

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 ENTERPRISE RISK MANAGEMENT

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Vivian A. Scott, RM Specialist

5 TELEPHONE
(202) 942-1629

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

N1-474-12-8

DATE RECEIVED

7/6/12

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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

25 Feb 13 [Signature]

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,

X is not required,

☐ is attached, or

☐ has been requested

DATE

6/26/2012

SIGNATURE OF AGENCY REPRESENTATIVE

Gisile Goethe

[Signature]

TITLE Acting Director, Office of Resource
Management and Acting RM Officer

7
ITEM
NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR
SUPERSEDED
JOB CITATION

10 ACTION
TAKEN (NARA
USE ONLY)

3.

Audit Monitoring Records

- a **Recordkeeping copy** of all audit monitoring paper records, including computer printouts, and monthly and semi-annual status reports to the Executive Director on the status of each active audit recommendation

Disposition Cut off at the end of the calendar year Destroy
3 years after cutoff

- b **Executive Director's Copy**

Disposition Cut off files at the end of the calendar year
Destroy 1 year after cutoff

N1-474-97-2, item 3a

N1-474-92-2
item 3b.

Attachment to Proposed SF-115 Request for Records Disposition Authority

Background Information

The Thrift Savings Plan (TSP) is a retirement savings and investment plan for Federal employees established in the Federal Employees' Retirement System Act of 1986, which has been codified as amended largely at 5 U.S.C. §§ 8401-8479 (1994). It is managed by the Federal Retirement Thrift Investment Board.

Description of Items and Proposed Disposition Authority

Audit Monitoring Records, N1-474-97-2, item 3

This revised Schedule is being submitted to gain media neutral approval for the recordkeeping copy.

Changes to the Schedule follow:

1. Recordkeeping copy added to description for item a), which is a separate and distinct record with related materials from other copies.
2. In item b), the duplicate and unspecific language, "copies maintained by other FRTIB program offices," has been deleted, i.e., the Office of Enterprise Risk Management will only maintain a file for the Executive Director's copy. Also, for the Executive Director's copy, deleted the phrase, "or when no longer needed, whichever is sooner."
3. See separately-submitted SF-115 Request to add another Schedule of Records to this series of Audit Monitoring Records, i.e., a new proposed Schedule titled. Internal Audit Control Materials.

The proposed additions to the existing Schedule will enable electronic storage of a major record series generated within the Office of Enterprise Risk Management. The Office of Enterprise Risk Management is also responsible for control activities of the Federal Retirement Thrift Investment Board [FRTIB] such as audit and other fiduciary management in its oversight.