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Description of document: Correspondence between the National Archives (NARA) and the Federal Retirement Thrift Investment Board (FRTIB), 2010 - 2012

Requested date: 23-June-2012

Released dates: 22-August-2012 (NARA)
08-November-2012 (FRTIB)

Posted date: 10-December-2012

Source of documents: FOIA Officer
National Archives and Records Administration
8601 Adelphi Road, Room 3110
College Park, MD 20740
Fax: (301) 837-0293
Email: foia@nara.gov

Note: FRTIB reviewed/released material begins on (PDF) page 236

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August 22, 2012

Re: Freedom of Information Act Request NGC12-169

This is our final response to your Freedom of Information Act (FOIA) request of June 23, 2012, for a copy of correspondence between the National Archives and the Federal Retirement Thrift Investment Board (FRTIB) from January 1, 2001 to the present that pertain to records scheduling and similar matters. Your request was received in this office on June 27, 2012, and assigned tracking number NGC12-169.

On August 22, 2012, we notified you that 232 pages were referred to the FRTIB for consultation prior to a final disclosure determination. The correct number of pages is 231 due to a miscount. I apologize for this error. The FRTIB completed their review and NARA concurs with their recommendation. All 231 pages are released in full to you at this time. With the 4 pages released by NARA in our interim notice of August 22, the total number of pages released to you is 235.

Per 36 C.F.R. § 1250.52(c), the first 100 pages are duplicated at no charge. The fee to reproduce the remaining 135 pages totals \$27.00. In your request, you agreed to pay \$25.00. Therefore, I will accept \$25 as the fee for this request.

Please send a check or money order made payable to the National Archives and Records Administration to my attention in Room 3110 at the address at the bottom of the page. When you provide a check as payment to the National Archives and Records Administration, please be advised that you authorize them to use the information from your check to make a one-time electronic funds transfer from your account or to process the payment as a check transaction. When NARA uses information from your check to make an electronic funds transfer, funds may be withdrawn from your account as early as the day we receive your payment, and you will not receive your check back from your financial institution.

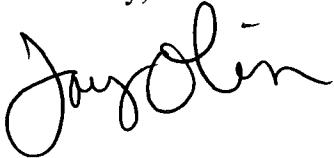
NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION

8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001

www.archives.gov

If you consider this response a denial of your FOIA request, you may appeal by writing to the Deputy Archivist (ND), National Archives and Records Administration, College Park, MD 20740 within 35 calendar days and explain why you feel our response did not meet the standards of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." Please include the tracking number NGC12-169 in your appeal letter.

Sincerely,

A handwritten signature in black ink, appearing to read "Jay Olin". The signature is fluid and cursive, with the first name "Jay" and last name "Olin" clearly distinguishable.

JAY OLIN
NARA Deputy FOIA Officer
Office of General Counsel

Enclosures

Thank you Vivian,

I don't need any further verification done. I just wanted to confirm that I was understanding the same thing you all were.

Good to know as I am finishing up the appraisal and moving the schedules forward.

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/26/2011 1:55 PM >>>

Welcome back, Rebekah, and thank you for your email! Congratulations again on your wedding and thank you for providing your married name and new email address.

In response to your question, it is my understanding that:

1) The Executive Director's Internal Policy Decision File – having permanent status – is a separate record, i.e., it only contains policy-decision information. Please see attached File Plan as of CY 2011. Correspondence should be separate. If overlap does occur, there should be a cross-reference copy maintained in appropriate file. Please see – per the approved-NARA/FRTIB description – this Schedule covers memoranda written by program offices to the Executive Director:

Schedule: Executive Director's Internal Policy Decision File – N1-474-97-4, item 2

Paper copies of internal policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB internal policy and the Executive Director's decision

Disposition: Permanent. Cut off at the end of the calendar year. Send to the FRC in 5-year blocks (e.g., 1/86-12/90 is one block) 5 years after cutoff. Transfer to NARA 20 years after cutoff.

2) As the Internal Policy Decision Record Schedule carries a permanent disposition, records already sent to NARA/WNRC eventually will be sent to the Archives (20 years after cutoff). NARA-WNRC's Master List shows two separate Accessions 474-98-0005 (for C1998-2001) and 474-03-0004 (for C1999-2001). Therefore these permanent records are still available for your examination, if needed (retrieval would be required)

3) Lorraine Terry keeps the current record files in her office and can advise whether any policy records are ready for transfer to the FRC. I will also request her review of same records to determine whether there is an overlap of policy issues within the Executive Director's correspondence (per subsequent email).

4) As major reorganization within FRTIB impacted its Board and OLD records – which were moved to the Office of General Counsel (OGC) – there may be originals and/or copies of these same Internal Policy Decision records – within files maintained by OGC's Records Management staff. Examination of the previously-maintained OED records – moved to the OGC – would identify whether OGC has copies of the Internal Policy Decision records.

Please let me know if you need additional information.

Thank you again for your assistance and guidance for FRTIB's records.

Sincerely,

Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Email: vscott@tsp.gov
☎ (202) 942-1629
Fax: (202) 942-1674

From: Rebekah Meservy [<mailto:Rebekah.Meservy@nara.gov>]
Sent: Monday, September 26, 2011 8:56 AM
To: Vivian Scott
Cc: Barbara Torres; Lorraine Terry
Subject: Re: Official Submission Today, August 18, 2011: Revised SF-115 for FRTIB's Executive Director's Correspondence Records Schedule

Vivian,

Just one quick question as I am working on this schedule. On the 1997 approved schedule there was an item for "Internal Policy" files. Does the Executive office still maintain these types of files? If so, is there any overlap between what is in those files and what is in the correspondence?

Thank you!

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 8/18/2011 5:59 PM >>>

Refs.: 1) Appraisal Process Meeting on August 9, 2011, 2) Subsequent Determinations Re. Retention Disposition; and 3) Revised SF-115 Submission

To: Ms. Rebekah L. Fairbank, Appraisal Archivist, National Archives & Records Administration

Dear Rebekah,

In reference to items resolved per our meeting on August 9, 2011, and NARA's subsequent assessment made for this new records disposition, all revisions (from you, Barbara Torres, and Lorraine Terry) have been incorporated into the newly-submitted *Request for Records Disposition Authority*, approved by Barbara and dated today, August 18, 2011.

This new SF-115 for the Executive Director's Correspondence, dated August 18, 2011, supersedes and

cancels the previous submission dated June 22, 2011.

Today I have posted this same SF-115 Schedule request (original and one copy) to be mailed to you via U.S. Postal Service to your College Park address * .

I am also providing an updated File Plan for the current Schedules maintained within the Office of the Executive Director, which includes the pending actions notated for this revised Schedule request and the pending Schedule request for the Executive Director's Monthly Calendar.

On behalf of Barbara, Lorraine, and me, thank you for your continued assistance.

Sincerely,

Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Email: vscott@tsp.gov
 (202) 942-1629
Fax: (202) 942-1674

* NWML, Room 2100
National Archives & Records Administration
8601 Adelphi Road
College Park, MD 20740

Update 8/18/2011 finalizes SF-115 Schedule Request, determined per August 9, 2011 Appraisal Process Meeting

Office of the Executive Director

FILE PLAN, CY 2011

This group of records consists of documents maintained by and relating to the responsibilities and activities of the Office of the Executive Director (OED). This office is responsible for representing the Executive Director in the daily operations of the Thrift Savings Plan (TSP). In this role, the Office of the Executive Director keeps the Executive Director apprised of the programs and activities of the Federal Retirement Thrift Investment Board (FRTIB); Department of the Treasury, Office of Finance and Management; SERCO International - the "recordkeeper"; and BlackRock Institutional Trust Company, N.A. - the Investment manager for the C, F, I, and S Funds. This office also disseminates directions from the Executive Director to the FRTIB. (A number of the records previously maintained in this office were transferred to other program offices responsible for maintaining their schedules, e.g., Board Records are maintained in the Office of General Counsel, and ETAC Records in the Office of External Affairs.) The OED Office also maintains General Records Schedule (GRS) Records, as applicable.

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
0. OED-0.1	<p><u>Office of the Executive Director's File Plan</u></p> <p>Office of the Executive Director's official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of the Executive Director's inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of the Executive Director's records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition.</u> Destroy when 6 years old, or when no longer needed.</p>	<p>GRS-16, item 2,a(2).</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
1. OED-1.1	<p><u>Delegations of Authority</u>⁽¹⁾</p> <p>Memoranda from the Executive Director to FRTIB staff documenting the functions and responsibilities that were delegated to a particular organization and/or staff member.</p> <p><u>Disposition.</u> Cut off at the end of the calendar year. Destroy 3 years after the delegation is no longer valid.</p>	N1-474-97-4, item 1	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry
2. OED-2.1	<p><u>Executive Director's Internal Policy Decision File</u>⁽²⁾</p> <p>Paper copies of internal policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB internal policy and the Executive Director's decision.</p> <p><u>Disposition.</u> Permanent. Cut off at the end of the calendar year. Send to the Federal Records Center in 5-year blocks (e.g., 1/86-12/90 is one block) 5 years after cutoff. Transfer to NARA 20 years after cutoff.</p> <p>⁽¹⁾ All documents within this Records Schedule are also Vital Records and subject to federal requirements, i.e., semi-annual recycling and storage off-site as prescribed in the <i>Code of Federal Regulations</i>, 36 CFR, Part 1223; and Chapter 5 of the <i>Federal Retirement Thrift Investment Board's Records Management Handbook</i>.</p> <p>⁽²⁾ Same as footnote ⁽¹⁾ above.</p>	N1-474-97-4, item 2	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
3. OED-3.1	<p><u>Executive Director's Monthly Calendar</u> ⁽³⁾ Recordkeeping copy of the calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.</p> <p><u>Disposition.</u> Cut off at the end of calendar year. Destroy 3 years after cutoff.</p>	<p>N1-474-97-4, item 6</p> <p>[Note: New media-neutral schedule to be issued by NARA per SF-115 Request for Records Disposition Authority submitted to NARA, 6/22/2011, to supersede this 1997 Schedule.] Per Appraisal Process Meeting on Aug. 9, 2011, SF-115 was approved as submitted and is now under further review.</p>	OED: Computer Station/Outlook Platform-System in OED office maintained by Lorraine Terry	Lorraine Terry	Lorraine Terry
4. OED-4.1	<p><u>Executive Director's Correspondence Records</u></p> <p>The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.</p> <p><u>Disposition:</u> Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff (SF 258, <i>Agreement to Transfer Records to the National Archives of the United States</i> is required).</p> <p>⁽³⁾ A sequential change occurred in Record Schedule Item numbers as several Schedules were deleted and/or transferred to other Program units within the FRTIB. * Records identified by the RM Program Manager and Records Custodian, Lorraine Terry. SF-115s (Requests for Records Schedules) are submitted to NARA for proposed records.</p>	<p>[Note: N1-474 Records Schedule number has been requested by a SF-115 Request for Records Disposition Authority revised and re-submitted on 8/18/2011 to NARA.] The SF 115 (initiated on 6/22/2011) was reviewed by NARA's Archivist during Appraisal Process on Aug. 9, 2011. On Aug. 11, 2011, the Archivist's changes were received and entered in Schedule, pending review and approval of proposed retention periods. On 8/17/11 L. Terry and B. Torres reviewed and approved as revised; official SF-115 mailed to NARA (Appraisal Archivist), 8/18/11.</p>	<p>OED: Paper copy of current year maintained in the office of Lorraine Terry.</p> <p>OED: Computer Station/Windows System Directory for OED office maintained by Lorraine Terry</p> <p>File Room 4601: Previous years of records (1987 - 2010)</p>	Lorraine Terry	Lorraine Terry

File Plan for the Office of the Executive Director, as of August 18, 2011– Supersedes all previous issues. Approved by the OED, August 18, 2011

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<u>GRS Schedules</u> General Records Schedules to be identified (e.g., for Travel and other generic records maintained in OED)	Approved GRS by NARA	OED: Office of Lorraine Terry	Lorraine Terry	Lorraine Terry

Vivian,

I am just checking on the status of the revisions to some of the schedules that we looked at. I have the appraisals for these ready to go and would like to move them forward to the Federal Register, but just need the revisions approved.

Thanks!
Rebekah

>>> Vivian Scott <Vivian.Scott@tsp.gov> 5/2/2012 3:45 PM >>>

To: Rebekah Meservy-Appraisal Archivist, William Jacobson, Kelly Powell, Angela Tucker

Please note that this email is being resent to you as I have added additional staff referenced within or who have need to access attachments. I have also updated some of the information, i.e., number of Schedules to be redone and submitted for approval (5 for the Office of Investments only).

Rebekah, Bill, Kelly, and Angela,

Thank you for your participation in the April 27 meeting held at FRTIB re. six *Requests for Records Disposition Authority* Records Schedules that were reviewed for NARA's approval during the meeting. The following recap and notes are provided for your information and to identify actions to be taken.

Notes Re. Meeting

The attached tentative agenda was followed with respect to completion of all items, including Appraisal Archivist Rebekah Meservy's explanation of NARA's appraisal policy and process.

During the meeting, Ms. Meservy afforded time for questions and discussion, e.g., specifics of writing descriptions for media-neutral schedules for one record item (i.e., where there would be no part b, c, etc.), the term "recordkeeping copy" is not necessary. Further, usage of vague or ambiguous terms in disposition (such as "purge") are discouraged as clear directions such as "cut off at end of calendar year" or "fiscal year" are preferred to prevent confusion.

The importance of properly and securely maintaining emails of scheduled records was also addressed. After Bill Jacobson related his maintenance of emails that contain scheduled materials, i.e., on the *Outlook* platform in folders and within computer directories, Ms. Meservy responded that was a good way for FRTIB units to store emails. Discussion about industrial software such as auto-categorization for capturing specific emails led to agreement that costly software was not needed as FRTIB staff should continue to maintain emails in electronic folders within *Outlook* and within the *Windows* environment (unit computer directories).

Further, in response to my question regarding adding a technological obsolescence clause to disposition schedules to ensure the media device holding e-material was checked every 5 years (in compliance with NARA's required agencies' implementation of strategy to ensure readability of electronic records), Rebekah advised that this statement should be a part of a unit's File Plan, i.e., it is not necessary to write it in the disposition schedule. The importance of this direction to retrieve and examine electronic records every 5 years remains, and is to be added to all File Plans with respect to electronic records maintained.

Presentation by the Office of Investments (William H. Jacobson)

As the Office of Automated Systems responded to Bill Jacobson's request to facilitate video conferencing, the Office of Investments' presentation was greatly enhanced and clarified, i.e., with respect to Bill's overviews of technically-complex investment spreadsheets that are a part of the Investment schedules.

As a result of Bill's presentations and discussion of the Office of Investment's pending schedules, Rebekah

determined the following changes would be appropriate, e.g., on several Schedules wherein Bill had proposed a more suitable description and timely disposal.

Office of Investments' Schedules:

Investment and Interfund Policy Records – change in disposition.

Investment and Subject Matter Records – change in disposition.

Investment Performance Reports – No changes needed (except to delete “recordkeeping copy”).

Fund Tracking Systems and Spreadsheets – changes in two dispositions (a) and (b).

Statistical Reports – minor change in descriptive language and disposition procedures.

Presentation by the Office of Finance – Administration/Human Resources Group (Kelly Powell)

FRTIB Personnel Unemployment Compensation Records – No changes needed.

Kelly Powell's presentation centered on a variety of documents that she provided for review – which clarified the case process and prompted questions regarding appeals. Ms. Meservy requested that Kelly consult FRTIB's Office of General Counsel regarding time limits for appeal process that could affect proposed disposition schedule of 3 years. This action has been completed; the response from Office of General Counsel was that three years provides plenty of time to complete an appeal process (see the attached email communications between Kelly Powell and Megan Grumbine).

As a result of this review, there is no need to revise the Schedule which can now be continued by Ms. Meservy.

Actions to be Completed

Upon review of all Schedules and changes notated, Ms. Meservy requested that Schedules requiring changes be revised as discussed and, after internal FRTIB approval, be sent to her for processing.

These actions will be completed asap with revised SF-115s prepared and sent to NARA as prescribed. Ms. Meservy advised that – for those records that already have existing Schedule numbers – it is not necessary to mail an original, i.e., a scanned copy emailed to her is acceptable as she already has an original signature by Susan C. Crowder, Acting Records Management Officer.

Any revised originals for new requests, however, do have to be mailed to Ms. Meservy, i.e., for the Office of Investments' new Schedule for Statistical Reports.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Note re. Meeting Materials:

Folders of all distributed materials* were issued to meeting participants and in addition to: Tracey A. Ray, Susan C. Crowder, Gisile Goethe, Susan Peine, and Randall Berry. Some of the meeting materials were also attached to this email and previous communications to make electronic file copies available for those who need this information for easy reference.

