

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 1 of 8

SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
Training, Conferences, Meetings: One copy of each manual, syllabus, textbook, and other training aid developed by the agency.	N1-448-01-2; Item 11a	PART III -- DIVISION OF MANAGEMENT AND ADMINISTRATION PROGRAMS: Permanent. Cut off file at end of calendar year and hold in office. Transfer to FRC three calendar years after cut off. Transfer to NARA seven calendar years after cut off.	Paper: Cubicle #1, Filing Cabinet #A, Drawers 1,2,3, and 4 Paper: Hall filing cabinet #D, Drawer 1	Robert Backlin
Quality Control Audits and Accountability Reviews: Hard copy	N1-448-01-2; Item 13a	PART IV - DIVISION OF PROGRAM OPERATIONS DISPOSITION: Temporary. Maintain in office. Destroy two years after end of calendar year or when no longer needed in current operation, whichever is earlier.	Digital: https://usdol.sharepoint.com/sites/OFCCP/MidWest/MinneapolisAO/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FOFCCP%2FMidWest%2FMinneapolisAO%2FShared%20Documents%2FAccountability%20Reviews Paper: Supervisors Office, Locked Filing Cabinet #4	Robert Backlin

Reviewed by (Supervisor) and Date:

A. Benson 01/09/2018

Approved by (Agency Records Officer) and Date:

Last Revised:

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 2 of 8

<p align="center">SERIES TITLE & RECORD DESCRIPTION</p>	<p align="center">RECORD SCHEDULE</p>	<p align="center">DISPOSITION AUTHORITY & INSTRUCTIONS</p>	<p align="center">RECORDS LOCATION</p>	<p align="center">RECORDS CUSTODIAN</p>
<p>Contract Compliance Activity: Log of Incoming correspondence and log of Certified Mail.</p>	<p>N1-448-01-2; Item 17h</p>	<p>PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Destroy 1 calendar year after contractor compliance action has been completed.</p>	<p>DIGITAL: https://usdol.sharepoint.com/sites/OFCCP/MidWest/MinneapolisAO/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FOFCCP%2FMidWest%2FMinneapolisAO%2FShared%20Documents%2F%23%20ADMIN%20%2D%20MPLS%5FROBB%2FMail%20%26%20Fax%20Log</p>	<p>Robert Backlin</p>
<p>Compliance Evaluation Files: No Discrimination was found and conciliation agreement was reached.</p>	<p>N1-448-01-2; Item 19a</p>	<p>PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Retain in office three calendar years after administrative/legal action (including judicial) is completed or case otherwise is closed; then transfer to FRC. Break file at end of calendar year. Destroy seven calendar years after case closure</p>	<p>Paper: Supply Room Filing Cabinets #2 thru #9, Drawers A thru D</p>	<p>Robert Backlin</p>

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 3 of 8

SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
<p>Compliance Evaluation Files: Compliance evaluations where discrimination was found and no settlement reached.</p>	N1-448-01-2; Item 19b	<p>PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Retain in office three years after administrative/legal action (including judicial) is completed or case otherwise is closed then transfer to FRC. Break in file at end of calendar year. Destroy seven calendar years after close of Case.</p>	Paper: Supply Room Filing Cabinets #2 thru #9, Drawers A thru D	Robert Backlin
<p>Conciliation Agreement Files:</p>		<p>PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Maintain with case file until case file is destroyed as directed by the RO.</p>	Paper: Supply Room Filing Cabinets #2 thru #9, Drawers A thru D	Robert Backlin
<p>Complaints: Copies of complaints referred to EEOC and other agencies</p>	N1-448-01-2; Item 32b	<p>PART IV – DIVISION OF PROGRAM OPERATIONS: TEMPORARY. Maintain in the</p>	Paper: Supply Room Filing Cabinet #1, Drawer A	Robert Backlin

