

WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0474-2018-0002

Request for Records Disposition Authority

Records Schedule Number DAA-0474-2018-0002
Schedule Status Returned Without Action
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 Participant Services
Schedule Subject Participant Services Records
Internal agency concurrences will be provided No

Background Information This group of records consists of documents relating to the responsibilities and activities of the Office of Participant Services, responsible for all functions concerned with implementing policies and related to disbursement of TSP Benefits and manages the key business processes related to contributions and money-in services, the loan program, withdrawal services, participant investment services, legal processing, and death benefits.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	13

GAO Approval

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Outline of Records Schedule Items for DAA-0474-2018-0002

Sequence Number	
1	Annuity Index Rate Monthly Report Disposition Authority Number: DAA-0474-2018-0002-0001
2	Annuity Vendor Source Report (GAC #9374) Disposition Authority Number: DAA-0474-2018-0002-0002
3	Asset Management Contributions Policy and Procedures Disposition Authority Number: DAA-0474-2018-0002-0003
4	Recorded Telephone Conversations of TSP Customer Service Reps Disposition Authority Number: DAA-0474-2018-0002-0004
5	Participant Services Representation (PSR) Disposition Authority Number: DAA-0474-2018-0002-0005
6	Death Benefit Claims Disposition Authority Number: DAA-0474-2018-0002-0006
7	Death Master File (DMF) Disposition Authority Number: DAA-0474-2018-0002-0007
8	Allegations of Spouse/Misconduct, Fraud/Forgery Routine Cases Disposition Authority Number: DAA-0474-2018-0002-0008
9	Allegations of Spouse/Misconduct, Fraud/Forgery Unusual Cases Disposition Authority Number: DAA-0474-2018-0002-0009
10	TSP General Ledger Disposition Authority Number: DAA-0474-2018-0002-0010
11	TSP Reconciliations Disposition Authority Number: DAA-0474-2018-0002-0011
12	Forms/Correspondence/Legal Documents Filed By or For Thrift Savings Plan Participants Disposition Authority Number: DAA-0474-2018-0002-0012
13	TSP Participant Correspondence and Case Management Files Disposition Authority Number: DAA-0474-2018-0002-0013

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Records Schedule: DAA-0474-2018-0002

Records Schedule Items

Sequence Number	
1	<p>Annuity Index Rate Monthly Report</p> <p>Disposition Authority Number DAA-0474-2018-0002-0001</p> <p>Records that contain correspondence between the annuity vendor and Office of Participant Services concerning the monthly annuity interest rate index.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</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 N1-474-97-002 / 6</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year.</p> <p>Retention Period Destroy 3 year(s) after the end of the contract period.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Annuity Vendor Source Report (GAC #9374)</p> <p>Disposition Authority Number DAA-0474-2018-0002-0002</p> <p>Records received from the annuity vendor that contains the annuity purchase compilation source report. Reporting data is used in the Monthly Activity Report, conducting annual audit reviews, and researching historical annuity data.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</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 N1-474-00-006 / 1 / f</p>

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Disposition Instruction

Cutoff Instruction Cut off files at the end of the calendar year.
Retention Period Retain in originating Office and destroy 15 years after cutoff.

Additional Information

GAO Approval Not Required

Asset Management Contributions Policy and Procedures

Disposition Authority Number DAA-0474-2018-0002-0003

Records that contain official Policy and Procedures documents pertaining to the contributions program.

Final Disposition Temporary

Item Status Withdrawn

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 N1-474-97-001 / 8

Disposition Instruction

Cutoff Instruction Cut off closed files at the end of the calendar year.
Retention Period Destroy 3 year(s) after the documents are no longer relevant.

Additional Information

GAO Approval Not Required

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Recorded Telephone Conversations of TSP Customer Service Reps

Disposition Authority Number DAA-0474-2018-0002-0004

The records relate to the administration of the Thrift Saving Plan and are comprised of recorded telephone conversations between participants, beneficiaries, agency representatives, and other third parties and the representatives of the Thrift Savings Plan Contact. These conversations provide participants account information to participants, personnel/payroll offices, Congressional offices, financial institutions, and certain other interested third parties. These recordings are contained on various media formats.

Final Disposition Temporary

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Item Status	Withdrawn
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	N1-474-00-003 / 1

Disposition Instruction

Cutoff Instruction	Cut off tapes at the end of each calendar year.
Retention Period	Destroy 4 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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Participant Services Representation (PSR)

Disposition Authority Number	DAA-0474-2018-0002-0005
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The Participant Service application (PSR) is the custom designed software used by the Thrift Savings Plan Division (TSPD) and the Federal Retirement Thrift Investment Board (the Board) to access participant account information and to reflect all participant requested transactions. Participant account notes related to telephone call history, e-messages, and account transactions are entered systemically as well as manually and are retained in PSR.

