

Request for Records Disposition Authority

Records Schedule Number DAA-0474-2017-0005
Schedule Status Approved

Agency or Establishment Federal Retirement Thrift Investment Board
Record Group / Scheduling Group Records of the Federal Retirement Thrift Investment Board
Records Schedule applies to Major Subdivision
Major Subdivision Office of Investments
Schedule Subject Investment Records
Internal agency concurrences will be provided No

Background Information Ol's primary roles in the TSP include developing and implementing investment policy and providing subject matter expertise to the Agency. The functions of the OI include: 1) developing investment policy for the Agency, 2) managing/monitoring the activities of the TSP's investment manager(s), 3) calculating the returns of the TSP's funds, 4) collecting and calculating data/information that reported to the FRTIB Board and 5) serving as subject matter experts to the various offices within the Agency.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0474-2017-0005

Sequence Number	
1	Investment and Interfund Policies Disposition Authority Number: DAA-0474-2017-0005-0001
2	Investment Management Oversight Files Disposition Authority Number: DAA-0474-2017-0005-0002
3	Fund Tracking Systems and Associated Spreadsheets Disposition Authority Number: DAA-0474-2017-0005-0003
4	Investment and Subject Matter Support Files Disposition Authority Number: DAA-0474-2017-0005-0004
5	Statistical Reports Disposition Authority Number: DAA-0474-2017-0005-0005

Records Schedule Items

Sequence Number	
1	<p>Investment and Interfund Policies</p> <p>Disposition Authority Number DAA-0474-2017-0005-0001</p> <p>All background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policies.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-474-12-006 / a N1-474-12-006 / b</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Disposition: Cut off files at the end of the calendar year. Maintain within the OI Digest electronic system contained on FRTIB's Town Center Intranet system.</p> <p>Retention Period Destroy upon dissolution of the TSP</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Investment Management Oversight Files</p> <p>Disposition Authority Number DAA-0474-2017-0005-0002</p> <p>All working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter. a) Selection of Investment Managers - All working papers used by the Office of Investments used to support the process in selecting an investment manager to manage the TSP funds. b) Supervision of Investment Managers - All working papers and spreadsheets used to supervise, monitor and review the investment and securities lending activities of the investment manager(s). c) Investment Performance Reports (Quarterly and Monthly) – Summary reports produced by the Office of Investments containing information on investment performance for the funds. The performance report is submitted to the Executive Director and to the Board.</p>

Final Disposition Temporary
Item Status Active
Is this item media neutral? Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No
GRS or Superseded Authority Citation N1-474-12-004 / 1
Disposition Instruction
Cutoff Instruction Review annually.
Retention Period Destroy upon dissolution of the TSP

Additional Information

GAO Approval Not Required

Fund Tracking Systems and Associated Spreadsheets

Disposition Authority Number DAA-0474-2017-0005-0003

Electronic tracking systems and associated spreadsheets produced/obtained by the Office of Investments for tracking each fund's investment with asset manager(s) a. CFRTRAK (C Fund Tracking System) – This is an electronic tracking system for tracking each C Fund investment with the asset manager. Monthly and quarterly summary investment performance reports are produced from the system. b. FFFTRAK (F Fund Tracking System) – This is an electronic tracking system for tracking each F Fund investment with the asset manager. Monthly and quarterly summary investment performance reports are produced from the system. c. Clipper System - Monthly and quarterly summary investment performance reports produced from inception of the TSP investment programs through 2003. d. Daily investment transactions history currently maintained in calendar year "gain/loss" spreadsheets.

Final Disposition Temporary
Item Status Active
Is this item media neutral? Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
Do any of the records covered by this item exist as structured electronic data? Yes
GRS or Superseded Authority Citation N1-474-12-003 / a

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N1-474-12-003 / b
N1-474-98-002 / 1
N1-474-98-002 / 2
N1-474-98-002 / 3

Disposition Instruction

Retention Period Review annually. Destroy upon dissolution of the TSP

Additional Information

GAO Approval Not Required

Investment and Subject Matter Support Files

Disposition Authority Number DAA-0474-2017-0005-0004

All working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-474-12-005 / 1

Disposition Instruction

Retention Period Review annually. Destroy upon dissolution of the TSP.

Additional Information

GAO Approval Not Required

Statistical Reports

Disposition Authority Number DAA-0474-2017-0005-0005

Reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds.

Final Disposition Temporary

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Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-474-12-001 / 1
Disposition Instruction	
Retention Period	Review annually. Destroy upon dissolution of the TSP.
Additional Information	
GAO Approval	Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/19/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
12/22/2017	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - RDTP2 Archives II Processing Section
01/19/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
01/19/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
01/29/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
02/01/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
02/01/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
02/26/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
03/12/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch

03/16/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
06/19/2018	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/20/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist