

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0474-2021-0011

Status: APPROVED  
Date Approved: 08/21/2023

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## General Information

Agency or Establishment	Federal Retirement Thrift Investment Board
Record/Scheduling Group	0474 - Records of the Federal Retirement Thrift Investment Board
Records Schedule Applies To	Agency-wide
Schedule Subject	Participant Services Records
Additional Schedule Information	This group of records consists of documents relating to the responsibilities and activities of the Office of Participant Services, responsible for all functions concerned with implementing policies and related to disbursement of TSP Benefits and manages the key business processes related to contributions and money-in services, the loan program, withdrawal services, participant investment services, legal processing, and death benefits.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No- The records covered by this schedule do not implicate Tribal interests

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## Item Count

Total number of disposition items: 13

Number of Temporary disposition items: 13

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0474-2021-0011

Item #	Title	Disposition
0001	Annuity Monthly Index Rate	Temporary
0002	Annuity Vendor Source Report	Temporary
0003	Asset Management Contributions Policy and Procedures	Temporary
0004	Death Benefit Claims	Temporary
0005	Death Master File (DMF)	Temporary
0006	Allegations of Spouse/Misconduct, Fraud/Forgery Routine Cases	Temporary
0007	Allegations of Spouse/Misconduct, Fraud/Forgery Unusual Cases	Temporary
0008	TSP Reconciliations Reports	Temporary
0009	Core Recordkeeping Data	Temporary
0010	Death Benefit Beneficiary Designations	Temporary
0011	Customer Interaction Case Notes	Temporary
0012	General Incoming Correspondence	Temporary
0013	TSP Bulletins for Agency TSP Representatives	Temporary

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Records Schedule Items

DAA-0474-2021-0011-0001		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title		Annuity Monthly Index Rate	
Item Description		Participant Services records concerning the program analysis of monthly annuity interest rate index. Records that contain correspondence between the annuity vendor and the program office. The annuity interest rate, set by the annuity provider is among the factors affecting the monthly payment amount for qualifying participants.	
Is this item media neutral?		Yes	
Is this item a Big Bucket?		No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?		Yes	
		Superseded Items	
Superseded Item		Item Superseded in Part?	Explanation
N1-474-97-002 / 6		No	
Is this item a deviation from the GRS?		No	
DISPOSITION INSTRUCTION			
Final Disposition		Temporary	
Cutoff Instructions		Other: Cut off at the end of the calendar year.	
Retention Period		Other: Destroy 3 years after the end of the contract period between the TSP and annuity vendor.	
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?		No	
GAO Approval Required		No	

DAA-0474-2021-0011-0002		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title		Annuity Vendor Source Report	

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Item Description	Records received from the annuity vender that contains the annuity purchase compilation source report. They are used for reporting data in the program office monthly activity report, conducting annual audit reviews, researching historical annuity data and information in these records are used to produce management reports for the Executive Director.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-474-00-006 / 1 /f	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off files at the end of the calendar year.	
Retention Period	Destroy 15 year(s) after cutoff.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

<b>DAA-0474-2021-0011-0003</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Asset Management Contributions Policy and Procedures
Item Description	Records that contain official Policy and Procedures documents created by the Office of Participant Services pertaining to the contributions program. All documents relating to system and policy requirements for the contributions system e.g. correspondence and policy papers containing the program office contribution requirements. The program office develops and implements the policies and procedures for use throughout the agency.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-474-97-001 / 8	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off closed files at the end of the calendar year.
Retention Period	Destroy 3 year(s) after the policy and procedure is superseded.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>DAA-0474-2021-0011-0004</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Death Benefit Claims
Item Description	Documents related to death benefit claims, including both documents received and documents sent to beneficiaries, to include related correspondence. (death certificates, etc.) Records also include decision letters for claims subject to review by the Office of General Counsel.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-474-96-002 / 12	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off closed files at the end of each calendar year.
Retention Period	Destroy 7 year(s) after cutoff.

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ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0474-2021-0011-0005		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Death Master File (DMF)	
Item Description	Death Master File (DMF) serves as initial notice that a participant may have died. The DMF contains identifying information about each individual to whom SSA has assigned a Social Security number. The file contains variables in the DMF include name, social security number, last known residence, dates of birth and death, and the state where the individual first enrolled for a social security card. Documents used to verify and process death claims are maintained in the Death Benefits Claims files.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at the end of the Fiscal year.	
Retention Period	Destroy 3 year(s) and 3 month(s) after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0474-2021-0011-0006		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Allegations of Spouse/Misconduct, Fraud/Forgery Routine Cases	

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Item Description	Routine case files containing documents on TSP participants who attempted or appear to have attempted fraud/forgery in the completion of TSP documents. This will include, for example, correspondence with involved parties, such as the Department of Treasury, financial institutions, the participant, and law enforcement as applicable to the case, as well as copies of potentially fraudulent documents. Routine cases generally consist of incidents of forging spousal consent, notary signature, reporting incorrect marital status, etc and the funds are being requested by the participant.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-474-96-002 / 15	Yes	for routine cases
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off closed files at the end of the calendar year.	
Retention Period	Destroy 3 year(s) after cutoff.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0474-2021-0011-0007	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Allegations of Spouse/Misconduct, Fraud/Forgery Unusual Cases



