

Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

Job Number

N1-465-09-1

Date Received

11/19/08

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Date

Archivist of the United States

7/28/09 *Devin Thomas*

To: National Archives and Records Administration (NIR)
Washington, DC 20408

1. From: (Agency or establishment)

Pension Benefit Guaranty Corporation (PBGC)

2. Major Subdivision

3. Minor Subdivision

4. Name of Person with whom to confer

Roderick J. MacPhail

5. Telephone (Include area code)

202-326-4020

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 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:

☒ is not required

☐ is attached

☐ has been requested

Signature of Agency Representative

Roderick J. MacPhail

Title

PBGC Records Officer

Date (mm/dd/yyyy)

11/07/2008

7. Item Number

8. Description of Item and Proposed Disposition

9. GRS or Superseded Job Citation

10. Action taken (NARA Use Only)

See Attached Pages

PBGC Simplified Records Schedules

Schedule 1: Administrative Schedule

The Administrative Schedule covers agency-wide support functions and administrative program management functions carried out across the agency that support PBGC's mission and routine operations, but do not directly document the performance of mission and policy functions. Administrative records relate to common agency-wide functions such as: budget and finance, communications, information technology and services, legal, payroll and benefits, personnel, procurement and supply, public and congressional relations, security, and travel. This records schedule covers those PBGC administrative support records represented and not represented by the General Records Schedule (GRS), and covers records in all format.

These records are created and maintained in different media and formats and this records schedule is written to authorize the disposition of the records in any media. PBGC is responsible for maintaining these records throughout their life cycle while under the responsibility of PBGC.

This records schedule applies to all organizational elements of PBGC. All previously approved records schedules of the PBGC are superseded and cancelled by this schedule and the associated Mission and Policy Schedules.

Item 1.1: Transitory Administrative Records.

Materials generated or received that are of short-term interest.

TEMPORARY: Destroy or delete after 180 days or when no longer of value to the organization. *Per GRS 23, Records Common to Most Office within Agencies, item 7, Transitory Files.*

Item 1.2: Administrative Records.

Administrative support records are those records prepared or received by individual offices necessary to perform the day-to-day, normal, and routine internal administration or housekeeping activities in support of organization and staff efforts to accomplish the PBGC mission. These records include final and preliminary versions of items, working files, background papers, and communications (including e-mails) of business value (e.g. items documenting decisions, knowledge, or reusable work products). Administrative support records, after initial declaration, may be identified as significant to one or more complex records. Such records may be moved or copied to, and become part of the more complex record or records, and managed accordingly. Administrative support records address matters within, but not limited to, the subject areas below.

- Administrative – General
- Audit and Investigation Reports
- Budget – General
- Budget Estimates and Justifications
- Building/Facility Management
- Disclosure Forms
- Employment (See 1.4 Staff Records)
- Equal Employment Opportunity (See 1.4 Staff Records)
- Ethics
- Finance
- General Training and Training Materials
- Human Capital Management (See 1.4 Staff Records)
- Information Assets/Records
- Information Services/Library
- Information Systems/Technology
- Inspector General
- Mail and Couriers
- Motor Vehicle Maintenance and Operation
- Pay and Benefits
- Personnel Records (See 1.5 Official Personnel Folders)
- Privacy Act Requests
- Property Management
- Public Affairs
- Publication Services
- Safety
- Security and Protective Services
- Small Procurements (See 1.6 Unopened Bids)
- Space and Maintenance
- Telecommunications
- Travel and Transportation

TEMPORARY: Break file at the end of each fiscal year or case closure (latest documented use). Destroy or delete after 7 years.

NOTE: All permanent records such as important Investigative and Audit Files are scheduled under Item 3.3, Historical Administrative Records.

Item 1.3: Administrative Governance Records.

Administrative governance records are those administrative records accumulated (prepared, collected, or received) by individual offices that aggregate materials (records and other relevant information) into cases, project files, etc. to document and support complex administrative issues or matters such as investigations, development of cases, positions, findings, or reports, and the performance of special studies, projects, analyses, evaluations, reviews and audits.

Administrative governance records address administrative oriented matters within, but not limited to, the subject areas below.

- Administrative Issuances
- Administrative Policy
- Attorney Time Records
- Audit Files
- Board of Directors' Working Files
- Budget Policy
- Corporate Management Planning and Reporting
- Disclosure Request Records
- Financial Management Reporting
- Investigative Working Files
- Large Procurements

- Office Policy
- Pension Plan Files
- Physical Security Policies
- Special Project Case Files
- Task Force Case Files

TEMPORARY: Close file when matter is completely finished or closed. Transfer physical records to an offsite storage facility 5 years after the end of the fiscal year the matter was closed. Destroy or delete 20 years after the end of the fiscal year that the mater was closed.

Item 1.4: ~~Staff Records.~~

~~Staff Records includes materials generated or received that document sensitive information related to the supervision, management, or performance assessment of PBGC staff. These Staff Records are among these administrative records that, due to the sensitive nature of the information contained therein, or due to legislative, regulatory or contractual mandates or obligations, require PBGC staff to process items in a manner different from those described in the Administrative Records Schedules above. Staff Records include items within the areas below.~~

- ~~• Appraisals of unacceptable performance Superseded or obsolete documents in Supervisors' Personnel Files~~
- ~~• Copies of EEO Complaint Case Files~~
- ~~• Duplicate OPF Documentation~~
- ~~• Copies of case files forwarded to OPM relating to performance rating board reviews~~

~~**TEMPORARY:** Cut off at the end of fiscal year or case closure. Destroy or delete after 1 year. GRS 1, Civilian Personnel Records, Items 18 (a) & (b).~~

Item 1.5: ~~Official Personnel Folders~~

~~PBGC prescribes to a system of recordkeeping for federal personnel. All records management of Official Personnel Folders (OPF) will be within the approved schedules, dispositions, guidelines and documentation as written under NARA GRS 1: Civilian Personnel Records and the United States Office of Personnel Management operating manual, *The Guide to Personnel Recordkeeping*. These records are among these administrative records that, due to the sensitive nature of the information contained therein, or due to legislative, regulatory or contractual mandates or obligations, require PBGC staff to process items in a manner different from those described in the Administrative Records Schedules above.~~
~~**NOTE:** OPFs travel with the employee or transfer to the St. Louis Personnel Records Center when staff retires.~~

~~**TEMPORARY:** Review annually and destroy superseded or obsolete document, or destroy files relating to an employee with 1 year after separation or transfer. GRS 1, Civilian Personnel Records, Items 18 (a) & (b).~~

Item 1.6: Unopened Bids

~~Unopened Bids includes those instances where formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, and Requests for Quotations) were canceled prior to award of a contract and bids received were not opened. These Records are among those administrative records that, due to the sensitive nature of the information contained therein, or due to legislative, regulatory or contractual mandates or obligations, require PBGC staff to process items in a manner different from those described in the Administrative Records Schedules above. Unopened Bids include items within the areas below.~~

- ~~• Solicited and Unsolicited Bids and Proposals Files~~

~~**TEMPORARY:** Destroy 5 years after date of cancellation. GRS 3, Solicited and Unsolicited Bids and Proposals Files, Item 5(c) 3. NOTE: Unopened bids are to be returned to the bidder.~~

Item 1.7: Legal Administrative Records

Legal Administrative Records are those legal records prepared or received in the course of normal and routine day-to-day activities that are not, at declaration, identified as significant to a specific case. Records may support discrete litigation, advisory, opinion, determination, or regulatory matters or items that potentially affect legal or property rights. These records include final and preliminary versions of items, working files, background papers, and communications (including e-mails) of business value (e.g. items documenting decisions, knowledge, or reusable work products). Legal Administrative Records, after initial declaration, may be identified as significant to one or more cases or files. Such records may be moved or copied to, and become part of the case or file record or records, and managed accordingly. Legal Administrative Records address matters within, but not limited to, the subject areas below.

- Attorney Time Records
- Ethics
- Freedom of Information
- General legal advice memorandums
- Legal Opinion Files
- Legal Opinion Working Files
- Litigation Docket Sheets
- Non-Precedent Appeals Board Decisions
- Official Litigation Working Files
- Regulations Files Working Papers
- Other legal working files including electronic mail and electronically stored information

TEMPORARY: Break file at the end of each fiscal year or case closure (latest documented use). Destroy or delete after 20 years.

Item 1.8 Legal Administrative Case Records

Legal Administrative Case Records are those records prepared, received, and aggregated into a system of records that is critical to an understanding of discrete litigation, advisory, opinion, determination, or regulatory matters or items that potentially affect legal or property rights. Administrative Records address matters within, but not limited to, the subject areas below.

- Agreements and Financial Instruments
- Appeals Board Files
- Background Case Files
- Investigation and case management files
- Litigation Files Non-Historic
- Legislative Files
- Non-litigation Cases
- Official Litigation and Pension Plan Files - Non-precedential cases and pension plan files

TEMPORARY: Close file when matter is completely finished or closed. Transfer physical records to an offsite storage facility 2 years after the end of the fiscal year the matter was closed. Destroy or delete 15 years after the end of the fiscal year that the matter was closed.

