

27 Oct 81

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NCL-317-82-1
DATE RECEIVED	October 23, 1981
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	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	12 Nov. 1981 Edward Weldon Acty. Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)
U. S. Department of Labor

2. MAJOR SUBDIVISION
Labor-Management Services Administration

3. MINOR SUBDIVISION
Pension and Welfare Benefit Programs

4. NAME OF PERSON WITH WHOM TO CONFER
Paul M. Fitzpatrick

5. TEL. EXT
523-6859

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 4 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	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
9/22/81	Elaine Jackson	Departmental Records Officer		<p><u>LMSA Records Schedule No. 9</u></p> <p>The Employee Retirement Income Security Act of 1974 (ERISA) requires administrators of private pension and welfare plans to file descriptions of those plans with DOL/PWBP; to provide plan participants with easily understandable summaries of plans; and to report annually on the financial operations of the plans and the persons charged with handling plan funds and assets. The plan description is reported on the EBS-1 form; the annual financial report is the DOL 5500; and the summaries of the plans are the Summary Plan Description. The ERISA report forms are maintained on microfiche, except for the one-time two-page EBS-1 Plan Description which is on microfilm. The Summary Plan Description will also be maintained on microfiche.</p> <p>This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506. The master films shall be inspected every two (2) years in accordance with 41 CFR 101-11.507.2.</p> <p><u>This schedule pertains to the disposition of PWBP records in the Office of Reports and Disclosure only.</u></p>		6 items

115-107 Agency copy picked up 11/16/81. Closed Out: 12/14/81
Mass Data Change Sheet Not Required. Copy to ACO, NWF, NCSA
STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
GSA FPMR (41 CFR) 101-11.4

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Office of Reports and Disclosure

Definitions:

Originals - original paper copies submitted to DOL

Working copy - one diazo copy of microfiche or one copy of the microfilm maintained in PWBP.

Master copy - one silver copy of the microfiche or one silver copy of the microfilm maintained by the contractor from which working copies can be made.

1. Plan Descriptions. Form EBS-1 and amended Form EBS-1

Dispositions:

a. Originals (paper copy) Retain originals until they have been inventoried, microfiched, and the quality control test of the microfiche is completed; ~~held in DOL for five years, then destroy.~~

b. Working copy microfiche (one diazo copy)

(1) Active Plans. Remove from file three years after receipt of an updated (amended) report, then destroy.

(2) Terminated Plans. Remove from file three years after receipt of terminated report, then destroy.

(3) Merged Plans. Remove from file three years after receipt of merged report, then destroy.

~~c. Master copy microfiche (silver copy). Maintain the master copy microfiche of all plan descriptions (active, terminated and merged plans) for 3 months, then transfer to the Federal Records Center (FRC) for forty years; then destroy.~~

*DUAL/EFJ
per telecon
11/12/81*

*RAM/EFJ, RG
per telecon
11/12/81*

*withdrawn
per telecon 11/12/81
RAM/EFJ/RG
Eff - 12/8/81*

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF
3 of 4

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Annual Reports.</u> Form 5500, 5500-C, 5500-K and Schedules A and B (Form 5500), and supporting documents including accountants' reports and actuaries' reports.</p> <p><u>Dispositions.</u></p> <p>a. <u>Originals (paper copy).</u> DOL received originals of the annual reports Form 5500, for the Fiscal Years 1975 and 1976, thereafter, IRS will receive the originals and send them to a contractor to be microfilmed for DOL. Retain originals until they are microfiched, inventoried, and the quality control test is completed; hold for four years, then destroy. See IRS Schedule No. 203 (NC 1-58-77-10).</p> <p>b. <u>Working copy microfiche (one diazo copy).</u></p> <p>(1) <u>Active Plans.</u> Maintain in file for six years, then destroy.</p> <p>(2) <u>Terminated Plans.</u> Remove from file three years after receipt of terminated report, then destroy.</p> <p>(3) <u>Merged Plans.</u> Remove from file three years after receipt of merged report, then destroy.</p> <p>c. <u>Master copy microfiche (silver copy)</u> Maintain master copy microfiche of all annual reports (for active, terminated, and merged plans) for 3 months. Transfer to the Federal Records Center. Hold at FRC for forty years, then destroy.</p> <p>3. <u>Summary Plan Descriptions.</u> Pamphlets describing the terms and benefits of pension and/or welfare plans.</p> <p><u>Dispositions</u></p> <p>a. <u>Originals (paper copy).</u> Retain originals until they have been inventoried, microfiched and the quality control test of the microfiche is complete. Cut off at end of calendar year. Hold originals for two years, then destroy.</p>		<p>Withdrawn per telecon 11/12/81 [signature] /EFJ</p> <p>[signature] - 12/1/81</p>

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
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~~b. Working copy microfiche (one diazo copy).~~

(1) Active Plans. Remove from file three years after receipt of an updated (amended) report, then destroy.

(2) Terminated Plans. Remove from file three years after receipt of terminated report, then destroy.

(3) Merged Plans. Remove from file three years after receipt of merged report, then destroy.

~~c. Master copy microfiche (silver copy). Maintain the master copy microfiche of all summary plan descriptions (active, terminated and merged plans) for 3 months, then transfer to the Federal Records Center (FRC) for forty years; then destroy.~~

*Withdrawn
per telecon
11/12/81
DWL/EKJ
EJF 12/15/81*

4. Plan Description (Two Pages). An abbreviated 2-page EBS-1 form required for FY 1974.

Dispositions:

- a. Originals (paper copy). Retain originals until they have been inventoried, microfilmed, and the quality control test of the microfilm is completed; ~~transfer to the Federal Records Center (FRC) for five years, then destroy.~~
- b. Working copy microfilm (one diazo microfilm cartridge). Retain working copy of the 2-page plan description for active, terminated and merged plans for three years, then destroy.
- c. ~~Master copy microfiche (silver copy). Maintain the master copy microfiche of all summary plan descriptions (active, terminated and merged plans) for 3 months, then transfer to the Federal Records Center (FRC) for forty years; then destroy.~~

*DWL/EKJ
per telecon
11/12/81*

*hold in
DOL for*

*RAM/EKJ/RG
per telecon
11/12/81*

*withdrawn
per telecon 11/12/81
RAM/EKJ/RG*