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 4 of 8

SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
		office and destroy one calendar year after referral.		
Complaints: Record of complaints determined to be within the jurisdiction of OFCCP and investigated by OFCCP	N1-448-01-2; Item 32c	PART IV – DIVISION OF PROGRAM OPERATIONS: TEMPORARY. Break file at the end of the calendar year. Retain in active files until case is resolved. Retire to inactive file for a period of four calendar years; in case of appeal of findings in the discrimination case. Maintain in the office and destroy four calendar years after case is resolved.	Paper: Supply Room Filing Cabinet #1, Drawers A, B, C, D and E.	Robert Backlin
Budgeting Records: Budget Execution Records	GRS 1.3	DAA-GRS-2015-0006-0002: Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.	Paper: Filing Cabinet #A, Drawer 1	Robert Backlin
Employee Management Records: Employee performance file system records.	General Records Schedule 2.2; Item 070	DAA-GRS-2015-0007-0008: Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.	Paper: ADD Locked Cabinet #4	Nathaniel Jackson

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 5 of 8

<p align="center">SERIES TITLE & RECORD DESCRIPTION</p>	<p align="center">RECORD SCHEDULE</p>	<p align="center">DISPOSITION AUTHORITY & INSTRUCTIONS</p>	<p align="center">RECORDS LOCATION</p>	<p align="center">RECORDS CUSTODIAN</p>
<p>Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)). Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404</p>				
<p>Employee Management Records: Employee performance file system records. Unacceptable performance appraisals of non-senior executive service employees. Appraisals of unacceptable performance for non-senior executive service employees (as</p>	<p>General Records Schedule 2.2; Item 071</p>	<p>DAA-GRS-2017-0007-0009: Temporary. Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.</p>	<p>Paper: ADD Locked Cabinet #4</p>	<p>Nathaniel Jackson</p>

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 6 of 8

SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
--	----------------------------	---	-------------------------	------------------------------

<p>defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p>				
<p>Employee Management Records: Supervisors' personnel files. Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p>	<p>General Records Schedule 2.2; Item 80</p>	<p>DAA-GRS-2015-0007-0012: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	<p>Paper: ADD Locked Cabinet #4</p>	<p>Nathaniel Jackson</p>

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 7 of 8

SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
Employee Relations Records: Administrative grievance files;	General Records Schedule 2.3; Items 060, 061 and 062	DAA-GRS-2015-0007-0017; 0018; and 0023: Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed.	Paper: ADD Locked Cabinet #4	Nathaniel Jackson
Employee Relations Records: Adverse Action files.	General Records Schedule 2.3; Item 061	DAA-GRS-2015-0007-0018: Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed.	Paper: ADD Locked Cabinet #4	Nathaniel Jackson
Employee Relations Records: Performance-based action files.	General Records Schedule 2.3; Items 062	DAA-GRS-2015-0007-0023: Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed.	Paper: ADD Locked Cabinet #4	Nathaniel Jackson
Notice of Contractor Award: Federal agencies who get government contracts are required to notify the appropriate regional office of OFCCP within ten (10) days of each construction contract or subcontract award of \$10,000 or more.	N1-448-01-2; Item 14a	Temporary. Break file at the end of the calendar year. Maintain in office and destroy when 3 calendar years.	Paper: Hall Filing Cabinet #C, Drawer 1	Robert Backlin

OFCCP FILE PLAN

Division/Regional Office: Midwest Region

Front Office/Branch/District/Area: Minneapolis Area Office

Page 8 of 8

<p align="center">SERIES TITLE & RECORD DESCRIPTION</p>	<p align="center">RECORD SCHEDULE</p>	<p align="center">DISPOSITION AUTHORITY & INSTRUCTIONS</p>	<p align="center">RECORDS LOCATION</p>	<p align="center">RECORDS CUSTODIAN</p>
<p>Records management program records. Records related to the policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management.</p>	<p>General Records Schedule 4.1; Item 020</p>	<p>DAA-GRS-2013-0002-0007: Temporary. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>Digital: https://usdol.sharepoint.com/sites/OFCCP/MidWest/MinneapolisAO/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FOFCCP%2FMidWest%2FMinneapolisAO%2FShared%20Documents%2F%23%20ADMIN%20%2D%20MPLS%5FROBB%2FRecords%20Mgmt%20Files Paper: EOA's Desk, File Cabinet B, Drawer 1.</p>	<p>Robert Backlin</p>