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 BENEFITS & PROGRAM ANALYSIS

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
GRACE W. BUTLER

5. TELEPHONE
(202) 942-1695

AVE BLANK (NARA USE ONLY)

JOB NUMBER
N1-474-97-2

DATE RECEIVED
10-15-96

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
10-14-97	John W Carlin

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 4 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
10/7/96	John F. Coates	Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attachment. Per conversation with R.O. See pen + ink changes to item 5. M Donovan, NWML 12/13/99 All changes to this proposed schedule have been approved by: Todd W Maurey 10/6/97 — NARA appraiser, date Grace W. Butler 10/1/97 — Agency representative, date		

115-109 NSN 7540-00-634-4064 STANDARD FORM 115 (REV. 3-91)
PREVIOUS EDITION NOT USABLE Prescribed by NAR 36 CFR 1228

OCT 28 1997 MHV

Copy to - Agency
NWDD
NWRW

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 Benefits and Program Analysis (OBPA). This office is responsible for planning, developing, and implementing policies and procedures related to the administration of TSP benefits programs (loans and withdrawals, including annuity products). In addition, this office is responsible for the development of estimated program activity levels and agency financial models, and for budget preparation and program review. It is responsible also for monitoring the status of audit recommendations and providing reports to the Executive Director on the progress of each active recommendation.

Item No.	Description of Item and Proposed Disposition
1.	Annual Budget Request
a.	Memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriation Committees of Congress and Office of Management and Budget, plus supporting justifications and budget estimates from major Board organizations. Disposition: Cut off files at the end of the fiscal year. Destroy 20 years after cutoff.
b.	Executive Director's copy of memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriation Committees of Congress and Office of Management and Budget. Disposition: Cut off at the end of the fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever is sooner.

c. Cost statements, rough data and similar material accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications, narrative statements, and related schedules; and originating offices' copies of reports submitted to the Office of Benefits and Program Analysis.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

2. Quarterly Memoranda on the Status of the Budget

a. Quarterly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Accounting.

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

b. Executive Director's copy.

Disposition: Cut off files at the end of the fiscal year. Destroy 1 year after cutoff or when no longer needed, whichever is sooner.

3. Audit Monitoring Records

a. All audit monitoring paper records, including computer printouts, and monthly and semiannual status reports to the Executive Director on the status of each active audit recommendation.

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

b. Copies maintained by other FRTIB program offices, including the Office of the Executive Director.

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

4. Management Reports

a. Records containing statistical and financial summary information on TSP operations provided by the National Finance Center (NFC). They cover population demographics and information regarding loan, withdrawal, and communication (both written and telephone) activities of participants. The official records consist of memoranda to the Executive Director and summary reports, plus source documents from the NFC.

Disposition: Permanent. Cut off at the end of the calendar year. Transfer to NARA in 10-year blocks (e.g., 1991-2000 is one block) 5 years after cutoff.

Volume: 1/2 cubic foot
Annual Accumulation: 1 inch

b. Copies of the above reports maintained by other FRTIB program offices, including the Office of the Executive Director.

Disposition: Cut off at the end of the calendar year. Destroy 3 years after cutoff or when no longer needed, whichever is sooner.

5. Loan and Withdrawal Policy and Program Administration Records

a. Documentation containing memoranda to the Executive Director and other correspondence, and portions of case files that establish the policy and procedures for administration of the withdrawal and loan programs. This file also contains technical requirements for the recordkeeper (NFC) for implementation of these policies and procedures.

Disposition: Cut off at the end of the calendar year AND RETIRE TO WNRC. Destroy 3 years after the policy is obsolete.

b. Supporting material, including input from other offices, concerning the development of the above policy documents.

Disposition: Cut off at the end of the calendar year. Destroy 3 years after the policy has been approved. AND RETIRE TO WNRC.

6. Annuity Index Rate Monthly Report

Records that contain correspondence between the annuity vendor and Office of Benefits and Program Analysis concerning the monthly annuity interest rate index.

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

7. Case Files (Exception Processing)

Records on unusual individual account cases out of which TSP policy evolved due to the unusual nature of the case.

Disposition: Cut off closed files at the end of each calendar year. Send to the Federal Records Center 3 years after cutoff. Destroy 7 years after cutoff.

8. Correspondence Reading Files

Records containing copies in chronological order of all correspondence sent from the Office of Benefits and Program Analysis.

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