Item 1.9: Historical Administrative Records.

Historical Administrative Records are those administrative records accumulated (prepared, collected, or received) by individual offices that have been appraised by NARA to have sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States. These are historically, precedent setting, and significant records that document the history and evolution of PBGC administration. Historical Administrative Records address matters within, but not limited to, the subject areas below.

- Historical Legal Opinion Files
- Legal advice memorandums that have a significant effect on PBGC administration
- Legislative Files
- Official Litigation and Pension Plan Files
- Precedent or landmark litigation files
- Record copy of PBGC legal opinion letters
- Regulations Files

PERMANENT. Break file at the end of each fiscal year or case closure. Transfer physical records to an offsite storage facility 10 years after the end of the fiscal year in which the matter was closed. Transfer to NARA in 5 year blocks 25 years after cutoff.

NOTE: If these records are converted to electronic format, PBGC agrees to transfer a copy to the National Archives and Records Administration (NARA) according to NARA's pre-accessioning transfer procedures in "*A Strategy for Preserving Permanent Electronic Records*" and "*Transferring Permanent Electronic Records to NARA.*" These records remain in the legal custody of PBGC until the records are officially transferred into NARA's legal custody.

PBGC Simplified Records Schedules

Schedule 2: Mission Schedule

The Pension Benefit Guaranty Corporation (PBGC) was established under title IV of the Employee Retirement Income Security Act of 1974 (ERISA) (88 Stat. 829, Public Law 93-406) with the mission to insure private pension beneficiaries against the complete loss of promised benefits if their defined benefit pension plan is terminated without adequate funding. Mission Schedule records document PBGC policies and procedures to establish and maintain its responsibilities with regard to accomplishing agency functions. This records schedule covers those PBGC mission support records represented and not represented by the General Records Schedule (GRS), and covers records in all formats.

These records are created and maintained in different media and formats and this records schedule is written to authorize the disposition of the records in any media. PBGC is responsible for maintaining these records throughout their life cycle while under the responsibility of PBGC.

This records schedule applies to all organizational elements of PBGC. All previously approved records schedules of the PBGC are superseded and cancelled by this schedule and the associated Administrative and Policy Schedules.

Item 2.1: Plan, Participant, and Insurance Records.

Plan, Participant and Insurance Records are those coverage, plan, termination, participant, benefit, funds, premiums, and investment records prepared or received by individual offices to document and manage the day-to-day, normal, and routine processing activities that accomplish the PBGC mission. These records include final and preliminary versions of items, working files, background papers, and communications (including e-mails) of business value (e.g. items documenting decisions, knowledge, or reusable work products). Plan, Participant and Insurance Records, after initial declaration, may, at any time, be deemed significant and may be moved or copied to, and become part of the more complex record or records, and managed accordingly. Plan, Participant and Insurance Records address matters within, but not limited to, the subject areas below.

- Actuarial Reports Files
- Administrative Closings
- Annual Premium Filing Files
- Assets Liquidation Files
- Benefit Check Files and Reconciliation Statements
- Benefit Payment Check Files
- Congressional Correspondence Control Files
- Controlled Correspondence (Non-Congressional) Files
- Corporate Standing Committee Files
- Custodian Banks and Money Managers Files
- Extension Requests

- Financial Statement Documentation
- Insurance Operations Program Subject Files
- Management Planning and Reporting Files
- Non Standard Termination (Trusted)
- Paid Participant Files
- Participant File Update Forms
- Pension Plan Company Files
- Pension Processing Files
- Plan Accounting
- Plan Expenditures
- Plan Record Files
- Plan Termination Case Files
- Premium Refund/Underpayment Files
- Reportable Events File: 30-Day Reporting Requirement Waived
- Revolving Fund Documentation
- Standard Termination Files (Non Trusteed)
- Tax Returns or Tax Return Information
- Training Aids
- Tracking and Control
- Treasurer's Report Files
- Trust Fund Ledger System Files
- Other working files including electronic mail and electronically stored information

TEMPORARY. Break file at the end of each fiscal year or case closure (latest documented use). Destroy or delete after 7 years.

Item 2.2: Governance Records.

Governance Records are those significant Mission records prepared, collected, or received by individual offices that are aggregated into a system of records managed as a unit, e.g., cases, project files, etc., to document and support complex mission related issues such as coverage, plans, terminations, participants, benefits, funds, premiums, and investment matters. Governance Records include materials related to conducting investigations, developing cases, positions, findings, or reports, and performing special studies, projects, analyses, evaluations, reviews and audits not covered under item 2.3.

Governance Records address mission oriented matters within, but not limited to, the subject areas below.

- Active Negotiation Case Files
- Actuarial Monitoring Files
- Administrative Issuances
- Appeals Board Minutes
- Budget Policy
- Corporate Financial Planning and Policy Files
- Coverage Case Files
- Directives, Procedural Issuances and Operating Manuals
- Employer Withdrawal Case Files
- Financial Management Reporting
- High and Low Level Monitoring Case Files
- Investigation files and case tracking and management
- Master History Index
- Money Manager Contract and Associated records
- Multiemployer Plan Cases
- Office Policy
- Plan Asset Case Files

- Plan Closing Case Files
- Plan Termination Case Files Source Records
- Records Disposition Files
- Reportable Event Case Files
- Security Policy Files
- Special Project or Task Force Case Files – Non-Precedent
- Terminated Plan Asset Case Files

TEMPORARY. Close file when matter is completely finished or closed. Transfer physical records to an offsite storage facility 5 years after the end of the fiscal year the matter was closed. Destroy or delete 20 years after the end of the fiscal year that the matter was closed.

Item 2.3: Core Case File Records.

Core Case File Records are those records accumulated (prepared, collected, or received) by individual offices that are core to PBGC's mission and contain all documents significant to a matter that are aggregated and managed by an electronic system (e.g. Plan Termination Case Files in the IPS). Core Case File Records address mission oriented matters within, but not limited to, the subject areas below.

A. Core Case Files Records that are Electronic

TEMPORARY. Break file at the end of each fiscal year. Move off line 40 years after determination that all participants have been fully paid. Destroy or delete after 135 years.

B. Core Case Files Records not Electronic.

TEMPORARY. Transfer to FRC 30 days after the case is closed. Destroy 40 years after case is closed.

Item 2.4: Pension Plan Company Files.

Information from a plan sponsor or administrator that is not necessary for case processing. This includes paper and electronic copies of information received. These Records are among those mission records that, due to the sensitive nature of the information contained therein, or due to legislative, regulatory or contractual mandates or obligations, require PBGC staff to process items in a manner different from those described in the Administrative Records Schedules above.

TEMPORARY. Information should be returned to the plan sponsor, if possible, or to the plan administrator if they have need for the information. If the plan sponsor/administrator does not want the information to be returned, destroy/delete after 3 years.

Item 2.5: Tax Returns or Tax Return Information Disclosed by the Internal Revenue Service (IRS)

Confidential materials such as tax returns and other IRS forms relating to pension plan sponsors including related memoranda, control documentation, and working papers.

~~a. Original or certified or attested copies~~

~~Return to IRS when no longer needed in accordance with Internal Revenue Code Section 6139p)(4)(f) and PBGC Directive IM-10-2.~~

b. Copies

TEMPORARY. Destroy when no longer needed (in accordance with current IRS requirements and PBGC Directive IM-10-2).

PBGC Simplified Records Schedules

Schedule 3: Policy Schedule

The Policy Schedule documents general agency policies and policy development, agency origin and organization, and decisions and activities of senior executives. By their very nature, many Policy Schedule Records have historical or other value to warrant continued preservation by the federal government. The Policy Schedule covers corporate wide directives/instructions, determinations (e.g., legal opinions, decisions for Congress, and decisions on availability and use of authorized funds), legislative histories, publications, final products, and special collections. This records schedule includes provisions for all general policy records including those governed by the GRS.

These records are created and maintained in different media and formats and this records schedule is written to authorize the disposition of the records in any media. PBGC is responsible for maintaining these records throughout their life cycle while under the responsibility of PBGC.

This records schedule applies to all organizational elements of PBGC. All previously approved records schedules of the PBGC are superseded and cancelled by this schedule and the associated Administrative and Mission Schedules.

Item 3.1: Policy Support Records.

Policy Support Records are those policy related records prepared or received by individual offices in support of organization and staff efforts to document information in support of new or revised policy decisions, policy related matters, and related policy activities. These records include final and preliminary versions of items, working files, background papers, and communications (including e-mails) of business value (e.g. items documenting decisions, knowledge, or reusable work products). Policy Support Records, after initial declaration, may or may not be significant or contribute to one or more complex records. Such records, as appropriate, may be moved or copied to, and become part of the more complex record or records and managed accordingly. Policy Support Records address policy matters within, but not limited to, the subject areas below.

