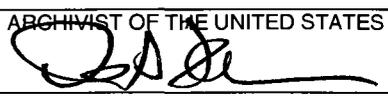


REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-406-09-18	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8/24/09	
1 FROM (Agency or establishment) U S. Department of Transportation		NOTIFICATION TO AGENCY In accordance with the provisions 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Federal Highway Administration			
3 MINOR SUBDIVISION Federal-Aid Divisions (Field Offices) – Civil Rights			
4. NAME OF PERSON WITH WHOM TO CONFER Victor S. Wagher	5 TELEPHONE NUMBER 202-366-6672	DATE 20th 2009	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>6</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 August 7, 2009	SIGNATURE OF AGENCY REPRESENTATIVE Victor S. Wagher		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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	This schedule covers Civil Rights records of the Federal-Aid Divisions (field offices) of the Federal Highway Administration (FHWA). This schedule supersedes SF 115 job number NCI-406-85-4, approved by the Archivist of the U.S. on November 13, 1986. Items marked with an asterisk (*) may contain sensitive and/or personal identifiable information and require controlled access and handling to safeguard against a breach of information (<i>Privacy Act of 1974</i> and the <i>Federal Information Security Management Act of 2002</i>).		

1	<p>Administrative Files. Correspondence, memoranda, and related material of a general nature that are concerned with the overall Civil Rights functional responsibilities of the office</p> <p>DISPOSITION Cut off at end of fiscal year Destroy 3 years after cutoff</p>	NC1-406-85-4/1	
2 *	<p>Affirmative Action Plans. Files reflecting the State's good faith effort to eliminate past and present discrimination in all federally assisted programs, and to ensure future non-discriminatory practices</p> <p>DISPOSITION. Cut off at end of fiscal year. Destroy 3 years after cutoff</p>	NC1-406-85-4/2	
3 *	<p>Areawide Plans. Affirmative action plans and related record and report material approved by the Department of Labor to increase minority and female utilization in crafts of the construction industry in a specified geographical area pursuant to EO 11246, as amended and taking the form of either a "Hometown" or an "Imposed Plan" "Hometown Plans" are voluntary and "Imposed Plans" are mandatory.</p> <p>DISPOSITION Place in closed case file when case is closed Cut off closed case file at end of fiscal year Transfer to Federal Records Center (FRC) 6 years after cutoff Destroy 9 years after cutoff</p>	NC1-406-85-4/3	
4 *	<p>Equal Employment Opportunity (EEO) Training Plan Files. EEO agreements, memoranda and related correspondence on approved minority employment plan</p> <p>DISPOSITION Cut off at end of fiscal year Transfer to FRC 6 years after cutoff Destroy 10 years after cutoff</p>	NC1-406-85-4/4	
5 *	<p>Civil Rights Special Projects. Correspondence and related material on promoting women, minorities, and employment of the handicapped, etc Includes both the FHWA program and program contractors and State DOTs' conduct</p> <p>DISPOSITION Cut off at end of fiscal year Destroy 5 years after cutoff</p>	NC1-406-85-4/5	
6 *	<p>Contract Compliance Reviews. Reviews made by Civil Rights officials to determine whether contractors are in compliance with EEO contract</p>	NC1-406-85-4/6 NC1-406-85-4/7	

	<p>procedures Files consist of review scheduling, contractor modification, preliminary analysis, onsite verifications and interviews, exit conferences, compliance determinations and formal notifications, data relating to administration of contracts Includes reviews of a sensitive nature of special interest or procedure, in which contractors have been offered to have requested hearings regarding their non-compliance with Federal EEO regulations</p> <p>DISPOSITION: Place in closed case file after completion of review. Cut off closed case file at end of fiscal year. Transfer to FRC 3 years after cutoff Destroy 7 years after cutoff</p>		
7	<p>EEO Assurances. Correspondence documenting the States' responses to a requirement by the Federal Highway Act of 1968 to develop effective programs to ensure provisions for equal employment opportunity in the employment of Federally assisted contractors</p> <p>DISPOSITION: Cut off at end of fiscal year Transfer to FRC 2 years after cutoff Destroy 5 years after cutoff</p>	NC1-406-85-4/8	
8 *	<p>EEO Complaints. Discrimination complaints filed with State Highway agencies against contractors by employees of the State and contractor pursuant to title 23 U.S.C.</p> <p>DISPOSITION: Place in inactive file after resolution of case Cut off closed case file at end of fiscal year Destroy 4 years after cutoff</p>	GRS 1/25A	
9 *	<p>Disadvantage Business Enterprise (DBE) Files. Information, policy and correspondence relative to the utilization of minority and women contractors and subcontractors on Federal-aid construction projects, include reports periodically received from the Divisions, State highway agencies, and contractors relative to the utilization of minority and women contractors</p> <p>DISPOSITION: Cut off at end of fiscal year. Transfer to FRC 3 years after cutoff. Destroy 9 years after cutoff</p>	NC1-406-85-4/10	
10	<p>Compliance Reports Division office file copies of timely reporting to Washington offices in various formats on the administration, progress, and</p>	GRS 1/25D2	

