

## OFCCP FILE PLAN

Division/Regional Office: Southwest and Rocky Mountain Region

Front Office/Branch/District/Area: Houston District Office

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SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
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<p>SUPPLY &amp; SERVICE COMPLIANCE EVALUATION FILES: no discrimination found or informal conciliation/settlement reached; discrimination found and no settlement reached</p>	<p>N1-448-01-2; Item 19a &amp; 19b</p>	<p>TEMPORARY. Retain in office three (3) calendar years after administrative/legal action (including judicial) is completed or case is otherwise closed; then transfer to FRC. Break file at end of the calendar year. Destroy seven (7) years after case closure.</p>	<p>PAPER FILES: (2013) File Cabinet #8, Drawer C-D (2015) File Cabinet #9, Drawer A-D (2015) File Cabinet #10, Drawer A-D (2014) File Cabinet #11, Drawer A-B (2015) File Cabinet #11, Drawer C-D (2014) File Cabinet #12, Drawer A-D (2014) File Cabinet #13, Drawer D (2015) File Cabinet #14, Drawer A (2016) File Cabinet #14, Drawer B-D (2016) File Cabinet #15, Drawer A (2017) File Cabinet #15, Drawer B (2018) File Cabinet #15, Drawer C-D</p>	<p>Karen N. Hyman</p>
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<p>CONSTRUCTION COMPLIANCE EVALUATION FILES: no discrimination found or informal conciliation/settlement reached; discrimination found and no settlement reached</p>	<p>N1-448-01-2; Item 19a &amp; 19b</p>	<p>TEMPORARY. Retain in office three (3) calendar years after administrative/legal action (including judicial) is completed or case is otherwise closed; then transfer to FRC. Break file at end of the calendar year. Destroy seven (7) years after case closure.</p>	<p>PAPER FILES: File Cabinet #5, Drawer A File Cabinet #6, Drawer A-D File Cabinet #7, Drawer A-D</p>	<p>Karen N. Hyman</p>
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<p>COMPLAINT INVESTIGATION FILES: referrals to EEOC and other agencies</p>	<p>N1-448-01-2; Item 32b</p>	<p>TEMPORARY. Maintain in office and destroy one (1) calendar year after referral.</p>	<p>PAPER FILES: File Cabinet #5, Drawers C-D</p>	<p>Karen N. Hyman</p>
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<p>COMPLAINT INVESTIGATION FILES: complaints investigated by OFCCP</p>	<p>N1-448-01-2; Item 32c</p>	<p>TEMPORARY. Break file at the end of the calendar year. Retain inactive files until the case is resolved. Retire to inactive files for four (4) calendar years; in case of an appeal of findings in the discrimination case. Maintain in office and destroy four (4) calendar years after case is resolved.</p>	<p>PAPER FILES: File Cabinet #5, Drawers C-D</p>	<p>Karen N. Hyman</p>
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Reviewed by (Supervisor) and Date: *Karen N. Hyman* 01/31/2019

Approved by (Agency Records Officer) and Date: \_\_\_\_\_

Last Revised: \_\_\_\_\_

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<p>HISTORICAL FILES: Folder 6</p> <p>HISTORICAL FILES: Congressional Inquiries</p> <p>RECORDS MANAGEMENT TRACKING AND CONTROL RECORDS: records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule.</p>	<p>Unscheduled</p> <p>Unscheduled</p>	<p>PERMANENT. Retain permanently per FCCM.</p> <p>PERMANENT. Treat as permanent until scheduled.</p>	<p>File Cabinet #3, Drawers B – E File Cabinet #4, Drawers A – E (Salt Lake City, UT) File Cabinet #21-22, Drawers A-E; File Cabinet 23 A-D (New Orleans) File Cabinet 24, Drawers A-E</p> <p>File Cabinet #3, Drawers A</p>	<p>Karen N. Hyman</p> <p>Karen N. Hyman</p>
<p>READING FILES: Copies of all external correspondence</p>	<p>Unscheduled</p>	<p>TEMPORARY. Destroy when no longer needed.</p> <p>PERMANENT. Treat as permanent until scheduled.</p> <p>TEMPORARY. DIGITAL: Destroy one (1) calendar year after contractor compliance action has been completed. PAPER FILES: SCN maintained in the File Folder 2: Chronology; Destroy with case file when seven (7) years old.</p>	<p>File Cabinet #3, Drawer A</p> <p>File Cabinet 2, Drawers B-C</p>	<p>Karen N. Hyman</p> <p>Regional Office</p>
<p>CONTRACT COMPLIANCE ACTIVITY LOG: log of Show Cause Notices to contractors to show why administrative/legal sanctions should not be imposed.</p>	<p>N1-448-01-2; Item 17f</p>	<p>TEMPORARY. DIGITAL: Destroy after one (1) calendar year. PAPER FILES: Maintained in the File Folder 2: Chronology; Destroy with case file when seven (7) years old.</p>	<p>PAPER FILES: File Folder 2: Case Chronology – Left Side; File Cabinets, Drawers referenced above for Compliance Evaluations and Compliant Investigations.</p>	<p>Karen N. Hyman</p> <p>Regional Office</p>
<p>CONTRACT COMPLIANCE ACTIVITY LOG: log of incoming correspondence, certified mail</p>	<p>N1-448-01-2; Item 17h-i</p>	<p>TEMPORARY. DIGITAL: Destroy after one (1) calendar year. PAPER FILES: Maintained in the File Folder 2: Chronology; Destroy with case file when seven (7) years old.</p>	<p>PAPER FILES: File Folder 2: Case Chronology – Left Side; File Cabinets, Drawers referenced above for Compliance Evaluations and Compliant Investigations.</p>	<p>Karen N. Hyman</p>

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<p>CONCILIATION AGREEMENT FILES: written agreements between contractors and OFCCP that detail specific contractor commitments to resolve alleged violations set forth in the agreement</p>	<p>N1-448-01-2; Item 22a</p>	<p>TEMPORARY. DIGITAL. Break file at the end of the calendar year. Maintain in office for three (3) calendar years or until the agreement is satisfied whichever is longer, then destroy. PAPER FILES: CA maintained in the File Folder 2: Chronology; Destroy with case file when seven (7) years old.</p>	<p>PAPER FILES: File Folder 2: Case Chronology – Right Side &amp; File Folder 6 – Right Side; File Cabinets, Drawers referenced above for Compliance Evaluations and Compliant Investigations.</p>	<p>Regional Office  Karen N. Hyman</p>
<p>EXTENSION FILES: records of extensions granted to complete compliance evaluations and complaint investigations of federal contractors</p>	<p>N1-448-01-2; Item 25a</p>	<p>TEMPORARY. Break file at the end of the calendar year. Maintain in office until the extension has expired not to exceed one (1) calendar year, and then destroy.</p>	<p>PAPER FILES: File Folder 2 – Right Side; File Cabinets, Drawers referenced above for Compliance Evaluations and Compliant Investigations.</p>	<p>Regional Office  Karen N. Hyman</p>
<p>JOINT REVIEW COMMITTEE FILES: documents, including minutes, associated with meetings between the Department's Solicitor's Office and OFCCP concerning open cases</p>	<p>N1-448-01-2; Item 26a</p>	<p>TEMPORARY. Maintain in office until no longer needed for reference, and then destroy.</p>	<p>PAPER FILES: File Folder 2 – Right Side; File Cabinets, Drawers referenced above for Compliance Evaluations and Compliant Investigations.</p>	<p>Karen N. Hyman</p>
<p>EMPLOYEE MANAGEMENT RECORDS (GRS 2.2): Acceptable performance appraisals of non-senior executive service employees.</p>	<p>DAA-GRS-2017-0007-0008 Item 070</p>	<p>TEMPORARY. Destroy no sooner than four (4) years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>PAPER FILES: District Director's Office</p>	<p>Karen N. Hyman</p>
<p>EMPLOYEE MANAGEMENT RECORDS (GRS 2.2): Unacceptable performance appraisals of non-senior executive service employees.</p>	<p>DAA-GRS-2017-0007-0009 Item 071</p>	<p>TEMPORARY. Destroy after employee completes one (1) year of acceptable performance from the date of written advance notice of proposed removal or</p>	<p>PAPER FILES: District Director's Office</p>	<p>Karen N. Hyman</p>

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EMPLOYEE RELATIONS RECORDS (GRS 2.3): Alternative Dispute Resolution (ADR) Records correspondence	DAA-GRS-2015-0007-0001 Item 010	Reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.  DESTROY when three (3) years old, but longer retention is authorized if required for business use.	DIGITAL: HDO Management	Karen N. Hyman
EMPLOYEE RELATIONS RECORDS (GRS 2.3): Reasonable accommodation employee case files - Individual employee files created, received, and maintained by EEO reasonable Accommodation. Includes: request approvals and denials, forms, correspondence, medical records	DAA-GRS-2015-0007-0005 Item 021	TEMPORARY. Destroy three (3) years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.	PAPER FILES: Assistant Director (K) Office	Karen N. Hyman
EMPLOYEE RELATIONS RECORDS (GRS 2.3): Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as Non-bargaining agency employees.	DAA-GRS-2015-0007-0017 Item 060	TEMPORARY. Destroy no sooner than four (4) years but no less than seven (7) years after case is closed.	DIGITAL: HDO Mgt. PAPER FILES: District Director's Office	Karen N. Hyman
EMPLOYEE RELATIONS RECORDS (GRS 2.3): Adverse action files. Case files and records related to effected adverse actions against employees.	DAA-GRS-2015-0007-0018 Item 061	TEMPORARY. Destroy no sooner than four (4) years but no less than seven (7) years after case is closed.	PAPER FILES: District Director's Office	Karen N. Hyman
EMPLOYEE RELATIONS RECORDS (GRS 2.3): Performance-based action files.	DAA-GRS-2015-0007-0023 Item 062	TEMPORARY. Destroy no sooner than four (4) years but no less than seven (7) years after case is closed.	PAPER FILES: District Director's Office	Karen N. Hyman

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Case files and records related to effected performance based actions against employees. Includes: performance appraisal, improvement plan, supporting documents, copy of the proposed performance-based action, employee's reply				
<b>EMPLOYEE RELATIONS RECORDS (GRS 2.3):</b> Telework /alternate worksite records. Forms, requests, or applications to participate in telework/alternate worksite programs.	DAA-GRS-2015-0007-0021 Item 081	TEMPORARY. Destroy one (1) year after end of employee's participation in the program, but longer retention is authorized if required for business use.	PAPER FILES: District Director's Office	Karen N. Hyman
<b>EMPLOYEE COMPENSATION AND BENEFITS RECORDS GRS (2.4):</b> Time and attendance records. Sign-in/sign-out records, time cards, leave applications and approvals	DAA-GRS2016-00150003 Item 030	TEMPORARY. Destroy when 3 years old or after GAO audit, whichever is sooner.	PAPER FILES: Assistant Director (K) Office	Karen N. Hyman
<b>EMPLOYEE SEPARATION RECORDS (GRS 2.5):</b> Individual employee separation case files.	DAA-GRS2014-00040003 Item 020	TEMPORARY. Destroy one (1) year after date of separation or transfer but longer retention is authorized if required for business use.	PAPER FILES: District Director's Office	Karen N. Hyman