A copy of FRTIB's March 2012 Report on Electronic Records Scheduling was also included as this report pertains to pending schedules also by the Office of Finance – Administration Group and the Office of Investments.

Conclusion and Recap

The meeting concluded before 2:00 p.m. on April 27, 2012, and – as always agenda items were successfully completed – all issues were addressed and resultant action items planned.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Questions?

Please let me know if you have any questions regarding the meeting or the materials distributed.

Vivian

* *Meeting Materials:* Tentative Agenda; Pending Records Schedules (SF-115s); File Plans for Office of Finance-Administration Group and Office of Investments; Reconciliation Report for the Office of Investments; Six Pending Schedules to be Reviewed – delineated above; Records Management Roster as of March 1, 2012; March 2012 Report on Electronic Records Scheduling and NARA's Guiding Bulletin 2010-02 re. Agency Responsibilities; NARA-Federal Records Center Media Services and eFRC Information re. NARA's Piloting of an Electronic Records Management System; NARA's Pamphlets: *How to Prepare for an Appraisal Meeting*; *Appraisal Policy of the NARA*; *Electronic Records Management Resource Guide*; *Transferring Electronic Records to NARA – Answers to the Top 5 Questions*; and *Pre-Accessioning – A Strategy for Preserving Permanent Electronic Records*.

From: Vivian Scott
Sent: Tuesday, April 03, 2012 7:22 PM
To: Susan Crowder
Cc: Angela Tucker; Gisile Goethe
Subject: FRTIB's Submission of Mandatory Electronic Records Scheduling Status Report

Susan,

Per my completion and transmission of the subject report last Friday, March 30, and per updates with first two attachments which explain and detail the same report, FRTIB has met the mandatory requirements for this reporting, set forth in NARA Bulletin 2010-02, *Continuing Agency Responsibilities for Scheduling Electronic Records* (copy of Bulletin attached).

Please note that my Attachments 1 and 2 were updated with specific detail regarding the increased number of electronic schedules cited for report. It was important to identify and explain this information for future reference. I have also provided it – as required – to NARA's Appraisal Archivist, Rebekah Meservy. Rebekah will be here on April 27, 2012 to conduct an Appraisal Review of 6 pending schedules (which are cited as part of the attached report).

I have attached all of the items to this email fyi. A printed copy of this March 2012 submission, and past reports that originated in 2009, are maintained in the Records Management Office. If you would like to see a printed copy, please let me know.

Vivian
 Ext. 1629

From: Shannon Olsen [mailto:Shannon.Olsen@nara.gov]
Sent: Monday, April 02, 2012 8:30 AM
To: Vivian Scott
Cc: Rebekah Meservy; Susan Crowder
Subject: Re: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

Ms. Scott-

Thank you for your Spring 2012 eRecords Survey submission. Attached is a pdf copy of your submission. The attachments included with your email will be saved with your file. Please let me know if I may be of further assistance.

Sincerely,
Shannon

Shannon Olsen
National Archives and Records Administration
Office of the Chief Records Officer (AC)
Shannon.Olsen@nara.gov
(301) 837-3486

Have you seen our blog? Check it out!
<http://blogs.archives.gov/records-express/>

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 3/30/2012 6:42 PM >>>

Ref.: March 14, 2012 MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS:
QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling Electronic Records from
Paul M. Wester, Jr., Chief Records Officer of the United States

To: Ms. Shannon Olson, NARA's National Records Management Program

In the above referenced email re. federal agencies' required submission of the Semi-Annual Report on Scheduling Electronic Records, I have completed and submitted the report and – per this email transmittal – include the source documentation (attachments).

Per Mr. Wester's referenced email, it is understood that a copy of the report would be sent by NARA with agency request. Therefore, FRTIB is requesting NARA's acknowledgment and copy of the report, in addition to acknowledgment that the 8 attachments have also been received, and will be included with FRTIB's response/submission, i.e., as part of FRTIB's report.

The report and attachments were completed and submitted before the 3/31/2012 prescribed deadline. The attachment data detail text entered in the NARA *QuestionPro* Comment field and are sources for the numerical data provided.

As I received a "thank you for completing the Spring 2012 E-Records Semi-Annual Survey" computer page after submitting the report, I believe that FRTIB's report has been successfully submitted. This positive notice at the end of the report program is very much appreciated. Further, the information contained within the notice to submit a copy of the same report to FRTIB's Appraisal Archivist is also appreciated. This has always been done with FRTIB's submissions.

Thank you in advance for your assistance in providing a copy of the *QuestionPro* program text responses that I submitted today, 3/30/2012.

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management*

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

Fax: 202/942-1674

Email: vscott@tsp.gov



TENTATIVE AGENDA

Federal Retirement Thrift Investment Board (FRTIB) and the National Archives & Records Administration (NARA)

FRTIB-NARA Meeting

at

FRTIB, 77 K Street, N.E., Suite 1000, N.W., Washington, D.C.

Capitol Conference Room, 11th Floor

Date: April 27, 2012

Time: 9:30 a.m. – ~ 2:30 p.m.

Attendees

NARA: Rebekah L. Meservy, Appraisal Archivist, Life Cycle Management Division

FRTIB: Susan C. Crowder, Deputy Chief Financial Officer and Acting Records Officer (invited)
Tracey A. Ray, Chief Investments Officer (invited), Office of Investments
William H. Jacobson, CFA, Financial Analyst and Records Custodian, Office of Investments
Gisile Goethe, Deputy Director, HR/Admin. & RM Program Mgr. (invited), Office of Finance
Kelly Powell, Human Resources/Admin. Specialist and Records Custodian, Office of Finance
Angela Tucker, Records Custodian, Office of Participant Services
Vivian A. Scott, Program Analyst & Records Management Specialist, Office of Finance

9:30 a.m. – 9:45 a.m.

Welcome and Introduction

9:45 a.m. – 10:00 a.m.

Presentation of Meeting Materials

Office of Investments' Records Meeting with NARA **for Records Appraisal Process**

FRTIB O.I. Session

FRTIB Investment Schedules for Review:

10:00 a.m. –

~ 11:45 a.m. *SF-115 – Request for Records Disposition Authority*

Agenda Item 1
Agenda Item 2
Agenda Item 3
Agenda Item 4

Existing Records Schedules (4)

Investment and Interfund Policy Records
Investment and Subject Matter Records
Investment Performance Reports
Fund Tracking Systems and Spreadsheets

Agenda Item 5

New Program Records Schedule (1)

Statistical Reports

*Rebekah L.
Meservy's
Review and
discussion with
FRTIB Investments
Senior and Records
Management Staff*

Break for Lunch– Suggested:

Café Phillips (Amenities handout in folder)

11:45 a.m. – 12:45 p.m.

NARA Session

12:55 p.m. – 1:15 p.m.

FRTIB-NARA Meeting

*Consultation and Guidance from NARA
(Rebekah L. Meservy, Appraisal Archivist)
Appraisal* Policy of the National Archives &
Records Administration*

* Appraisal – the process of determining the value and thus the final disposition of Federal records, making them either temporary or permanent. (Distributed Source: NARA's *Appraisal Policy of the National Archives and Records Administration*, 2-page booklet.)

*Rebekah L.
Meservy's Review
with FRTIB:
Investments;
Finance-
HR/Administration
and Participant
Services staff*

NARA – FRTIB Session

1:15 p.m. – 2:00 p.m.

Office of Finance-Human Resources/ Administration**Groups' New Record Appraisal for:***SF-115 – Request for Records Disposition Authority***New Program Records Schedule (1)****Unemployment Compensation**

Agenda Item 6

*Rebekah L.
Meservy's Review
and discussion with
FRTIB Staff
from Office of
Finance-Admin.-
Human Resources*

NARA Session

2:00 p.m. – 2:15 p.m.

*Discussion and Review of Actions Required for
Records Disposition Authority Process Completion
for FRTIB's Records** Requests*

FRTIB's Cognizance for Appraisal Meeting (Preparedness):
(Cited Source Distributed:

NARA's *How to Prepare for An Appraisal Meeting* and

NARA's Other Guidance Publications - distributed) ***

- ◆ Discuss and clarify specific SF115 appraisal issues.
- ◆ Identify for each specific issue:
 - all key program officials
 - technical information required for transfer
 - regulatory or statutory access concerns
 - locations where information is maintained
 - all formats of information
- ◆ Access to the records, in all formats, with appropriate staff available to answer questions.

2:15 p.m. – 2:30 p.m.

Recap: Actions Required and Concluding Remarks**All**

**As established by *Directive 28A*, the FRTIB has a centralized RM system regulation. The records that can be inventoried are those at FRTIB and its known storage and contractor sites (e.g., NARA/WNRC, and SERCO). Records requiring inventory and entry in Records Storage Log are those records generated and maintained at FRTIB or contractor sites which are identified by approved schedules and in compliance with NARA regulations.

Compliant Storage for all holdings off site at WNRC: FRTIB has ensured all records stored on and off site meet requirements (i.e., as directed by NARA's Modern Records Program Office) – with additional Code Requirements under 36 CFR part 1228, Subpart K, and 36 CFR, part 1228.154 and 156 for Facility Certification.

***See Handouts distributed in folders for 4/27/2012 Meeting: NARA's *How to Prepare for Appraisal Meeting*; *Appraisal Policy of the National Archives & Records Administration*; *Electronic Records Management Resource Guide*; *Transferring Permanent Electronic Records to NARA – Answers to the Top 5 Questions*; *Pre-Accessioning – A Strategy for Preserving Permanent Electronic Records*; *e-Media Services*; *e-FRC Program*, and *Bulletin 2010-02*.

From: Megan Grumbine
Sent: Friday, April 27, 2012 4:32 PM
To: Kelly Powell
Cc: Vivian Scott
Subject: FW: Unemployment Compensation Records
Kelly-

I looked through the DC's Unemployment Regs and other than addressing the time by which one has to file an appeal (whether its first level v second level etc.), there is no guidance as far as when a final decision must be promulgated. I think three years is plenty of time because unemployment cases move quickly.

MGG

From: Kelly Powell
Sent: Friday, April 27, 2012 2:37 PM
To: Megan Grumbine
Cc: Vivian Scott
Subject: Unemployment Compensation Records

Hi Megan,
As discussed, I am in the process of getting a schedule set-up with NARA for unemployment compensation records. I proposed the following disposition: Cut off upon termination of employment. Destroy 3 years after cut off. NARA seemed ok with this proposal but they were a little concerned regarding the appeal process. They asked me to check with OGC to see if there is a time-limit on appeals. As long as this time limit is within 3 years, the schedule proposed is ok. If the appeal process could extend beyond the three years, we would need to adjust the disposition as appropriate.

Can you please look into how long an appeal process can last for an unemployment compensation claim?

Thanks,

Kelly Powell
Federal Retirement Thrift Investment Board
77K St NE, Suite 1000
Washington, DC 20002
202.942.1681 (phone)
202.942.1674 (fax)
kelly.powell@tsp.gov

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>	
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 INVESTMENTS [OI]	
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	
DATE RECEIVED	
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

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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE signed by: James B. Petrick __ (signed by Susan C. Crowder, CAO) __	TITLE Chief Financial Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Investment and Interfund Policy Records</u> a) the recordkeeping copy of all background papers for 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 ten years after cutoff. b) the recordkeeping copy of all 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. Maintain within the <i>OI Digest</i> electronic system contained on FRTIB's Intranet <i>Agency Resources Page</i> system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.	N1-474-96-4, item 2	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for FRTIB's
Office of Investments' Investment and Interfund Policy Records**

[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]

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.

Search for GRS to be used for

Office of Investments' Investment and Interfund Policy Records

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Investment and Interfund Policy Records, N1-474-96-4, item 2

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to separate the background papers from archival documents within the Schedule as not all the documents require the same retention period. Specifically, creation of an a) Schedule will cover background papers that have a proposed 10 year retention period, and the creation of a b) Schedule will cover decision documents that have a greater retention period of 30 years.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>	
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 INVESTMENTS [OI]	
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	
DATE RECEIVED	
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

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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE signed by: James B. Petrick __ (signed by Susan C. Crowder, CAO) __	TITLE Chief Financial Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Investment and Subject Matter files</u> The recordkeeping copy of all working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter. <u>Disposition:</u> Purge annually. Destroy when 3 years old.	N1-474-96-4, item 3	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments' Investment and Subject Matter Files
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

Search for GRS to be used for

Office of Investments' Investment and Subject Matter Files

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Office of Investments' program material relating to responsibilities and activities of the Office of the Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Investment and Subject Matter Files, N1-474-96-4, item 3

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to create a media-neutral Schedule, i.e., a recordkeeping copy of all working papers and other major documents having a 3-year retention period, that relate to investment reporting to the Executive Director and the Board.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>	
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 INVESTMENTS [OI]	
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	
DATE RECEIVED	
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

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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE signed by: James B. Petrick __ (signed by Susan C. Crowder, CAO) __	TITLE Chief Financial Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><u>Investment Performance Reports (Quarterly and Monthly)</u></p> <p>The recordkeeping copy of summary reports produced by the Office Investments, containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.</p> <p><u>Disposition:</u> Cut off at the end of the calendar year. Destroy 10 years after cut off.</p>	N1-474-96-4, item 4	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for**

**FRTIB's Office of Investments'
Investment Performance Reports (Quarterly and Monthly)**

[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]

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.

Search for GRS to be used for

Office of Investments' Investment Performance Reports (Quarterly and Monthly)

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no generic schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of the Executive Director and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

**Office of Investments' Investment Performance Reports (Quarterly and Monthly),
N1-474-96-4, item 4**

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to create a media neutral recordkeeping copy. Specifically, the recordkeeping copy of summary reports has a 10 year retention period. Further, it has been determined that b) the Executive Director's report copy, which is a part of a), and c) Other copies, be deleted from the group of Schedules.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>		LEAVE BLANK (NARA USE ONLY)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD		DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF INVESTMENTS [OI]		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.	
3. MINOR SUBDIVISION		DATE ARCHIVIST OF THE UNITED STATES	
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist	5. TELEPHONE (202) 942-1629	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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.	
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE signed by: James B. Petrick (signed by Susan C. Crowder, CAO)	TITLE Chief Financial Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Fund Tracking Systems and Associated Spreadsheets</u> Recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems. a. Clipper System - Monthly and quarterly summary investment performance reports produced from inception of the TSP investment programs through 2003. <u>Disposition.</u> Archive all data from the system through 2003. Send to FRC. Destroy after 30 years. b. Daily investment transactions history currently maintained in calendar year "gain/loss" spreadsheets. <u>Disposition.</u> Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to FRC. Destroy when 30 years old.	N1-474-98-2, item 1	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for**

FRTIB's Office of Investments'

Fund Tracking Systems and Associated Spreadsheets

[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]

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.

Search for GRS to be used for

Office of Investments' Fund Tracking Systems and Associated Spreadsheets

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Fund Tracking Systems and Associated Spreadsheets, N1-474-98-2, item 1

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to separate the previous, now-obsolete Clipper System from the new spreadsheet System, as the retention schedules are for different time periods. Specifically, the proposed schedules would create a Schedule to archive a) Monthly and quarterly summary investment performance reports produced from inception through 2003 that have a proposed 30-year retention period, and the creation of b) currently-maintained gain/loss spreadsheets that also have a retention period of 30 years.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>	
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 INVESTMENTS [OI]	
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	
DATE RECEIVED	
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

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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE signed by: James B. Petrick __ (signed by Susan C. Crowder, CAO)	TITLE Chief Financial Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Statistical Reports</u> Electronic recordkeeping copy of reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds. <u>Disposition.</u> Cut off files at the end of the calendar year. Transfer to the FRC after 15 years. Destroy 30 years after cutoff.		

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments' Statistical Reports_
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

Search for GRS to be used for

Office of Investments' Statistical Reports_

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Statistical Reports

The changes and additions are in conformity with other approved program schedules issued to the FRTIB for Office of Investments program records.

This new Schedule for an unscheduled record will enable electronic storage when required for major reports generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>		LEAVE BLANK (NARA USE ONLY)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD		DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF FINANCE [OF]		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.	
3. MINOR SUBDIVISION ADMINISTRATION GROUP			
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist	5. TELEPHONE (202) 942-1629		
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,		DATE ARCHIVIST OF THE UNITED STATES	
X is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE James B. Petrick __ (signed by Susan C. Crowder, CAO) __	TITLE Chief Financial Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	FRTIB Personnel Unemployment Compensation Records Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office. <u>Disposition:</u> Cut off upon termination of employment. Destroy 3 years after cut off.		

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.

The proposed Disposition Records Request describes documents maintained by the FRTIB's Office of Finance's Administration Group. This group of records consists of documents relating to the administrative management of the FRTIB, such as personnel, procurement, space management, building maintenance, property management, communications and transportation, mail and distribution, printing, records management, frtib.gov web site, etc. It includes administrative records that are maintained in the FRTIB's program offices, as well as those maintained in the Office of Administration.

Search for GRS to be used for Unemployment Compensation records:

An extensive search was done of all NARA's disposition authorities within General Records Schedules, and specifically GRS 1 and GRS 2; however, there is no specific schedule to cover unemployment compensation claims and related materials.

The proposed title and description given in the SF 115 follow an approved program schedule used by another federal agency for this specific type of Personnel documents.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>		LEAVE BLANK (NARA USE ONLY)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD		DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF FINANCE [OF]		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.	
3. MINOR SUBDIVISION ADMINISTRATION GROUP		DATE ARCHIVIST OF THE UNITED STATES	
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist	5. TELEPHONE (202) 942-1629	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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.	
DATE 11/2/2011	SIGNATURE OF AGENCY REPRESENTATIVE James B. Petrick ____(signed by Susan C. Crowder, CAO)___	TITLE Chief Financial Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	FRTIB Personnel Unemployment Compensation Records Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office. <u>Disposition:</u> Cut off upon termination of employment. Destroy 3 years after cut off.		

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.

The proposed Disposition Records Request describes documents maintained by the FRTIB's Office of Finance's Administration Group. This group of records consists of documents relating to the administrative management of the FRTIB, such as personnel, procurement, space management, building maintenance, property management, communications and transportation, mail and distribution, printing, records management, frtib.gov web site, etc. It includes administrative records that are maintained in the FRTIB's program offices, as well as those maintained in the Office of Administration.

Search for GRS to be used for Unemployment Compensation records:

An extensive search was done of all NARA's disposition authorities within General Records Schedules, and specifically GRS 1 and GRS 2; however, there is no specific schedule to cover unemployment compensation claims and related materials.

The proposed title and description given in the SF 115 follow an approved program schedule used by another federal agency for this specific type of Personnel documents.

FILE PLAN, CY 2011

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
0. OI-0.1	<p><u>Office of Investments' File Plan</u></p> <p>Office of Investments' official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of Investments' inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of Investments' records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition</u>. Destroy when 6 years old, or when no longer needed.</p>	<p>GRS-16, item 2,a(2).</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	<p>Tracey Ray</p> <p>Tracey Ray</p>	<p>William Jacobson</p>	<p>William Jacobson</p>

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
1. OI-1.0	<u>Investment and Interfund Policy Records</u>	N1-474-96-4, item 2		William Jacobson	William Jacobson
OI-1.1	a) the recordkeeping copy of all background papers for 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 ten years after cutoff.	N1-474-96-4, item 2, a).			
OI-1.2	b) the recordkeeping copy of all 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. Maintain within the <i>OI Digest</i> electronic system contained on FRTIB's Intranet <i>Agency Resources Page</i> system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.	N1-474-96-4, item 2, b).			
2. OI-2.0	<u>Investment and Subject Matter Files</u>	N1-474-96-4, item 3			
OI-2.1	The recordkeeping copy of all working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter. <u>Disposition.</u> Purge annually. Destroy when 3 years old.				
3. OI-3.0	<u>Investment Performance Reports (Quarterly and Monthly)</u> The recordkeeping copy of summary reports produced by the Office of Investments, containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is	N1-474-96-4, item 4			

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	submitted to the Board. <u>Disposition.</u> Cut off at the end of the calendar year. Destroy 10 years after cutoff.			Tracey Ray	William Jacobson
4. OI-4.0	<u>Fund Tracking Systems and Associated Spreadsheets</u> The recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.	N1-474-98-2, item 1			
OI-4.1	a. Clipper System - Monthly and quarterly summary investment performance reports produced from inception of the TSP investment programs through 2003. <u>Disposition.</u> Archive all data from the system through 2003. Send to FRC. Destroy after 30 years.	N1-474-98-2, item 1, a)			
OI-4.2	b. Daily investment transactions history currently maintained in calendar year "gain/loss" spreadsheets. <u>Disposition:</u> Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to FRC. Destroy when 30 years old.	N1-474-98-2, item 1, b)			
5. OI-5.0	<u>Statistical Reports</u>				
OI-5.1	Electronic recordkeeping copy of reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds. <u>Disposition.</u> Cut off files at the end of the calendar year. Transfer to FRC after 15 years. Destroy 30 years after cutoff.	Unscheduled Electronic Record; new proposed Schedule			

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
6. OI-6.0	<u>GRS Schedules</u> General Records Schedules to be identified and utilized as needed (e.g., for Travel and other generic records maintained in Office of Investments).			Tracey Ray	William Jacobson
	NON-RECORDS				
	RESEARCH AND REFERENCE MATERIALS				

File Plan: OF's Administration Group - Final Draft Initiated August 31, 2011 - supersedes all earlier drafts

Office of Finance – Administration Group

FILE PLAN, CY 2011 ¹

This group of records relates to the Office of Finance's Administrative Group's administrative management of the Federal Retirement Thrift Investment Board (FRTIB), such as procurement, space management, building maintenance, property management, printing, records management, frtib.gov Web site, etc. It includes administrative records that are maintained in the FRTIB's program offices, as well as those maintained in the Office of Finance, and those applicable to NARA's General Records Schedules (GRS).

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. (GRS or NARS)	File Room Location No.	RM Program Manager	Records Custodian
0. OF- ADM.0.1	<p>Office of Finance - Administration Group's File Plan</p> <p>Office of Finance's Administration Group's official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of Finance - Administration Group's inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of the Office of Finance - Control Group records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition.</u> Destroy when 6 years old.</p> <p>(1) _____ Records Schedule numbers are note in exact sequence</p>	<p>GRS-16, item 2,a(2).</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	Rm	Barbara Torres	Kelly Powell

August 31, 2011 Final Draft of File Plan for Office of Finance - Administration Group

Records Management Handbook

Installation No. _____
(determined)

OF-RDM - (page # to be

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. (ONS or Program)	File Room Location No.	RM Program Manager	Records Custodian
1. OF-ADM-1	due to FRTIB's reorganization and revisions. See Reconciliation Report for File Plans of Records Schedules. <u>Memoranda of Understanding/Agreements</u>	N1-474-97-5, item 1	Room:	Barbara Torres	Kelly Powell
OF-ADM-1.1	Copies of each memorandum of understanding between the FRTIB and other agencies to provide services, such as agreements with UNICOR, General Services Administration, and Office of Personnel Management. a. Office of Administration's copy. <u>Disposition:</u> Cut off at the end of each fiscal year. Destroy 6 years and 3 months after supersession, cancellation, or termination of the understanding or agreement.				
OF-ADM-1.2	b. Office of the Executive Director's copy. <u>Disposition:</u> Cut off at the end of each fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever comes first.				
2. OF-ADM-2	<u>FRTIB Internal Directives</u> Copies of each current policy directive for the internal administration of the FRTIB.	N1-474-00-2, item 1			
OF-ADM-2.1	a. Office of Administration's official paper record copy. <u>Disposition:</u> Purge directives from current file when obsolete or superseded. Destroy purged directives when 10 years old.				
OF-ADM-2.2	b. Office of Administration's electronic copy.				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GDS or Program]	File Room Location No.	RM Program Manager	Records Custodian
OF-ADM-2.3	<p><u>Disposition:</u> Purge directive when obsolete or revised.</p> <p>c. Program Office's copy.</p> <p>(1) Electronic copies created on word Processing systems.</p> <p><u>Disposition:</u> Delete after record keeping copy has been produced.</p> <p>(2) Paper copy used for obtaining management approval.</p> <p><u>Disposition:</u> Purge directive when revised or entire directive becomes obsolete.</p>				
3. OF-ADM-3	<p><u>Office of Administration Project Files</u></p> <p>Administrative project files containing the history of various projects undertaken by the Office of Administration to evaluate the services it provides to the FRTIB, such as procurement, personnel, printing, records, and space management. They include papers used during each stage of the project: the final report, source material, surveys, analysis, notes, drafts, and related papers.</p> <p><u>Disposition.</u> Cut off at the end of the calendar year during which the project was completed. Destroy 3 years after cutoff.</p>	N1-474-97-5, item 4			
4. OF-ADM-4	<p><u>Director of Administration's Correspondence Reading</u></p>				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<p><u>File</u></p> <p>Copies of all internal and external correspondence created by the Director of Administration and maintained in chronological order.</p> <p><u>Disposition.</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.</p>	N1-474-97-5, item 5			
5. OF-ADM-5	<p>Personnel</p> <p><u>Merit Staffing File</u> (formerly referred to as the "Non-Selected Applicant Supply File")</p>	See GRS 1, item 15			
6. OF-ADM-6	<p><u>FRTIB Employee's Personnel Folder File</u></p> <p>This file contains a folder on each FRTIB employee and copies of all personnel actions on the employee since employed by the Board. (The employee's Official Personnel Folder is kept at the General Services Administration (GSA).)</p>	N1-474-97-5, item 11			
7. OF-ADM-7	<p><u>Disposition.</u> Cut off all folders of former employees at the end of the calendar year in which they separate. Destroy 1 year after cutoff.</p> <p><u>Personnel Correspondence Chronological File</u></p> <p>Contains all written correspondence created by the Personnel office and maintained in chronological order.</p>	N1-474-97-5, item 13			
8. OF-ADM-8	<p><u>Disposition.</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.</p> <p><u>Interagency and Internal Reports File</u></p>				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GDS or Program]	File Room Location No.	RM Program Manager	Records Custodian
9. OF-ADM-9	Contains a folder on each interagency report made to another Federal agency and each internal report made to FRTIB management concerning personnel matters, e.g., OPM Incentive Awards, HHS Drug-Free Program; EEOC Discrimination Complaints, TIB-Staffing Patterns, etc.	N1-474-97-5, item 14			
	<u>Disposition</u> . Cut off at the end of the calendar year. Destroy 3 years after cutoff.				
	<u>Frtib.gov Web Site Archives</u>	N1-474-98-1, item 1			
	OAd paper records that contain screen printouts of frtib.gov Web site pages at any given point in time. This is the material as actually seen by a user as of a specific date.				
	<u>Disposition</u> . Cut off at the end of the calendar year. Destroy 7 years after cutoff.				
	Pending Schedule Request at NARA	N1-474-			
	<u>FRTIB Personnel Unemployment Compensation Records</u>	[Note: N1-474 Records Schedule number has been requested by a SF-115 Request for Records Disposition Authority revised and re-submitted in 10/2011 to NARA.]			
	Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.	The SF 115 (initiated during April 2011 4/22/2011) was sent to NARA for preliminary review by NARA's Appraisal Archivist. All			
	<u>Disposition</u> : Cut off upon termination of				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GDS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<p>employment. Destroy 3 years after cut off.</p> <p>Nonrecords</p> <p>The following documents or files are consider nonrecords and are not scheduled with NARA:</p> <p>1. <u>Stocks of Printed TSP Publications and Forms Located anywhere at the Board</u> (Nonrecord material)</p> <p>Supplies of current copies of printed publications and forms maintained in any TSP office.</p> <p><u>Disposition.</u> Maintain minimum supply necessary for operating requirements. Purge all superseded, obsolete, or otherwise unnecessary supplies frequently.</p> <p>2. <u>Office of Personnel Subject Matter File</u> (Nonrecord material)</p> <p>This file contains various types of documents concerning personnel matters maintained by subject matter for easy reference.</p> <p><u>Disposition.</u> Review files annually and purge obsolete material. Destroy when no longer needed for reference purposes.</p>	changes were entered in resubmission, pending review and approval of proposed retention periods.]			

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<p>GSA Records</p> <p>The disposition schedules for the following records are located in the General Records Schedule (GRS). These records may be found in the Office of Administration and/or other offices throughout the Board.</p> <ol style="list-style-type: none"> 1. <u>Documents Published in the Federal Register</u> (See GRS 16, item 13.) 2. <u>Office Administrative Files</u> (See GRS 23, item 1.) 3. <u>Routine Procurement Files</u> (See GRS 3, item 3.) 4. <u>Employee Performance File</u> (See GRS 1, item 23.) 5. <u>Training Records</u> (See GRS 1, item 29.) 6. <u>Position Description Files</u> (See GRS 1, item 7b.) 7. <u>Merit Staffing File</u> (See GRS 1, item 15.) 8. <u>Commercial Freight and Passenger Transportation</u> (See GRS 9, item 1.) 9. <u>General Travel and Transportation Files</u> (See GRS 9, item 4.) 				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<p>10. <u>Leave Application Files</u> (See GRS 2, item 6.)</p> <p>11. <u>Time and Attendance Source Records</u> (See GRS 2, item 73.)</p> <p>12. <u>Board Member Pay Record Audit Files</u> (See GRS 2, item 7.)</p> <p>13. <u>Record Disposition Files</u> (See GRS 16, item 2.)</p> <p>14. <u>Records Management Files</u> (See GRS 16, item 7.)</p> <p>15. <u>Printing and Binding Requisitions File (SF 1)</u> (See GRS 3, item 6.)</p> <p>16. <u>TSP Forms and Publications Order File (TSP 40, TSP 40-U and TSP 40-NRC)</u> (See GRS 13, item 2.)</p> <p>17. <u>Federal Employee Transportation Subsidy Records</u> (See GRS 9, item 7.)</p>				

Item No. and Filing Series Code	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GDS or Program]	File Room Location No.	RM Program Manager	Records Custodian

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF INVESTMENTS’ RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of Investments (OI) RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson	Earnings Allocation and Investment Reports. N1-474-96-4, item 1	Reports submitted by the asset manager consisting of the earnings allocation, funds investment activity, and cash management records. a. Paper copies. <u>Disposition:</u> Cut off at the end of each calendar year. Destroy upon verification of microfilm. b. Microfilm copies. <u>Disposition:</u> 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.	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Transferred from OI to OF-Accounting Group. 7/21/2011. <u>Actions completed:</u> 1) As these reports are no longer needed or used in the OI due to new Daily Valuation System, B. Jacobson reviewed w/S. Crowder in Accounting on 7/21/2011. The records schedule and Es Allocations (1999, 2000, 2001 and 2002) were moved to Accounting (per S. Crowder’s approval) on July 25, 2011. 2) Schedule to be maintained by OF – Accounting; as of 7/21/11 be added to Accounting Group’s List of Records Schedules.
	Investment and Interfund Policy Records. N1-474-96-4, item 2	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. [Ref. See File Plan 12/31/2011’s Note for a) and b): See new media-neutral schedule for approval at FRTIB; then SF-115 <i>Request for Records Disposition Authority (RDA)</i> submitted to NARA, 11/02/2011, to supersede 1996 Schedule.]	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Maintained in OI. <u>Actions needed & completed:</u> 1) Per OI revisions – two distinct Schedules created (see File Plan as of 12/31/2011 for two different retention periods. 2) SF-115 dated 11/2/2011 submitted to NARA for review, approval, and issuance of new Schedule number.

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF INVESTMENTS’ RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of Investments (OI) RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson		<u>Proposed Revisions per SF-115, initiated July 20, 2011, were entered in 11/2/2011 SF-115 and sent to NARA’s Appraisal Archivist.</u> a. The recordkeeping copy of all background papers for 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 ten years after cutoff. b. The recordkeeping copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy. <u>Disposition:</u> Cut off files at end of the CY. Maintain within the <i>OI Digest</i> system contained on FRTIB’s Intranet <i>Agency Resources Page</i> system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.		
	Investment Subject Matter Files. N1-474-96-4, item 4	The recordkeeping copy of all working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter. <u>Disposition:</u> Purge annually. Destroy when 3 years old.	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Maintained in OI. <u>Actions needed & completed:</u> 1) Per OI revisions – Schedule was rewritten to include external correspondence. 2) SF-115 dated 11/2/2011 submitted to NARA for review, approval, and issuance of new Schedule number.

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
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OFFICE OF INVESTMENTS’ RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of Investments (OI) RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson	Investment Performance Reports. N1-474-96-4, item 4	<p>Summary reports containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.</p> <p>a. Office of Investments’ copy. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 10 years after cutoff.</p> <p>b. Executive Director’s copy. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.</p> <p>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.</p>	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	<p>Maintained in OI.</p> <p><u>Actions needed:</u></p> <p>1) Revisions proposed to create recordkeeping copy for item a), and also that item b) be also maintained in OI. Proposed deletion of item c) – other copies.</p> <p>2) SF-115 dated 11/2/2011 submitted to NARA for review, approval, and issuance of new Schedule No.</p>
	Exception Processing (Interfund Transfers/Lost Earnings) N1-474-97-4, item 5	<p>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.</p> <p><u>Disposition:</u> Cut off closed cases at the end of the calendar year. Destroy 7 years after cutoff.</p>	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Records transferred to OPS – unit that acquired most of the previous OBI (Benefits) records. (See 7/20/11 email from V. Scott to P. Moran and A. Tucker).

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
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SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of Investments (OI) RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson	Correspondence Reading File. N1-474-96-4, item 6	Copies of all internal and external correspondence and memoranda in chronological order that are sent from Investments and Program Analysis. 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.	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Obsolete. No copies in the OI. This Schedule transferred for use by the Office of Participant Services. (See 7/20/2011 Email from V. Scott to P. Moran and A. Tucker).
	Call Sheets. N1-474-96-4, item 7	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 at the end of the calendar year. Destroy 1 year after cutoff.	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Obsolete. W. Jacobson recommended deletion of this record not completed in over 10 years. (See recommendation made to T. Ray and P. Moran, 7/20/11 email.)

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
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Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson	Fund Tracking Systems and Associated Spreadsheets N1-474-98-2, item 1	<p>These are electronic tracking systems and associated spreadsheets for tracking each fund’s investments with the asset manager. Monthly and quarterly summary investment performance reports are produced for the systems.</p> <p>Disposition: Archive data from the system when 20 years old. Destroy upon the dissolution of the TSP.</p> <p>1) Revisions proposed to create recordkeeping copy for item a), and also that item b) be also maintained in OI. Proposed deletion of item c) – other copies.</p> <p>2) SF-115 dated 11/2/2011 submitted to NARA for review, approval, and issuance of new Schedule No.</p>	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	<p>Maintained in OI.</p> <p><u>Actions needed:</u> 1) Revisions proposed to create recordkeeping copy for an item a) to cover old Clipper System to be archived, and an item b) to cover the new spreadsheets now being retained.</p> <p><u>Actions completed:</u> See new File Plan as of 12/31/2011, which lists this Schedule as having 2 distinct Schedules (a) and (b) (per SF-115 dated November 2, 2011 submitted to NARA.</p> <p>Note that the previous item c. was deleted as “other copies” will not be maintained.</p>

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
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SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of December 31, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
RM Program Manager: Tracey Ray; and Records Custodian: William Jacobson	Audit Report File. N1-474-97-1, item 4	a. 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, FRTIB’s comments on the draft report, final report, and the FRTIB’s written response to the final report. <u>Disposition:</u> Cut off at the end of FY in which the audit was completed. Send to the WNRC 15 years after cutoff. Destroy 30 years after cutoff. b. Other copies maintained as reference files by other FRTIB offices. <u>Disposition:</u> Cut off at the end of FY in which the audit was completed. Destroy 3 years after cutoff or when no longer needed for reference, whichever is sooner.	12/04/2003 (Installment No. 36 in FRTIB-RM Handbook)	Transferred to Office of Finance’s Control Group (See File Plan approved in May 2011).
	Proposed New <i>Records Disposition Authority</i> for Unscheduled Program Records: Statistical Reports Pending Action as of 7/20/2011: A drafted <i>Request for Disposition Authority</i> has been prepared for internal (FRTIB) review. Reconciliation Report Prepared by V. Scott, July 20, 2011, Updated as of 12/31/2011.	Electronic recordkeeping copy of reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds.		To be maintained in the OI, if approved for records retention. <u>Actions completed:</u> SF-115 dated 11/2/2011 for new Schedule submitted to NARA for review, approval, and issuance of new Schedule Number.

National Archives and Records Administration (NARA)
Spring 2012 Electronic Records Survey

1.) How many electronic records systems or series does your agency have not including those that do not contain records?

38

2.) How many of your agency's electronic systems or series are scheduled by NARA approved schedules?

38

3.) How many of your agency's electronic systems or series have schedules submitted to NARA and Pending Approval?

6

Name
Vivian Anne Scott

Agency, Bureau, or Office:
Federal Retirement Thrift Investment Board

Address:
77K Street, N.E., Suite 1000

City/Town:
Washington

State:
DC

ZIP/Postal Code:
20002

E-Mail Address:
vscott@tsp.gov

Phone Number:
202/942-1629

March 30, 2012
Updated as of 3/31/2012

Attachment 2: Detail for Pending and Proposed SF-115s for unscheduled or revision of existing records for *Series, System, or Website*

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S
Electronic Records Scheduling Status Report**

**Record Schedule Actions Completed during First 2012 Reporting Period
(October 2011 through March 2012)**

Electronic Records Scheduling Reporting *

*Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Detail of Ongoing Actions for Pending SF-115s

- 1) SF-115s reviewed by NARA's Appraisal Archivist;
- 2) SF-115s in FRTIB's internal review – (some SF-115 drafts were submitted to NARA for pre-review before submitting original SF-115s);
- 3) Two Schedules (for Executive Director's Office) approved by U.S. Archivist and issued; and
- 4) Appraisal Archivist Meeting Scheduled at the FRTIB on April 27, 2012 for 6 SF-115s.

FRTIB Unit: Office of the Executive Director

New Action: Schedule Approved and Issued on December 8, 2011 for:

Executive Director's Monthly Calendar (N1-474-11-1)

Recordkeeping copy of the calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.

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

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Mrs. Rebekah Meservy approved the SF-115, which was further reviewed and approved by the Archivist of the United States on December 8, 2011.

New Action: Schedule Approved and Issued on October 27, 2011 for:

Executive Director's Correspondence (N1-474-11-2)

The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.

Disposition: Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff.

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Revisions were made as requested by Ms. Fairbank and a new SF-115, signed on 8/18/2011, was sent to Ms. Fairbank at NARA. Mrs. (Fairbank) Meservy approved the new SF-115, which was further reviewed and approved by the Archivist of the United States on October 27, 2011.

FRTIB Unit: Office of Finance (See Unit Structure in Att. 1)

Note: This office was established during the 2005 Agency reorganization for consolidation of Accounting, Administration, Control (Budget), and Procurement Groups.

Office of Finance – Administration Group

New Action: Appraisal Archivist Review Meeting Scheduled with FRTIB's RM Administration Staff for April 27, 2012 for:

FRTIB Personnel Unemployment Compensation Records (Unscheduled)

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee dispositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Disposition: Cut off upon termination of employment. Destroy 30 years after cutoff.

Status: Preliminary draft was prepared on April 5, 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist and reviewed procedures at August 9, 2011, Ms. Fairbank advised FRTIB to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff). Mrs. (Fairbank) Meservy has reviewed and scheduled an Appraisal Archivist meeting with designated Records Management staff (overseeing this record) for April 27, 2012.

Office of Finance – Control Group

New Action: Revised Schedules Near Approval for Submission to NARA/Appraisal Archivist for:

Annual Budget Request (N1-474-97-2, item 1)

a. The recordkeeping copy of memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriations Committees of Congress and Office of Management and Budget, plus supporting justifications and budget estimates. 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
Disposition: Cut off files at the end of the fiscal year. Destroy 3 years after cutoff.

c. The recordkeeping copy of 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 Office of Finance, Control Group.
Disposition: Destroy 1 year after the close of the fiscal years covered by the budget.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Monthly Memoranda on the Status of the Budget (N1-474-97-2, item 2)

a. The recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group.
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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Audit Monitoring Records (N1-474-97-2, item 3)

a. The recordkeeping copy of all audit monitoring paper records, including computer printouts, and monthly and semi-annual status reports to the Executive Director on the status of each active audit recommendation.

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

b. Executive Director's copy.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Audit Report File (N1-474-97-2, item 4)

a. The 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 files at the end of the fiscal year in which the audit was completed. Send to the Washington National Records Center [WNRC] 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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Annual Inspector General Act Report (N1-474-97-4, item 4)

Recordkeeping copy of FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Internal Audit Control Materials (Unscheduled)

Recordkeeping copy of electronic data material that are created as internal audits are performed.

Disposition: Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at the FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.

Status: Preliminary drafts prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Office of Finance – Accounting Group

New Action: Proposed Scheduling for Replacement of Invoicing System, "Obligations Archival System" - (N1-474-98-2, item 3) :

Obligation Tracking and Invoicing System Version 3.62 (Unscheduled OTIS System)

Note: This "Obligation Tracking and Invoicing System (OTIS) . . . allows Office Directors to create their new and projected office budgets, and submit those budgets for approval by the Board. . . . OTIS holds information on Budget, Requisition, Purchase Orders, Invoices, and Reporting.

As the OTIS system replaced the previous OBARCH system, a new or revised Schedule is proposed.

FRTIB Unit: Office of Investments

Note: This office was re-established as a separate office, i.e., solely distinct from the previous joint Office of Benefits and Investments [during the Agency's reorganizations].

New Action: *Appraisal Archivist Review Meeting Scheduled with FRTIB's RM Administration Staff for April 27, 2012 for:*

Office of Investments

Four Revised Schedules:

Investment and Interfund Policy Records (N1-474-96-4, item 2)

a. Recordkeeping copy of all background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

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

b. Recordkeeping copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the background papers from archival documents within the Schedule as not all the documents will: a) have a proposed 10 year retention period, and b) will have a greater retention period of 30 years. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Investment and Subject Matter Records (N1-474-96-4, item 3)

Recordkeeping copy of all working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter.

Disposition: Purge annually. Destroy when three years old.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Fund Tracking Systems and Associated Spreadsheets (N1-474-98-2, item 1)

Recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.

a. Clipper System – Monthly and quarterly summary investment performance reports produced from the inception of the TSP investment programs through 2003.

Disposition: Archive all data from system through 2003. Send to FRC. Destroy 15 years after cutoff.

b. Gain/Loss spreadsheets for CY Reports of all funds per Daily Valuation System.

Disposition: Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to the FRC. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the previous now-obsolete Clipper System from the new spreadsheet system, as the retention periods are different. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Investment Performance Reports [Quarterly and Monthly] (N1-474-96-4, item 4)

The recordkeeping copy of summary reports produced by the Office of Investments, containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.

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

Status: The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Statistical Reports (Unscheduled)

Electronic recordkeeping copy of reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds.

Disposition: Cut off files at the end of the calendar year. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

FRTIB Unit: Office of Participant Services

Note: This office consolidated several previous offices: Benefits, Communications, Education and Training, and a part of the External Affairs Office.

New Action: Ongoing Work to Determine Electronic Recordkeeping

Office of Participant Services – Communications Group
Thrift Savings Plan [TSP] Forms (N1-474-97-3, item 1a)

a. Paper records containing background information on development of each form used by the TSP, including internal correspondence, clearance documents, and printed form. It is a history of the form's development.

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

a. Current Forms

Disposition: Cut off when form or current version is revised or obsolete. Move to "Old Forms" drawer.

b. Old Forms

Disposition: Cut off at the end of CY. Destroy 10 years after cutoff.

c. Communications Group Archived Forms

Disposition: Cut off at the end of CY. Destroy 30 years after cutoff.

d. Record Manager's Archived Forms (Recordkeeping copy)

Disposition: Permanent. Cut off at the end of the calendar year.

Transfer to NARA in 5-year blocks 30 days after cutoff (e.g., 1/97-12/01).

Status: Preliminary SF-115 draft (dated July 26, 2011) to implement all required changes for these TSP forms is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist to ensure meeting NARA's required media-neutral schedule implementation.

Continued: Office of Participant Services – Benefits Group

Annuity Index Rate Monthly Report (N1-474-97-2, item 6)

The recordkeeping copy of records that contain correspondence between the annuity vendor and the Office of Participant Services concerning the monthly annuity interest rate schedule.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Agency Correspondence (N1-474-97-2, item 6)

The recordkeeping copy of routine correspondence received from Federal agencies concerning participant accounts or TSP policy/procedure regulations. It includes the incoming letter, FRTIB's reply, and background information.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

FRTIB Unit: Office of Automated Systems

New Actions: *Proposed Scheduling for Replacement or Updating of Web Site Records, to include Agency Resources Pages within Collage System, e.g., the following shows Menu Page in FRTIB's Intranet:*

Deployed via Collage to VDC-MTIB-Webs, Last Updated: 03/30/2012 11:36:55

Intranet Systems: [HomePage](#) | [Employee Info](#) | [Phone Lists](#) | [Forms](#) | [Directives](#) | [Digests](#) | [TSP Procedures](#) | [Reports](#) | [Charts](#) | [Presentations](#) | [Library-Links](#) | [OAS-Links](#) | [Pgm-Notes](#)

Re.: Tsp.gov and Frtib.gov Web Site Migration Records (N1-474-98-1, item 3):

OAS electronic records that contain tsp.gov and frtib.gov Web site migration documentation, e.g., date and time of migration, list of change items, etc.

Disposition: Cut off at the end of the calendar year. Destroy data 1 year after cutoff.

Status: The above schedule (N1-474-98-1, item 3) does not include the *Agency Resources Page*, which was implemented after the same N1-474-98-1, item 3 Schedule. The Collage Website System should be reviewed and evaluated for an appropriate Records Schedule.

Ongoing Work to Determine Electronic Recordkeeping

Note: The Record Schedules in the Office of Automated Systems are to be updated, i.e., to eliminate obsolete Schedules and revise currently-maintained records such as the above records for Web Site and *Agency Resources Page* Intranet.

Attachment 2 to Electronic Records Scheduling Report – (source data for 3/31/2012 report):

This compilation of Pending SF-115s (and approved) Original Submissions to NARA, and Drafts for FRTIB's Internal Review, was updated on March 30, 2012 by Vivian A. Scott, Program Analyst & Records Management Specialist, Office of Finance, Administration Group.

March 14, 2012
AC 12.2012

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling Electronic Records

On Wednesday, March 7, 2012, you should have received Memorandum *AC 11.2012 Status Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 11.2012, please visit: <http://www.archives.gov/records-mgmt/memos/ac11-2012.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://Spring2012ElectronicRecordsSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by March 31, 2012.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

- If you must exit the report before completing it, press the "Save and Continue" button. Otherwise, your previous responses will be erased and you will have to start over. Also, when you return to complete the report, you will not be able to access your previous response.
- If you would like to review and/or print your survey responses, click the "print" icon at the end of the survey. If you are still unable to print your survey and would like a .pdf version of your survey responses, email shannon.olsen@nara.gov. Attached is a printable .pdf version of the questions asked in the survey.
- If you wish to change a response, you must submit your request via email to shannon.olsen@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, April 14, 2012.

You will have until 11:59 pm EDT, March 31, 2012, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Shannon Olsen if you have any questions about this survey. Shannon may be reached at: shannon.olsen@nara.gov or on 301-837-3486.

PAUL M. WESTER, JR.

Chief Records Officer for the
U.S. Government

Note: This detail shows current status of existing records (all 3 categories), including those to be updated or revised.

Three categories (per Bulletin 2010-02: "electronic records series and electronic systems, including website content ...")		Existing Schedules				Projected Schedules				[Note: See Attachment 2: Detail of FRTIB's Pending SF-115 Actions]	

Set Up/Prepared by V. Scott, June 8, 2010
Update on 3/29/11 for March 2011 Submission
Update on 9/28/11 for Sept 2011 Submission
Last Update on March 30, 2012 for
Required March 31, 2012 Semi-
Annual Report Submission

* Note: Records Schedules continue to be determined and submitted; two new OED Schedules were approved and issued during this reporting period.
**Total of Records decreased from 171 to 160 due to removal of obsolete records in units and also in revising Records Schedules (i.e. unnecessary other copies deleted).

Rebekah Meservy - Reservation Requests Submitted for Feb 7 Open House and Feb 15 BRIDG/Networking Meeting

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 2/2/2012 12:55 PM
Subject: Reservation Requests Submitted for Feb 7 Open House and Feb 15 BRIDG/Networking Meeting
CC: "Pam Northern" <Pam.Northern@nara.gov>, "Susan Crowder" <Susan.Crowder@t...

To: Ms. Rebekah Meservy, Appraisal Archivist, NARA

Dear Rebekah,

Thank you for your thoughtful email and kind words received yesterday. Please forgive my delayed email as I had hoped to include a *Yes* confirmed-by-NARA when responding. I received approval to attend Open House and BRIDG Meeting from Susan C. Crowder, Deputy Chief Financial Officer, who now oversees Records Management functions, and submitted my requests to RM Communications. As soon as I receive confirmation, I will send an email to let you know.

I also look forward to seeing you as it has been awhile since our last meeting in August 2011. At the last BRIDG/Networking meeting on December 7, I met with Pam Northern who has been exceedingly helpful in expediting Interagency Agreement services for storage needs. For example, 22 digital imaging projects for records conversions (scanning paper to DVDs for 30-year storage) have been accomplished or near completion. NARA's Federal Records Center in Atlanta has performed a phenomenal job for all FRTIB projects to date.