	<p>documentation of the FHWA/DOT Civil Rights program within the States, including contract compliance, EEO assurances, and non-discrimination practices—Used for periodic reviews—</p> <p>DISPOSITION—Cut off at end of fiscal year—Destroy 3 years after cutoff—</p>		
11 *	<p>Show Cause Notices. Written notifications and related correspondence to contractors based on the determinations of noncompliance with EEO requirements</p> <p>DISPOSITION: Maintain for 30 days in separate file and then transfer to Compliance Review File See item 6</p>	NC1-406-85-4/12	
12 *	<p>On the Job Training (OJT) and DBE Supportive Services Files. Files related to programs designed to support the funding of the external training programs</p> <p>DISPOSITION Cut off at end of fiscal year Transfer to FRC 2 years after cutoff Destroy 5 years after cutoff</p>	NC1-406-85-4/14	
13 *	<p>Title VI Program Areas. Files that reflect the technical implementation of Title VI in each program area</p> <p>DISPOSITION Cut off at end of fiscal year Transfer to FRC 3 years after cutoff Destroy 6 years after cutoff</p>	NC1-406-85-4/15	
14 *	<p>Title VI Reviews. Files indicating that a Title VI recipient is either in compliance or noncompliance with Title VI requirements or can demonstrate that every good faith effort towards achieving this end has been made</p> <p>DISPOSITION Cut off at end of fiscal year Destroy 5 years after cutoff.</p>	NC1-406-85-4/16	
15 *	<p>Title VI External Complaints. Complaints based on act (or action) whether intentional or unintentional, through which a person in the U S solely because of race, color, religion, sex, or national origin, has been excluded from participation in, denied the benefits of, or has been otherwise subjected to unequal treatment under any program or activity for which the recipient receives Federal assistance from DOT, including FHWA, under Title</p>	New	

	23, U S C		
16	<p>DISPOSITION· Maintain for as long as the related incident, project or environmental issue is open Place in closed case file when case is closed Cut off closed case file at end of fiscal year Destroy 3 years after cutoff.</p> <p>Limited English Proficiency Files. Include Limited English Proficiency Program agreements, memoranda, and related correspondence on issues related to transportation users with English as a second language</p> <p>a Limited English Proficiency Program agreements</p> <p>DISPOSITION Retain until superseded/updated, then destroy when no longer needed for business needs</p> <p>b All other files</p> <p>DISPOSITION Cut off at end of fiscal year Destroy 4 years after cutoff</p>	New	
17	<p>Minority Institutes of Higher Education Files. Include correspondence and related material on promoting women and minorities with regard to transportation careers Includes both the FHWA program and State DOTs' conduct</p> <p>DISPOSITION Cut off at end of fiscal year Destroy 4 years after cutoff</p>	New	
18 *	<p>Internal Discrimination Complaints. Files consisting of acts or actions whether intentional or unintentional through which a person in the U S , solely because of race, color, religion, sex, or national origin, has been excluded from participation in, denied the benefits of, or has been otherwise subjected to unequal treatment under any program or activity within FHWA</p> <p>DISPOSITION Place in inactive file after resolution of case Cut off inactive file at end of fiscal year Destroy 4 years after cutoff</p>	New	
19	<p>Americans with Disabilities Act (ADA) Program Files Files include correspondence, self-evaluation and transition plans, and other ADA-related documentation not covered elsewhere in this</p>		

	<p>schedule</p> <p>DISPOSITION Maintain as long as the ongoing complaint or issue exists Keep the most current versions of transition plans Cut off when complaint or issue expires and when updated versions of transition plans are created Destroy 3 years after cutoff</p>		
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