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Item Description	Unusual case files containing documents on TSP participants who attempted or appear to have attempted fraud/forgery in the completion of TSP documents. This will include, for example, correspondence with involved parties, such as the Department of Treasury, financial institutions, the participant, and law enforcement as applicable to the case, as well as copies of potentially fraudulent documents. This will generally involve cases not defined as routine above, potentially involving more complex methods of deception in order to route funds to a party posing as the participant or beneficiary.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-474-96-002 / 15	Yes	for unusual cases
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off closed files at the end of the calendar year.	
Retention Period	Destroy 7 year(s) after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0474-2021-0011-0008

STATUS: Active

ITEM GENERAL INFORMATION

Item Title	TSP Reconciliations Reports
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Item Description	These records consist of TSP reconciliation reports for all funds managed by the Board. These reports are sourced from the internal TSP Core Recordkeeping System, and external systems, such as those managed by the Department of Treasury, and funds managers, that each provide an accounting of the funds TSP holds in trust. These reports must be reconciled to ensure that all funds are accounted for and that all systems are in agreement as to the amount of funds in the trust.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-474-96-005 / 4	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at the end of the calendar year.	
Retention Period	Destroy 30 year(s) after cutoff.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0474-2021-0011-0009	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Core Recordkeeping Data

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	Item Description	The records consist of data relating to the administration of the Thrift Savings Plan by a designated recordkeeper. The series includes agency and participant data maintained in a dedicated recordkeeping data system. The series includes, - Data related to the submission of participant, contributions-related, and loan payment data to the recordkeeper; - Digital records of designations of beneficiary and interfund transfer requests; - Records of changes of names, addresses, and other personal information; - Digital records of loan applications, including related data such as amortization schedules, payment schedules, balance records, and taxable distributions; Withdrawals taken by participants, including age-based or financial hardship in-service withdrawals, post separation single payment, monthly payment or annuity requests, and requests to transfer funds to an IRA or other eligible retirement plan; - Digital records of court order payment actions, e.g., retirement benefit court orders, legal process orders, non-colorable, guardianship/conservatorship, powers of attorney, waivers, bankruptcies; - Records of death benefits payments including data on the recipients. – Other business transactions that are necessary to administer and maintain individual TSP accounts. This record also includes records on microfilm created 1996 onward.	
	Is this item media neutral?	Yes	
	Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>			
	Does this item supersede existing disposition authorities?	Yes	
		Superseded Items	
	Superseded Item	Item Superseded in Part?	Explanation
	N1-474-97-006 / 1/a	No	
	N1-474-97-006 / 1/b	No	
	Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>			
	Final Disposition	Temporary	
	Cutoff Instructions	Other: Cutoff off at the end of the calendar year the record was created.	
	Retention Period	Destroy 99 year(s) after cutoff.	
<b>ADDITIONAL INFORMATION</b>			

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Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0474-2021-0011-0010		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title		Death Benefit Beneficiary Designations	
Item Description		Documents are received via mail or fax that are electronically imaged and are maintained in an imaging system. Data from the forms is added to the Core Recordkeeping system. The records consist of forms, correspondence and other documents related to the designation of beneficiaries on a participant's death.	
Is this item media neutral?		Yes	
Is this item a Big Bucket?		No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?		Yes	
		Superseded Items	
Superseded Item		Item Superseded in Part?	Explanation
N1-474-00-005 / 1/c		No	
Is this item a deviation from the GRS?		No	
DISPOSITION INSTRUCTION			
Final Disposition		Temporary	
Cutoff Instructions		Other: Cutoff at the end of the calendar year the record was imaged.	
Retention Period		Other: Retain imaged records for 99 years, or destroy imaged records 7 years after receipt, upon completion of the annual participant confirmation process.	
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?		No	
GAO Approval Required		No	

DAA-0474-2021-0011-0011		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title		Customer Interaction Case Notes	

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Item Description	Routine records of standard customer interactions conducted through live messaging applications, which do not result in generation of other more complex types of cases. Includes the incoming messages, FRTIB's reply, and as appropriate, background account information that cannot be retrieved from the TSP system.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-0474-96-003 / 11	Yes	for records documenting routine interactions
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at the end of the calendar year.	
Retention Period	Destroy 3 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

<b>DAA-0474-2021-0011-0012</b>	<b>STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	General Incoming Correspondence	
Item Description	Correspondence received through any channel to include paper, fax, email from TSP participants concerning their accounts. It includes the incoming letter and FRTIB's replies.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation

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N1-474-96-003 / 13/a	No	
N1-474-96-003 / 13/b	No	
N1-474-96-003 / 11	Yes	for routine correspondence
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at the end of the calendar year.	
Retention Period	Destroy 7 year(s) after receipt.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0474-2021-0011-0013		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	TSP Bulletins for Agency TSP Representatives		
Item Description	Records containing information on the creation of each TSP Bulletin, including the resource material, draft, final copies, and management’s approval. TSP Bulletins are the primary official means of communication from the TSP to the payroll agencies and are generally used to provide guidance to payroll agencies on processes and procedures necessary to provide benefits to their employees.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	No		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-474-96-003 / 16/a	No		
N1-474-96-003 / 16/b	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Cutoff Instructions	Other: Cut off at the end of the calendar year.		
Retention Period	Destroy 20 year(s) after cutoff.		

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ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	08/21/2023