FRTIB is also in the process of moving to another location – planned for March 16, 2012. FRTIB does plan to issue a notice regarding its new address and as soon as that becomes available, I will forward it to you and other NARA officials.

Although very busy preparing for the move, including performing as many records disposition actions as possible, I am also working on finalizing a number of Records Schedules requests, i.e., the Control Group Schedules I previously sent in preliminary draft form. As I understand you have other agencies that you oversee as Appraisal Archivist – and will also be spending time with their RM staff – any time that you can spare to speak about pending and forthcoming Schedule requests and related issues would be greatly appreciated.

Sincerely,

Vivian

Vivian A. Scott

Records Management Specialist

Office of Finance

Administration Group, Records Management

Federal Retirement Thrift Investment Board

202/942-1629

vscott@tsp.gov

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]
Sent: Wednesday, February 01, 2012 10:42 AM
To: Vivian Scott
Subject: Feb 7 open house

Good morning Vivian,

I just wanted to touch base and find out if you were planning on attending the Feb. 7 open house per the recent email about changes within NARA. Even though I will remain as your appraisal archivist, this is a great chance to have both myself and your FRC account rep in the room and talk about any issues you may have.

Instructions on reserving a place for that were in the email and also in the blog at <http://blogs.archives.gov/records-express/>. They are basically the same as registering for a BRIDG meeting.

Looking forward to seeing you.

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

Rebekah Meservy - RE: Reservation Requested for Open House, February 7, 2012

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "RM Communications" <RM.Communications@nara.gov>
Date: 2/7/2012 6:59 PM
Subject: RE: Reservation Requested for Open House, February 7, 2012
CC: "Laurence Brewer" <laurence.brewer@nara.gov>, "Rebekah Meservy" <Rebekah...

Dear RM Communications Staff,

Thank you for the wonderful *Open House* that you so graciously and generously hosted this morning. It was truly an exhilarating experience to attend this most helpful event where federal agency staff were given ample opportunity to speak with their newly-assigned Appraisal Archivists and Account Representatives. Further, the excellent *Quick Reference Guide to NARA Records Management Contacts* is a most-helpful resource and will be distributed to FRTIB's RM staff.

Although the former RM Officer Barbara Torres and I already had the opportunity to meet with our Appraisal Archivist, Mrs. Rebekah Meservy [re. FRTIB's RM Program Review and one Appraisal Meeting to Review Pending SF-115 Schedule Requests], I appreciated her time today to discuss issues currently impacting FRTIB, mainly the agency's planned move in March and pending actions to be completed (e.g., providing administrative data and scheduling next appraisal meetings for the last group of SF-115s submitted). I do plan to follow up on Mrs. Meservy's requests asap.

In speaking with other federal staff afterwards, they agreed the *Open House* was a most pleasant as well as very beneficial event, and so well organized by your caring and expert staff. The delicious coffee and cookies were also greatly appreciated.

Thank you for your gracious, delightful, and most helpful meeting!

Sincerely,

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
 Telephone: 202/942-1629
 Fax: 202/942-1674
 Email: vsconfig@tsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Friday, February 03, 2012 5:27 AM
To: Vivian Scott
Subject: Re: Reservation Requested for Open House, February 7, 2012

Thank you for your interest in the 2/7 Appraisal Archivist and Account Manager Meeting. You have been registered.

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 2/2/2012 12:05 PM >>>
 Dear RM Communications Staff,

Would you please register me to attend the Open House on Tuesday, February 7? Information requested follows:

Vivian Anne Scott
Records Management Specialist
Administration Group, Office of Finance
Federal Retirement Thrift Investment Board
12th and H Streets, N.W.
Washington, DC 20005

Telephone: 202/942-1629

Email: VScott@tsp.gov

Your confirmation would be appreciated.

Thank you.

Vivian A. Scott

Vivian,

Just one quick question as I am working on this schedule. On the 1997 approved schedule there was an item for "Internal Policy" files. Does the Executive office still maintain these types of files? If so, is there any overlap between what is in those files and what is in the correspondence?

Thank you!

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 8/18/2011 5:59 PM >>>

Refs.: 1) Appraisal Process Meeting on August 9, 2011, 2) Subsequent Determinations Re. Retention Disposition; and 3) Revised SF-115 Submission

To: Ms. Rebekah L. Fairbank, Appraisal Archivist, National Archives & Records Administration

Dear Rebekah,

In reference to items resolved per our meeting on August 9, 2011, and NARA's subsequent assessment made for this new records disposition, all revisions (from you, Barbara Torres, and Lorraine Terry) have been incorporated into the newly-submitted *Request for Records Disposition Authority*, approved by Barbara and dated today, August 18, 2011.

This new SF-115 for the Executive Director's Correspondence, dated August 18, 2011, supersedes and cancels the previous submission dated June 22, 2011.

Today I have posted this same SF-115 Schedule request (original and one copy) to be mailed to you via U.S. Postal Service to your College Park address * .

I am also providing an updated File Plan for the current Schedules maintained within the Office of the Executive Director, which includes the pending actions notated for this revised Schedule request and the pending Schedule request for the Executive Director's Monthly Calendar.

On behalf of Barbara, Lorraine, and me, thank you for your continued assistance.

Sincerely,

Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Email: vscott@tsp.gov
☎ (202) 942-1629

Fax: (202) 942-1674

* NWML, Room 2100
National Archives & Records Administration
8601 Adelphi Road
College Park, MD 20740

-----Original Message-----

From: Barbara Torres
Sent: Wednesday, August 17, 2011 8:08 AM
To: Lorraine Terry; Vivian Scott
Subject: Re: Revisions for Executive Director's Correspondence Records Schedule --
Received from Appraisal Archivist

Ok.

Vivian, please make the on site cut-off 3 years after an ED turn-over.

----- Original Message -----

From: Lorraine Terry
Sent: Wednesday, August 17, 2011 07:45 AM
To: Barbara Torres; Vivian Scott
Subject: RE: Revisions for Executive Director's Correspondence Records Schedule --
Received from Appraisal Archivist

Barb 10 years is too long. I would think 3 is sufficient.

-----Original Message-----

From: Barbara Torres
Sent: Tue 8/16/2011 3:30 PM
To: Vivian Scott; Lorraine Terry
Subject: RE: Revisions for Executive Director's Correspondence Records Schedule --
Received from Appraisal Archivist

Vivian/Lorraine,

I think having records on site for five years after an ED turn-over is probably more than we need.

Lorraine, you have been up there long enough to know, do you think we need to keep records for 10 years?

From: Vivian Scott
Sent: Thursday, August 11, 2011 7:29 PM
To: Barbara Torres; Lorraine Terry
Subject: Revisions for Executive Director's Correspondence Records Schedule --
Received from Appraisal Archivist

Barb and Lorraine,

Per email communications today with Rebekah Fairbank, I have entered her additional

sentence for the SF-115 Schedule Request, in addition to her instructions for the disposition. In her first email today, she said she will write the appraisal for the records to be permanent.

Please see the attached SF-115 with the revisions Rebekah has given. I am also attaching a revised File Plan to show the revisions have been added, in addition to further instructions.

Please note: the retention period (years) are highlighted with dark red font - as these years are to be determined by what the OED views as keeping the records for their business needs. Please also note that after the period assigned to the Federal Records Center for storage (where records are retrievable), the records will be sent to the Archives - where they become the property of NARA (and they are not retrievable).

Please let me know if you have any questions.

Thank you.

Vivian

Ext. 1629

-----Original Message-----

From: RebekahL Fairbank [mailto:RebekahL.Fairbank@nara.gov]

Sent: Thursday, August 11, 2011 2:41 PM

To: Vivian Scott

Subject: Re: Thank You for Your E-mail Re. Executive Director's Correspondence - and Request for Proposed Transfer Instructions

Thanks Vivian,

Please add the following sentence to the description. "This is official correspondence only and does not include email correspondence of the director"

The disposition should read: "Permanent, cut off at end of director's tenure. Transfer to FRC XX years after cutoff. Transfer to NARA XX years after cutoff." You can fill in the time frames based upon your business needs.

Thanks for your hard work. Take your time and just let me know whenever Barbara gets back.

Rebekah

-----Original Message-----

From: "Vivian Scott" <Vivian.Scott@tsp.gov>

To: Fairbank, RebekahL <RebekahL.Fairbank@nara.gov>

Cc: Torres, Barbara <Barbara.Torres@tsp.gov>

Cc: Terry, Lorraine <Lorraine.Terry@tsp.gov>

Sent: 8/11/2011 2:25:44 PM

Subject: Thank You for Your E-mail Re. Executive Director's Correspondence - and Request for Proposed Transfer Instructions

Rebekah,

Thank you for your email and kind words. I sincerely appreciate your taking time to respond so quickly but certainly didn't expect so early in the day.

Thank you also for letting us know that the Executive Director's Correspondence will probably be a permanent schedule. As I am between meetings with Custodians today, this message is just to acknowledge your email and let you know I will write proposed transfer instructions asap (correspondence to go to FRC and then to Archives -- per NARA's Form SF 258).

Per our Aug. 9 meeting, I also thought you planned to send a sentence that we should add to the SF-115 for the Executive Correspondence. Perhaps this now has changed as you have asked for disposition instructions.

As you requested, I will prepare the transfer instructions and send as a drafted paragraph within subsequent email, for your review and approval. I plan to complete this by end of today -- i.e., late afternoon as I am working with another unit this afternoon. Would you please wait until

you receive my email (to follow this one late today) with the drafted transfer instructions before responding?

Also, as you said that we should just send original SF-115 forms -- I will also prepare for Barbara's review and approval before mailing to you.

As Barbara is out of office until Monday, August 15, her review and approval (and signature) on official SF-115 forms to be mailed to you cannot be done until next week.

And, as I understand you will be out next week preparing for your wedding, all good wishes to you from Barbara, Lorraine, and me.

Thank you again for your kind assistance.

Vivian

-----Original Message-----

From: RebekahL Fairbank [mailto:RebekahL.Fairbank@nara.gov]

Sent: Thursday, August 11, 2011 6:28 AM

To: Vivian Scott

Cc: Barbara Torres; Lorraine Terry

Subject: Re: Unscheduled Correspondence Records Located -- FW: Executive

Director's Correspondence - 1987 through 2003 Stored in OED File Room

4601: Retrieved from Board Records Moved to OGC

Thank you Vivian,

That is certainly good to hear. I'm glad to hear it. I shouldn't need more examples at this point but I will let you know if I need to come back down to see any more. I don't think that will be necessary. I think that I will be writing the appraisal for these records to be permanent - so I will need for you to identify proposed transfer instructions.

It was good to see you the other day.

Rebekah

-----Original Message-----

From: "Vivian Scott" <Vivian.Scott@tsp.gov>

To: Fairbank, RebekahL <RebekahL.Fairbank@nara.gov>

Cc: Torres, Barbara <Barbara.Torres@tsp.gov>

Cc: Terry, Lorraine <Lorraine.Terry@tsp.gov>

Sent: 8/10/2011 6:59:11 PM

Subject: Unscheduled Correspondence Records Located -- FW: Executive Director's Correspondence - 1987 through 2003 Stored in OED File Room
4601: Retrieved from Board Records Moved to OGC

Reference: Appraisal Archivist Rebekah Fairbank's Meeting with FRTIB, August 9, 2011 for Appraisal Process of Two Office of the Executive Director's Submitted SF-115 Requests for Records Disposition Authority -
Re. the Unscheduled Correspondence Records

To: Rebekah L. Fairbank, Appraisal Archivist, NARA

Per our meeting yesterday, during your review of the Executive Director's unscheduled correspondence records, it was indicated that the correspondence records for previous years (i.e., before Ms. Lorraine Terry's maintenance), may have been stored with FRTIB's Board records (previously maintained by the Office of the Executive Director). In completing transfers of records now maintained by other units, I discovered this morning that the correspondence records were inadvertently moved with the Board records to a secured file room in the Office of General Counsel.

As a result of my inquiry and search with the Executive Assistant of the General Counsel, all previous years of Executive Director correspondence have been retrieved and returned to the Office of the Executive Director. Please see my August 10, 2011 email below to Barbara Torres and Lorraine Terry affirming that the Executive Directors' correspondence, from 1987 through 2003, has been returned to the Office of the Executive Director. These previous seventeen years of correspondence will be added to Ms. Terry's current holdings, i.e., from 2004 to the current date.

As the previous years of records have been found and returned to the Office of the Executive Director, unscheduled correspondence records

were not destroyed, and therefore no statement to the contrary should be required. Actually, there appears to be more years of unscheduled correspondence records than previously thought as FRTIB has the correspondence records from all former Executive Directors (since early 1987).

In collecting these records I read many letters to and from the Executive Director concerned formulation of the Board and its policies regarding the Thrift Saving Plan for its participants. If I may be of assistance in making copies of records with historical value and sending them to you for your further review, please let me know. If you prefer to return to the FRTIB for another review meeting of these same correspondence records, perhaps it could be arranged at the same time when other pending Requests for Records Disposition Authorities are reviewed. As said during our meeting, I will finalize the drafts for several requests previously sent to you and will mail directly to you for your further review of official copy (per review and signature by Barbara Torres). .

We regret that these previous Executive Directors' correspondence records were not available for your review during our meeting yesterday. I reiterate my request to please let me know if I may assist your further review by making copies available of records having historical value. Please see my email below which explains the inadvertent temporary placement of the correspondence records in the secured Office of the General Counsel.

On behalf of Barbara, Lorraine and me, thank you again for your most helpful review of these important records. We also appreciate your information about NARA's 1997 Appraisal Archivist report which referred to "office files," interpreted as correspondence. With FRTIB's now affirmation of the entire timeline of tenured Executive Director's correspondence records - from 1987 through current date - we trust this demonstrates FRTIB's due diligence in maintaining these unscheduled records, and aids NARA's appraisal process for the Executive Director's correspondence.

Please let me know if I may send you examples of each year's records for your further evaluation.

Thank you.

Vivian Anne Scott

Records Management Specialist

Office of Finance

Administration Group, Records Management

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

Fax: 202/942-1674

Email: vscott@tsp.gov <<mailto:vscott@tsp.gov>>

Rebekah Meservy - RE: Re-Submitting E-Records Survey Responses for Same Data Submitted on 9/29/2011, Before Deadline of 9/30/2011

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Angela Dorsey" <Angela.Dorsey@nara.gov>
Date: 10/7/2011 11:07 AM
Subject: RE: Re-Submitting E-Records Survey Responses for Same Data Submitted on 9/29/2011, Before Deadline of 9/30/2011
CC: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>, "Tara McLoughlin" <Tara.Mc...>
Attachments: QuestionPro Numerical Data Submission for Electronic Records to be Scheduled__NARA E-Records Scheduling Status Report_Sept 2011.doc; Att 1_E-Records Scheduling_September 2011 Detail Rpt_Percentage of FRTIB Schedules Calc.xls; Att 2_Pending and Proposed Electronic Records to be Scheduled__NARA E-Records Scheduling Status Report_Sept 2011.doc; Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records.htm

To: Ms. Angela Dorsey, NARA's National Records Management Program

Angela,

In response to your email this morning re. FRTIB's submission for the Semi-Annual Report on Scheduling Electronic Records, I am providing the same exact numbers given in my 9/29/2011 responses, but resubmitting within your 10/7 email as requested. I am also resending two relevant attachments (accepted before by NARA in these reports) which give exact same numbers submitted on 9/29/2011, a day before the deadline of 9/30/2011. The attachment data which detail text entered in the NARA *QuestionPro* Comment field are source data for the numerical data provided.

Please note that, per your request today, I have entered numbers (in blue font) after the 3 questions given in your email. Please note that I have also prepared a separate *Word* file stating the 3 questions with numerical answers – in case it is not acceptable to enter the numbers in your email. I am also again requesting that the text responses made on 9/30/2011, within the *Comment* Section, be maintained as part of FRTIB's submission, i.e., to ensure an accurate picture of FRTIB's approved and pending schedules. In past submissions, I was never advised that attachments or text in the *Comment* section would not be acceptable as part of response.

In completion of prior e-records scheduling reports, surveys, self-assessments, etc., I was encouraged to provide *Comment* information (with Attachments) – as there is a field in the *QuestionPro* for such *Comment* information. I have searched through all communications received from NARA and also the *QuestionPro* survey and cannot find a statement that advises numerical responses only. I am making a note of this information for future submissions.

