

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)  
**Pension Benefit Guaranty Corporation**

2. MAJOR SUBDIVISION  
**Agency-wide**

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

**Sally E. Crocker**

5. TEL EXT

**254-4764**

LEAVE BLANK

JOB NO

**NCI-465-84-1**

DATE RECEIVED *revised*

**1/13/84**

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

**3-6-84**  
Date

*[Signature]*  
Archivist of the United States

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 \_\_\_\_\_ 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

**1/12/84**

D. SIGNATURE OF AGENCY REPRESENTATIVE

*[Signature]*  
**Robert E. Geiger**

E. TITLE

**Director, Human Resources & Support Svcs. Dept.  
Acting Records Management Officer**

7. ITEM NO

8. DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9. SAMPLE OR  
JOB NO

10. ACTION TAKEN

29.

PARTICIPANT AND EMPLOYER APPEALS DEPARTMENT

Appeals Board Files. Records of the Appeals Board established effective August 20, 1979 to process appeals of PBGC initial determinations filed under 29 CFR, Part 2606.

a. Appeals Board Decisions. Records of appeals of PBGC initial determinations consisting of the appeal, appeal development, documentation of the Board's action, and copy of the decision letter.

Place in closed case file after decision is issued. Break closed case file at end of fiscal year. Index all decisions; identify precedent decisions and segregate them from non-precedent cases.

(1) Precedent decisions. Destroy when superseded or when seven years old, whichever is later.

(2) Non-precedent decisions. Transfer to FRC when one year old. Destroy when seven years old.

items 15

*NEW, NNF & Agency sent 3-19-84 by DMW.*

PARTICIPANT AND EMPLOYER APPEALS DEPARTMENT

29. (Continued)

- b. Administrative Closings. Records of appeals where the Clerk of the Appeals Board closes the request administratively.

Place in closed file after close-out letter is issued. Break file at end of fiscal year. Transfer to FRC when one year old. Destroy when seven years old.

- c. Extension Requests. Requests for extension of time to file an appeal which are denied, or granted and abandoned with potential appellant taking no further action to file an appeal.

Place in closed file after time for filing request to appeal has elapsed. Break closed file at end of fiscal year. Destroy when one year old.

- d. Agenda. Agenda and background materials for Appeals Board consideration of appealed determinations.

Break file at end of fiscal year. Destroy when seven years old.

- e. Minutes. Minutes of Board decisions or other actions on appeals and Board administrative matters.

Break file at end of fiscal year. Destroy when seven years old.

OFFICE OF PROGRAM OPERATIONS

**ITEM  
NO.**

**SERIES DESCRIPTION**

74. **Controlled Correspondence (Non-Congressional) Files.**

Program inquiries controlled and assigned to Branch of Coverage and Classification for action. Arranged alphabetically by inquirer within month of completion and showing receipt date, routing, and disposition. Includes referrals to other PBGC organizational elements and to other agencies. (See Item No. 64 for correspondence in coverage determinations.)

Hold for 6 months following the month of completion, then destroy.

75. **Reportable Events: 30-Day Reporting Requirement Waived.**

Notices, filed by pension plan administrators or their representatives, of reportable events for which the 30-day notice requirement has been waived and there is no already existing case record for the plan.

Hold 12 months after the closeout letter, then destroy.

76. **Multiemployer Plan Cases.**

Cases resulting from the Multiemployer Pension Plan Amendments Act of 1980 and involving employer withdrawals, mergers, or transfers of plan assets or liabilities, reorganizations, financial assistance, terminations, etc.

Disposition not authorized at this time. Implementing regulations are still under development and experience to date does not give a good estimate of reference requirements. Several actions may occur in one plan, e.g., subsequent employer withdrawals, reorganization. Case records ~~shall~~<sup>will</sup> accumulate pending review in 1985, or earlier if experience and accumulated volume warrant.

*FJM per  
conversation with  
Sally Groeber on  
2/15/84*

OFFICE OF FINANCIAL OPERATIONS

**ITEM  
NO.**

**SERIES DESCRIPTION**

88. **Cancelled (Purged) Benefit Payment Checks.**  
Issued by PBGC to qualified plan participants and voided. Filed in-house.  
Break file at end of year. Destroy when 7 years old.
89. **Paid Benefit Payment Checks.**  
Issued by PBGC to qualified plan participants and paid by bank of account. Filed by bank.  
Break file at end of year. Destroy when 7 years old.
90. **Voided Benefit Payment Checks.**  
Benefit payment checks which for any reason are voided by PBGC before being issued to qualified plan participants. Filed by PBGC.  
Break file at end of year. Destroy when 7 years old.
91. **Benefit Payment Check Reconciliation Statements.**  
Monthly computer statements, received from a commercial bank, listing by check number the benefit payment checks issued, voided, paid, or outstanding against the PBGC account(s) during the previous month.  
Break file at end of year. Destroy when 7 years old.
98. **Premium Refund/Underpayment Files.**  
Files containing:
- Copy of PBGC coverage determination letter to plan administrator; or
  - Plan administrator's request for a refund or reconciliation of premium payments; or
  - PBGC audit of plan's annual premium filings and payments.
- Includes printout of premium payment history, reconciliation work sheet, refund form or underpayment letter, and adjustment forms.  
Break completed files at end of fiscal year. Transfer to FRC 3 years later. Destroy 7 years after end of fiscal year.

**ITEM  
NO.**

**SERIES DESCRIPTION**

99.

**Income Tax Records.**

File (payer) copies of Form W-2P (Annuities, Pensions, Retired Pay, or IRA Payments) and Form 1099R (Total Distributions from Profit Sharing Retirement Plans and Individual Retirement Arrangements) issued for the calendar year and showing payments and other income tax data for participants of PBGC trustee plans. Series includes computer listing of W-2P's and 1099R's.

Transfer to FRC 2 years after issued; destroy 5 years after issued.