

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK</b>	
TO: <b>GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO. NCL-465-85-2	DATE RECEIVED 3-11-85
1. FROM (Agency or establishment) <b>Pension Benefit Guaranty Corporation</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION <b>Agency-wide</b>		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION ----			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Sally Crocker</b>	5. TELEPHONE EXT. <b>254-4764</b>	DATE <b>9/23/85</b>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence:  is attached; or  is unnecessary.

B. DATE <b>2/25/85</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> <b>Raymond Smith</b>	D. TITLE <b>Records Management Officer</b>
---------------------------	---	---

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
1.	<p><b>ASSETS LIQUIDATION FILES.</b> Case files for trustee, terminated plans containing assets identification, liquidation proposals and analyses, assets statements, financial statements, and assets tracking records. Case is closed when assets are liquidated and funds transferred, and benefit payment transactions are transferred to PBGC's Benefit Payments Department.</p> <p>Break closed file at end of fiscal year. Transfer to Federal Records Center when one year old. Destroy when 7 years old.</p>		
2.	<p><b>CUSTODIAN BANKS AND MONEY MANAGERS CORRESPONDENCE FILES.</b> Correspondence between the PBGC and money managers or custodian banks, resulting from their performance of work under contract to the PBGC. May include a copy of the contract, any amendments thereto and copies of required contractor reports.</p> <p>Cut off files at end of fiscal year in which contracts are closed (final payments made). Transfer to FRC when one year old. Destroy when 7 years old.</p>		
<p>All changes to this proposed schedule have been approved by:</p> <p><i>[Signature]</i> <u>6/18/85</u> <i>[Signature]</i> <u>6/11/85</u>  NARA Appraiser date Agency Representative date</p>			
			12 items

## Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF  
2 of 4

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3.	<p><u>INVESTMENT POLICY ISSUES AND POSITIONS FILES.</u> Records reflecting the development of investment guidelines and the ongoing review, evaluation, and modification of the Corporation's investment policy. Includes staff position papers, correspondence and reports documenting the corporate investment program and the subsystem which operates and evaluates the money management program.</p> <p>Break files every 5 years. Bring forward all policy material and position papers under current/constant use. Transfer to FRC when 5 years old. Destroy when 15 years old.</p>		
4.	<p><u>MONTHLY TREASURER'S REPORT FILES.</u> Files containing monthly inventory of liquidations, estimates of assets values, cash flow projections, aging schedules, etc. Used for work control purposes.</p> <p>Break file at end of fiscal year. Destroy when 5 years old.</p>		
5.	<p><u>CORPORATE STANDING COMMITTEE FILES.</u> Records of internal committees established to review and assess matters referred to them, examine options, represent and coordinate interests of involved departments, and make recommendations to the Executive Director, the Associate Executive Director, the Deputy Executive Directors, and Department Directors. The actions of the committees are non-directive in nature.</p> <p>a. Records relating to establishment, organization, membership, and policy of the committees.  <i>Permanent. Transfer to NARA two(2) years after termination of committee.</i>  <del>Destroy 2 years after termination of committee.</del></p> <p>b. Agenda, minutes, final reports and related records documenting committee accomplishments.</p> <p>(1) Records of the committee secretary.            Destroy 5 years after termination of the committee.</p> <p>(2) All other copies of committee records.            Destroy when 3 years old or when no longer needed for reference, whichever is sooner.</p>		

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A  
 Revised July 1974  
 Prescribed by General Services  
 Administration  
 FPMR (41 CFR) 101-11.4

**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
6.	<p><u>TRAINING AIDS.</u> PBGC (staff or contractor) developed manuals, texts, syllabuses and other training aids; includes one copy each of the basic and intermediate case officer courses, the benefit examiner course, and programmed texts, such as Introduction to Pensions, Introduction to Group Insured Pension Contracts, Introduction to Bankruptcy, Fundamentals of Title IV of ERISA, and Procurement Guide for Program and Project Personnel, etc., and other training aids as they are developed.</p> <p>Destroy 5 years after the training program for which aid was developed is terminated/discontinued, or when aid is superseded, whichever is sooner.</p>		
7.	<p><u>INSURANCE OPERATIONS PROGRAM SUBJECT FILES.</u> Records of the insurance operations department director which reflect the development, testing, implementation, results and modifications of program operations policies and procedures within the office and in coordination with other offices.</p> <p>Break files at end of fiscal year. Transfer to FRC when 1 year old. Destroy when 5 years old.</p>		
8.	<p><u>CORPORATE MANAGEMENT PLANNING AND REPORTING FILES.</u> Subject files of the organization element formally designated to formulate, implement, monitor/track and document the results of the Corporation's management plans. Include statements of Corporate goals and objectives, Corporate long and short-range plans, system documents, departmental management plans, departmental quarterly and annual (cumulative) plan reports, and evaluations of operational programs.</p> <p>a. Record copies of documents that describe the Corporate Management Planning System and explain how it is to be implemented.</p> <p>Break file when a substantially revised system is adopted. Transfer to FRC when one year old. Destroy when five years old.</p> <p>b. Record copies of Corporate goals and objectives, long and short-range plans, workload measures, departmental measures, departmental management plans and annual (cumulative by quarter) reports, and evaluations of operational programs.</p>		

**Request for Records Disposition Authority - Continuation**

JOB NO.

PAGE OF  
4 of 4

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Break file at end of fiscal year. Transfer to FRC when two years old. Destroy when seven years old.</p> <p>c. Other copies and working papers including notes, drafts, charts, interim and quarterly reports, workload measurements, analyses, etc.</p> <p>Break file at end of fiscal year. Destroy when two years old.</p>		