As your email today indicates that previous numerical, text, and comment data provided within the *QuestionPro* Survey submitted on 9/29/2011, detailed within the attachments, appear to be ignored, I am greatly concerned about the status of FRTIB's submission. I am therefore requesting your reconfirmation that FRTIB's submission was in fact submitted on time. Ms. Rebekah Meservy and Ms. Tara McLoughlin can verify that I have completed required self-assessments, evaluations, surveys, and semi-annual e-records scheduling reports before or by the deadline. Please reconfirm that FRTIB's submission will be included with all agency responses received on time, i.e., on or before 9/30/2011.

Also, please note that – per copies of my attached emails – and your response on 9/30, there was difficulty in submission as the *QuestionPro* program would not generate a confirmation page. I reiterate my regret of

necessity to repeatedly contact you to inquire if submission was received. Because *QuestionPro* program would not print report or give confirmation – even though emails from NARA advised that it would -- I had no other recourse than to plead for your assistance.

Please also provide a confirmation that the data resubmitted here will be shown on time for the required deadline of 9/30/2011. As you and Ms. Meservy are aware, I did not directly receive NARA's emails regarding completion of the report – which were sent to agency Records Management Officers. As I explained to you when contacting you for the necessary tool to perform the submission, I only received the information about web-link "tool" on September 28. And upon receiving it, spent considerable time to reevaluate status of all agency units, update the spreadsheet bearing data on current and projected submissions with accurate detail in Attachment 2. Even though I had problems with the submission because of *QuestionPro*'s "print and save" feature failing to give confirmation, I was able to confirm (because of your most-helpful assistance) that FRTIB's submission to NARA on 9/29/2011, was on time for 9/30/2011 deadline.

Please see the numerical data entered in your email below, and per the separate Word file titled, *QuestionPro* Numerical Data for Electronic Records I reiterate FRTIB's request to please include Attachments 1 and 2 (attached again here to this email) to our submission. In the past submissions, NARA always accepted the attachments FRTIB provided as part of the response.

Thank you again for your assistance and for providing a copy of the *QuestionPro* program text responses that I submitted on 9/29/2011.

Vivian

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

***Excerpt from E-mail from Angela Dorsey, 9/30/2011, 2:46 p.m.,
Dear Federal Records Officer,***

Thank you for submitting your agency's Semi-Annual Report on Scheduling Electronic Records via our survey tool. If you are receiving this email, this is confirmation that your submission has been received.

We apologize for the confusion caused by the lack of a survey submitted and/or confirmation page. It appears that use of the "print and save" feature prevented us from including a confirmation page as a finishing option at the conclusion of the survey. As such, if you were unable to print and save your agency's submission, feel free to email me directly at angela.dorsey@nara.gov and I will send you a .pdf copy of your submission by **Wednesday, October 5th 2011**.

Angela Dorsey
National Records Management Program (ACN)
NARA/Agency Services
angela.dorsey@nara.gov
(301) 837-1754

From: Angela Dorsey [mailto:Angela.Dorsey@nara.gov]
Sent: Friday, October 07, 2011 8:57 AM
To: Vivian Scott
Cc: Rebekah Meservy
Subject: Re-Submitting E-Records Survey Responses

Hi Vivian,

Last week I provided you with confirmation that we received your e-Records survey submission. And yesterday, I provided you with a copy of your responses per your request. However, after further review of your responses, it's difficult for us to decipher your answers to the survey questions. Essentially, we ONLY need three numbers from you, not text descriptions.

Can you answer the questions below by providing us with three responses **in numerical format only**? For example: 1) 222, 2) 333 and 3) 444. We do not need to receive responses in paragraph format, three numbers will suffice for our purposes.

As a reminder, the three questions are provided below:

1) How many electronic records systems does your agency have not including those that do not contain records? **25**

2) How many of your agency's electronic systems or series are scheduled by NARA approved schedules? **25**

3) How many of your agency's electronic systems or series have schedules submitted to NARA and pending approval? **2**

Since the e-Records survey closed last week, we'll need these responses from you as soon as possible in order to include them in our survey results. If you have any questions, do not hesitate to contact me via email. Thanks in advance!

Angela

Angela Dorsey
National Records Management Program (ACN)
NARA/Agency Services
angela.dorsey@nara.gov
(301) 837-1754

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 9:24 AM >>>
To: RM Communications Staff

Would someone please respond to my 9/29/2011 email to Angela Dorsey (below)? I have left several messages on her answer phone but have not had a response. As I do not know if she is in the office today, I am seeking your assistance.

Please read my email which explains that I was not able to print my submission – as the survey screen prompted that the submission was completed and the software function apparently ended the program. While I did see – at one point -- that all my written paragraphs were entered into the program, I was not able to print a copy.

Please let me know if FRTIB's submission was received, and if so, please provide a confirmation that it was in fact received on 9/29/2011. Please also provide a copy of the submission which I need to distribute here to agency officials.

Your response to these messages would be most appreciated.

Vivian A. Scott, FRTIB
202/942-1629

From: Vivian Scott

Sent: Thursday, September 29, 2011 7:59 PM

To: 'angela.dorsey@nara.gov'

Cc: 'Rebekah Meservy'

Subject: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Ref.: Telephone Message left on Your Answer Phone, this evening, 7:20 p.m. re. completed and submitted *QuestionPro* Survey for Semi-Annual Report

To: Ms. Angela Dorsey, RM Communications, NARA

Angela,

Per my referenced telephone message, would you please assist me in the following:

- 1) Please let me know if RM Communications received my completed responses within the *QuestionPro* Survey – which I completed this evening. Although I received a computer prompt that the survey had been submitted, I was not able to print a copy for FRTIB records or distribution to Agency principals.
- 2) If RM Communications received my submission today, please email me a copy (of my written paragraphs for each question) so I may distribute as required within FRTIB, and maintain a copy in file. As before with all other evaluations and reports, copies are to be distributed to agency officials with prepared attachments. Please note that the attachments included here are to be a part of FRTIB's responses for this Semi-Annual Report.

Your assistance to resolve the *QuestionPro* problems, difficulties, and resultant failure to receive our “guaranteed” copy will be greatly appreciated.

Sincerely,

Vivian Anne Scott

Records Management Specialist

Office of Finance

Administration Group, Records Management

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

Fax: 202/942-1674

Email: vscott@tsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]

Sent: Wednesday, September 28, 2011 3:55 PM

To: Vivian Scott

Subject: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Vivian,

Please see below. Hope this helps!

Angela

>>> RM Communications RM.Communications@NARA.GOV> 9/7/2011 3:08 PM >>

September 7, 2011

AC 10.2011

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

On Thursday, September 1, 2011, you should have received Memorandum *AC 08.2011 Semi-annual Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 08.2011, please visit: <http://www.archives.gov/records-mgmt/memos/ac08-2011.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://2011E-RecordsSemiAnnualSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by September 30, 2011.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

- If you must exit the report before completing it, press the "Save and Continue" button. Otherwise, your previous responses will be erased and you will have to start over. Also, when you return to complete the report, you will not be able to access your previous response.
- If you would like to review and/or print your survey responses, click the "print" icon at the end of the survey. If you are still unable to print your survey and would like a .pdf version of your survey responses, email angela.dorsey@nara.gov. Attached is a printable .pdf version of the questions asked in the survey.
- If you wish to change a response, you must submit your request via email to angela.dorsey@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, October 15, 2011.

You will have until 11:59 pm EDT, September 30, 2011, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Angela Dorsey in the National Records Management Program (NRMP) if you have any questions about this survey. Angela may be reached at: angela.dorsey@nara.gov or on 301-837-1754.

PAUL M. WESTER, JR.
Chief Records Officer for the
U.S. Government

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/27/2011 4:28 PM >>>

Dear RM Communications,

Please reserve a place for me to attend NARA's October 4th Forum and BRIDG meetings. May I please have a confirmation if space is available?

Thank you.

Vivian Anne Scott
Program Analyst and Records Management Specialist
Office of Finance - Administration Group
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005

Telephone: 202/942-1629
Fax Number: 202/942-1674

FRTIB's September 29, 2011 Submission for:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S September 2011 E-Records Scheduling Status Report

Record Schedule Actions Completed during Second 2011 Reporting Period (April through September 2011)

Electronic Records Scheduling Reporting *

* Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Numerical Responses to Three Questions

1) How many electronic records systems does your agency have not including those that do not contain records? **25**

2) How many of your agency's electronic systems or series are scheduled by NARA approved schedules? **25**

3) How many of your agency's electronic systems or series have schedules submitted to NARA and pending approval? **2**

** Compilation of Detail Re. Pending SF-115 Original Submissions to NARA and Drafts for FRTIB's Internal Review prepared on September 29, 2011 by V. Scott, Program Analyst and Records Management Specialist, Office of Finance, Administration Group. For detail of ongoing actions regarding "name and description of all unscheduled electronic records series or systems" as called for in NARA Bulletin 2010-02, please see Attachments 1 and 2, which are a part of FRTIB's submission.*

September 28, 2011

Attachment 2: Detail for Pending and Proposed SF-115s for unscheduled or revision of existing records for *Series, System, or Website*

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S
September 2011 E-Records Scheduling Status Report**

**Record Schedule Actions Completed during Second 2011 Reporting Period
(April through September 2011)**

Electronic Records Scheduling Reporting *

*Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Detail of Ongoing Actions for Pending SF-115s

- 1) SF-115s reviewed by NARA's Appraisal Archivist; and
- 2) SF-115s in FRTIB's internal review – (some SF-115 drafts were submitted to NARA for pre-review before submitting original SF-115s)

FRTIB Unit: Office of the Executive Director

Executive Director's Monthly Calendar (N1-474-97-4, item 6)

The recordkeeping copy of the monthly calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.

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

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Ms. Fairbank approved this SF-115 for NARA's processing which is ongoing at this time.

Executive Director's Correspondence (Unscheduled)

The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.

Disposition: Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff.

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Revisions were made as requested by Ms. Fairbank and a new SF-115, signed on 8/18/2011, was sent to Ms. Fairbank for NARA Record Schedule processing which is ongoing at this time.

FRTIB Unit: Office of Finance

Note: This office was established during the 2005 Agency reorganization for consolidation of Accounting, Administration, Control (Budget), and Procurement Groups.

Office of Finance – Administration Group

FRTIB Personnel Unemployment Compensation Records (Unscheduled)

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee dispositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Disposition: Cut off upon termination of employment. Destroy 30 years after cutoff.

Status: Preliminary draft was prepared on April 5, 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist and reviewed procedures at August 9, 2011, Ms. Fairbank advised FRTIB to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Office of Finance – Control Group

Annual Budget Request (N1-474-97-2, item 1)

a. The recordkeeping copy of memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriations Committees of Congress and Office of Management and Budget, plus supporting justifications and budget estimates. 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
Disposition: Cut off files at the end of the fiscal year. Destroy 3 years after cutoff.

c. The recordkeeping copy of 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 Office of Finance, Control Group.
Disposition: Destroy 1 year after the close of the fiscal years covered by the budget.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Monthly Memoranda on the Status of the Budget (N1-474-97-2, item 2)

a. The recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group.
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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Audit Monitoring Records (N1-474-97-2, item 3)

a. The recordkeeping copy of all audit monitoring paper records, including computer printouts, and monthly and semi-annual status reports to the Executive Director on the status of each active audit recommendation.

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

b. Executive Director's copy.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Audit Report File (N1-474-97-2, item 4)

a. The 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 files at the end of the fiscal year in which the audit was completed. Send to the Washington National Records Center [WNRC] 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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Annual Inspector General Act Report (N1-474-97-4, item 4)

Recordkeeping copy of FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Internal Audit Control Materials (Unscheduled)

Recordkeeping copy of electronic data material that are created as internal audits are performed.

Disposition: Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at the FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.

Status: Preliminary drafts were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

FRTIB Unit: Office of Investments

Note: This office was re-established as a separate office, i.e., solely distinct from the previous joint Office of Benefits and Investments [during the Agency's reorganizations].

Office of Investments

Investment and Interfund Policy Records (N1-474-96-4, item 2)

a. Recordkeeping copy of all background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

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

b. Recordkeeping copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the background papers from archival documents within the Schedule as not all the documents will: a) have a proposed 10 year retention period, and b) will have a greater retention period of 30 years. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Investment and Subject Matter Records (N1-474-96-4, item 3)

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

Disposition: Purge annually. Destroy when three years old.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Investments

Correspondence Reading File for Investments Office (N1-474-96-4, item 6)

Recordkeeping copies of all internal and external correspondence in chronological order that are sent from the Office of Investments.

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

Fund Tracking Systems and Associated Spreadsheets (N1-474-98-2, item 1)

Recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.

a. Clipper System – Monthly and quarterly summary investment performance reports produced from the inception of the TSP investment programs through 2003.

Disposition: Archive all data from system through 2003. Send to FRC. Destroy 15 years after cutoff.

b. Gain/Loss spreadsheets for CY Reports of all funds per Daily Valuation System.

Disposition: Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to the FRC. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the previous now-obsolete Clipper System from the new spreadsheet system, as the retention periods are different. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Proxy Voting Report Records (Unscheduled)

Recordkeeping copy of investment manager voting proxy records provided quarterly to the Board – as a result of the shareholder meetings – which become input for performance review memoranda (Ref.: Schedule N1-474-96-4, item 4).

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

Status: Preliminary draft (dated September 7, 2011) for records relating to another Investments Office Schedule. This particular report documentation would verify investment manager retirement records, e.g., FRTIB could examine the detail of the votes. Such audit examinations would be a reflection of good due diligence. The Proxy Voting Reports are also inputs for another record (N1-474-96-4, item 4). Therefore the proxy voting data are provided to the Board members in performance review memoranda. The September 7, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Investments

Statistical Reports (Unscheduled)

Electronic recordkeeping copy of reports and relevant files containing statistical investment summary information on the TSP funds for submission to the Executive Director and the Board.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary SF-115 draft (dated July 20, 2011) is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

FRTIB Unit: Office of Participant Services

Note: This office consolidated several previous offices: Benefits, Communications, Education and Training, and a part of the External Affairs Office.

Office of Participant Services – Communications Group

Thrift Savings Plan [TSP] Forms (N1-474-97-3, item 1a)

a. Paper records containing background information on development of each form used by the TSP, including internal correspondence, clearance documents, and printed form. It is a history of the form's development.

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

a. Current Forms

Disposition: Cut off when form or current version is revised or obsolete. Move to "Old Forms" drawer.

b. Old Forms

Disposition: Cut off at the end of CY. Destroy 10 years after cutoff.

c. Communications Group Archived Forms

Disposition: Cut off at the end of CY. Destroy 30 years after cutoff.

d. Record Manager's Archived Forms (Recordkeeping copy)

Disposition: Permanent. Cut off at the end of the calendar year.

Transfer to NARA in 5-year blocks 30 days after cutoff (e.g., 1/97-12/01).

Status: Preliminary SF-115 draft (dated July 26, 2011) to implement all required changes for these TSP forms is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist to ensure meeting NARA's required media-neutral schedule implementation.

Continued: Office of Participant Services – Benefits Group

Annuity Index Rate Monthly Report (N1-474-97-2, item 6)

The recordkeeping copy of records that contain correspondence between the annuity vendor and the Office of Participant Services concerning the monthly annuity interest rate schedule.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Participant Services – Director's Office

Agency Correspondence (N1-474-97-2, item 6)

The recordkeeping copy of routine correspondence received from Federal agencies concerning participant accounts or TSP policy/procedure regulations. It includes the incoming letter, FRTIB's reply, and background information.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Attachment 2:

Compilation of Pending SF-115 Original Submissions to NARA and Drafts for FRTIB's Internal Review prepared on September 27, 2011 by V. Scott, Program Analyst and Records Management Specialist, Office of Finance, Administration Group

Attachment 1 for NARA's
E-Records Scheduling

Source for Direction and Guidance for this reporting: NARA Bulletin No. 2010-02

Federal Retirement Thrift Investment Board

Record Schedule Actions Completed
during Second 2011 Reporting Period
(Apr-Sep 2011)

SF-115s for unscheduled or revision of
existing records for Series, System, or
Website

[Note: See Attachment 2: Detail of
FRTIB's Pending SF-115 Actions]

Pending Schedule Requests: SF115s
submitted to NARA and
SF115 drafts within FRTIB's Internal
Review Process

Description & Status of New (SF-115)
Record Schedule Requests

Note: This detail shows current status of existing records (all 3 categories), including those to be updated or revised.

