

Request for Records Disposition Authority

Records Schedule Number DAA-0474-2018-0009

Schedule Status Approved

Agency or Establishment Federal Retirement Thrift Investment Board

Record Group / Scheduling Group Records of the Federal Retirement Thrift Investment Board

Records Schedule applies to Major Subdivision

Major Subdivision Office of General Counsel

Schedule Subject General Counsel Records

Internal agency concurrences will be provided No

Background Information This group of records consists of documents relating to the legal services provided to the Federal Retirement Thrift Investment Board (Board) by the Office of General Counsel (OGC). The schedule below applies to all records maintained by OGC, with the exception of any records subject to an active litigation hold. Those records will be maintained as long as the litigation hold is in place.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	1	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0474-2018-0009

Sequence Number	
1	Significant Advisory Legal Opinions Disposition Authority Number: DAA-0474-2018-0009-0001
2	Legal Chronological Reading Files Disposition Authority Number: DAA-0474-2018-0009-0002
3	Official Litigation Case Files Disposition Authority Number: DAA-0474-2018-0009-0003
4	Trademark Application and Enforcement Files Disposition Authority Number: DAA-0474-2018-0009-0004
5	Routine Advisory Legal Opinions Disposition Authority Number: DAA-0474-2018-0009-0005
6	Subpoenas Disposition Authority Number: DAA-0474-2018-0009-0006
7	General Miscellaneous Correspondence Disposition Authority Number: DAA-0474-2018-0009-0007

Records Schedule Items

Sequence Number											
1	<p>Significant Advisory Legal Opinions</p> <p>Disposition Authority Number DAA-0474-2018-0009-0001</p> <p>Office of General Counsel legal opinions on topics that are of precedential value to the Federal Retirement Thrift Investment Board that may be mission-related or significant to areas of primary practice such as compliance, ethics, benefits, or privacy. Mission-related topics consist of actions of the Board, the functions of the agency versus the Board, and Fund-related legal issues.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-474-00-001 / 1/B N1-474-00-001 / 1/C</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 30 year(s) after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 1986</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1986 To 1990</p> <p>How frequently will your agency transfer these records to the National Archives? Every 5 Years</p> <table border="1"> <thead> <tr> <th></th> <th>Estimated Current Volume</th> <th>Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>2 GB</td> <td>1 MB</td> </tr> <tr> <td>Paper</td> <td>15 Cubic feet</td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	2 GB	1 MB	Paper	15 Cubic feet	
	Estimated Current Volume	Annual Accumulation									
Electronic/Digital	2 GB	1 MB									
Paper	15 Cubic feet										

	Microform		
	Hardcopy or Analog Special Media		

2

Legal Chronological Reading Files

Disposition Authority Number **DAA-0474-2018-0009-0002**

Internal and external files maintained by OGC in chronological order by major office division covering legal issues spanning various operational areas such as insurance, death benefits, compensation, investment practices, and related topics.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-474-96-002 / 1**

Disposition Instruction

Cutoff Instruction **Cut off files at the end of each calendar year.**

Retention Period **Destroy 30 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

3

Official Litigation Case Files

Disposition Authority Number **DAA-0474-2018-0009-0003**

The official litigation case file for each case that was involved in active litigation (Federal district and appellate courts and administrative tribunals) consists of a litigation file (pleadings, court orders, trial transcript, and trial exhibits), correspondence file, discovery file, and research file.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **No**

4	electronic format(s) other than e-mail and word processing?	
	GRS or Superseded Authority Citation	N1-474-96-002 / 16
	Disposition Instruction	
	Cutoff Instruction	Close file one year after entry of final judgment and no action taken by the parties after expiration of deadlines for appeal.
	Retention Period	Destroy 7 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Trademark Application and Enforcement Files	
	Disposition Authority Number	DAA-0474-2018-0009-0004
	Documentation of the Office of General Counsel's trademark prosecution (application) and enforcement activities, as well as any related index or finding aids for the enforcement files. Includes: • Copies of trademark applications • Background documentation on the marks • Documentation of advice on trademark law issues • Trademark enforcement correspondence and responses to correspondence • Documentation of post-registration activity.	
5	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of each calendar year of cancellation, expiration, or abandonment of a trademark.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Routine Advisory Legal Opinions	
	Disposition Authority Number	DAA-0474-2018-0009-0005

6	Office of General Counsel's legal opinions issued on a frequent basis involving administrative account matters of the Federal Retirement Thrift Investment Board.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year of issuance.
	Retention Period	Destroy 30 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
7	Subpoenas	
	Disposition Authority Number	DAA-0474-2018-0009-0006
	Subpoenas (along with accompanying cover letters, notices, or certificates) issued by OGC under the authority granted in 5 U.S.C. 8480, at the request of the Office of Participant Services and Anti-Fraud Division. They are usually issued to financial institutions for the purpose of investigating unauthorized withdrawals that were transmitted to the subpoenaed financial institution. The subpoenas do not relate to any other case files maintained by OGC.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year of issuance.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	General Miscellaneous Correspondence	

Disposition Authority Number **DAA-0474-2018-0009-0007**

General correspondence to TSP participants, persons with a financial interest in a TSP account, attorneys, etc. that incorporates a legal reply from the OGC. This file contains a working copy of the general correspondence to TSP participants, and the primary copy is maintained in the TSP recordkeeping system.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? **No**

GRS or Superseded Authority
Citation **N1-474-96-002 / 2**

Disposition Instruction

Cutoff Instruction **Cut off files at the end of the calendar year.**

Retention Period **Destroy 3 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/20/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
12/20/2017	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/20/2017	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
12/20/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
06/19/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/02/2019	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/03/2019	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
10/18/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/28/2020	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
02/28/2020	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management

03/26/2020	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/01/2020	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
04/15/2020	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
07/30/2020	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/06/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/11/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/11/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist