

OFCCP FILE PLAN

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SERIES TITLE & RECORD DESCRIPTION	RECORD SCHEDULE	DISPOSITION AUTHORITY & INSTRUCTIONS	RECORDS LOCATION	RECORDS CUSTODIAN
CONTRACT COMPLIANCE ACTIVITY LOG: Log of Complaint Appeals and Conciliation agreements between OFCCP and Contractors	NI-448-01-2-Item 17 (a and b)	PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Maintain in office and transfer to FRC when 3 calendar years old. Destroy when 10 calendar years old.	PAPER: Filing Cabinet #4-11 and 20, Drawers 1 through 5 from top.	Alexis Pagan
CONTRACT COMPLIANCE ACTIVITY LOG: Log of Show Cause Notices, incoming correspondence, log of certified mail, and tracking logs.	NI-448-01-2-Item 17 (f, h i and j)	PART IV – DIVISION OF PROGRAM OPERATIONS: Temporary. Show Cause Notices: Destroy 1 calendar year after contractor compliance action has been completed. All others: Destroy after 1 calendar year.	PAPER: Filing cabinet #1, drawer 1 from the top.	Alexis Pagan
COMPLIANCE EVALUATION FILES: Compliance evaluations where either no discrimination has been found or where informal conciliation/settlement has been reached; Compliance evaluations where discrimination was found and no settlement reached.	NI-448-01-2-Item 19 (a and b)	PART IV – DIVISION OF PROGRAM OPERATION: Temporary. Retain in office 3 calendar years after case is closed; then transfer to FRC. Break file at end of calendar year. Destroy 7 calendar years after case closure.	PAPER: Filing cabinet #4-11 and 20, drawers 1 through 5 from top.	Alexis Pagan
COMPLIANCE EVALUATION FILES:	NI-448-01-2-Item 19 (c)	PART IV: DIVISION OF PROGRAM OPERATIONS:	DIGITAL: Electronic Records On CO Computers	

Reviewed by (Supervisor) and Date:

Tracey Mills - 11/8/2018

Approved by (Agency Records Officer) and Date:

Candice Spalding 01-07-2019

Last Revised:

10/30/2018

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Electronic copies of records of documents produced using e-mail or work processing.		Temporary. Delete when record keeping copy has been created or when no longer needed for updating reference, distribution, or electronic dissemination, whichever is later.		Alexis Pagan
COMPLIANCE EVALUATION FILES: All Decrees entered into by DOL/Justice/OFCCP/EEOC and Federal Contractors.	NI-448-01-2-Item 20 (b)	PART IV – DIVISION OF PROGRAM OPERATION: Temporary. Break at end of calendar year. Maintain in office. Transfer to FRC on termination of decree. Destroy six years after termination.	PAPER: Filing cabinet #4-11 and 20, drawers 1 through 5 from top.	Alexis Pagan
COMPLIANCE EVALUATION FILES: Contractor's Affirmative Action Plans.	NI-448-01-2-Item 21 (a)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Maintain in office and destroy 3 calendar years from date of submission to agency.	PAPER: Filing cabinet #4-11 and 20, drawers 1 through 5 from top.	Alexis Pagan
COMPLIANCE EVALUATION FILES: Contractor's AAPs-Electronic Records.	NI-448-01-2-Item 21 (b)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Delete when record keeping copy has been created or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.	DIGITAL: Electronic Records On CO Computers	Alexis Pagan

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CONCILIATION AGREEMENT FILES: A binding written agreement between a contractor and OFCCP that details specific contractor commitment to resolve the alleged violations set forth in the agreement. May also include all follow-up files.	NI-448-01-2-Item 22 (a)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Break file at end of calendar year. Maintain in office for three calendar years or until the agreement is satisfied whichever is longer, then destroy.	PAPER: Filing cabinet #4-11 and 20, drawers 1 through 5 from top.	Alexis Pagan
CONCILIATION AGREEMENT FILES- Electronic Records	NI-448-01-2- ITEM 22 (b)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Delete when record keeping copy has been created or when no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.	DIGITAL: https://usdol.sharepoint.com /sites/OFCCP/Northeast/	Alexis Pagan
DEBARMENTS AND REINSTATEMENT FILES: Electronic Records	NI-448-01-2- Item 23 (b)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Delete when record keeping copy has been created or when no	DIGITAL: http://dolcontentdev.opadev.dol.gov/ofccp /regs/compliance/preaward/debarlst.htm	Alexis Pagan

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		longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.		
JOINT REVIEW COMMITTEE FILES AND EXTENSION FILES: Documents, including minutes, associated with meetings between the Department's Solicitor's Office and OFCCP concerning open cases; Records of extensions granted to complete compliance evaluations and complaint investigations.	Ni-448-01-2- Items 25 (a) and 26 (a).	PARTIV: DIVISION OF PROGRAM OPERATIONS: Temporary, JRC Files: Maintain in office until no longer needed for reference, then destroy. Extension files: Break file at the end of the calendar year. Extension Files: Maintain in office until the extension has expired not to exceed one calendar year, then destroy.	PAPER: Filing cabinet #4-11 and 20, drawers 1 through 5 from top.	Alexis Pagan
JOINT REVIEW COMMITTEE FILES AND EXTENSION FILES: Electronic Records	NI-448-01-2- Items 25 (b) and 26 (b).	PART IV: DIVISION OF PROGRAM OPERATIONS Temporary: Delete when record keeping copy has been created or when no	DIGITAL: Electronic Records On CO Computers	Alexis Pagan

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		longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.		
COMPLAINTS AGAINST GOVERNMENT CONTRACTORS: Records created in receipt and processing of complaints filed pursuant to the Executive Order and Acts. (Does not include reports of complaints recommended for enforcement.) Includes:				
(a) Copies of all duplicate documents relating to the	NI-448-01-2- Item 32 (a).	PART IV: DIVISION OF PROGRAM OPERATIONS Temporary. Maintain in the office and destroy when three months old.	PAPER: Filing cabinet #17, top drawer.	Alexis Pagan

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acknowledgement and referral for action to Regional Offices or other sources for complaints of discrimination (excluding those which were investigated and/or administrative action taken.)				
(b) Copies of complaints referred to EEOC and other agencies for proper disposition under Title VII of the Civil Rights Act of 1964.	NI-448-01-2- Item 32 (b).	PART IV: DIVISION OF PROGRAM OPERATIONS Temporary. Maintain in the office and destroy one calendar year after referral.	PAPER: Filing cabinet #17, top drawer.	Alexis Pagan

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(c) Records of complaints determined to be within the jurisdiction of OFCCP and investigated by OFCCP.	NI-448-01-2-Item 32 (c)	PART IV: DIVISION OF PROGRAM OPERATIONS Temporary. Break at the end of the calendar year. Train 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: Filing cabinet #17, top drawer.	Alexis Pagan
(d) All cases that are recommended for administrative enforcement under the jurisdiction of Executive Order 11246, as amended, the Rehabilitation Act of 1973, as	NI-44801-2-Item 32 (d)	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Break at the end of the calendar year. Train 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.	PAPER: Filing cabinet #16 & 17, drawers 2, 3 and 4 from top.	Alexis Pagan

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amended, and 38 U.S.C. the Vietnam Era Veterans Readjustment Assistance Act of 1974m as amended or the Civil Rights Act of 1964.		Maintain in the office and destroy four calendar years after case is resolved.		
LEGAL DETERMINATIONS AND OPINIONS:				
(a) Legal Opinions rendered by SOL and other judiciary, legal determinations and opinions concerning EO laws, rules and/or regulations. Also includes correspondence relating to legal and judicial	NI-448-01-2-Item 43 (a).	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Maintain in office. Break file at end of calendar year. Transfer to FRC five calendar years after superseded or canceled. Destroy when 20 calendar years old.	PAPER: Filing cabinet #1 drawer 2 from the top.	Alexis Pagan

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matters not involving specific cases (law firms, SOL, etc.)				
(b) Electronic record produced using e- mail or work processing.	NI-448-01-2- Item 34 (b).	PART IV: DIVISION OF PROGRAM OPERATIONS: Temporary. Delete when record keeping has been created or no longer needed for updating, reference, distribution, or electronic dissemination, whichever is later.	DIGITAL: Electronic Records On CO Computers	Alexis Pagan