Holdings Report: Approved Records Schedules for Each Office
Group: Program and GRS

Three categories (per Bulletin 2010-02: "electronic records series and electronic systems, including website content ... ") FRTIB Group's Record Schedules (according to NARA-Approved current RM Handbook and Schedules)	Existing Schedules						Projected Schedules				[Note: See Attachment 2: Detail of FRTIB's Pending SF-115 Actions]
		SERIES	SYSTEM	WEBSITE	TOTAL	GRS	PROJECTED	Percentage of E-Records held determined by Group Totals			Pending Schedule Requests: SF115s submitted to NARA and SF115 drafts within FRTIB's Internal Review Process
	Approved Records Schedules (All Media) Number	Portion of Existing Series Electronic Approved Schedules	Portion of Existing System Electronic Approved Schedules	Portion of Existing Website Electronic Approved Schedules	Existing Series, System & Website Approved Electronic Schedules	General Records Schedules used GRS 20 and GRS 23, as applicable	SF-115s to Update New Series, System, or Website Pending Determination or Submission	Current Electronic Records Schedules * ~ 15%			
								Identification: Record Number and Brief Description	% for each Unit Group	Total % of Electronic Records	Description & Status of New (SF-115) Record Schedule Requests
Accounting	16	4	1		5		1 (system schedule to be revised)	Records re. direction and program planning for accounting and investment functions of the FRTIB. Series = N1-474-96-5, items 1c, 2c, 3c and 4c; System = N1-474-98-2, item 3, obsolete - new System to be scheduled.	31.25	31.25	1 new Request for Schedule (series) for Unemployment Compensation (internal FRTIB review approved for submission to Appraisal Archivist) for OF-Adm. Group
Administration	19	1		1	2		1 (website)	Records re. Personnel, Procurement, Space/Building/Property Management, Communications and Transportation, and Mail and Distribution. System = N1-474-002, item 1b; item 1c(1); and Website = N1-474-98-1, item 1	10.526	10.53	
Automated Systems	14			5	5		1 (website)	Records re. development and operation of automated RK system for TSP accounts; communications; and office automation/administrative support systems. N1-474-98-1, item 2b; item 3; item 5; N1-474-01-1, item 1; item 2	35.714	35.71	
Benefits & Investments	32	6	1		7			Records re.functions re. planning, developing, and implementing policies relating to disbursement of TSP benefits. Series = N1-474-00-6,1b; 1c; 1f; N1-474-96-4,1b; N1-474-02-1,1b; 1c; and System = N1-474-98-2, item 1	21.875	21.88	
Board	8	0			0				0	0	2 approved original SF-115s to Appraisal Archivist, R. Meservy: Ex. Dir.'s Monthly Calendar and Ex. Dir.'s Correspondence (series) - 1 existing and 1 unscheduled.
Communications	16	0			0				0	0	
Employee Thrift Advisory Council	6	0			0				0	0	
Office of Executive Director	8	0			0				0	0	
Office of External Affairs	27	0			0				0		
Office of General Council	20	4			4			Records relating to legal services provided to the FRTIB N1-474-00-1, item 1a; item 1c; N1-474-00-4, item 2a; item 2b	20	20	
Office of Participant Services now oversees the records previously stored by National Finance Center	5	2			2			Records relating to administration of the Thrift Savings [Retirement] Plan: N1-474-97-6, item 1b; N1-474-00-5 item (1)	40	40	
	171	17	2	6	25		3		14.620	0.146	
~ 15%											

Set Up/Prepared by V. Scott, June 8, 2010
Update on 3/29/11 for March 2011 Submission

Last Update on Sept. 28, 2011 for 9/30/2011
Semi-Annual Report Submission

* Note: Records Schedules are being updated as needed; additional electronic schedules are being determined and will be added as required.

Thank you Vivian,

Just to be clear: Although it is useful to us to know when a schedule becomes obsolete, we do not remove schedules from our website. The website has a couple of caveats posted, one of which is that these are all schedules that have been approved by the archivist, regardless of whether they've been superseded or are obsolete or not.

So really, it is just a courtesy to me to let me know that. It does help my work, but Paul's office does not need to know nor will it affect the website.

Rebekah

Rebekah Fairbank
Appraisal Archivist
National Archives and Records Administration
Life Cycle Management Division, (NWML)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697

rebekahl.fairbank@nara.gov >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 8/26/2011 11:08 AM >>>
To: Ms. Rebekah L. Fairbank, Appraisal Archivist, NARA, College Park, MD

Rebekah,

Thank you for your email re. FRTIB's SF-115 request to change Records Schedule, i.e., to withdraw the subject obsolete record. Your information that previously-requested procedure is no longer required is most helpful and will save time, i.e., with respect to deletions and withdrawals of Records Schedules.

Thank you also for your good words that it is advisable to keep NARA informed of deleted Record Schedules as, e.g., in addition to keeping FRTIB's Appraisal Archivist up-to-date on current Records Schedules, it may also be helpful to provide same information to appropriate NARA office maintaining updates for its website postings (per Paul M. Wester, Jr.'s email of March 3, 2010 re. Federal Government Records Schedules).

Perhaps future RM Communications (LSSPTeam@nara.gov) will require agency updates to assist current status on its website. In consideration of keeping FRTIB's Records Schedule information current, is it permissible to send same office (LSSPTeam@nara.gov) a notification that subject FRTIB record is obsolete and can either be so marked or removed from their databank?

In order to keep your information up-to-date, I will continue to let you know which Records Schedules become obsolete – as there will be more forthcoming within next few months (per our inventories of unit records).

Thank you again for your continued, most-helpful assistance.

Vivian

*Vivian A. Scott
Records Management Specialist
Office of Finance*

Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

From: RebekahL Fairbank [mailto:RebekahL.Fairbank@nara.gov]
Sent: Wednesday, August 24, 2011 7:59 AM
To: Vivian Scott
Cc: Anne Beemer; Barbara Torres; Lorraine Terry; Megan Graziano Grumbine
Subject: Re: FW: Request to Withdraw and Delete Obsolete Records Schedule: OED's Consultant Report Files: N1-474-97-4, item 3

Vivian,

Thank you for your request. Just to clarify - we do not need to approve the obsolescence of a schedule. If the records are no longer being created, you simply no longer use the schedule (you may remove it from your file plan without our approval).

So, although this is good for my information, there is nothing more needed here on NARA's end.

Rebekah

Rebekah Fairbank
Appraisal Archivist
National Archives and Records Administration
Life Cycle Management Division, (NWML)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697

rebekahl.fairbank@nara.gov >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 8/23/2011 1:00 PM >>>

Re.: Request for Deletion of OED Records Schedule for Consultant Report Files: Neither Used or Maintained by the OED, OF Groups, or OGC

To: Rebekah L. Fairbank, Appraisal Archivist, NARA

Ref.: Discussions Re. Deletion of Obsolete Records Schedule; Internal Approvals Received per E-mails (below) included with this Action Request

Rebekah,

As previously discussed, the subject Records Schedule – currently listed within the group of Office of the Executive Director's records – is obsolete. Per the enclosed email copies, please see that this same "Consultant Report Files" schedule has been reviewed for use by other appropriate offices within the FRTIB, specifically, the Office of Finance's Administrative and Control Groups, and the Office of General Counsel.

As the record has been determined as no longer usable and thus obsolete, FRTIB requests this record schedule be withdrawn. I have therefore prepared a *Request for Records Disposition Authority* to withdraw the record – as this action appears to be facilitated in Column 10, SF-115 form. However, if a different procedure or form is now to be submitted, please advise.

If permissible to use the SF-115 as attached, I will prepare in final for Barbara Torres' approval for official

submission to NARA – and mail to your attention.

Thank you for your assistance regarding this action.

Vivian

*Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

From: Vivian Scott
Sent: Friday, July 15, 2011 3:31 PM
To: Barbara Torres
Subject: Request for Approval to Delete Obsolete Records Schedule: Previous OED Consultant Report Files: N1-474-97-4, item 3

Ref.: **Consultant Report Files, N1-474-97-4, item 3 [Source: FRTIB's RM Handbook, Appendices, September 13, 2000, page A-H-2.]**

Description: Records containing background information from program offices on consultant reports.

Disposition: Cut off at the end of the calendar year during which no further corrective action is necessary.
Destroy 3 years after cutoff.

To: Barbara P. Torres, Records Management Officer and Administrative Officer

Barb,

The above-referenced Consultant Reports Schedule was determined obsolete by Lorraine Terry, OED. I have made inquiries to relevant offices within FRTIB, e.g., Office of General Counsel, and Office of Finance-Control Group, and received responses from Megan and Anne that this schedule is not applicable to their series of records (please see their emails below).

May I therefore have your approval to submit request to NARA, per Rebekah Fairbank, that this Schedule be deleted?

Please let me know if you have any questions.

Thank you.

Vivian
Ext. 1629

From: Megan Graziano Grumbine
Sent: Thursday, June 23, 2011 2:55 PM
To: Vivian Scott; Anne Beemer
Cc: Barbara Torres; Lorraine Terry
Subject: RE: Thank You for Your Reply Re. OED Records Schedule for Consultant Report Files: neither Used or

Maintained by the OED

Vivian-

This does not appear to be OGC related – I too am fine deleting this.

MGG

From: Vivian Scott

Sent: Wednesday, June 22, 2011 4:09 PM

To: Anne Beemer; Megan Graziano Grumbine

Cc: Barbara Torres; Lorraine Terry

Subject: Thank You for Your Reply Re. OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

Thanks, Anne, for letting us know.

Vivian

From: Anne Beemer

Sent: Wednesday, June 22, 2011 3:38 PM

To: Vivian Scott; Megan Graziano Grumbine

Cc: Barbara Torres; Lorraine Terry

Subject: RE: OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

I am fine with deleting this record schedule.

From: Vivian Scott

Sent: Wednesday, June 22, 2011 3:04 PM

To: Anne Beemer; Megan Graziano Grumbine

Cc: Barbara Torres; Lorraine Terry

Subject: OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

Ref.: Previous communications regarding Scheduled Records not maintained in the Office of the Executive Director

Anne and Megan,

Previously when reviewing all Office of the Executive Director records with Lorraine, and determining some schedules are obsolete, no longer used, or have no records maintained, I reviewed with you both the Annual Inspector General Act Report, N1-474-97-4, item 4, which was determined to be appropriate for Office of Finance's Control Group.

During a further review of a record determined by Lorraine and me as obsolete, I wanted to check with you to see if this record should also be transferred to either OF-Control Group or the Office of General Counsel. The Schedule number does suggest that it belongs with the audit series of records:

Consultant Report Files, N1-474-97-4, item 3 [Source: FRTIB's RM Handbook, Appendices, September 13, 2000, page A-H-2.]

Records containing background information from program offices on consultant reports.

Disposition: Cut off at the end of the calendar year during which no further corrective action is necessary. Destroy 3 years after cutoff.

I again regret that I have no examples of this record to offer for your review. If determined that this Records Schedule is not needed by the Office of Finance's Control Group for audit and budget materials, or the Office of General Counsel for legal oversight, I will request that NARA delete this record from FRTIB's program schedules.

Thank you both for your assistance.

Vivian
Ext. 1629

NWM 13.2010 Open Access to Agency Records Schedules
From: RM Communications [RM.Communications@NARA.GOV]
Sent: Wednesday, March 03, 2010 8:49 AM
To: NARA-RM-COMMUNICATIONS@LISTSERV.GSA.GOV
Subject: NWM 13.2010 Open Access to Agency Records Schedules

March 3, 2010

NWM 13.2010

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Open Access to Agency Records Schedules

I am pleased to announce that NARA is unveiling a new website that provides Federal agencies and the public with open access to a large body of unclassified NARA-approved records schedules (also referred to as SF 115s for the Standard Form 115, Request for Disposition Authority) for Federal agency records.

The Records Control Schedule (RCS) website contains of SF 115s from 1985 to the present. Newly approved schedules will be posted to the site weekly. In the coming months additional records schedules will be posted from the period between 1973 and 1985.

All SF 115s have been converted to PDF file format and are listed by agency name and NARA-assigned record group number. The records schedules can be searched by the NARA job number (e.g., N1-423-09-001), by agency name (Department of Justice, Office of Justice Programs), by NARA record group (RG 423), or by keyword or subject (e.g., grants).

Please note that while the website contains all NARA-approved records schedules for the stated period, many of these records schedules are no longer in effect because they have been superseded by an updated or more recent schedule. Questions about the schedules themselves should be directed to the agency records officer.

The RCS website may be accessed at this address:
<http://www.archives.gov/records-mgmt/rcs/>.

If you have questions about how to use the RCS website, please email this address LSSP_Team@nara.gov for technical assistance.

For more general questions or comments, please contact your appraiser who can provide any additional information you might need. If you do not know who your assigned appraiser is, you will find a list of the appraisal and scheduling work group and regional contacts on the NARA website at <http://www.archives.gov/records-mgmt/appraisal/>.

PAUL M. WESTER, JR.
Director
Modern Records Programs

Rebekah Meservy - Thank You for Status on OED Schedules and Re. Subsequent Letter Sent with Federal Register Date Request

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 11/4/2011 10:30 AM
Subject: Thank You for Status on OED Schedules and Re. Subsequent Letter Sent with Federal Register Date Request
CC: "Lorraine Terry" <Lorraine.Terry@tsp.gov>, "Randall Berry" <Randall.Berr...>
Attachments: Official Ltr_for OED - 1 New and 1 Revised Records Schedule_Nov 2011.doc

Rebekah,

Thank you very much for your good news that one of our submitted OED Schedule requests [Executive Director's Correspondence] has been approved by the Archivist for addition to NARA's Records Schedule system. FRTIB looks forward to hearing about the remaining pending Schedule request, i.e., the Executive Director's Monthly Calendar. I will check the NARA website for the installation dates.

Also, please know that prior to receiving your 11/2/2011 email, I had followed up by letter dated November 1, 2011 regarding these two OED Schedule requests, and also inquired about NARA's posting of same in the *Federal Register*. Please see attached copy of my letter 11/1/2011 letter fyi here. This letter was sent separately from the 11/2/2011 transmittals (one Administration Group Schedule request and five Office of Investments Schedule requests). You should receive the November 1 letter today or early next week, if not already.

Thank you again for your continued kind and expert assistance in all of FRTIB's records management needs.

Sincerely,

Vivian

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]
Sent: Wednesday, November 02, 2011 1:01 PM
To: Vivian Scott
Subject: Re: Thank You for Your Approval and Signature of SF-115 Request for Records Disposition Authority: Unemployment Compensation Records for Administration Group, Office of Finance

Thank you Vivian for the heads up on this. I'll look forward to the schedule coming in.

On another note, I wanted to let you know that the schedule for the permanent Director's correspondence has been signed by the Archivist and is good to go. It should show up on the Records Schedule website in another week or two as they are able to scan and add it.

Rebekah

Rebekah (Fairbank) Meservy
 Appraisal Archivist
 National Archives and Records Administration
 Records Management Services (ACNR)
 ph. (301) 837-0662
 BB (301) 957-8910

fax (301) 837-3697

rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 11/2/2011 9:59 AM >>>

To: Susan C. Crowder, Chief Accounting Officer, Office of Finance

Susan,

Thank you for your approval of the SF-115 *Request for Records Disposition Authority* for a new Records Schedule for Unemployment Compensation Records.

I will proceed in sending this FRTIB-approved SF-115 to NARA's Appraisal Archivist, Rebekah Meservy, for her review, approval, and processing. Mrs. Meservy has requested that original SF-115s be mailed to her office in College Park, MD, and this will be done today. I will continue to keep you and Records Custodian Kelly Powell informed when response from Ms. Meservy is received, and further FRTIB actions are required regarding this potential Administration Group Records Schedule.

Vivian

Vivian A. Scott

Records Management Specialist

Office of Finance, Administration Group, Records Management

Federal Retirement Thrift Investment Board

202/942-1629

vscott@tsp.gov

From: Vivian Scott

Sent: Monday, October 24, 2011 6:17 PM

To: Susan Crowder

Cc: Randall Berry; Kelly Powell

Subject: Request for Signature of FRTIB-Prepared and Approved Records Disposition Authority: Unemployment Compensation Records for Administration Group, Office of Finance

Ref.: Barbara Torres' Requested and Approved NARA SF-115 Form, *Request for Records Disposition Authority*, for Official Submission to NARA

Item for Records Management Officer Review and Approval (submitted for Jim Petrick's signature) – When Convenient for Review and Action

Susan,

The referenced *Request for Records Disposition Authority* form (2 pages) has been submitted to you (document to be approved by Jim Petrick) for review and signature. Per our meeting on October 20, 2011, I was asked to bring items for Jim's signature to you. Please review and sign when convenient for your schedule.

Please note that I have prepared a cover sheet which provides explanation. A large green folder is being delivered to your office containing these items (a copy of the same SF-115 is also attached here, fyi). This item was delayed for official submission due to Barbara's absence but she had already approved its transmission. As she is not in office to sign the SF-115s as previously done, Jim is being requested to do so (there are more forthcoming from other units).

