

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on Reverse)*

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

*NI-474-96-3*

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

DATE RECEIVED

*9-9-96*

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

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

2. MAJOR SUBDIVISION  
OFFICE OF ~~ADMINISTRATION~~ *External Affairs*

3. MINOR SUBDIVISION  
~~ADMINISTRATIVE SERVICES~~

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

5. TELEPHONE  
(202) 942-1683

DATE

ARCHIVIST OF THE UNITED STATES

*10-14-99*

*John W. Carl*

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 7 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

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

Records Management Officer

*8/29/96*

*John J. Loats*

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>See Attachment.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>Richard W. Marney</i> <u>10/6/97</u>      <i>Grace W. Butler</i> <u>9/29/97</u>  NARA appraiser      date      Agency representative      date</p>		

115-109

NSN 7540-00-634-4064  
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA  
36 CFR 1228

OCT 28 1997 *MMV*      *copy to: Agency*  
*NWDB*  
*NWRU*

**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 (FRTIB).

The following disposition schedule relates to the records maintained by the FRTIB's Office of External Affairs (OEA). This office is responsible for: maintaining liaison activities and relations with the Congress, media, TSP participants, Federal agencies, and the Employee Thrift Advisory Council (ETAC); training Federal agency representatives and employees on the TSP; and developing TSP policy in these areas. (ETAC records are not on this schedule, because they were included with the Board and ETAC schedule that has been submitted separately to NARA for clearance.)

**Item No.      Description of Item and Proposed Disposition**1.      Congressional Correspondence

Paper copies of correspondence to members of Congress in response to inquiries on TSP participants who are their constituents. It consists of the incoming letter, FRTIB's reply, and background account information.

Disposition: Cut off files at the end of each calendar year. Destroy 4 years after cutoff.

2.      Congressional/Liaison Telephone Inquiries

Summaries of telephone inquiries from Congressional offices on behalf of their constituents or proposed/current TSP legislation, or from TSP participants regarding their accounts. It also contains the actions taken by the FRTIB.

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

3. Congressional Testimony

Drafts, finals, and printed copies of Congressional testimony given by the FRTIB's Executive Director.

Disposition: Cut off at the end of the calendar year. Destroy 20 years after cutoff.

4. TSP Legislation

Paper records that contain significant internal and external correspondence, activity reports, impact analysis studies, legal opinions, and printed copies of proposed and enacted TSP legislation.

Disposition: Cut off at the end of the calendar year. Destroy 20 years after cutoff.

5. Legislative Project Background Records

Project files relating to proposed and enacted legislation that affect the FRTIB's programs. It includes working papers, such as source material, studies, analyses, notes, and drafts.

Disposition: Cut off at the end of the calendar year during which the project was completed. Destroy 10 years after cutoff.

6. Press Releases

Record set of press releases that consists of the original copy of each release.

Disposition: Permanent. Cut off at the end of the calendar year. Transfer to NARA when 20 years old.

Volume: 1 inch

Annual Accumulation: Negligible

7. National Finance Center (NFC) Memorandums of Understanding

Memorandums of understanding or agreement concerning how the NFC and FRTIB will manage Congressional inquiries received at the NFC.

Disposition: Destroy 3 years after supersession, cancellation, or termination of the understanding or agreement.

8. Congressional Standard Language Index

Congressional correspondence cross-reference subject file that provides standard language for FRTIB letter writers.

Disposition: Review files annually and purge obsolete material. Destroy when the FRTIB ceases to exist or when no longer needed, whichever is sooner.

9. Congressional Liaison Subject-Matter File

Subject-matter file that contains internal/external correspondence, policy papers, background papers, etc. on various subjects of interest to the FRTIB's Congressional liaison program.

Disposition: Review files annually and purge obsolete material. Destroy when no longer needed for reference purposes.

