

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-317-02-001


All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by N1-317-11-001, DAA-GRS-2013-0005-0002, and DAA-GRS-2016-0016-0002.

Date Reported: 02/22/2021

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>N1-317-02-01</b>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>09/03/2002</b>	
1. FROM (Agency or establishment) U.S. Department of Labor		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Pension and Welfare Benefits Administration			
3. MINOR SUBDIVISION Office of Information Management			
4. NAME OF PERSON WITH WHOM TO CONFER Pamela Rhodes	5. TELEPHONE NUMBER 202-219-7222 X2608	DATE <b>8/22/02</b>	ARCHIVIST OF THE UNITED STATES <b>Allen Weinstein</b>
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 <u>3</u> 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"/> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>8/12/02</b>	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE <b>Records Officer</b>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Please see attached.		
<b>CE - Records, NW MD NWRME</b>			

**Attachment to SF 115 (Job No. N1-317-02- 01)**

Comprehensive Records Schedule

Employee Benefit Security Administration  
Office of Technology and Information Services  
Division of Data Administration and Database Applications

The Employee Benefit Security Administration (EBSA) administers and enforces Title I of the Employee Retirement Income Security Act of 1974 (ERISA) (29 USC Chapter 18 Subchapter I). 29 USC § 1023 requires administrators of certain private pension and welfare plans to file with the Secretary of Labor (Secretary) annual reports relating to each plan, describing the financial operations of the plan and the person(s) responsible for the handling of plan funds and assets.

The annual reports under Title I of ERISA generally are filed on the Form 5500. The Form 5500 usually consists of a primary filing and a variety of schedules depending on the characteristics of the plan. The Form 5500 may also include a variety of attachments, including an accountant's report, financial statement, and actuary's report. Collectively, any forms, schedules, and attachments that are submitted pursuant to the annual reporting requirements of Title I of ERISA are called Form 5500 Series filings for the purposes of this Schedule.

New versions of the Form 5500 Series are created each year to be used by filers for the plan year that began during that calendar year. Each year's version of the Form 5500 generally must be filed 210 days after the end of the plan year or before the expiration of any extension timely granted. The original filings are generally maintained in the order they are submitted by filers and processed by the Department of Labor (DOL). The plan administrator submitted these filings annually with the Internal Revenue Service (IRS) from 1975 through 1999. The IRS retired them to the Washington National Records Center under IR Manual 1.15.2.22.1 dated 9/30/98, which authorizes their destruction six years after the end of the processing year. The IRS has retained custody of those records.

In compliance with Interagency Agreement No. TIRNO-00-M-00030 dated June 15, 2000 between the IRS and DOL, beginning on July 1, 2000, the Form 5500 Series and a related IRS-only form called the Form 5500-EZ are filed with a private contractor acting on behalf of DOL/EBSA. The contractor maintains and operates the ERISA Filing Acceptance System (EFAST) under the authority and management oversight of DOL/EBSA/ Office of Technology and Information Services (OTIS)/ Division of Data Administration and Database Applications (DDADA). EFAST is an information system that converts the submitted filings into two electronic formats an image format and a structured database format. The EFAST system is documented in the documents listed on pages 5 and 6. System documentation is stored both on paper and electronically on hardware in the possession of the EFAST contractor, and is maintained on the basis of a processing year that begins each July 1 and ends on June 30 of the following year.

Although the EFAST system processes both the multiagency Form 5500 Series and the IRS-only Form 5500-EZ, this schedule addresses only those records related to the Form 5500 Series filings, and not the records related to the Form 5500-EZ filings, which are IRS documents and may be subject to an IRS records schedule.

The Form 5500 Series filings are received by EFAST either electronically or on paper forms. All non-electronic filings are then converted into electronic data. After verification that the paper filings have been accurately converted into the proper types of electronic data, these paper source documents are destroyed following the scheduled period. DOL/EBSA does not transfer paper filings to any agency or other entity.

EFAST produces two types of electronic databases based on submitted Form 5500 Series filings. The first type is the agency's official recordkeeping copy of the filing and consists of image files containing digitized images of the entire filings. The DOL relies on this database to satisfy the requirement contained in 29 USC § 1026 that the filings be made available to the public. Image files are stored by plan year and order of receipt and processing. They are indexed for retrieval by document locator number (DLN), employer identification number (EIN), and plan number (PN). The DLN is applied in order of the government's receipt of the filing. The EFAST contractor retains the physical possession of and maintains the hardware on which this database resides.

In many instances, irregularities in the paper and/or electronic filing may be uncovered that might require communication with the filer in order to satisfy the reporting requirements of Title I of ERISA. Additional paper and electronic documents may then be created in the form of paper or electronic communications between DOL and the filer whereby an attempt is made to obtain the information that would satisfy the reporting requirements of Title I of ERISA. These documents are considered a part of the annual report for the purposes of this Schedule and are converted into electronic data and stored along with the Form 5500 Series filing.

The second type consists of structured data files containing a machine-readable form of all the data contained in the Form 5500 forms and schedules that could be extracted as electronic data, exclusive of any information submitted as an attachment to the filing or schedules that are non-standard. Structured data files are stored by plan year and order of EIN and PN. The agency uses this type of database in various analyses of Form 5500 data. These analyses, among others, include reviewing the financial information of a plan EBSA is investigating, targeting EBSA's investigations on plans deemed most likely to violate a provision of ERISA, and researching the population of plans in support of ERISA-related regulations and legislation. The EFAST Contractor delivers copies of both types of databases to the IRS and the Pension Benefit Guaranty Corporation (PBGC). The EFAST contractor also retains the physical possession of and maintains the hardware on which this database resides.

Management reports include the Cost and Schedule Status Report (CSSR) covering the progress and expenditures, Quality Control Report covering performance indicators, Monitoring Reports covering correspondence review and on-site review, System Issue Tracker Report covering changes needed to the EFAST system, and Performance Standards Report comparing performance indicators to performance standards.

Records may also be created under more usual business circumstances or when employees of the contractor interact with the public or other agencies on behalf of DOL. This item may include paper or electronic communications and includes electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule, but other than the

communications described above that attempt to perfect the filing. It also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.

## 1. Annual Reports

- a. **Input: Original Annual Reports under Title I of ERISA, including Form 5500 Series filings (paper copy) (includes communications attempting to perfect the filing) – Temporary:** Destroy source records 6 months after verification that a complete and accurate image file and database record based on the original have been created and filed in the appropriate system.
- b. **Master file: image files (recordkeeping copy). Temporary:** Destroy/delete after 7 years (or after applicable contract is closed).
- c. **Master file: structured database – Permanent:** Transfer a copy of the structured database upon approval of this schedule in accordance to 36 CFR 1228.270. After initial transfer of database to the National Archives and Records Administration (NARA), transfer a copy of the database annually to National Archives 1 year after the beginning of each processing year (July 1).
- d. **System documentation – Permanent:** Transfer documentation for the structured database to the National Archives at the time of initial transfer of the structured database. Subsequent transfers of documentation shall take place if the system is significantly upgraded or modified.

## 2. EFAST Administrative, Management and Other Records

- a. **Output: management reports – Temporary:** Maintain in office. Destroy/delete after 10 years (or after an applicable contract is closed). This disposition applies to both paper and electronic copies of output reports.
- b. **Business communications and other interaction records – Temporary:** maintain in office. Destroy/delete after 10 years (or after an applicable contract is closed).
- c. **Electronic mail, spreadsheet, and word processing system copies –** This item includes electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. It also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.
  - 1. 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 disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Temporary: maintain in office; destroy/delete when no longer needed.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary: destroy/delete when dissemination, revision, or updating is completed.

## **System Documentation**

### Specification for SD, ELF, Scan Form, and Risk Assessment

- System Design
- Electronic Filing
- Scannable Form
- Risk Assessment

### Specification for Dev., Testing, Imp., W&M, CC, and Doc.

- System Development
- Testing
- Implementation
- Work and Management Control
- Configuration Control
- Documentation

### Security/Audit Specification

- Computer Security Plan
- Risk Assessment
- Safeguard Selection
- Continuity of Operations Plan
- Security test, evaluation, and audit plan
- Trusted Facility Manual
- Security Features User's Guide

### QA, QC, Production Control, and MIS Specification

- Quality Assurance
- Quality Control
- Production Control
- MIS

### System Implementation, Tests, and Contractor Certification of Scale-up

- Document analysis and data capture test and report
- Imaging verification test and report
- Electronic filing test and report
- Electronic filing user's guide
- Electronic filing file specifications
- Entity control test and report
- EMF test and report
- Edit tests and correspondence test and report
- Distribution test and report
- Report test and report
- System security test and certification
- System integration test and report
- System load, stress, & reliability test and report
- Comprehensive system test and report
- Security documentation
  - Computer Security Plan
  - Risk Assessment
  - Safeguard Selection

Continuity of Operations Plan  
Security Test, Evaluation, and Audit Plan  
Trusted Facility Manual  
Security Features Users Guide  
System documentation  
Test procedures documentation  
Procedures manuals