- Advisory Committee Files
- Corporate Policy Development Files
- Corporate Standing Committee Files
- Forecasting and Research Working Papers
- GAO Matters
- Legislative Working Files
- Regulations Files Working Papers
- Research and Evaluation Working Files
- Other working files including electronic mail and electronically stored information

TEMPORARY. Break file at the end of each fiscal year or case closure (latest documented use). Destroy or delete after 7 years.

Item 3.2: Policy Records.

Policy Records are those policy records accumulated (prepared , received, or collected) by individual offices that aggregate materials (records and other relevant information) into cases, project files, etc. to document and promulgate new or revised policies, policy related matters, and related activities. Policy Records address policy matters within, but not limited to, the subject areas below.

- Background Case Files
- Budget Policy Files
- Directives, Procedural Issuances and Operating Manuals Files
- Forecasting and Research Files
- Investment Policy Issues and Position Files
- Legislative Files
- Regulations Files
- Research and Evaluation Files
- Special Project or Task Force Case Files
- Special Reports to Congress Files

TEMPORARY. Close file when matter is completely finished or closed. Transfer physical records to an offsite storage facility 5 years after the end of the fiscal year the matter was closed. Destroy or delete 20 years after the end of the fiscal year that the matter was closed.

Item 3.3: Historical Policy Records.

Historical Policy Records are those policy records accumulated (prepared, collected, or received) by individual offices that have been appraised by NARA to have sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States. These are historical, precedent setting, and significant records that document the history and evolution of PBGC management and significant decisions. Historical Policy Records address matters within, but not limited to, the subject areas below.

PBGC Simplified Records Schedules

- Audit Files
- Historical Board of Directors' Files
- Board of Directors minutes and resolutions
- Case files of significant value
- Corporate Policy Development Files
- Corporate Standing Committee File
- Directives, Procedural Issuances and Operating Manuals
- Executive Director's Correspondence Files
- Published and Non-published Forecasting and Research Files
- Investment Policy Files
- Investigation Files
- Official Minutes of the Advisory Committee
- Official speeches of PBGC top officials
- Organizational Records
- Precedent case record files and correspondence
- Precedent Pension Plan administration files
- Significant audit and evaluation files
- Reports to President and Congress

PERMANENT. Break file at the end of each fiscal year or case closure. Transfer to NARA after 20 years.

NOTE: If these records are converted to electronic format, PBGC agrees to transfer a copy to the National Archives and Records Administration (NARA) according to NARA's pre-accessioning transfer procedures in "*A Strategy for Preserving Permanent Electronic Records*" and "*Transferring Permanent Electronic Records to NARA*." These records remain in the legal custody of PBGC until the records are officially transferred into NARA's legal custody.

**PENSION BENEFIT
GUARANTY CORPORATION**

Electronic Records Systems

Name of System & Acronym	Brief Description	Scheduling Status	Type of records	Date to NARA
Legal Edge for Windows (LEW)	Legal Records. OGC uses LEW, a case management system, and built a simple adjunct to that system that stores electronic documents in a NTFS file store.	Scheduled under N1-465-09-1.	TEMP	Nov-08
Image Processing System (IPS)	Participant Records. A customized version of FileNet that is used as a relatively simple repository for the scanned images and some other electronic documents organized into a file structure based on a pension plan and beneficiary identifications.	Scheduled under N1-465-09-1.	TEMP	Nov-08
Case Administration System (CMS)	Plan Case Files. Database Application	Scheduled under N1-465-09-1.	TEMP	Nov-08
Appeals Re-engineering Technical Information System (ARTIS)	Appeals Records. Database Application	Scheduled under N1-465-09-1	TEMP	Nov-08
Participant Record Information System Management (PRISM)	Benefit Payment. Database Application	Scheduled under N1-465-09-1	TEMP	Nov-08
Premium Accounting System (PAS)	Premium Accounting. Premium Accounting System.	Scheduled under N1-465-09-1	TEMP	Nov-08

ADMINISTRATIVE

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
1	465-81-1	001e Non-Record Material		0	0.5	1.1	Administrative	Transitory Administrative Records	
3	465-81-1	3. Reading or Chronological Files		0	0.5	1.1	Administrative	Transitory Administrative Records	
4	465-81-1	4. Suspense Files	a. Notes and other reminders; b. File copies; c. transitory papers	0	0.5	1.1	Administrative	Transitory Administrative Records	
5	465-81-1	005. Technical Reference Material		0	0.5	1.1	Administrative	Transitory Administrative Records	
6	465-81-1	6. Transitory Material	a. Letters of transmittal	0	0.5	1.1	Administrative	Transitory Administrative Records	
7	465-81-1	6. Transitory Material	b. Quasi-official notices	0	0.5	1.1	Administrative	Transitory Administrative Records	
8	465-81-1	7. Indices, Logs, Journals, and Registers		0	0.5	1.1	Administrative	Transitory Administrative Records	
10	465-81-1	009. Subject Files	a. Record copies of office policy and precedent material	0	0.5	1.1	Administrative	Transitory Administrative Records	
11	465-81-1	009. Subject Files	b. Copies of other materials	5	0.5	1.1	Administrative	Transitory Administrative Records	
14	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	c. Issuances related to routine functions	0	0.5	1.1	Administrative	Transitory Administrative Records	
15	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	d. Case files related to issuances	0	0.5	1.1	Administrative	Transitory Administrative Records	
31	465-81-1	27. Information Files	e. Copies of information files	0	0.5	1.1	Administrative	Transitory Administrative Records	
33	465-81-1	028. Information Subject Files	[a.] Obsolete/ superseded materials	1	0.5	1.1	Administrative	Transitory Administrative Records	
40	465-81-1	082. Master Employee Record		0	0.5	1.1	Administrative	Transitory Administrative Records	
59	465-81-1	120. Organizational Records	b. All other copies	0	0.5	1.1	Administrative	Transitory Administrative Records	

ADMINISTRATIVE

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
62	465-84-1	60. Index Card Control Files		0	0	1.1	Administrative	Transitory Administrative Records	
146	465-01-1	1. Participant Files (66.)	c. Image system source records (aka chronological files)	1	0.5	1.1	Administrative	Transitory Administrative Records	
182	465-02-2	3. Plan Termination Case Files (68.)	b. Add-scans source records	1	0.5	1.1	Administrative	Transitory Administrative Records	
183	465-02-2	3. Plan Termination Case Files (68.)	c. Toss records		0.5	1.1	Administrative	Transitory Administrative Records	
191	466 - New Item	Previously unscheduled items		Unscheduled	7	1.1	Administrative	Administrative Records	
2	465-81-1	002. General Administrative Files		1	7	1.2	Administrative	Administrative Records	
26	465-81-1	026. Audit and Investigation Reports		5	7	1.2	Administrative	Administrative Records	
32	465-81-1	027. Information Files	f. Working papers for information files	4	7	1.2	Administrative	Administrative Records	
34	465-81-1	028. Information Subject Files	[b.] Continuing value materials	3	7	1.2	Administrative	Administrative Records	
39	465-81-1	081. Budget Estimates and Justifications Files		3	7	1.2	Administrative	Administrative Records	
61	465-81-1	122. Off-the-Shelf Audiovisual Materials for Training		3	7	1.2	Administrative	Administrative Records	
89	465-85-2	8. Corporate Management Planning and Reporting	b. Record copies of Corporate Management Planning and Reporting documents and products	7	7	1.2	Administrative	Administrative Records	
133	465-95-4	10. Employment Applications		2	7	1.2	Administrative	Administrative Records	
134	465-95-4	11. Ethics Forms and Records	a.,b. Original disclosure reports	6	7	1.2	Administrative	Administrative Records	
135	465-95-4	11. Ethics Forms and Records	c. Copies of Ethics Agreements	6	0.5	1.2	Administrative	Transitory Administrative Records	
136	465-95-4	11. Ethics Forms and Records	d.1. Copies of interpretive memorandums		7	1.2	Administrative	Administrative Records	
137	465-95-4	11. Ethics Forms and Records	d.2. Remaining records	6	7	1.2	Administrative	Administrative Records	
160	465-01-2	3. Hotline Documents		2	7	1.2	Administrative	Administrative Records	
41	465-81-1	083. Financial Management Reporting System Files		10	20	1.3	Administrative	Administrative Governance Records	