10. Weekly Clips

Weekly clips of newspaper, journal, and other published articles that relate to the work that the FRTIB does and may contain work-related information on such topics as retirement plans, investments, and Federal employee benefits.

a. Copy maintained by the originating office (OEA).

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

- b. Copies maintained by other offices or individual employees for reference purposes only.

Disposition: Purge file every 3 months. Destroy when no longer needed for reference purposes.

11. TSP Participant Correspondence

Routine correspondence received from TSP participants 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 NFC.

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

12. TSP Notices

Routine correspondence to TSP participants regarding their accounts that cannot be computer-generated by the NFC. It includes the incoming letter, FRTIB's notice, background account information that cannot be retrieved from the TSP system, and instructions to the NFC.

Disposition: Cut off every 3 months (3/31, 6/30, 9/30, and 12/31). Send to the Federal Records Center 1 year after cutoff. Destroy 3 years after cutoff.

13. Case Management Files (Exception Processing Cases)

Files that contain correspondence, background documentation, and other material relating to the processing of TSP accounts outside routine procedures.

a. Routine Cases

Cases that are not precedent setting in nature and for which there are established rules/policies.

Disposition: Cut off closed files at the end of each calendar year. Destroy 1 year after cutoff.

## b. Unusual Cases

Cases that are unusual and require a policy making determination based on expert review.

Disposition: Cut off closed files at the end of each calendar year. Send to the Federal Records Center 3 years after cutoff. Destroy 7 years after cutoff.

14. Agency Correspondence

Routine correspondence received from Federal agencies concerning participant accounts or TSP policy/procedures/regulations. It includes the incoming letter, FRTIB's reply, and background information.

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

15. Agency Representative Meeting Agendas

Agendas for meetings with agency TSP representatives from Federal personnel and payroll offices. The records include the meeting agenda, handouts, and presenter's notes.

## a. Original bound copy

Disposition: Cut off at the end of the calendar year. Destroy 20 years after cutoff.

## b. Reference copies

Disposition: Cut off at the end of the calendar year. Destroy 1 year after cutoff or when no longer needed, whichever is sooner.

- b. Records containing background information and hand-outs used for special training presentations given by the FRTIB concerning the TSP.

Disposition: Cut off at the end of the calendar year. Destroy 10 years after cutoff.

19. Training/Policy Subject-Matter File

Subject-matter file that contains internal/external correspondence, policy papers, background papers, etc. on various subjects of interest to the FRTIB's training/liaison program.

Disposition: Review files annually and purge obsolete material. Destroy when no longer needed for reference purposes.

20. Agency/Participant Liaison Correspondence Reading File

Duplicate copies of all correspondence filed in chronological order.

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

16. TSP Bulletins for Agency TSP Representatives

- a. Records containing information on the creation of each TSP Bulletin, including the resource material, drafts, one printed copy, and management's approval.

Disposition: Cut off at the end of the calendar year. Destroy 20 years after cutoff.

- b. Reference copies maintained by other FRTIB offices.

Disposition: Purge obsolete material annually. Destroy when no longer needed for reference.

17. Training Instructional Material

- a. One record copy of every syllabus/manual created and used by the TSP for training Federal personnelists, payroll officials, and employees in all aspects of the TSP.

Disposition: Permanent. Cut off at the end of the calendar year. Send to the Federal Records Center when 5 years old in 5-year blocks (e.g., 1/93-12/97 is one block). Transfer to NARA when 20 years old.

Volume: 1 cubic foot  
Annual Accumulation: 3 inches

- b. Reference/stock material.

Disposition: Dispose of when obsolete.

18. TSP Training Course Files

- a. Records containing information on every training course given by the FRTIB, both onsite and at other Federal agencies, concerning the TSP. They include the contact sheet, nominations, confirmations, cancellations, sign-in sheets, and evaluations.

Disposition: Cut off at the end of the calendar year. Send to the Federal Records Center 1 year after cutoff. Destroy 3 years after cutoff.