

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
 Department of Transportation

2. MAJOR SUBDIVISION  
 Office of the Secretary

3. MINOR SUBDIVISION  
 Office of Small and Disadvantage Business Utilization

4. NAME OF PERSON WITH WHOM TO CONFER  
 Marie A. Hendricks

5. TELEPHONE  
 202-366-1930

**LEAVE BLANK (NARA use only)**

JOB NUMBER  
 NI. 398.94-3

DATE RECEIVED  
 2/22/94

**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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
 9-11-95

ARCHIVIST OF THE UNITED STATES  
*John W. Carl*

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 3 page(s) are not now needed for the business of 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,

is not required;  is attached; or  has been requested.

DATE  
 2-17 '94

SIGNATURE OF AGENCY REPRESENTATIVE  
*David H. Parker, Sr.*

TITLE  
 OST Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>OFFICE OF SMALL AND DISADVANTAGE BUSINESS UTILIZATION</p> <p>This office provides policy direction for minority, women-owned and small and disadvantage business participation in the Department's procurement and Federal financial assistance activities.</p> <p><del>Small Business 8(a) Pilot Program - These files consist of the implementing the DOT/SBA Pilot Program as authorized by Public Law 95-507. The Pilot Program ended at DOT on 9/30/87.</del></p> <p><del>DISPOSITION: PERMANENT Transfer to National Archives October 1994.</del></p>		

SEP 19 1995      copies to agency      WREC 7/7/98  
 MNU      NNT  
 Redman 119-12122      NNE

ACTION TAKEN  
(NARA USE ONLY)

2. DOT Short Term Lending Program: These files contains applications for assistance in obtaining loan guarantee for projects under the 8(a) program. Files consist of corporate and personal financial data, company historical and personal information on owners and key employees.

a. Applicants who received loans.

DISPOSITION: Destroy 7 years after date of last approval.

b. Applicants who did not receive loans.

DISPOSITION: Destroy 3 years after date of application.

c. Applicants who default on loans.

DISPOSITION: Destroy 3 years after loans are determined uncollectible.

3. DOT Bonding Assistance Program: These files contain applications for bond assistance in obtaining bond guarantees for projects under the 8(a) program. Files consist of corporate and personal financial data, company historical and personal information of owners and key employees.

a. Applicants who received bonding assistance.

DISPOSITION: Destroy 7 years after date of last approval.

b. Applicants who did not receive bonding assistance.

DISPOSITION: Destroy 3 years after date of application.

c. Applicants who default on bonds.

DISPOSITION: Destroy 3 years after bonds are determined uncollectible.

ACTION TAKEN  
(NARA USE ONLY)

4. Minority Enterprise Small Business Investment Corporation (MESBIC): These files consist of information from various corporations, the Fulcrum Board of Directors and Opportunity Fund, the Opportunity Capital Corporation, and the Rutgers Minority Investment Corporation. These corporations are responsible for the purchasing of stock for the Small Business Investment Companies.

DISPOSITION: PERMANENT - Transfer to FRC 3 after file becomes inactive. Transfer to National Archives 10 years after file becomes inactive.

5. ~~Minority Business Resource Center (MBRC) Advisory Committee~~. These files consist of transcripts, agenda, a record of persons present, a complete and accurate description of matters discussed and advice or recommendations to the Secretary, the Deputy Secretary or Director.

~~DISPOSITION: PERMANENT-Transfer to the National Archives when one cubic foot of records is created.~~

6. ~~Cooperative Agreements~~: These files consist of agreements between DOT and minority chambers of commerce and minority trade associations to facilitate 8(a) clients and disadvantage business enterprises (DBE) to obtain government contracts.

~~DISPOSITION: Destroy 3 years after termination of agreement.~~

7. Minority Business Resource Center (MBRC) Historically Black Colleges and Universities (HBCUs) Program: These records consist of files from various HBCUs that have been awarded grants for administering transportation relate programs.

DISPOSITION: PERMANENT-Transfer to FRC 3 years after completion of grant. Transfer to the National Archives 10 years after completion of grant.

See page 3A

WITHDRAWN

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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
5.	<p>Minority Business Resource Center (MBRC) Advisory Committee. These files consist of transcripts, agenda, a record of persons present, a complete and accurate description of matters discussed and advice or recommendations to the Secretary, the Deputy Secretary or Director.</p> <p>DISPOSITION: PERMANENT Cutoff files annually. Transfer to the National Archives when 10 years old.</p>		