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Prpoosed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
42	465-81-1	084. PBGC Property File		10	20	1.3	Administrative	Administrative Governance Records	
88	465-85-2	8. Corporate Management Planning and Reporting	a. Record copies that describe the Corporate Management Planning System	5	20	1.3	Administrative	Administrative Governance Records	
98	465-94-1	2. Corporate Management Planning and Reporting Files (85-2 8.)	a. Record copies	10	20	1.3	Administrative	Administrative Governance Records	
111	465-95-3	1. Tax Return Disclosure Request Records (62. Permanent System of Standardized Records)	PBGC Form 262	1	20	1.3	Administrative	Administrative Governance Records	
112	465-95-3	1. Tax Return Disclosure Request Records (62. Permanent System of Standardized Records)	PBGC Form 273	7	20	1.3	Administrative	Administrative Governance Records	
118	465-95-4	01e Board of Directors' Files (40.)	b. Working files and background papers	15	20	1.3	Administrative	Administrative Governance Records	
132	465-95-4	09. Attorney Time Records		15	20	1.3	Administrative	Administrative Historical Records	
151	465-01-2	1. Investigative Files	b. Files of an investigative nature but do not relate to a specific allegation	5	20	1.3	Administrative	Administrative Governance Records	
152	465-01-2	1. Investigative Files	c. All other investigative case files	10	20	1.3	Administrative	Administrative Governance Records	
153	465-01-2	2. Investigative Case Tracking and Management System	a. Inputs	0	0	1.3	Administrative	Administrative Governance Records	
154	465-01-2	2. Investigative Case Tracking and Management System	b.1e Data on electronic media related to specific investigations	0	20	1.3	Administrative	Administrative Governance Records	
155	465-01-2	2. Investigative Case Tracking and Management System	b.2. All other data on electronic media	0	20	1.3	Administrative	Administrative Governance Records	
157	465-01-2	2. Investigative Case Tracking and Management System	c.1b. Hard copy Case Status Report and Disposition Log for other cases	0	20	1.3	Administrative	Administrative Governance Records	
158	465-01-2	2. Investigative Case Tracking and Management System	c.2. All otherhard copy reports	2	20	1.3	Administrative	Administrative Governance Records	

NARA Crosswalk Current PBGC Record Schedules

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MISSION

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets								
No	Previous Record Schedule	Record Identification	Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
9	465-81-1	008. Management Planning and Workload Review Files	3	7	2.1	Mission	Plan, Participant and Insurance Records	
43	465-81-1	085. Participant File Update Forms	5	7	2.1	Mission	Plan, Participant and Insurance Records	
44	465-81-1	086. Benefit Payment Check Summary	5	7	2.1	Mission	Plan, Participant and Insurance Records	
45	465-81-1	087. Benefit Payment Check Register	a. Paper copy	0.5	7	2.1	Mission	Plan, Participant and Insurance Records
46	465-81-1	087. Benefit Payment Check Register	b. Microfilm/microfiche	5	7	2.1	Mission	Plan, Participant and Insurance Records
50	465-81-1	094. Trust Fund Ledger System Summary Reports		7	7	2.1	Mission	Plan, Participant and Insurance Records
63	465-84-1	61e Tax Returns or Tax Return Information Disclosed by the Internal Revenue Service (IRS)	a. Originals or certified copies	0	7	2.1	Mission	Plan, Participant and Insurance Records
64	465-84-1	61e Tax Returns or Tax Return Information Disclosed by the Internal Revenue Service (IRS)	b. Copies		7	2.1	Mission	Plan, Participant and Insurance Records
66	465-84-1	67. Plan Record Files	1	7	2.1	Mission	Plan, Participant and Insurance Records	
70	465-84-1	72. Actuarial Reports File	a. Master file copy	3	7	2.1	Mission	Plan, Participant and Insurance Records
71	465-84-1	72. Actuarial Reports File	b. Actuary copy	0.5	7	2.1	Mission	Plan, Participant and Insurance Records
72	465-84-1	73. Actuarial Reports Correspondence File		3	7	2.1	Mission	Plan, Participant and Insurance Records
73	465-84-1	88. Cancelled (Purged) Benefit Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records
74	465-84-1	89. Paid Benefit Payment Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records
75	465-84-1	90. Voided Benefit Payment Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
76	465-84-1	91. Benefit Payment Check Reconciliation Statements		7	7	2.1	Mission	Plan, Participant and Insurance Records	
77	465-84-1	98. Premium Refund/Underpayment Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
78	465-84-1	99. Income Tax Records		5	7	2.1	Mission	Plan, Participant and Insurance Records	
79	465-85-2	1. Assets Liquidation Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
80	465-85-2	2. Custodian Banks and Money Managers Corr. Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
82	465-85-2	4. Monthly Treasurer's Report Files		5	7	2.1	Mission	Plan, Participant and Insurance Records	
86	465-85-2	6. Training Aids		5	7	2.1	Mission	Plan, Participant and Insurance Records	
87	465-85-2	7. Insurance Operations Program Subject Files		5	7	2.1	Mission	Plan, Participant and Insurance Records	
90	465-85-2	8. Corporate Management Planning and Reporting	c. Other copies and working papers	2	7	2.1	Mission	Plan, Participant and Insurance Records	
92	465-93-1	29. Appeals Board Files	a.(2) Appeals Board Non-Precedent Decisions and Non-litigation Cases	7	7	2.1	Mission	Plan, Participant and Insurance Records	
93	465-93-1	29. Appeals Board Files	b.(2) Appeals Board Agendas	7	7	2.1	Mission	Plan, Participant and Insurance Records	
99	465-94-1	2. Corporate Management Planning and Reporting Files (85-2 8.)	c. Other materials	5	7	2.1	Mission	Plan, Participant and Insurance Records	
113	465-95-3	2. Controlled Correspondence (Non-Congressional) Files (74.)		1	7	2.1	Mission	Plan, Participant and Insurance Records	
114	465-95-3	3. Reportable Events: 30-Day Reporting Requirement Waived (75.)		1	7	2.1	Mission	Plan, Participant and Insurance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification	Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes	
116	465-95-3	5. Congressional Correspondence Control Files (65.)	Working copies	1	7	2.1	Mission	Plan, Participant and Insurance Records	
138	465-96-1	1. Financial Statement Documentation		7	7	2.1	Mission	Plan, Participant and Insurance Records	
139	465-96-1	2. Revolving Fund Documentation		5	7	2.1	Mission	Plan, Participant and Insurance Records	
142	465-96-1	5. Annual Premium Filing Form (110.)	a. Optical disk files	7	7	2.1	Mission	Plan, Participant and Insurance Records	
143	465-96-1	5. Annual Premium Filing Form (110.)	b. Hard copy files	2	7	2.1	Mission	Plan, Participant and Insurance Records	
144	465-01-1	1. Participant Files (66.)	a. 1) Imaged Participant File where the participant or beneficiary has been fully paid	7	7	2.1	Mission	Plan, Participant and Insurance Records	
145	465-01-1	1. Participant Files (66.)	a. 2) Imaged Participant File where determination letter has not been issued 7 years after final benefit	7	7	2.1	Mission	Plan, Participant and Insurance Records	
178	465-02-2	1. Pension Plan Company Files	a. Recordkeeping copy of Pension Plan Company Files	1	7	2.1	Mission	Plan, Participant and Insurance Records	
179	465-02-2	1. Pension Plan Company Files	b. Electronic records	1	7	2.1	Mission	Plan, Participant and Insurance Records	
180	465-02-2	2. Pension Processing Working Files		1	7	2.1	Mission	Plan, Participant and Insurance Records	
184	465-02-2	3. Plan Termination Case Files (68.)	d. Litigation and Administrative Source records	5	7	2.1	Mission	Plan, Participant and Insurance Records	
187	465-02-2	4. Standard Termination Files (Non Trusteed)		1	7	2.1	Mission	Plan, Participant and Insurance Records	
188	465-02-2	5. Non Standard Termination (Trusteed)		1	7	2.1	Mission	Plan, Participant and Insurance Records	
191	465 - New Item	Previously unscheduled items		Unscheduled	7	2.1	Mission	Plan, Participant and Insurance Records	
47	465-81-1	092. Plan Asset Case Files		10	20	2.2	Mission	Governance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
51	465-81-1	095. Financial Data and Plan Asset Files for Insufficient Terminated Plans		20	20	2.2	Mission	Governance Records	
52	465-81-1	096. Corporate Financial Planning Files		15	20	2.2	Mission	Governance Records	
53	465-81-1	097. Corporate Financial Policy Files		15	20	2.2	Mission	Governance Records	
54	465-81-1	111. Master Pension Plan Listings		0	20	2.2	Mission	Governance Records	
60	465-81-1	121. Security Policy Files		0	20	2.2	Mission	Governance Records	
65	465-84-1	64. Coverage Case Files		15	20	2.2	Mission	Governance Records	
67	465-84-1	69. Reportable Event Case Files		20	20	2.2	Mission	Governance Records	
68	465-84-1	70. Plant Closing Case Files		20	20	2.2	Mission	Governance Records	
69	465-84-1	71. Employer Withdrawal Case Files		20	20	2.2	Mission	Governance Records	
101	465-94-1	3. Special Project or Task Force Case Files	a.(2) Non-precedent steering case record files and correspondence (department operations)	20	20	2.2	Mission	Governance Records	
102	465-94-1	3. Special Project or Task Force Case Files	b. Case working papers	3	20	2.2	Mission	Governance Records	
103	465-95-1	1. Active Notification Case Files		15	20	2.2	Mission	Governance Records	
104	465-95-1	2. High Level Monitoring Case Files		10	20	2.2	Mission	Governance Records	
105	465-95-1	3. Low Level Monitoring Case Files		9	20	2.2	Mission	Governance Records	
106	465-95-1	4. Actuarial Monitoring Files		15	20	2.2	Mission	Governance Records	
115	465-95-3	4. Multiemployer Plan Cases (76.)		20	20	2.2	Mission	Governance Records	
120	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	b. Non-precedential cases and pension plan files	15	20	2.2	Mission	Governance Records	
121	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	c. Working copies	15	20	2.2	Mission	Governance Records	
123	465-95-4	04. Litigation Docket Sheets		20	20	2.2	Mission	Governance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
125	465-95-4	06. Agreements and Financial Instruments (46. Settlement Agreements)	a. Copy of signed instruments	10	20	2.2	Mission	Governance Records	
126	465-95-4	06. Agreements and Financial Instruments (46. Settlement Agreements)	b. Signed originals of trustee agreements	10	20	2.2	Mission	Governance Records	
129	465-95-4	07. Legal Opinion Files (47.)	b.2. General legal advice memorandums - remaining legal advice memorandums	20	20	2.2	Mission	Governance Records	
130	465-95-4	07. Legal Opinion Files (47.)	c. Working papers	0.5	7	2.2	Mission	Governance Records	
140	465-96-1	3. Money Manager Contract and Associated records		5	20	2.2	Mission	Governance Records	
141	465-96-1	4. Terminated Plan Asset Case Files		17	20	2.2	Mission	Governance Records	
147	465-01-1	1. Participant Files (66.)	d. Image Processing System (IPS) Documentation	1	20	2.2	Mission	Governance Records	
181	465-02-2	3. Plan Termination Case Files (68.)	a. Plan Termination Case Files Source Records	10	20	2.2	Mission	Governance Records	
185	465-02-2	3. Plan Termination Case Files (68.)	e.1e Imaged Plan Termination Case Files - all participants have been fully paid	40	135	2.3	Mission	Plan Termination Case File Records	
186	465-02-2	3. Plan Termination Case Files (68.)	e.2. Imaged Plan Termination Case Files - all participants have not been fully paid	40	135	2.3	Mission	Plan Termination Case File Records	

POLICY

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets								
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name
25	465-81-1	025. GAO Matters		5	7	3.1	Policy	Department Policy Records
35	465-81-1	041e Advisory Committee Files		5	7	3.1	Policy	Department Policy Records
84	465-85-2	5. Corporate Standing Committee Files	b.1. Records of the committee secretary	5	7	3.1	Policy	Department Policy Records
85	465-85-2	5. Corporate Standing Committee Files	b.2. All other committee records	3	7	3.1	Policy	Department Policy Records
168	465-02-01	1. Legislative Development Files	b. Files not related to Title IV of ERISA	3	7	3.1	Policy	Department Policy Records
170	465-02-01	2. Regulations Development Files	b. Working papers for other regulations development files	3	7	3.1	Policy	Department Policy Records
171	465-02-01	3. Paperwork Burden Files		6	7	3.1	Policy	Department Policy Records
173	465-02-01	4. Corporate Policy Development Files	b. Working papers for other policy development files	3	7	3.1	Policy	Department Policy Records
13	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	b. Case files (background files)	10	20	3.2	Policy	Multi-Department Policy Records
22	465-81-1	023. Research and Evaluation Files	b. All working papers supporting reports	15	20	3.2	Policy	Multi-Department Policy Records
24	465-81-1	024. Special Reports to Congress	b. Report working papers	9	20	3.2	Policy	Multi-Department Policy Records
37	465-81-1	045. Regulations Files		15	20	3.2	Policy	Multi-Department Policy Records
38	465-81-1	080. Budget Policy Files		10	20	3.2	Policy	Multi-Department Policy Records
49	465-81-1	093. Investment Policy Panel File	b. Background papers and working files	10	20	3.2	Policy	Multi-Department Policy Records
81	465-85-2	3. Investment Policy Issues and Position Files		15	20	3.2	Policy	Multi-Department Policy Records
91	465-93-1	29. Appeals Board Files	a.(1) Appeals Board Precedent Decisions and Litigation Cases	7	20	3.2	Policy	Multi-Department Policy Records
94	465-93-1	29. Appeals Board Files	c. Appeal Decisions Not Reviewed By The Appeals Board	7	20	3.2	Policy	Multi-Department Policy Records
95	465-93-1	29. Appeals Board Files	d. Administrative Closings	7	20	3.2	Policy	Multi-Department Policy Records
96	465-93-1	29. Appeals Board Files	e. Extension Requests	7	20	3.2	Policy	Multi-Department Policy Records
97	465-93-1	29. Appeals Board Files	f. Minutes	10	20	3.2	Policy	Multi-Department Policy Records

POLICY

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
124	465-95-4	05. Regulation Files			20	3.2	Policy	Multi-Department Policy Records	
175	465-02-01	5. Forecasting and Research Files	b. Working papers for Forecasting and Research Files	10	20	3.2	Policy	Multi-Department Policy Records	
12	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	a. Record copies of issuances	Permanent	Permanent	3.3	Policy	Historical Policy Records	
18	465-81-1	020. Office Minutes of the Advisory Committee		Permanent	Permanent	3.3	Policy	Historical Policy Records	
19	465-81-1	021. Official Minutes of the Contingent Employer Liability Insurance (CELI) Panel		Permanent	Permanent	3.3	Policy	Historical Policy Records	
20	465-81-1	022. Executive Director's Correspondence Files		Permanent	Permanent	3.3	Policy	Historical Policy Records	
21	465-81-1	023. Research and Evaluation Files	a. All published and unpublished reports and studies	Permanent	Permanent	3.3	Policy	Historical Policy Records	
23	465-81-1	024. Special Reports to Congress	a. Reports and supporting documentation	Permanent	Permanent	3.3	Policy	Historical Policy Records	
27	465-81-1	027. Information Files	a. Record copies	Permanent	Permanent	3.3	Policy	Historical Policy Records	
28	465-81-1	027. Information Files	b. Brochures	Permanent	Permanent	3.3	Policy	Historical Policy Records	
29	465-81-1	027. Information Files	c. Annual reports to the President and Congress	Permanent	Permanent	3.3	Policy	Historical Policy Records	
30	465-81-1	027. Information Files	d. Official speeches of Executive Director and other PBGC top officials	Permanent	Permanent	3.3	Policy	Historical Policy Records	
36	465-81-1	042. Official Speeches of the General Counsel		Permanent	Permanent	3.3	Policy	Historical Policy Records	
48	465-81-1	093. Investment Policy Panel File	a. Official minutes, agenda, position papers, and reports	Permanent	Permanent	3.3	Policy	Historical Policy Records	
55	465-81-1	112. Premium Payment System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
56	465-81-1	113. Case Processing System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
57	465-81-1	114. Benefit Payment System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
58	465-81-1	120. Organizational Records	a. Record copy	Permanent	Permanent	3.3	Policy	Historical Policy Records	

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
83	465-85-2	5. Corporate Standing Committee Files	a. Records relating to establishment, organization, membership, and policy	Permanent	Permanent	3.3	Policy	Historical Policy Records	
100	465-94-1	3. Special Project or Task Force Case Files	a.(1) Precedent steering case record files and correspondence (corporate-wide policy)	Permanent	Permanent	3.3	Policy	Historical Policy Records	
117	465-95-4	01. Board of Directors' Files (40.)	a. Original minutes and resolutions	Permanent	Permanent	3.3	Policy	Historical Policy Records	
119	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	a. Selected files and documents	Permanent	Permanent	3.3	Policy	Historical Policy Records	
127	465-95-4	07. Legal Opinion Files (47.)	a. Record copy of PBGC opinion letters	Permanent	Permanent	3.3	Policy	Historical Policy Records	
128	465-95-4	07. Legal Opinion Files (47.)	b.1e General legal advice memorandums - Selected documents that produce a significant effect on PBGC operations	Permanent	Permanent	3.3	Policy	Historical Policy Records	
131	465-95-4	08. Legislative Files (48.)		Permanent	Permanent	3.3	Policy	Historical Policy Records	
150	465-01-2	1. Investigative Files	a. Official record of case files of significant value	Permanent	Permanent	3.3	Policy	Historical Policy Records	
156	465-01-2	2. Investigative Case Tracking and Management System	c.1.a. Hard copy Case Status Report and Disposition Log for permanent cases	Permanent	Permanent	3.3	Policy	Historical Policy Records	
161	465-01-2	4. Audit Files	a.1e Official record of audit and evaluation files of significant value	Permanent	Permanent	3.3	Policy	Historical Policy Records	
167	465-02-01	1. Legislative Development Files	a. Selected precedential files and material relating to Title IV of ERISA	Permanent	Permanent	3.3	Policy	Historical Policy Records	
169	465-02-01	2. Regulations Development Files	a. Selected precedential files and material relating to regulations adopted by the Corporation	Permanent	Permanent	3.3	Policy	Historical Policy Records	
172	465-02-01	4. Corporate Policy Development Files	a. Selected precedential files and material relating to policies adopted by the Corporation	Permanent	Permanent	3.3	Policy	Historical Policy Records	
174	465-02-01	5. Forecasting and Research Files	a. Published and unpublished reports and studies	Permanent	Permanent	3.3	Policy	Historical Policy Records	

