

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-465-01-2</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>6/19/01</i>	
1. FROM (Agency or establishment) Pension Benefit Guaranty Corporation		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of Inspector General			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  Bruce I. Campbell	5. TELEPHONE NUMBER  (202) 326-4150 (x3261)	DATE  <i>3-22-02</i>	ARCHIVIST OF THE UNITED STATES  <i>John W. Paul</i>
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 _____ page(s) are not needed now for the business for 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,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE  <i>6/15/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE  Janet Smith <i>Janet A. Smith</i>		TITLE Director, Facilities and Services Division and Agency Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached pages.		

*Agency, NAMA, NWMG, NWWIW, NR*

1. **Investigation Files.** Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases related to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

a. Official record of case files of significant value that: (1) involve members of the Pension Benefit Guaranty Corporation (PBGC) Board of Directors, PBGC Executives or Department Directors; (2) attract regional or national media attention; (3) result in a Congressional investigation; (4) involve substantial amounts of money (over \$5,000); or, (5) result in a substantive change to PBGC policies and procedures. Significant cases will be selected by the PBGC's Office of Inspector General based on the criteria listed in this item.

**PERMANENT.** Cut off files at the end of the fiscal year in which the investigations are closed. Transfer files to an offsite storage facility 2 years after the cut off. Transfer files to the National Archives and Records Administration 10 years after the cut off.

Total Volume (cubic feet): 10  
Annual Accretion (cubic feet): 0.9

b. Files containing information or allegations that are of an investigative nature, but do not relate to a specific investigation. Includes anonymous or vague allegations not warranting an investigation, matters referred to PBGC components or other agencies for handling, and support files providing general information that may prove useful in Inspector General investigations.

**TEMPORARY.** Cut off files at the end of the fiscal year in which the files are closed. Transfer files to an offsite storage facility 2 years after the cut off. Destroy 5 years after the cut off.

c. All other investigation case files not covered by items a and b.

**TEMPORARY.** Cut off files at the end of the fiscal

Superseded by:  
NI-465-09-1/13-3  
DATE (MM/DD/YYYY):  
07/28/2009

Superseded by:  
NI-465-09-1/1-3  
DATE (MM/DD/YYYY):  
07/28/2009

Superseded by:  
NI-465-09/1-3  
DATE (MM/DD/YYYY):  
07/28/2009

<p>2.</p>	<p>year in which the investigations are closed. Transfer files to an offsite storage facility 2 years after the cut off. Destroy 10 years after the cut off.</p> <p><b><u>Investigation Case Tracking and Management System.</u></b> This system provides for the tracking of formal investigation files from their inception to their closure. Included is information such as the case number, case title, type of case, control number, source, the nature of the allegation or complaint, case activity updates, follow-up (including referrals), and the final disposition of the investigation. Information in the system is also used in the preparation of case status reports, a case disposition log, and of the Semi-Annual Report to Congress.</p> <p>a. Inputs: Information from hard copy source records maintained in specific investigation case files.</p> <p>Apply the disposition instructions found in item 1 of this schedule.</p> <p>b. Data on electronic media.</p> <p>1. Related to cases selected in item 1a of this schedule. <b>PERMANENT.</b> Transfer to the National Archives with the cases to which they relate in accordance with 36 CFR § 1228.270, along with a copy of the system documentation.</p> <p>2. All other case-related data. <b>TEMPORARY.</b> Destroy/delete when the case is destroyed or when no longer needed to conduct agency business.</p> <p>c. Outputs (Hard Copy)</p> <p>1. Case Status Report and Disposition Log. File with the case to which they relate.</p> <p>2. All other reports, such as the Monthly Case Assignment Listing and the fiscal year case inventory listing. <b>TEMPORARY.</b> Cut off files at the end of each fiscal year. Destroy 2 years after cutoff</p> <p>d. System Documentation. <b>TEMPORARY.</b> Destroy/delete when superseded or obsolete, or upon discontinuance of the system, except as provided for in item 2b1.</p>	<p>See next page</p>	
<p>3.</p>	<p><b><u>Hotline Documents.</u></b></p>		

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Pension Benefit Guaranty Corporation  
Records of the Inspector General

Modification to Item 2.

~~2a. Inputs: Information from hard copy source records maintained in specific investigation files.  
Disposition: Temporary. Dispose of in accordance with instructions found elsewhere in this schedule.~~

Superseded by:

DAA-GRS-2017-0003-0002  
DATE (MM/DD/YYYY):  
07/2017

~~b. Data on electronic media.~~

~~1. Related to specific investigations.~~

~~Disposition: Temporary. Destroy/delete after recordkeeping copy has been made and placed into the appropriate textual case file (items 1b and 1c).~~

Superseded by:

DAA-GRS-2016-0016-0002  
DATE (MM/DD/YYYY):

~~2. All other data.~~

~~Disposition: Temporary. Destroy/delete when no longer needed for the conduct of agency business.~~

Superseded by:

DAA-GRS-2016-0006-0002  
DATE (MM/DD/YYYY):  
07/2017

~~c. Outputs (Hard Copy)~~

~~1. Case Status Report and Disposition Log.~~

~~a. Permanent Case Files.~~

~~Disposition: Permanent. Generate recordkeeping copy and file in the historical investigation case file (item 1a) when case is closed. Filing Instruction~~

~~b. Temporary Case Files~~

~~Disposition: Temporary. File in the appropriate case file (item 1c) when case is closed. Destroy when the investigation file to which it relates is destroyed. Filing Instruction~~

~~2. All other reports such as the Monthly Case Assignment Listing and the fiscal year case investigation listing. e e e e e~~

~~Disposition: Temporary. Cut off at the end of each fiscal year. Destroy 2 years after the cut off.~~

DAA-GRS-2017-0003-0002  
DATE (MM/DD/YYYY):  
07/2017

~~d. System Documentation.~~

~~Disposition: Temporary. Destroy/delete when superseded or obsolete, or upon discontinuance of the system.~~

Superseded by:

DAA-GRS-2017-0003-0002  
DATE (MM/DD/YYYY):  
01/2017

Changes approved by Bruce Campbell, PBGC on 3/18/2002.

Records developed to record secure contacts with the Office of Inspector General through the "1-800" telephone and post office box hotlines.

**TEMPORARY.** Cut off files at the end of the fiscal year. Destroy 2 years after the cut off.

Superseded by:

NI-465-09-1/1-2  
DATE (MM/DD/YYYY):

07/28/2009

4.

Audit Files.

Audits and evaluations are conducted to assist PBGC in operating more efficiently and effectively by identifying ways to improve agency programs and operations. Audits and evaluations conducted in accordance with *Government Auditing Standards* (GAGAS) which incorporate generally accepted auditing standards (GAAS). Inspections are conducted in accordance with the *Quality Standards for Inspections* issued by the President's Council on Integrity and Efficiency.

a. Official record of audit and evaluation files of significant value that: (1) disclosed major deficiencies in the management of resources, programs and operations; (2) identified security issues regarding PBGC systems; (3) proposed improvements to PBGC processes; (4) addressed Congressional inquiries, and, (5) formed the basis for changes to PBGC policies and procedures. Significant cases will be selected by the PBGC's Office of Inspector General based on the criteria listed in this item.

1. Final copy of selected audit reports (record set). **PERMANENT.** Cut off at the end of the fiscal year in which the audits are completed. Transfer to an offsite storage facility in 10-year blocks (e.g., 1991-2000) immediately after most recent record is cut off (1991-2000 reports are transferred in 2001). Transfer to the National Archives and Records Administration 5 years after the cut off (1991-2000 reports are transferred in 2006).

Total Volume (cubic feet): 1.1  
Annual Accretion (cubic feet): 0.1

2. All other copies of the final report. **TEMPORARY.** Destroy when no longer needed for the conduct of agency business.

b. Records related to item 4a and created or acquired during the course of the audit and the development of the final report, including notes and

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NI-465-09-1/3-3  
DATE (MM/DD/YYYY):

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DATE (MM/DD/YYYY):

07/28/2009

working paper files.

**TEMPORARY.** Cut off files at the end of the fiscal year in which the audits are completed. Transfer files to an offsite storage facility 4 years after the cut off. Destroy 10 years after the cut off.

c. All other audit case files, final reports, and working paper files not covered by items a and b.

**TEMPORARY.** Cut off files at the end of the fiscal year in which the audits are closed. Transfer files to an offsite storage facility 4 years after the cut off. Destroy 10 years after the cut off.

Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Electronic copies of records covered by this schedule that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disks or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

**TEMPORARY.** Destroy/delete after the record keeping copy has been produced.

b. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

**TEMPORARY.** Destroy/delete when dissemination, revision, or updating is complete or when no longer needed.

Superseded by:

NI-465-09-11-3  
DATE (MM/DD/YYYY):  
07/28/2019

Superseded by:

NI-465-09/11-3  
DATE (MM/DD/YYYY):  
07/28/2019

Superseded by:

DAA-6RS-2016-0016-0002  
DATE (MM/DD/YYYY):  
07/2007

Superseded by:

DAA-6RS-2016-0016-0002  
DATE (MM/DD/YYYY):  
07/2007

5.