REQUEST FOR RECORDS DISPOSITION AUTHORITY

TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
    8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

1. FROM (Agency or establishment)
   Pension Benefit Guaranty Corporation

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)

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,

   X is not required  □ is attached; or  □ has been requested.

DATE  SIGNATURE OF AGENCY REPRESENTATIVE  TITLE
6/15/01  Janet Smith  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 GRS OR SUPERSEDED JOB CITATION  10.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

See attached pages.
### 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 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.
Investigation Case Tracking and Management System. 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 the Semi-Annual Report to Congress.

1. Case Status Report and Disposition Log. File with the case to which they relate. Transfer to the National Archives with the case, 2 years after the case is closed.
2. All other case-related data. TEMPORARY. Transfer to the National Archives with the case, 2 years after the cut off. Destroy/delete when superseded or obsolete, except as provided for in item 2b.
3. Hotline Documents. PREVIOUS EDITION NOT USABLE STANDARD FORM 115 (REV 3-91)

Prescribed by
36 CFR 1228
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.

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).

2. All other data.
   Disposition: Temporary. Destroy/delete when no longer needed for the conduct of agency business.

c. Outputs (Hard Copy)

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

   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.

2. All other reports such as the Monthly Case Assignment Listings and the fiscal year case investigation listing.
   Disposition: Temporary. Cut off at the end of each fiscal year. Destroy 2 years after cut off.

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 Destroy/delete when superseded or obsolete, or upon discontinuance of the system.

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.

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 Acreation (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...
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.