

Revised

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-237-09-6	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 11-17-2009 -	
1 FROM (Agency or establishment) Federal Aviation Administration		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of Civil Rights			
3 MINOR SUBDIVISION DBE Compliance, AWP-9			
4 NAME OF PERSON WITH WHOM TO CONFER Nancy Cibic, DOORS Lead and DBE Program Specialist	5 TELEPHONE NUMBER 847-294-7182	7-17-09 5-15-09 updated 7-17-09	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/13/09	SIGNATURE OF AGENCY REPRESENTATIVE [Signature of Katrina Thomas]		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See next page and Attachments.		

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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION
1.	<p>DBE Office Online Reporting System (DOORS). (Under Title VI, 49 CFR § 26 and 23, Disadvantaged Business Enterprise (DBE) and Airport Concession DBE (ACDBE) Programs) The purpose of the system is to track and automate DBE and ACDBE accomplishment report data and information, create unique data and information reports, provide users with an easier method of submitting required reports, reduce report errors, allow automatic calculations of data, and eliminate the need for submission of paper copy Specifically for FAA, the application simplifies accomplishment data aggregation, allows for unique report generation, and simplifies trend analysis.</p> <p>The FAA uses DOORS data and information to submit annual statistical reports to DOT and OST identifying airport grant recipients' total annual dollars of prime and subcontracts awarded, DBE prime and subcontracts awarded, total annual concession revenue and total annual DBE concession revenue The FAA also uses data and information in DOORS to respond to Freedom of Information Action (FOIA) requests, legal hearings and other legal matters pertaining to the DBE and ACDBE Programs The functional area that these electronic records support is 1400 Civil Rights Programs – 10 Maintaining the history records in DOORS is imperative.</p> <p>The system automatically totals and calculates and produces the data and information inputs as different types of reports either on the official Uniform Forms in PDF, spreadsheet or HTML accessibility formats. In addition, the system sends automatic email notification messages to airport users and FAA DBE Program Specialists when data and information is added or edited</p> <p>The attached DBE and ACDBE uniform accomplishment forms describe the content, purpose, and function of the records in this application The legal basis for DOORS may be found at http://osdbu.dot.gov/DBEProgram/index.cfm</p> <p>The DOORS application currently contains 1,320 airport grant recipient users and 15 FAA DBE Program administration users The records contained in DOORS span from FY-2004 to FY-2008 and ongoing. There is no privacy information contained in DOORS</p> <p>Explanation of the Disadvantaged Business Enterprise (DBE) Program.</p> <p>The U.S. Department of Transportation's DBE program provides a vehicle for increasing the participation by minority business enterprises (MBEs) in state and local government procurement DOT DBE regulations require state and local transportation agencies that receive DOT financial assistance, to establish goals for the participation of DBEs. Each DOT-assisted State and local transportation agency is required to establish annual DBE goals, and review the scopes of anticipated large prime</p>	

contracts throughout the year and establish contract-specific DBE subcontracting goals

Three major DOT operating administrations are involved in the DBE program, Federal Highway Administration (FHWA), the Federal Aviation Administration (FAA) and the Federal Transit Administration (FTA). The DOORS application is specific to FAA

DBE Program Requirements for Airport Grant Recipients

The FAA Airports Division awards grants to U.S. airports annually under the Airport Improvement Program (AIP) http://www.faa.gov/airports_airtraffic/airports/resources/publications/orders/media/aip_5100_38c.pdf. There are several grant assurances that an airport receiving an AIP grant must abide by, one of which is compliance with the DBE program requirements.

The DBE Program requires U.S. airports that receive AIP grants and award contracts of \$250,000 or more (including construction, professional services and some equipment) within a fiscal year, must submit a DBE program and goals to the FAA on August 1 prior to the upcoming fiscal year in which the grant is being awarded. The airport must also submit DBE accomplishments pertaining to that goal on December 1 of the following fiscal year (for example, a goal submitted for FY-10 on August 1, 2009, must have an accomplishment pertaining to that goal submitted on December 1, 2010).

In addition, U.S. primary airports (airports having 10,000 or more enplanements annually) that have annual concession revenue in excess of \$200,000 for car rental concessions and \$200,000 for other than car rental concessions, are required to have an ACDBE program and submit goals and accomplishments to the FAA. Separate goals are required for car rental and other than car rental concessions.

- a. INPUTS - are made electronically by airports or FAA DBE Program Specialists who have an approved user account. Inputs replace the official paper copy submission of the forms

The titles of the official forms are

- 1) Uniform Report of DBE Awards or Commitments and Payments
- 2) Uniform Report of ACDBE Participation

Disposition: Temporary. Maintained by the system as a reference copy, if used. Cutoff annually on September 1. Destroy 5 years after cut off

- b. INPUTS - are made electronically by airports or FAA DBE Program Specialists who have an approved user account. Inputs replace paper copy submission of the forms. These are FAA created forms with no legal basis.

New Item

- 3) Report of Certified ACDBE Form
- 4) FAA Report of Certified DBE Contractors Used on FAA Assisted Contracts.

Disposition. TEMPORARY. Maintained by the system as a reference copy, if used Cutoff annually on September 1 Destroy 5 years after cut off.

b DBE and ACDBE Accomplishment Data (Master file) including

1) FAA-Assisted Contracts Accomplishments

- a. **DBE Awards** - AIP grant dollars construction, professional services and equipment contractors, sub-contractors and DBE contractors and sub-contractors participation Includes date submitted, fiscal year being reported, AIP grant number, name and address of airport, and name and phone number of person submitting the report. Maintained by the system as a reference for U.S airport grant recipients, FAA DBE Program Specialists, Department of Transportation (DOT) and the Office of the Secretary (OST)

Disposition Temporary Disposition TEMPORARY
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- b. **DBE Contractors** - Description of DBE firms (name, address, phone number, type of project work, dollar amount of project work and race or gender of firm) that were used by the airport's contractors and contractors on projects

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2) Airport Concessions Accomplishments.

- a. **ACDBE Participation** - Annual accomplishment revenue or gross receipts generated by prime and sub-concessions, management contracts, goods, services and car rental concession firms. Includes date submitted, fiscal year being reported, name and address of airport, and name and phone number of person submitting the report Maintained by the system as a reference for U S. airport grant recipients, FAA DBE Program Specialists Department of Transportation (DOT) and the Office of the Secretary (OST)

Disposition TEMPORARY Cutoff annually on
September 1. Destroy 10 years after cut off.

- b. **ACDBEs** - Description of ACDBE firms reported (name,
address, phone number, dates of contract agreement, type
of concessions work, dollar amount of annual revenue
generated, and race or gender of firm

Disposition. TEMPORARY. Maintained by the system as
a reference copy. Cutoff annually on September 1
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