

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

*Rec'd. NCD 11 Aug 80*

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JOB NO	<i>ok</i> <b>NC1-406-80-4</b>
DATE RECEIVED	<b>August 15, 1980</b>
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	<i>8-26-80</i> <b>James E. O'Neill</b> <i>Acting</i> Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of Transportation

2. MAJOR SUBDIVISION  
Federal Highway Administration

3. MINOR SUBDIVISION  
Civil Rights

4. NAME OF PERSON WITH WHOM TO CONFER  
Frank Rubis

5. TEL EXT  
426-0534

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 6 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 <i>2/26/80</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> John H. Schnackenberg	E. TITLE Chief, Organization and Management Programs Division
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1.	<u>Administrative</u> . Correspondence, memoranda and related material of a general nature that are concerned with the overall functional responsibilities of the office.  Disposition: Transfer to records center when 2 years old. Destroy when 5 years old.	NC406-75-3 Item 1	
2.	<u>Affirmative Action Plan</u> . Files reflecting FHWA's (Headquarters and regions) good faith effort to eliminate past and present discrimination in all federally assisted programs, and to ensure future nondiscriminatory practices.  Disposition: Destroy when 2 years old.	NC406-75-3 Item 2	
3.	<u>Areawide Plans</u> . 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.	NC406-75-3 Item 3	

*26 items*

*to WARC, agency, NNF - 8/27/80*  
*Closed out: 8-29-80: K.T.D.*

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	Disposition: Transfer files to the records center 6 years after completion of the plan. Destroy 3 years later.		-
4.	<u>Budget Material.</u> Budget submissions sent to FHWA budget office and correspondence on budget submissions. Budget estimates showing the amount of money requested for FHWA by DOT from Congress.  Disposition: Destroy records when 3 years old.		-
5.	<u>Consolidated Compliance Reviews.</u> Reviews and evaluations of all significant construction employment in a specific geographical area.  Disposition: Destroy 3 years after completion of review.		
6.	<u>Contract Compliance Reviews.</u> Reviews made by Civil Rights officials to determine whether contractors are in compliance with EEO contract procedures. Files consist of review scheduling, contractor notification, preliminary analysis, onsite verifications and interviews, exit conferences, compliance determinations and formal notifications.  Disposition: Transfer to the records center 2 years after completion of review. <del>Destroy when 3 years old.</del> <i>PTB:1/1/80</i> Destroy 5 years after completion of review.	NC406-75-3 Item 6	
7.	<u>Contract Compliance Reviews (Special Cases).</u> Contract compliance reviews of a sensitive nature of special interest, or procedure, in which contractors have been offered or have requested hearings regarding their noncompliance with Federal EEO regulations.  Disposition: Transfer to records center 1 year after completion of review. <del>Destroy when 4 years old.</del> <i>4 years after completion of review.</i>		
8.	<u>Coordinations.</u> Proposed actions that the Office of Civil Rights has commented on and those that the Office has requested comments on.  Disposition: Destroy when 2 years old.		
9.	<u>EEO Assurances.</u> 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.	NC406-75-3 Item 7	

## Request for Records Disposition Authority - Continuation

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10.	Disposition: Transfer files to records center when 2 years old. Destroy when 5 years old.  <u>EEO Compliance Reviews.</u> Files documenting each State's total highway agency program, including the affirmative action plans for insuring compliance with Federal requirements both in State highway agency internal employment and in employment on Federal-aid construction projects.  Disposition: Transfer to Federal Records Center when 2 years old. Destroy when 5 years old.	NC406-75-3 Item 9	
11.	<u>EEO Internal Training Material.</u> Files are related to programs designed to assist minorities and women in receiving training to increase their participation and upward mobility in the skill crafts on highway projects. They consist of correspondence, statistical data and directives in support of the EEO programs.  Disposition: Transfer files to Federal records center when 2 years old. Destroy when 8 years old.	NC406-75-3 Item 9	
12.	<u>External Complaints.</u> Discrimination complaints filed with FHWA against contractors by employees of the contractor stating that an act or an 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 receiving financial assistance from FHWA under title 23, U.S.C.  Disposition: Destroy records 3 years after case is closed.	NC406-75-3 Item 84	
13.	<u>Internal Discrimination Complaints.</u> 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.  Disposition: <del>Destroy files when 2 years old.</del> USE General Records Schedule 1, Item 26a	NC406-75-3 Item 85	

