

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 ENTERPRISE RISK MANAGEMENT

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Vivian A. Scott, RM Specialist

5 TELEPHONE
(202) 942-1629

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

N1-474-12-9

DATE RECEIVED

7/6/12

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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

ARCHIVIST OF THE UNITED STATES

Signature of Archivist

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 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

6/26/2012

SIGNATURE OF AGENCY REPRESENTATIVE

Gisile Goethe

Signature of Gisile Goethe

TITLE Acting Director, Office of Resource Management and Acting RM Officer

7
ITEM
NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR
SUPERSEDED
JOB CITATION

10 ACTION
TAKEN (NARA
USE ONLY)

Audit Report File

a **Recordkeeping copy** of 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, 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 Washington National Records Center [WNCR] 15 years after cutoff. Destroy 30 years after cutoff.

b **Reference copy** for use by other FRTIB Program Offices

Disposition Cut off at the end of the fiscal year in which the audit was completed. Destroy 3 years after cutoff.

N1-474-97-1,
item 4a

N1-474-97-1,
ITEM 4b

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.

Description of Items and Proposed Disposition Authority

Audit Report File, N1-474-97-1, item 4

This revised Schedule is being submitted to gain media neutral approval for the recordkeeping copy

Changes to the Schedule follow

1. Recordkeeping copy added to description for item a), which is a separate and distinct record with related materials from other copies.
2. In item b), unspecific language has been replaced to cite a Reference copy that would be available for use (as approved and required) by other FRTIB Program Offices, i.e

"Reference copy for use by other FRTIB Program Offices "

Also, a change was made in item b) to delete the phrase "or when no longer needed, whichever is sooner "

The proposed additions to the existing Schedule will enable electronic storage of a major record generated within the Office of Enterprise Risk Management. The proposed additions to the existing Schedule will enable electronic storage of a major record series generated within the Office of Enterprise Risk Management. The Office of Enterprise Risk Management is also responsible for control activities of the Federal Retirement Thrift Investment Board [FRTIB] such as audit and other fiduciary management in its oversight.