v. Califano</u> litigation: Arkansas, Florida, Georgia, North Carolina, Oklahoma, Pennsylvania, and Virginia. The files are compiled from yearly surveys known by progressive numbers (e.g., the OCR 1000 Survey was taken in 1975, the OCR 2000 Survey was taken in 1976, and so on).</p>		

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20	<p>The surveys contain detailed information collected in October of each year on employees of colleges, universities, and state agencies and governing boards related to higher education; applications, acceptances, and actual enrollments for each college's student body; financial assistance granted; degrees and other formal awards conferred; and progression of students in higher education programs.</p> <p>Related textual records are scheduled in item 05.</p> <p><u>Disposition:</u></p> <p>a. <u>Program and print tapes</u> (1-2 tapes per survey). Destroy when no longer needed for agency use.</p> <p>b. <u>Final clean master file</u> (1 tape per survey). PERMANENT. Transfer to National Archives annually as soon as preparation of final master is completed.</p> <p>c. <u>Copies of final master at headquarters</u> used for in-house reference and analysis. Destroy when no longer needed for agency use.</p> <p>d. <u>Copies of final master in regional offices</u> used for in-house reference and analysis. Destroy when no longer needed for agency use.</p> <p><u>Higher Education Civil Rights Survey Files</u>, biennial in 1968, 1970, 1972, and 1974. 1 tape per survey.</p> <p>These machine-readable data files were compiled biennially from Forms OS-10 and OS-34 to assist in monitoring desegregation in institutions of higher education nationwide.</p>		

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21	<p>information for full and part-time students is broken down by race, ethnicity, and sex. the survey was discontinued after 1974.</p> <p>Related textual records are scheduled in item - 07.</p> <p><u>Disposition:</u></p> <p>a. <u>Final edited master.</u> PERMANENT. Transferred to the National Archives per NC3-235-80-1.</p> <p>b. <u>Copies of the final master at headquarters</u> used for in-house reference or analysis. Destroy when no longer needed for agency use.</p> <p>c. <u>Copies of the final master in regional offices</u> used for in-house reference or analysis. Destroy when no longer needed for agency use.</p> <p><u>Machine-Readable Files for One-Time or Short-Term Studies or Projects</u></p> <p>OCR personnel frequently engage in one-time short-term studies or projects on a wide range of topics. They usually entail extracting and manipulating data from the large data files created or held by OCR which are listed separately in this schedule. The projects might focus on a particular school system or state, or they might compare data on a particular topic from several selected geographic areas.</p> <p><u>Disposition:</u></p> <p>a. <u>Tapes containing extracts of data or reformatted data from OCR files previously scheduled.</u> Destroy tapes at termination of project or when no longer needed for reference or analysis.</p> <p>b. <u>Tapes containing data in addition to that contained in OCR files previously scheduled.</u> Submit SF-115, Request for Disposition Authority, to NARS.</p>		