

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-474-97-005

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/10/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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ITEM 2A WAS SUPERSEDED BY N1-474-00-002 ITEM 1A

ITEM 2B WAS SUPERSEDED BY N1-474-00-002 ITEM 1C2

ITEM 10 WAS SUPERSEDED BY GRS 2.1 ITEM 060 (DAA-GRS-2014-0002-0011)

ITEM 12 IS CONSIDERED OBSOLETE BECAUSE THE RECORDS ARE NO LONGER BEING PRODUCED

ITEM 13 WAS SUPERSEDED BY GRS 2.2 ITEM 010 (DAA-GRS-2017-0007-0001)

REQUEST FOR RECORDS DISPOSITION AUTHORITY*(See Instructions on Reverse)*TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 204081. FROM (Agency or Establishment)
FEDERAL RETIREMENT THRIFT INVESTMENT BOARD2. MAJOR SUBDIVISION
OFFICE OF ADMINISTRATION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
GRACE W. BUTLER5. TELEPHONE
(202) 942-1683

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

N1-474-97-5

DATE RECEIVED

3-6-97

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 6 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

3/13/97

SIGNATURE OF AGENCY REPRESENTATIVE

Grace W. Butler

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.

All changes to this proposed schedule have been approved by:

Ted W. Menser 9/25/97
NARA appraiser date

Grace W. Butler 9/18/97
Agency representative date

OCT 28 1997 MHR

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 Administration (OA). This office is responsible for the administrative management of the FRTIB. The records cover personnel, procurement, space management, building maintenance, property management, communications and transportation, mail and distribution, printing, records management, etc. It includes administrative records that are maintained in the FRTIB's program offices, as well as those maintained in the Office of Administration.

Item No.	Description of Item and Proposed Disposition
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Office of the Director for Administration	
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1.	<u>Memoranda of Understanding/Agreements</u>
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	Copies of each memorandum of understanding between the FRTIB and other agencies to provide services, such as agreements with the Department of Agriculture to provide recordkeeping services.
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a.	Office of Administration's copy.
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	<u>Disposition:</u> Cut off at the end of each fiscal year. Destroy 6 years and 3 months after supersession, cancellation, or termination of the understanding or agreement.
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b.	Office of the Executive Director's copy.
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	<u>Disposition:</u> Cut off at the end of each fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever comes first.
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2. FRTIB Internal Directives

Copies of each current policy directive for the internal administration of the FRTIB.

a. Office of Administration's copy.

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

b. Program Offices' copy.

Disposition: Cut off and destroy obsolete directives when a revised version is received.

3. Annual FOIA Reports to Congress

Annual reports made to Congress under the Freedom of Information Act.

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

4. Office of Administration Project Files

Administrative project files containing the history of various projects undertaken by the Office of Administration to evaluate the services it provides to the FRTIB, such as procurement, personnel, printing, records, and space management. They include papers used during each stage of the project: the final report, source material, surveys, analysis, notes, drafts, and related papers.

Disposition: Cut off at the end of the calendar year during which the project was completed. Destroy 3 years after cutoff.

5. Director of Administration's Correspondence Reading File

Copies of all internal and external correspondence created by the Director of Administration and maintained in chronological order.

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

6. Invoice Log

Copies of a log that tracks the receipt of each invoice received by the FRTIB.

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

Procurement

7. Annuity Contracts

All procurement documents associated with the selection of the annuity vendor for the TSP.

- a. Procurement Office's copy.

Disposition: Cut off at the end of the fiscal year.
Send to the Federal Records Center in 5-year blocks (e.g., 10/87-9/92 is one block) 10 years after cutoff. Destroy 85 years after cutoff.

- b. Project office's copy (Office of Benefits and Program Analysis).

Disposition: Cut off at the end of the fiscal year.
Destroy 5 years after cutoff or when no longer needed, whichever is sooner.

8. Investment Contracts

The first two contracts awarded for selection of TSP's asset manager(s). (GRS 3, item 3a¶1) will be used for all subsequent investment contracts.)

- a. Procurement Office's copy.

Disposition: Cut off at the end of the fiscal year.
Destroy 30 years after final payment or when no longer needed for administrative purposes, whichever is longer.
Store records at the Board.

- b. Project office's copy (Office of Investments).

Disposition: Cut off at the end of the fiscal year.
Destroy when no longer needed.

9. Insurance Subject Matter Files

Correspondence, internal memoranda, notes, company publications, and terms and condition of insurance purchased to cover the TSP fiduciary insurance, package coverage for commercial and umbrella liability coverage, and ERISA Bond.

Disposition: Cut off files at the end of each renewal period. Destroy when 10 years old or when no longer needed, whichever is later, but not to exceed 25 years.

Personnel

10. Non-Selected Applicant Supply File

Copies of all non-selected SF 171, Application for Federal Employment, and other employment applications (e.g., resumes) and documents received by the FRTIB for announced employment vacancies.

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

11. FRTIB Employee's Personnel Folder File

This file contains a folder on each FRTIB employee and copies of all personnel actions on the employee since employed by the Board. (The employee's Official Personnel Folder is kept at the General Services Administration (GSA).)

Disposition: Cut off all folders of former employees at the end of the calendar year in which they separate. Destroy 1 year after cutoff.

12. GSA Correspondence Chronological File

Contains all personnel actions and correspondence that go to GSA concerning personnel matters; maintained in chronological order.

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

13. Personnel Correspondence Chronological File

Contains all written correspondence created by the Personnel office and maintained in chronological order.

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

14. Interagency and Internal Reports File

Contains a folder on each interagency report made to another Federal agency and each internal report made to FRTIB management concerning personnel matters, e.g., OPM Incentive Awards, HHS Drug-Free Program; EEOC Discrimination Complaints, TIB-Staffing Patterns, etc.

Disposition:

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

Administrative Services

15. Invoice File

Contains the requisition, purchase order, delivery orders against GSA schedule contracts, lease payment obligation documents, and bond and surety records, including correspondence and related papers pertaining to the award, administration, receipt, inspection and payment for transactions.

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

16. Deputy Director of Administration's Correspondence Reading File

Contains copies of all letters, memoranda, and weekly reports issued by the Deputy Director of Administration; maintained in chronological order.

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

Library

(This function was recently transferred to the Office of the General Counsel.)

17. Library Subscription Files

Contains a purchasing history on each periodical or subscription purchased by the FRTIB, including a copy of the requisition, purchase order, and other relevant material.

Disposition: Cut off at the end of the calendar year in which the subscription expired and was not renewed. Destroy 3 years after cutoff.

18. Library Subject Matter Files

These are general information files on various topics of concern or interest to the administration of the FRTIB library, including communications with other offices, distribution lists, quarterly reports, etc.

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

19. Library Correspondence Reading File

Contains copies of all internal and external correspondence sent from the library and maintained in chronological order.

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