

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-398-94-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/12/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 4, 5, and 7 remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 1 and 6 were withdrawn.

Items 2a, 2b, 2c, 3a, 3b, and 3c were superseded by GRS 1.1, item 100 (DAA-GRS-2018-0003-0002).

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

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SUPERSEDED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)

OFFICE OF SMALL AND DISADVANTAGE BUSINESS UTILIZATION

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.

1

~~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.~~

~~DISPOSITION: PERMANENT Transfer to National Archives October 1994.~~

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

SEP 19 1995

THU

copies to agency

WREC 7/7/98

Redman 117-13132

NNT
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**

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER
N1-398-94-3PAGE
3A OF

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>		