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14.	<p><u>Internal Management.</u> Correspondence, memoranda and related material that deal with the internal management and operation of the division.</p> <p>Disposition: Destroy files when 3 years old.</p>		
15.	<p><u>Job Applications.</u> Composed of SF-171's of potential job applicants for the Office of Civil Rights.</p> <p>Disposition: Destroy applications when 1 year old.</p>		
16.	<p><u>Minority Business Enterprise (MBE).</u> Files contain information on businesses that are at least 50 percent owned by minority group members or in the case of publicly owned businesses at least 51 percent of the stock is owned by minority group members.</p> <p>Disposition: Transfer to records center when 3 years old. Destroy when 9 years old.</p>	NC4-6-75-3 Item 12	
17.	<p><u>Reference Files.</u> Contain copies of information used as ready reference in subjects of current or on-going interest. These files may contain copies of publications, directives, pictures, correspondence and the like. Official file copies are not to be placed in these files nor are the files to be considered pending files where official file copies are kept on a tentative basis.</p> <p>Disposition: Destroy <sup>in agency</sup> when no longer needed.</p>		
18.	<p><u>Special Projects.</u> Files contain records of projects with contractors whereby contractors train special minority groups such as Indians and Asian Americans to increase their participation in the highway programs.</p> <p>Disposition: Transfer to records center when 2 years old. Destroy when 5 years old.</p>		
19.	<p><u>Supportive Services.</u> Files related to programs designed to support the funding of the external training program.</p> <p>Disposition: Transfer to records center when 2 years old. Destroy when 5 years old.</p>		
20.	<p><u>Reports.</u> Reports from the regions reflecting progress and implementation of the Contract Compliance Program in the field.</p> <p>Disposition: Destroy files when 3 years old.</p>		

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21.	<p><u>Show Cause Notices.</u> Written notifications and related correspondence to contractors based on the determinations of the reviewer (or in appropriate cases by higher level authority) to be in noncompliance with the equal opportunity requirements. The notice informs the contractor of the specific basis for the determination and provides the opportunity, within 30 days from receipt, to present any explanation why sanctions should not be imposed.</p> <p>Disposition: Maintain for 30 days in separate file and then transfer to appropriate compliance review file, for disposal according to Item 6 of this schedule.</p>	NC406-75-3 Item 15	
22.	<p><u>Title VI Assurances.</u> State assurances and related material. Title 49, CFR, Part 21 requires assurances from States that no person in the U.S. shall, on the grounds of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the recipient receives federal assistance from DOT, including FHWA.</p> <p>Disposition: <sup>In agency</sup> Destroy when superseded.</p>	NC406-75-3 Item 20	
23.	<p><u>Title VI External Complaints.</u> 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 receiving financial assistance from FHWA under Title 23 U.S.C.</p> <p>Disposition: Establish open and closed files. Destroy 3 years after case is closed.</p>		
24.	<p><u>Title VI Reviews.</u> 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: Destroy files <del>when 6 years old.</del> <i>6 years after completion of review.</i></p>	NC406-75-3 Item 21	
25.	<p><u>Title VI Program Areas.</u> Files for all the program areas such as right-of-way and planning that reflect the technical implementation of Title VI in that particular area.</p>		

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<p>RB sta/SS AH</p> <p>26.</p>	<p>Disposition: <del>Transfer to records center when 3 years old.</del>  <del>Offer to NARS when 6 years old.</del> Destroy when 10  years old.</p> <p>Youth Opportunity Program (YOP). Files contain information on the YOP program which is a program to actively promote employment opportunities for disadvantaged youths, ages 16-21, by FHWA, State highway agencies, contractors, subcontractors, consultants, motor carriers, and county and local governments. The activity offers affirmative action potential for employment of minorities and women consistent with FHWA Civil Rights Equal Opportunity Program.</p> <p>Disposition: Transfer to the records center when 2 years old. Destroy when 5 years old.</p>	<p>NC406-75-8 Item 22</p>	<p>-</p> <p>-</p>