NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-474-96-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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ITEM 2 WAS SUPERSEDED BY N1-474-12-006 ITEM 3 WAS SUPERSEDED BY N1-474-12-005 ITEM 4 WAS SUPERSEDED BY N1-474-12-004

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REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on Reverse)				JOB NEMBER NI-474-96-4			
	NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408			DATE RECEIVED 9-6-96			
1. FROM	M (Agency or Establishment)		NOTIFICATION TO AGENCY				
FEDE	DERAL RETIREMENT THRIFT INVESTMENT BOARD		In accordance with the provisions of 44 U.S.C. 3303a the disposition request,				
	OR SUBDIVISION ICE OF ADMINISTRATION Investments			including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawne in column 10.			
	OR SUBDIVISION CHISTRATIVE SERVICES						
	E OF PERSON WITH WHOM TO CONFER E W. BUTLER	5. TELEPHONE (202) 942-1683	1	ATE -23-97	ARCHIVIST OF THE	HE UNITED STATES	
I hereby certify that I am authorized to act for this agency in matters pertaining records proposed for disposal on the attached 3 page(s) are not now needed needed after the retention periods specified; and that written concurrence from provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, X is not required; DATE SIGNATURE OF AGENCY REPRESENTATIVE				d for the business of this agency or will not be			
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION				9. GRS OR SUPERSEDED IOB CITATION	10. ACTION TAKEN (NARA USE ONLY)	
	See Attachment.						

115-109

NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)

Prescribed by NARA 36 CFR 1228

OCT 27 1997 Mer

Cupy to: agency NWDD

All changes to this proposed schedule have been approved by:

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 Investments (OI). responsible for all functions concerned with the planning, development, and implementation of investment and interfund transfer policy for TSP monies in three separate funds (G, C, and F Funds). OI is responsible for providing investment advice with respect to all investment planning and policy matters impacting on TSP programs and operations, monitoring the investment of funds, and serving as the main point of contact for the asset manager in its relations with the Board. It also assists in ng the asset manager.

Description of Item and Proposed Disposition

Reports and Other Documentation relating to FRTIB Fund Investments (gristing of the earning)

Allocation, procuring the asset manager.

Item No.

and cash

Mentactivi

These records include investment call confirmations with related documentation, reports of investment activity, estimate subsystem reports and other investment-related documents.

(changed iofsilor. KT)

a.

Disposition: Cut off at the end of each calendar year. Destroy upon verification of microfilm.

b. Microfilm copies.

> Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.

Investment and Interfund Policy Records

All background papers, including internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

<u>Disposition</u>: Cut off files at the end of the calendar year. Destroy 30 years after cutoff.

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3. Investment Subject Matter Files

All working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, etc. maintained by subject matter.

<u>Disposition</u>: Purge annually. Destroy when 3 years old.

4. Investment Performance Reports (Quarterly and Monthly)

Summary reports containing information on investment performance for the G. F. Funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.

a. Office of Investments' copy.

<u>Disposition:</u> Cut off at the end of the calendar year. Destroy 10 years after cutoff.

b. Executive Director's copy.

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

c. Other copies maintained as reference files by other FRTIB offices.

<u>Disposition</u>: Cut off at the end of the calendar year. Destroy 1 year after cutoff or when no longer needed for reference, whichever is sooner.

5. Exception Processing (Interfund Transfers/Lost Earnings)

Case files on interfund transfers and lost earnings that were handled outside routine procedures. They include the initial incoming correspondence, Board letter to participant, instructions to NFC on how to handle the account, background documentation, and any other related material.

<u>Disposition:</u> Cut off closed cases at the end of the calendar year. Destroy 7 years after cutoff.

NWML

6. Correspondence Reading File

Copies of all internal and external correspondence and memoranda in chronological order that are sent from the Office of Investments. This file duplicates copies that are located in other files.

<u>Disposition</u>: Cut off at the end of the calendar year. Destroy 1 year after cutoff.

7. <u>Call Sheets</u>

Records that document the content of telephone conversations that OI staff has with participants concerning investments, interfund transfers, and lost earnings.

<u>Disposition</u>: Cut off files at the end of the calendar year. Destroy 1 year after cutoff.