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
1.	465-81-1	001. Non-Record Material		0	0.5	1.1	Administrative	Transitory Administrative Records	
2	465-81-1	002. General Administrative Files		1	7	1.2	Administrative	Administrative Records	
3	465-81-1	3. Reading or Chronological Files		0	0.5	1.1	Administrative	Transitory Administrative Records	
4	465-81-1	4. Suspense Files	a. Notes and other reminders; b. File copies; c. transitory papers	0	0.5	1.1	Administrative	Transitory Administrative Records	
5	465-81-1	005. Technical Reference Material		0	0.5	1.1	Administrative	Transitory Administrative Records	
6	465-81-1	6. Transitory Material	a. Letters of transmittal	0	0.5	1.1	Administrative	Transitory Administrative Records	
7	465-81-1	6. Transitory Material	b. Quasi-official notices	0	0.5	1.1	Administrative	Transitory Administrative Records	
8	465-81-1	7. Indices, Logs, Journals, and Registers		0	0.5	1.1	Administrative	Transitory Administrative Records	
9	465-81-1	008. Management Planning and Workload Review Files		3	7	2.1	Mission	Plan, Participant and Insurance Records	
10	465-81-1	009. Subject Files	a. Record copies of office policy and precedent material	0	0.5	1.1	Administrative	Transitory Administrative Records	
11	465-81-1	009. Subject Files	b. Copies of other materials	5	0.5	1.1	Administrative	Transitory Administrative Records	
12	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	a. Record copies of issuances	Permanent	Permanent	3.3	Policy	Historical Policy Records	
13	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	b. Case files (background files)	10	20	3.2	Policy	Multi-Department Policy Records	
14	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	c. Issuances related to routine functions	0	0.5	1.1	Administrative	Transitory Administrative Records	
15	465-81-1	010. Directives, Procedural Issuances and Operating Manuals	d. Case files related to issuances	0	0.5	1.1	Administrative	Transitory Administrative Records	
16	465-81-1	011. Forms Files	a. Record copy of each form	10					No longer used

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
17	465-81-1	011. Forms Files	b. Working papers	0					No longer used
18	465-81-1	020. Office Minutes of the Advisory Committee		Permanent	Permanent	3.3	Policy	Historical Policy Records	
19	465-81-1	021. Official Minutes of the Contingent Employer Liability Insurance (CELI) Panel		Permanent	Permanent	3.3	Policy	Historical Policy Records	
20	465-81-1	022. Executive Director's Correspondence Files		Permanent	Permanent	3.3	Policy	Historical Policy Records	
21	465-81-1	023. Research and Evaluation Files	a. All published and unpublished reports and studies	Permanent	Permanent	3.3	Policy	Historical Policy Records	
22	465-81-1	023. Research and Evaluation Files	b. All working papers supporting reports	15	20	3.2	Policy	Multi-Department Policy Records	
23	465-81-1	024. Special Reports to Congress	a. Reports and supporting documentation	Permanent	Permanent	3.3	Policy	Historical Policy Records	
24	465-81-1	024. Special Reports to Congress	b. Report working papers	9	20	3.2	Policy	Multi-Department Policy Records	
25	465-81-1	025. GAO Matters		5	7	3.1	Policy	Department Policy Records	
26	465-81-1	026. Audit and Investigation Reports		5	7	1.2	Administrative	Administrative Records	
27	465-81-1	027. Information Files	a. Record copies	Permanent	Permanent	3.3	Policy	Historical Policy Records	
28	465-81-1	027. Information Files	b. Brochures	Permanent	Permanent	3.3	Policy	Historical Policy Records	
29	465-81-1	027. Information Files	c. Annual reports to the President and Congress	Permanent	Permanent	3.3	Policy	Historical Policy Records	
30	465-81-1	027. Information Files	d. Official speeches of Executive Director and other PBGC top officials	Permanent	Permanent	3.3	Policy	Historical Policy Records	
31	465-81-1	027. Information Files	e. Copies of information files	0	0.5	1.1	Administrative	Transitory Administrative Records	
32	465-81-1	027. Information Files	f. Working papers for information files	4	7	1.2	Administrative	Administrative Records	
33	465-81-1	028. Information Subject Files	[a.] Obsolete/ superseded materials	1	0.5	1.1	Administrative	Transitory Administrative Records	
34	465-81-1	028. Information Subject Files	[b.] Continuing value materials	3	7	1.2	Administrative	Administrative Records	
35	465-81-1	041. Advisory Committee Files		5	7	3.1	Policy	Department Policy Records	
36	465-81-1	042. Official Speeches of the General Counsel		Permanent	Permanent	3.3	Policy	Historical Policy Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
37	465-81-1	045. Regulations Files		15	20	3.2	Policy	Multi-Department Policy Records	
38	465-81-1	080. Budget Policy Files		10	20	3.2	Policy	Multi-Department Policy Records	
39	465-81-1	081. Budget Estimates and Justifications Files		3	7	1.2	Administrative	Administrative Records	
40	465-81-1	082. Master Employee Record		0	0.5	1.1	Administrative	Transitory Administrative Records	
41	465-81-1	083. Financial Management Reporting System Files		10	20	1.3	Administrative	Administrative Governance Records	
42	465-81-1	084. PBGC Property File		10	20	1.3	Administrative	Administrative Governance Records	
43	465-81-1	085. Participant File Update Forms		5	7	2.1	Mission	Plan, Participant and Insurance Records	
44	465-81-1	086. Benefit Payment Check Summary		5	7	2.1	Mission	Plan, Participant and Insurance Records	
45	465-81-1	087. Benefit Payment Check Register	a. Paper copy	0.5	7	2.1	Mission	Plan, Participant and Insurance Records	
46	465-81-1	087. Benefit Payment Check Register	b. Microfilm/microfiche	5	7	2.1	Mission	Plan, Participant and Insurance Records	
47	465-81-1	092. Plan Asset Case Files		10	20	2.2	Mission	Governance Records	
48	465-81-1	093. Investment Policy Panel File	a. Official minutes, agenda, position papers, and reports	Permanent	Permanent	3.3	Policy	Historical Policy Records	
49	465-81-1	093. Investment Policy Panel File	b. Background papers and working files	10	20	3.2	Policy	Multi-Department Policy Records	
50	465-81-1	094. Trust Fund Ledger System Summary Reports		7	7	2.1	Mission	Plan, Participant and Insurance Records	
51	465-81-1	095. Financial Data and Plan Asset Files for Insufficient Terminated Plans		20	20	2.2	Mission	Governance Records	
52	465-81-1	096. Corporate Financial Planning Files		15	20	2.2	Mission	Governance Records	
53	465-81-1	097. Corporate Financial Policy Files		15	20	2.2	Mission	Governance Records	
54	465-81-1	111. Master Pension Plan Listings		0	20	2.2	Mission	Governance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
55	465-81-1	112. Premium Payment System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
56	465-81-1	113. Case Processing System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
57	465-81-1	114. Benefit Payment System		Permanent	Permanent	3.3	Policy	Historical Policy Records	
58	465-81-1	120. Organizational Records	a. Record copy	Permanent	Permanent	3.3	Policy	Historical Policy Records	
59	465-81-1	120. Organizational Records	b. All other copies	0	0.5	1.1	Administrative	Transitory Administrative Records	
60	465-81-1	121. Security Policy Files		0	20	2.2	Mission	Governance Records	
61	465-81-1	122. Off-the-Shelf Audiovisual Materials for Training		3	7	1.2	Administrative	Administrative Records	
62	465-84-1	60. Index Card Control Files		0	0	1.1	Administrative	Transitory Administrative Records	
63	465-84-1	61. Tax Returns or Tax Return Information Disclosed by the Internal Revenue Service (IRS)	a. Originals or certified copies	0	7	2.1	Mission	Plan, Participant and Insurance Records	
64	465-84-1	61. Tax Returns or Tax Return Information Disclosed by the Internal Revenue Service (IRS)	b. Copies		7	2.1	Mission	Plan, Participant and Insurance Records	
65	465-84-1	64. Coverage Case Files		15	20	2.2	Mission	Governance Records	
66	465-84-1	67. Plan Record Files		1	7	2.1	Mission	Plan, Participant and Insurance Records	
67	465-84-1	69. Reportable Event Case Files		20	20	2.2	Mission	Governance Records	
68	465-84-1	70. Plant Closing Case Files		20	20	2.2	Mission	Governance Records	
69	465-84-1	71. Employer Withdrawal Case Files		20	20	2.2	Mission	Governance Records	
70	465-84-1	72. Actuarial Reports File	a. Master file copy	3	7	2.1	Mission	Plan, Participant and Insurance Records	
71	465-84-1	72. Actuarial Reports File	b. Actuary copy	0.5	7	2.1	Mission	Plan, Participant and Insurance Records	
72	465-84-1	73. Actuarial Reports Correspondence File		3	7	2.1	Mission	Plan, Participant and Insurance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Prpoosed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
73	465-84-1	88. Cancelled (Purged) Benefit Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records	
74	465-84-1	89. Paid Benefit Payment Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records	
75	465-84-1	90. Voided Benefit Payment Checks		7	7	2.1	Mission	Plan, Participant and Insurance Records	
76	465-84-1	91. Benefit Payment Check Reconciliation Statements		7	7	2.1	Mission	Plan, Participant and Insurance Records	
77	465-84-1	98. Premium Refund/Underpayment Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
78	465-84-1	99. Income Tax Records		5	7	2.1	Mission	Plan, Participant and Insurance Records	
79	465-85-2	1. Assets Liquidation Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
80	465-85-2	2. Custodian Banks and Money Managers Corr. Files		7	7	2.1	Mission	Plan, Participant and Insurance Records	
81	465-85-2	3. Investment Policy Issues and Position Files		15	20	3.2	Policy	Multi-Department Policy Records	
82	465-85-2	4. Monthly Treasurer's Report Files		5	7	2.1	Mission	Plan, Participant and Insurance Records	
83	465-85-2	5. Corporate Standing Committee Files	a. Records relating to establishment, organization, membership, and policy	Permanent	Permanent	3.3	Policy	Historical Policy Records	
84	465-85-2	5. Corporate Standing Committee Files	b.1. Records of the committee secretary	5	7	3.1	Policy	Department Policy Records	
85	465-85-2	5. Corporate Standing Committee Files	b.2. All other committee records	3	7	3.1	Policy	Department Policy Records	
86	465-85-2	6. Training Aids		5	7	2.1	Mission	Plan, Participant and Insurance Records	
87	465-85-2	7. Insurance Operations Program Subject Files		5	7	2.1	Mission	Plan, Participant and Insurance Records	

