

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on Reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or Establishment)
FEDERAL RETIREMENT THRIFT INVESTMENT BOARD

2. MAJOR SUBDIVISION
OFFICE OF ADMINISTRATION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
GRACE W. BUTLER

5. TELEPHONE
(202) 942-1683

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

71-474-00-5

DATE RECEIVED

9-22-00

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

4-6-01

John W. Cal

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 2 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,

X is not required;

is attached; or

has been requested.

DATE

9/18/00

SIGNATURE OF AGENCY REPRESENTATIVE

Grace W. Butler

TITLE

Records Management Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

See Attachment.

9. GRS OR
SUPERSEDED
JOB CITATION

~~NI 474-97-6~~

10. ACTION
TAKEN (NARA
USE ONLY)

Copy to: agency, NWMW 4/11/01 clb

1. Forms/Correspondence/Legal Documents Filed By or For Thrift Savings Plan Participants

The records consist of documents relating to the administration of the Thrift Savings Plan by a designated record keeper (currently the National Finance Center of the U.S. Department of Agriculture). 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, payment allotment forms, and intent not to repay loan;
- Requests for withdrawals, including age-based or financial hardship in-service withdrawals, post separation single payment, monthly payment or annuity requests, 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, waivers, tax levies, bankruptcies;
- Account information requests;
- Applications for death benefits and related documentation; and
- Other business transactions that are necessary to administer and maintain individual TSP accounts.

Disposition for the Thrift Savings Plan records is based on Title 5 U.S.C. 8466 (attached).

a. Paper records created prior to January 1, 1996.

Disposition: 1) Cut off at the end of the calendar year. Transfer to FRC 2 years after cutoff. Destroy 99 years after cutoff. 2) (Microfilm of documents created prior to 1996 may be retained on-site until reference use ceases.)

*approved
authority: NI 97A-97-6, 1.a.*

b. Microfilmed records since January 1, 1996.

Disposition: The documents are indexed for retrieval by index number. Thus, each file box and each roll of film contain documents for participants with different ages.

1) Cut off at the end of the calendar year. Transfer to the Civilian Personnel Records Center (the only FRC that accepts microfilm with such long-term retention) 2 years after cutoff. Destroy 99 years after cutoff.

2) Paper source documents created after January 1, 1996, are to be destroyed on-site following verification of microfilm.

c. Imaged documents created beginning October 1999.

Disposition: 1) Destroy imaged records ^{when} after 99 years. *old.*

2) Destroy paper documents that are electronically imaged after quality control is completed, but no later than 60 days after imaging.

*approved
authority: NI-474-97-6, 1.b.*