

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-474-96-005

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 9/25/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

ALL ITEMS EXCEPT THE ONES LISTED BELOW ARE ACTIVE.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

ITEM 4 WAS SUPERSEDED BY DAA-0474-2021-0011-0008

ITEM 5 WAS SUPERSEDED BY DAA-0474-2018-0005

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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 ACCOUNTING

3. MINOR SUBDIVISION

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

5. TELEPHONE
(202) 942-1695

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

N1474-96-5

DATE RECEIVED

9-24-96

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

9-23-97

ARCHIVIST OF THE UNITED STATES

John W. Coates

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 4 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

9/19/96

SIGNATURE OF AGENCY REPRESENTATIVE

John F. Coates

TITLE

Records Management Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION

10. ACTION
TAKEN (NARA
USE ONLY)

See Attachment.

All changes to this proposed schedule have been approved by:

No changes made.

NARA appraiser

date

Agency representative

date

Grace W. Butler 8/22/97

OCT 27 1997 *MNV*

*copy to: Agency
NWDD*

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 Accounting (OA). OA provides direction and program planning for the accounting functions of the FRTIB. Specifically, this office is responsible for establishing the internal accounting control policies and practices, ensuring contributions are deposited into the appropriate investment fund, maintaining the general ledger, investing the G Fund portfolio, preparing quarterly and annual financial statements, and consulting with the FRTIB's contract auditor.

Item No.	Description of Item and Proposed Disposition
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1.	<u>General Ledger (and Work Papers)</u>
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These records contain all accounting transactions for the FRTIB. It includes all internal transactions for operating the Board, as well as all transactions relating to the funds managed by the Board - C, F, and G Funds.

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

b.	Microfilm copies.
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Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

c.	Electronic copies.
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Disposition: Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

2. Investment Source Documents

Reports that come from the Department of Treasury confirming the purchase of Treasury securities and earned interest. These records document all G, C, and F Fund transactions with Treasury.

a. Paper copies.

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

b. Microfilm copies.

Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

c. Electronic copies.

Disposition: Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

3. Status and Statistical Reports

Reports that show all C, F, and G Fund investment activity, i.e., contributions, withdrawals, administrative expenses, interfund transfers, loans, etc.

a. Paper copies.

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

b. Microfilm copies.

Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

c. Electronic copies.

Disposition: Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

4. Reconciliations

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

a. Paper copies.

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

b. Microfilm copies.

Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

c. Electronic copies.

Disposition: Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

5. Audit Records

All records related to the Board's midyear and annual financial statements. They include documents on the review and audit of the statements conducted by an independent public accounting firm.

Disposition: Cut off at the end of the calendar year. Destroy 7 years after cutoff.

6. Accounting Subject Matter File

Records maintained according to subject matter that contain reports and internal/external communications either created or received by the Office of Accounting.

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

7. Accounting Correspondence Reading File

This file contains all communications, both internal and external, sent from the Office of Accounting in chronological order.

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