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
88	465-85-2	8. Corporate Management Planning and Reporting	a. Record copies that describe the Corporate Management Planning System	5	20	1.3	Administrative	Administrative Governance Records	
89	465-85-2	8. Corporate Management Planning and Reporting	b. Record copies of Corporate Management Planning and Reporting documents and products	7	7	1.2	Administrative	Administrative Records	
90	465-85-2	8. Corporate Management Planning and Reporting	c. Other copies and working papers	2	7	2.1	Mission	Plan, Participant and Insurance Records	
91	465-93-1	29. Appeals Board Files	a.(1) Appeals Board Precedent Decisions and Litigation Cases	7	20	3.2	Policy	Multi-Department Policy Records	
92	465-93-1	29. Appeals Board Files	a.(2) Appeals Board Non-Precedent Decisions and Non-litigation Cases	7	7	2.1	Mission	Plan, Participant and Insurance Records	
93	465-93-1	29. Appeals Board Files	b.(2) Appeals Board Agendas	7	7	2.1	Mission	Plan, Participant and Insurance Records	
94	465-93-1	29. Appeals Board Files	c. Appeal Decisions Not Reviewed By The Appeals Board	7	20	3.2	Policy	Multi-Department Policy Records	
95	465-93-1	29. Appeals Board Files	d. Administrative Closings	7	20	3.2	Policy	Multi-Department Policy Records	
96	465-93-1	29. Appeals Board Files	e. Extension Requests	7	20	3.2	Policy	Multi-Department Policy Records	
97	465-93-1	29. Appeals Board Files	f. Minutes	10	20	3.2	Policy	Multi-Department Policy Records	
98	465-94-1	2. Corporate Management Planning and Reporting Files (85-2 8.)	a. Record copies	10	20	1.3	Administrative	Administrative Governance Records	
99	465-94-1	2. Corporate Management Planning and Reporting Files (85-2 8.)	c. Other materials	5	7	2.1	Mission	Plan, Participant and Insurance Records	
100	465-94-1	3. Special Project or Task Force Case Files	a.(1) Precedent steering case record files and correspondence (corporate-wide policy)	Permanent	Permanent	3.3	Policy	Historical Policy Records	
101	465-94-1	3. Special Project or Task Force Case Files	a.(2) Non-precedent steering case record files and correspondence (department operations)	20	20	2.2	Mission	Governance Records	
102	465-94-1	3. Special Project or Task Force Case Files	b. Case working papers	3	20	2.2	Mission	Governance Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets								
No	Previous Record Schedule	Record Identification	Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
103	465-95-1	1. Active Notification Case Files	15	20	2.2	Mission	Governance Records	
104	465-95-1	2. High Level Monitoring Case Files	10	20	2.2	Mission	Governance Records	
105	465-95-1	3. Low Level Monitoring Case Files	9	20	2.2	Mission	Governance Records	
106	465-95-1	4. Actuarial Monitoring Files	15	20	2.2	Mission	Governance Records	
107	465-95-2	1. Financial Statement Documentation						Withdrawn from NARA
108	465-95-2	2. Revolving Fund Documentation						Withdrawn from NARA
109	465-95-2	3. Money Manager Contract and Associated Records						Withdrawn from NARA
110	465-95-2	4. Terminated Plan Case Files						Withdrawn from NARA
111	465-95-3	1. Tax Return Disclosure Request Records (62. Permanent System of Standardized Records)	PBGC Form 262	1	20	1.3	Administrative	Administrative Governance Records
112	465-95-3	1. Tax Return Disclosure Request Records (62. Permanent System of Standardized Records)	PBGC Form 273	7	20	1.3	Administrative	Administrative Governance Records
113	465-95-3	2. Controlled Correspondence (Non-Congressional) Files (74.)		1	7	2.1	Mission	Plan, Participant and Insurance Records
114	465-95-3	3. Reportable Events: 30-Day Reporting Requirement Waived (75.)		1	7	2.1	Mission	Plan, Participant and Insurance Records
115	465-95-3	4. Multiemployer Plan Cases (76.)		20	20	2.2	Mission	Governance Records
116	465-95-3	5. Congressional Correspondence Control Files (65.)	Working copies	1	7	2.1	Mission	Plan, Participant and Insurance Records
117	465-95-4	01. Board of Directors' Files (40.)	a. Original minutes and resolutions	Permanent	Permanent	3.3	Policy	Historical Policy Records
118	465-95-4	01. Board of Directors' Files (40.)	b. Working files and background papers	15	20	1.3	Administrative	Administrative Governance Records
119	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	a. Selected files and documents	Permanent	Permanent	3.3	Policy	Historical Policy Records

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
120	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	b. Non-precedential cases and pension plan files	15	20	2.2	Mission	Governance Records	
121	465-95-4	02. Official Litigation and Pension Plan Files (43. Case Files)	c. Working copies	15	20	2.2	Mission	Governance Records	
122	465-95-4	03. Master History Index (44.)		20					No longer used
123	465-95-4	04. Litigation Docket Sheets		20	20	2.2	Mission	Governance Records	
124	465-95-4	05. Regulation Files			20	3.2	Policy	Multi-Department Policy Records	
125	465-95-4	06. Agreements and Financial Instruments (46. Settlement Agreements)	a. Copy of signed instruments	10	20	2.2	Mission	Governance Records	
126	465-95-4	06. Agreements and Financial Instruments (46. Settlement Agreements)	b. Signed originals of trustee agreements	10	20	2.2	Mission	Governance Records	
127	465-95-4	07. Legal Opinion Files (47.)	a. Record copy of PBGC opinion letters	Permanent	Permanent	3.3	Policy	Historical Policy Records	
128	465-95-4	07. Legal Opinion Files (47.)	b.1. General legal advice memorandums - Selected documents that produce a significant effect on PBGC operations	Permanent	Permanent	3.3	Policy	Historical Policy Records	
129	465-95-4	07. Legal Opinion Files (47.)	b.2. General legal advice memorandums - remaining legal advice memorandums	20	20	2.2	Mission	Governance Records	
130	465-95-4	07. Legal Opinion Files (47.)	c. Working papers	0.5	7	2.2	Mission	Governance Records	
131	465-95-4	08. Legislative Files (48.)		Permanent	Permanent	3.3	Policy	Historical Policy Records	
132	465-95-4	09. Attorney Time Records		15	20	1.3	Administrative	Administrative Historical Records	
133	465-95-4	10. Employment Applications		2	7	1.2	Administrative	Administrative Records	
134	465-95-4	11. Ethics Forms and Records	a.,b. Original disclosure reports	6	7	1.2	Administrative	Administrative Records	
135	465-95-4	11. Ethics Forms and Records	c. Copies of Ethics Agreements	6	0.5	1.2	Administrative	Transitory Administrative Records	
136	465-95-4	11. Ethics Forms and Records	d.1. Copies of interpretive memorandums		7	1.2	Administrative	Administrative Records	