Final Disposition	Temporary
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Item Status	Withdrawn
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Is this item media neutral?	Yes
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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
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Do any of the records covered by this item exist as structured electronic data?	Yes
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Disposition Instruction

Cutoff Instruction	Cut off at the end of the calendar year.
Retention Period	Destroy when survivor or retirement claims are adjudicated, or when records are 65 years old.

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6	Additional Information	
	GAO Approval	Not Required
	Death Benefit Claims	
	Disposition Authority Number	DAA-0474-2018-0002-0006
	Files that contain death claims that occur under unusual circumstances, related correspondence, and the OGC's decision letter.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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	N1-474-96-002 / 12
	Disposition Instruction	
	Cutoff Instruction	Cut off closed files at the end of each calendar year.
Retention Period	Destroy 7 year(s) after cutoff	
7	Additional Information	
	GAO Approval	Not Required
	Death Master File (DMF)	
	Disposition Authority Number	DAA-0474-2018-0002-0007
	The Death Master File contains identifying information about each individual to whom SSA has assigned a Social Security number. The file contains variables in the DMF include name, social security number, last known residence, dates of birth and death, and the state where the individual first enrolled for a social security card.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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

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Disposition Instruction

Cutoff Instruction Cut off at the end of the Fiscal year.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Allegations of Spouse/Misconduct, Fraud/Forgery Routine Cases

Disposition Authority Number DAA-0474-2018-0002-0008

Routine case files containing documents on TSP participants who attempted or appear to have attempted fraud/forgery in the completion of TSP documents.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off closed files at the end of the calendar year.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Allegations of Spouse/Misconduct, Fraud/Forgery Unusual Cases

Disposition Authority Number DAA-0474-2018-0002-0009

Unusual case files containing documents on TSP participants who attempted or appear to have attempted fraud/forgery in the completion of TSP documents.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

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Cutoff Instruction Cut off closed files at the end of the calendar year.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

TSP General Ledger

Disposition Authority Number DAA-0474-2018-0002-0010

These records contain all detailed accounting transactions for participants and beneficiaries.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of each calendar year.

Retention Period Archive from the Board's network 2 years after cutoff.
Destroy 30 years after cutoff.

Additional Information

GAO Approval Not Required

TSP Reconciliations

Disposition Authority Number DAA-0474-2018-0002-0011

These records consist of TSP reconciliation reports for all funds managed by the Board.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year.

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12	Retention Period	Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Forms/Correspondence/Legal Documents Filed By or For Thrift Savings Plan Participants	
	Disposition Authority Number	DAA-0474-2018-0002-0012
	The records consist of documents relating to the administration of the Thrift Savings Plan by a designated record keeper. The series includes agency and participant forms, legal documents, and correspondence. The series includes, but is not limited to: - Agency forms related to the submission of participant, contributions-related, and loan payment data to the record keeper; - Designations of beneficiary and interfund transfer requests; - Requests to change names, addresses, and other personal information; - Applications for loans, including related documentation such as loan agreements, and intent not to repay loan; - Requests for withdrawals, in-service and post-separation withdrawals, and requests to transfer funds to an IRA or other eligible retirement plan; - Court orders and other legal documents, e.g., retirement benefit court orders, legal process orders, guardianship/conservatorships, powers of attorney, tax levies; - Account information inquiries; - Applications for death benefits and related documentation; and - Other business transactions that are necessary to administer and maintain individual TSP accounts.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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	N1-0474-00-005 / 1 / a N1-0474-00-005 / 1 / b / 1 N1-0474-00-005 / 1 / b / 2 N1-0474-00-005 / 1 / c / 1 N1-0474-00-005- / 1 / c / 2
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
Retention Period	Destroy when records are 99 years old.	

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Additional Information

GAO Approval Not Required

TSP Participant Correspondence and Case Management Files

Disposition Authority Number DAA-0474-2018-0002-0013

Correspondence received from TSP participants and case management files concerning their accounts. It includes the incoming letter, FRTIB's reply, and as appropriate, background account information that cannot be retrieved from the TSP system, and instructions to the designated record keeper.

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Item Status Withdrawn

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 N1-0474-96-003 / 11

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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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
12/20/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
01/08/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
03/07/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
03/08/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
03/09/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
04/09/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
04/09/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
04/16/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/19/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch

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06/20/2018	Return to Submitter	Diana Avery	Records and Information Manager	Resource Management - Resource Management
06/20/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
06/22/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
10/17/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
10/19/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/22/2018	Return to Submitter	Diana Avery	Records and Information Manager	Resource Management - Resource Management
10/22/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/22/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
12/03/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
03/07/2019	Return Without Action	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1

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