

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-474-97-001**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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ITEM 4A AND 4B WERE SUPERSEDED BY N1-474-12-009

ITEM 8 IS SUPERSEDED BY DAA-0474-2021-0011-0003

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE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 AUTOMATED SYSTEMS

## 3. MINOR SUBDIVISION

## 4. NAME OF PERSON WITH WHOM TO CONFER

Grace Butler

## 5. TELEPHONE

(202) 942-1695

LEAVE BLANK (NARA USE ONLY)

## JOB NUMBER

N1-474-97-1

## DATE RECEIVED

10-4-96

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

10-14-97

## ARCHIVIST OF THE UNITED STATES

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 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

9/27/96

## SIGNATURE OF AGENCY REPRESENTATIVE

John J. Coates

## TITLE

Records Management Officer

7.  
ITEM  
NO.

## 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR  
SUPERSEDED  
JOB CITATION10. ACTION  
TAKEN (NARA  
USE ONLY)

See Attachment.

Per conversation with R.O.  
See pen + ink change to item 7, 8, 10, + 11  
M. Benson. NWML 12/13/99

All changes to this proposed schedule have been approved by:

Todd W. Murray  
NARA appraiser

10/6/97  
date

Grace W. Butler  
Agency representative

10/1/97  
date

OCT 28 1997 MSA

copy to: Agency  
NWML

## 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 Automated Systems (OAS). OAS oversees the development and operation, currently through an interagency agreement with the National Finance Center (NFC), of the automated recordkeeping system which is designed to establish and maintain participant TSP accounts and support the TSP benefits programs. The office is also responsible for the development, implementation, and maintenance of the TSP data communication systems as well as office automation and administrative support systems at the FRTIB.

Item No.	Description of Item and Proposed Disposition
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1.	<u>OAS Director's Correspondence Reading File</u>
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Paper copies of internal and external correspondence created by the OAS Director that are maintained in chronological order.

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

2.	<u>OAS Director's Subject-Matter File</u>
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Paper copies of all incoming and outgoing documents maintained in the OAS Director's office by subject matter. The file duplicates information that is contained in the reading file.

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

3. NFC Billings and Reimbursable Agreements

All paper records relating to reimbursable agreements for NFC services to the FRTIB for each fiscal year, including actual billings and related supporting documents.

Disposition: Cut off at the end of each fiscal year.  
Destroy 6 years, 3 months after cutoff.

4. Audit Report File

- a. All documents relating to audit reports conducted by contractors working for the U.S. Department of Labor, Pension and Welfare Benefits Administration, under Section 8477(g) of the Federal Employees' Retirement Act of 1986. The file includes the draft report, FRTIB's comments on the draft report, final report, and the FRTIB's written response to the final report.

Disposition: Cut off at the end of the fiscal year in which the audit was completed. Send to the Federal Records Center 15 years after cutoff.  
Destroy 30 years after cutoff.

- b. Other copies maintained as reference files by other FRTIB offices.

Disposition: Cut off at the end of the fiscal year in which the audit was completed. Destroy 3 years after cutoff or when no longer needed for reference, whichever is sooner.

5. Automated Tracking Systems' Documentation

Documentation for each automated tracking system used at the FRTIB. It consists of a system overview, justification, structure (file layout), cross reference, source code (instructions for how it was built), screens, and report samples.

Disposition: Destroy when the tracking system, for which the documentation was created, is obsolete and the records are no longer needed for administrative purposes.

6. Automated Systems' Documentation

Documentation for each computer system the FRTIB operates, e.g., E-mail, network, etc. It includes such information as the server setup, user setup, administration and application setup, security plan, disaster recover plan, and the hardware and software setup.

Disposition: Destroy when the system, for which the documentation was created, is upgraded or replaced and no longer needed for administrative purposes.

7. Asset Management System Project Files

Records that contain all documents relating to software development projects that require that changes be made to the automated TSP recordkeeping system at the NFC, e.g., Systems Development Project Control Form, correspondence, new requirements, drafts, and all software deliverables.

Disposition: Cut off closed files at the end of each calendar year. Destroy 3 years after the system is no longer functional. *AND RETIRE TO WNAC.*

8. Asset Management Contributions Program and Policy Documentation

Records that contain all documents relating to system and policy requirements for the contributions system, e.g., correspondence and policy papers containing the contributions program requirements.

Disposition: Cut off closed files at the end of the calendar year. Destroy 3 years after the system is no longer functional. *AND RETIRE TO WNAC.*

9. Asset Management Correspondence Reading Files

Files that contain all correspondence sent from Asset Management in chronological order.

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

10. Plan Benefits System Project Files

Records that contain all documents relating to software development projects that require changes be made to the automated TSP recordkeeping system at the NFC, e.g., Systems Development Project Control Form, correspondence, new requirements, drafts, and all software deliverables.

Disposition: Cut off closed files at the end of each calendar year. Destroy 3 years after the system is no longer functional. ~~AND RETIRE TO WNRC~~

11. Plan Benefits Systems Development Project Control Forms

Files that contain System Development Project Control Forms and FRTIB requirements for changes that need to be made to the automated TSP recordkeeping system at the NFC.

Disposition: Cut off closed files at the end of each calendar year. Destroy 3 years after cutoff. ~~AND RETIRE TO WNRC.~~

12. Plan Benefits Correspondence Reading File

Files containing all incoming and outgoing correspondence filed chronologically.

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