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NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF115 Number	Bucket Name	Sub Bucket Name	Notes
137	465-95-4	11. Ethics Forms and Records	d.2. Remaining records	6	7	1.2	Administrative	Administrative Records	
138	465-96-1	1n Financial Statement Documentation		7	7	2.1	Mission	Plan, Participant and Insurance Records	
139	465-96-1	2. Revolving Fund Documentation		5	7	2.n	Mission	Plan, Participant and Insurance Records	
140	465-96-1	3. Money Manager Contract and Associated records		5	20	2.2	Mission	Governance Records	
141	465-96-1	4. Terminated Plan Asset Case Files		17	20	2.2	Mission	Governance Records	
142	465-96-1	5. Annual Premium Filing Form (110.)	a. Optical disk files	7	7	2.1	Mission	Plan, Participant and Insurance Records	
143	465-96-1	5. Annual Premium Filing Form (110.)	b. Hard copy files	2	7	2.1	Mission	Plan, Participant and Insurance Records	
144	465-01-1	1. Participant Files (66.)	a. 1) Imaged Participant File where the participant or beneficiary has been fully paid	7	7	2.1	Mission	Plan, Participant and Insurance Records	
145	465-01-1	1. Participant Files (66.)	a. 2) Imaged Participant File where determination letter has not been issued 7 years after final benefit	7	7	2.1	Mission	Plan, Participant and Insurance Records	
146	465-01-1	1. Participant Files (66.)	c. Image system source records (aka chronological files)	1	0.5	1.1	Administrative	Transitory Administrative Records	
147	465-01-1	1. Participant Files (66.)	d. Image Processing System (IPS) Documentation	1	20	2.2	Mission	Governance Records	
148	465-01-1	2. Electronic Mail, Spreadsheets, and Word Processing System Copies	a. Copies that have no further administrative value	1					No longer used
149	465-01-1	2. Electronic Mail, Spreadsheets, and Word Processing System Copies	b. Copies used for dissemination, revision or updating	0					No longer used
150	465-01-2	1. Investigative Files	a. Official record of case files of significant value	Permanent	Permanent	3.3	Policy	Historical Policy Records	

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
151	465-01-2	1. Investigative Files	b. Files of an investigative nature but do not relate to a specific allegation	5	20	1.3	Administrative	Administrative Governance Records	
152	465-01-2	1. Investigative Files	c. All other investigative case files	10	20	1.3	Administrative	Administrative Governance Records	
153	465-01-2	2. Investigative Case Tracking and Management System	a. Inputs	0	0	1.3	Administrative	Administrative Governance Records	
154	465-01-2	2. Investigative Case Tracking and Management System	b.1. Data on electronic media related to specific investigations	0	20	1.3	Administrative	Administrative Governance Records	
155	465-01-2	2. Investigative Case Tracking and Management System	b.2. All other data on electronic media	0	20	1.3	Administrative	Administrative Governance Records	
156	465-01-2	2. Investigative Case Tracking and Management System	c.1.a. Hard copy Case Status Report and Disposition Log for permanent cases	Permanent	Permanent	3.3	Policy	Historical Policy Records	
157	465-01-2	2. Investigative Case Tracking and Management System	c.1.b. Hard copy Case Status Report and Disposition Log for other cases	0	20	1.3	Administrative	Administrative Governance Records	
158	465-01-2	2. Investigative Case Tracking and Management System	c.2. All other hard copy reports	2	20	1.3	Administrative	Administrative Governance Records	
159	465-01-2	2. Investigative Case Tracking and Management System	d. System Documentation	0	20	1.3	Administrative	Administrative Governance Records	
160	465-01-2	3. Hotline Documents		2	7	1.2	Administrative	Administrative Records	
161	465-01-2	4. Audit Files	a.1. Official record of audit and evaluation files of significant value	Permanent	Permanent	3.3	Policy	Historical Policy Records	
162	465-01-2	4. Audit Files	a.2. All other copies of final report	0	20	1.3	Administrative	Administrative Governance Records	
163	465-01-2	4. Audit Files	b. Working papers in support of audit	10	20	1.3	Administrative	Administrative Governance Records	
164	465-01-2	4. Audit Files	c. All other audit case files	10	20	1.3	Administrative	Administrative Governance Records	
165	465-01-2	5. Electronic Mail and Word Processing System Copies	a. Copies that have no further administrative value	0					No longer used

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets								
No	Previous Record Schedule	Record Identification	Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
166	465-01-2	5. Electronic Mail and Word Processing System Copies	b. Copies used for dissemination, revision or updating	0				No longer used
167	465-02-01	1. Legislative Development Files	a. Selected precedential files and material relating to Title IV of ERISA	Permanent	Permanent	3.3	Policy	Historical Policy Records
168	465-02-01	1. Legislative Development Files	b. Files not related to Title IV of ERISA	3	7	3.1	Policy	Department Policy Records
169	465-02-01	2. Regulations Development Files	a. Selected precedential files and material relating to regulations adopted by the Corporation	Permanent	Permanent	3.3	Policy	Historical Policy Records
170	465-02-01	2. Regulations Development Files	b. Working papers for other regulations development files	3	7	3.1	Policy	Department Policy Records
171	465-02-01	3. Paperwork Burden Files		6	7	3.1	Policy	Department Policy Records
172	465-02-01	4. Corporate Policy Development Files	a. Selected precedential files and material relating to policies adopted by the Corporation	Permanent	Permanent	3.3	Policy	Historical Policy Records
173	465-02-01	4. Corporate Policy Development Files	b. Working papers for other policy development files	3	7	3.1	Policy	Department Policy Records
174	465-02-01	5. Forecasting and Research Files	a. Published and unpublished reports and studies	Permanent	Permanent	3.3	Policy	Historical Policy Records
175	465-02-01	5. Forecasting and Research Files	b. Working papers for Forecasting and Research Files	10	20	3.2	Policy	Multi-Department Policy Records
176	465-02-01	6. Electronic Mail and Word Processing Records	a. Copies that have no further administrative value	0.5				No longer used
177	465-02-01	6. Electronic Mail and Word Processing Records	b. Copies used for dissemination, revision or updating	0				No longer used
178	465-02-2	1. Pension Plan Company Files	a. Recordkeeping copy of Pension Plan Company Files	1	7	2.1	Mission	Plan, Participant and Insurance Records
179	465-02-2	1. Pension Plan Company Files	b. Electronic records	1	7	2.1	Mission	Plan, Participant and Insurance Records
180	465-02-2	2. Pension Processing Working Files		1	7	2.1	Mission	Plan, Participant and Insurance Records
181	465-02-2	3. Plan Termination Case Files (68.)	a. Plan Termination Case Files Source Records	10	20	2.2	Mission	Governance Records

NARA Crosswalk
Current PBGC Record Schedules

Crosswalk: Previous PBGC SF 115's to Proposed Buckets									
No	Previous Record Schedule	Record Identification		Retention Was (Years)	Proposed Retention (Years)	New SF 115 Number	Bucket Name	Sub Bucket Name	Notes
182	465-02-2	3. Plan Termination Case Files (68.)	b. Add-scans source records	1	0.5	1.1	Administrative	Transitory Administrative Records	
183	465-02-2	3. Plan Termination Case Files (68.)	c. Toss records		0.5	1.1	Administrative	Transitory Administrative Records	
184	465-02-2	3. Plan Termination Case Files (68.)	d. Litigation and Administrative Source records	5	7	2.1	Mission	Plan, Participant and Insurance Records	
185	465-02-2	3. Plan Termination Case Files (68.)	e. In Imaged Plan Termination Case Files - all participants have been fully paid	40	135	2.3	Mission	Plan Termination Case File Records	
186	465-02-2	3. Plan Termination Case Files (68.)	e.2. Imaged Plan Termination Case Files - all participants have not been fully paid	40	135	2.3	Mission	Plan Termination Case File Records	
187	465-02-2	4. Standard Termination Files (Non Trusteed)		1	7	2.1	Mission	Plan, Participant and Insurance Records	
188	465-02-2	5. Non Standard Termination (Trusteed)		1	7	2.1	Mission	Plan, Participant and Insurance Records	
189	465-02-2	6. Electronic mail, word processing system and spreadsheets copies	a. Copies that have no further administrative value	1					No longer used
190	465-02-2	6. Electronic mail, word processing system and spreadsheets copies	b. Copies used for dissemination, revision or updating	0					No longer used
191	466 - New Item	Previously unscheduled Items		Unscheduled	7	1.1	Administrative	Administrative Records	
191	465 - New Item	Previously unscheduled Items		Unscheduled	7	2.1	Mission	Plan, Participant and Insurance Records	