After this form is signed, it will be mailed to Rebekah Meservy (formerly Rebekah Fairbank), Appraisal Archivist, NARA, for processing.

Please let me know if you have any questions.

Thank you.

Vivian
Ext. 1629

November 1, 2011

Ms. Rebekah Meservy
Appraisal Archivist
Life Cycle Management Division (NWML)
National Archives and Records Administration
8601 Adelphi Road, Room 2100
College Park, MD 20740-6001

Dear Ms. Meservy:

SUBJECT: RECONFIRMATION OF TWO FRTIB-APPROVED TRANSMITTED
RECORDS DISPOSITION AUTHORITY REQUESTS FOR THE
OFFICE OF THE EXECUTIVE DIRECTOR'S PROPOSED RECORDS

The enclosed copies of two SF-115 *Requests for Records Disposition Authority* are for: 1) an existing records schedule and 2) a new records schedule for the Federal Retirement Thrift Investment Board. These two proposed records schedules were reviewed during your appraisal process meeting at FRTIB on August 9, 2011, with Administrative and Records Management Officer Barbara Torres, and Executive Assistant Lorraine Terry.

As you requested, the two SF-115s were completed and the originals mailed to your office as follows:

- . Executive Director's Correspondence Records, dated August 18, 2011 (SF-115 proposing new schedule).
- . Executive Director's Monthly Calendar, dated June 22, 2011 (SF-115 revising current schedule, N1-474-97-4, item 6).

We look forward to hearing the status of these two requests, and understand that upon your approval, these proposed schedules will also be published in the *Federal Register*. If you have any questions concerning these proposed records schedules, please contact me at telephone (202) 942-1629.

Thank you for your continued kind assistance.

Sincerely,

Vivian A. Scott
Records Management Specialist

Enclosures

cc: James B. Petrick/Susan C. Crowder
Lorraine D. Terry

Rebekah Meservy - Thank You for Your Most Considerate Assistance and for the Greatly-Welcomed Confirmation: Submitted E-Records Report Rec'd on 9/29 at 6:20 pm EDT

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Angela Dorsey" <Angela.Dorsey@nara.gov>, "RM Communications" <RM.Commun...>
Date: 9/30/2011 11:26 AM
Subject: Thank You for Your Most Considerate Assistance and for the Greatly-Welcomed Confirmation: Submitted E-Records Report Rec'd on 9/29 at 6:20 pm EDT
CC: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>, "Randall Berry" <Randall.B...>

Angela,

Thank you very much for your response. RM Communications can surely know how greatly relieved that I am that the submission within the *QuestionPro* was received – as it was a substantial amount of material (written statements to each question), with statistical data.

I also sent a follow up email with attachments – which I requested be added to FRTIB's submission.

Lastly, I greatly appreciate your kind response to my question that RM Communications will provide a copy of the submission that was entered in the *QuestionPro* program. This copy is requested because I was not able to print a copy from my computer. Perhaps this is because all the RM Communications materials were sent to Barbara Torres for this E-Records Scheduling Report.

Thank you again for helping me and for the wonderful, great news that my submission is in your good hands. As soon as I receive a copy of submission, I will be able to distribute it, with my attachments, to appropriate FRTIB officials.

Gratefully,
 Vivian A. Scott

From: Angela Dorsey [mailto:Angela.Dorsey@nara.gov]
Sent: Friday, September 30, 2011 11:11 AM
To: RM Communications; Vivian Scott
Cc: Rebekah Meservy
Subject: Confirmation: Submitted E-Records Report Rec'd on 9/29 at 6:20 pm EDT

Hi Vivian,

I wanted to follow up with the email I received from you earlier today.

I'm reviewing all the responses we've received to the E-Records Survey today and can confirm receipt of your submission. We received your submission on **September 29, 2011 at 6:20 pm EDT**.

Please let me know if you have any additional questions or concerns.

Thanks for your patience.

Angela

Angela Dorsey
 National Records Management Program (ACN)
 NARA/Agency Services
angela.dorsey@nara.gov
 (301) 837-1754

Check out our blog "Records Express" @
<http://blogs.archives.gov/records-express/> and follow us on Twitter @NARA_RecMgmt
 >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 9:24 AM >>>
 To: RM Communications Staff

Would someone please respond to my 9/29/2011 email to Angela Dorsey (below)? I have left several messages on her answer phone but have not had a response. As I do not know if she is in the office today, I am seeking your assistance.

Please read my email which explains that I was not able to print my submission – as the survey screen prompted that the submission was completed and the software function apparently ended the program. While I did see – at one point -- that all my written paragraphs were entered into the program, I was not able to print a copy.

Please let me know if FRTIB's submission was received, and if so, please provide a confirmation that it was in fact received on 9/29/2011. Please also provide a copy of the submission which I need to distribute here to agency officials.

Your response to these messages would be most appreciated.

Vivian A. Scott, FRTIB
 202/942-1629

From: Vivian Scott
Sent: Thursday, September 29, 2011 7:59 PM
To: 'angela.dorsey@nara.gov'
Cc: 'Rebekah Meservy'
Subject: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Ref.: Telephone Message left on Your Answer Phone, this evening, 7:20 p.m. re. completed and submitted *QuestionPro* Survey for Semi-Annual Report

To: Ms. Angela Dorsey, RM Communications, NARA

Angela,

Per my referenced telephone message, would you please assist me in the following:

- 1) Please let me know if RM Communications received my completed responses within the *QuestionPro* Survey – which I completed this evening. Although I received a computer prompt that the survey had been submitted, I was not able to print a copy for FRTIB records or distribution to Agency principals.
- 2) If RM Communications received my submission today, please email me a copy (of my written paragraphs for each question) so I may distribute as required within FRTIB, and maintain a copy in file. As before with all other evaluations and reports, copies are to be distributed to agency officials with prepared attachments. Please note that the attachments included here are to be a part of FRTIB's responses for this Semi-Annual Report.

Your assistance to resolve the *QuestionPro* problems, difficulties, and resultant failure to receive our

“guaranteed” copy will be greatly appreciated.

Sincerely,

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Wednesday, September 28, 2011 3:55 PM
To: Vivian Scott
Subject: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Vivian,

Please see below. Hope this helps!

Angela

>>> RM Communications RM.Communications@NARA.GOV> 9/7/2011 3:08 PM >>

September 7, 2011

AC 10.2011

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

On Thursday, September 1, 2011, you should have received Memorandum *AC 08.2011 Semi-annual Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 08.2011, please visit: <http://www.archives.gov/records-mgmt/memos/ac08-2011.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://2011E-RecordsSemiAnnualSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by September 30, 2011.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

- If you must exit the report before completing it, press the “Save and Continue” button.

Otherwise, your previous responses will be erased and you will have to start over. Also, when you return to complete the report, you will not be able to access your previous response.

- If you would like to review and/or print your survey responses, click the "print" icon at the end of the survey. If you are still unable to print your survey and would like a .pdf version of your survey responses, email angela.dorsey@nara.gov. Attached is a printable .pdf version of the questions asked in the survey.
- If you wish to change a response, you must submit your request via email to angela.dorsey@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, October 15, 2011.

You will have until 11:59 pm EDT, September 30, 2011, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Angela Dorsey in the National Records Management Program (NRMP) if you have any questions about this survey. Angela may be reached at: angela.dorsey@nara.gov or on 301-837-1754.

PAUL M. WESTER, JR.

Chief Records Officer for the
U.S. Government

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/27/2011 4:28 PM >>>
Dear RM Communications,

Please reserve a place for me to attend NARA's October 4th Forum and BRIDG meetings. May I please have a confirmation if space is available?

Thank you.

Vivian Anne Scott
Program Analyst and Records Management Specialist
Office of Finance - Administration Group
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005

Telephone: 202/942-1629
Fax Number: 202/942-1674

Rebekah Meservy - Two Records Schedules for the Office of the Executive Director Approved

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 2/10/2012 6:43 PM
Subject: Two Records Schedules for the Office of the Executive Director Approved
CC: "Susan Crowder" <Susan.Crowder@tsp.gov>

Rebekah,

Re. my request for information regarding status of the submitted SF-115s for the Office of the Executive Director: please do not respond as I have found the information. It was wonderful to see the two Schedules approved by the Archivist of the United States and they are very easy to find on the NARA website.

I will send an email with details early next week and include Lorraine Terry so she has the information also.

Thank you again for your time at the Open House event.

I look forward to hearing from you when convenient for your schedule regarding setting up the Appraisal Meetings (please see my email below).

Vivian

From: Vivian Scott
Sent: Thursday, February 09, 2012 6:53 PM
To: 'Rebekah Meservy'
Cc: Susan Crowder
Subject: Actions to be completed following Open House, February 7, 2012

Thank you, Rebekah, for taking time to answer my questions at the Open House this past Tuesday. It was nice to see you again and I continue to sincerely appreciate your assistance in the Records Schedules and other issues.

Pending Requests for Records Disposition Authority for New and Revised Schedules and Request for Your Preference in Setting Up 1 or 2 Appraisal Archivist Meetings

With respect to the number of pending Records Schedules, there are actually 6 that were sent to you last November:

- 4 Requests are for revisions to 4 ***Office of Investment*** Schedules;
- 1 Request is for a new Schedule for the ***Office of Investments***; and
- 1 Request is for a new Schedule for the ***Office of Finance, Administration Group*** (Unemployment Compensation).

In order that I may set up the Appraisal Archivist meetings as you wish to have done, would you please let me know if I should schedule two separate meetings for you as there are two different offices: Office of Investments and Office of Finance.

If you prefer to have one meeting at FRTIB for both offices (i.e., on one day) to review all 6 requests, I will need to find a possible date for both Office of Finance and Office of Investments staff – which I shall begin to do, after hearing from you. As I explained at the Open House, it is a very busy time at FRTIB as our agency is moving to a new site on March 16, and most of the management staff is away this week for their annual meeting. I will try to arrange the meeting later in March but it may not be until April that it will be possible. Everyone has begun clearing areas and packing will be starting very soon, and then unpacking will be necessary after the move and setting up offices.

Please know that despite the March 2012 move, which is greatly impacting my work schedule, I am trying to complete the Control Group Schedules that I had sent drafts of last year to you. After speaking with you by telephone and revising those schedules, I plan to prepare in SF-115 final form and submit asap for your review.

Records Schedules for the Office of the Executive Director

When convenient for your schedule, would you please let me know what the date is for those two approved schedules, or how I may access them at the NARA website. I would like to provide that information to the Office of the Executive Director staff and also record it at FRTIB.

Signature Authorization Requested for Susan C. Crowder

As you requested, I will prepare a notification letter to you from Mrs. Susan C. Crowder as she is the responsible official who will be signing the forms for transactions between FRTIB and NARA.

Third Self-Assessment completed in June 2011

After speaking with you at the Open House, I did check the NARA website again for the results of this 3rd Self-Assessment, however, I could only find the 2nd Self-Assessment which was posted in February 2011. Perhaps there is another menu where the 3rd one is posted.

Thank you again for your assistance.

With all good wishes,

Vivian

From: Vivian Scott

Sent: Tuesday, February 07, 2012 6:59 PM

To: 'RM Communications'

Cc: 'Laurence Brewer'; 'Rebekah Meservy'; 'Tara McLoughlin'; Susan Crowder

Subject: RE: Reservation Requested for Open House, February 7, 2012

Dear RM Communications Staff,

Thank you for the wonderful *Open House* that you so graciously and generously hosted this morning. It was truly an exhilarating experience to attend this most helpful event where federal agency staff were given ample opportunity to speak with their newly-assigned Appraisal Archivists and Account Representatives. Further, the excellent *Quick Reference Guide to NARA Records Management Contacts* is a most-helpful resource and will be distributed to FRTIB's RM staff.

Although the former RM Officer Barbara Torres and I already had the opportunity to meet with our Appraisal Archivist, Mrs. Rebekah Meservy [re. FRTIB's RM Program Review and one Appraisal Meeting to Review Pending SF-115 Schedule Requests], I appreciated her time today to discuss issues currently impacting FRTIB,

mainly the agency's planned move in March and pending actions to be completed (e.g., providing administrative data and scheduling next appraisal meetings for the last group of SF-115s submitted). I do plan to follow up on Mrs. Meservy's requests asap.

In speaking with other federal staff afterwards, they agreed the *Open House* was a most pleasant as well as very beneficial event, and so well organized by your caring and expert staff. The delicious coffee and cookies were also greatly appreciated.

Thank you for your gracious, delightful, and most helpful meeting!

Sincerely,

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Friday, February 03, 2012 5:27 AM
To: Vivian Scott
Subject: Re: Reservation Requested for Open House, February 7, 2012

Thank you for your interest in the 2/7 Appraisal Archivist and Account Manager Meeting. You have been registered.

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 2/2/2012 12:05 PM >>>
Dear RM Communications Staff,

Would you please register me to attend the Open House on Tuesday, February 7? Information requested follows:

Vivian Anne Scott
Records Management Specialist
Administration Group, Office of Finance
Federal Retirement Thrift Investment Board
12th and H Streets, N.W.
Washington, DC 20005

Telephone: 202/942-1629

Email: VScott@tsp.gov

Your confirmation would be appreciated.

Thank you.

Vivian A. Scott

Rebekah Meservy - Re: Your Assistance Requested Re. Submitted Report -- Resending E-mail to Angela Dorsey Here - FW: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

From: Angela Dorsey
To: Communications, RM; Scott, Vivian
Date: 9/30/2011 9:48 AM
Subject: Re: Your Assistance Requested Re. Submitted Report -- Resending E-mail to Angela Dorsey Here - FW: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records
CC: Meservy, Rebekah

Hi Vivian,

I recall speaking to you on the phone regarding your E-Records submission two days ago as well as your RSVP for BRIDG. Yes, I was in the office yesterday; however, your emails were caught in our spam filter and I'm just now able to respond.

As I mentioned on the phone, I will send a confirmation to all individuals today to verify receipt of the e-Records survey submission. Please be aware that you will need to allow us time to provide you with a copy of your submission if you are unable to print your responses via your own computer.

Hope this helps!

Angela

Angela Dorsey
 National Records Management Program (ACN)
 NARA/Agency Services
angela.dorsey@nara.gov
 (301) 837-1754

Check out our blog "Records Express" @
<http://blogs.archives.gov/records-express/> and follow us on Twitter @NARA_RecMgmt
 >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 9:24 AM >>>
 To: RM Communications Staff

Would someone please respond to my 9/29/2011 email to Angela Dorsey (below)? I have left several messages on her answer phone but have not had a response. As I do not know if she is in the office today, I am seeking your assistance.

Please read my email which explains that I was not able to print my submission – as the survey screen prompted that the submission was completed and the software function apparently ended the program. While I did see – at one point -- that all my written paragraphs were entered into the program, I was not able to print a copy.

Please let me know if FRTIB's submission was received, and if so, please provide a confirmation that it was in fact received on 9/29/2011. Please also provide a copy of the submission which I need to distribute here to agency officials.

Your response to these messages would be most appreciated.

Vivian A. Scott, FRTIB
202/942-1629

From: Vivian Scott
Sent: Thursday, September 29, 2011 7:59 PM
To: 'angela.dorsey@nara.gov'
Cc: 'Rebekah Meservy'
Subject: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Ref.: Telephone Message left on Your Answer Phone, this evening, 7:20 p.m. re. completed and submitted *QuestionPro* Survey for Semi-Annual Report

To: Ms. Angela Dorsey, RM Communications, NARA

Angela,

Per my referenced telephone message, would you please assist me in the following:

1) Please let me know if RM Communications received my completed responses within the *QuestionPro* Survey – which I completed this evening. Although I received a computer prompt that the survey had been submitted, I was not able to print a copy for FRTIB records or distribution to Agency principals.

2) If RM Communications received my submission today, please email me a copy (of my written paragraphs for each question) so I may distribute as required within FRTIB, and maintain a copy in file. As before with all other evaluations and reports, copies are to be distributed to agency officials with prepared attachments. Please note that the attachments included here are to be a part of FRTIB's responses for this Semi-Annual Report.

Your assistance to resolve the *QuestionPro* problems, difficulties, and resultant failure to receive our “guaranteed” copy will be greatly appreciated.

Sincerely,

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Wednesday, September 28, 2011 3:55 PM
To: Vivian Scott
Subject: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Vivian,

Please see below. Hope this helps!

Angela

>>> RM Communications RM.Communications@NARA.GOV> 9/7/2011 3:08 PM >>

September 7, 2011

AC 10.2011

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

On Thursday, September 1, 2011, you should have received Memorandum *AC 08.2011 Semi-annual Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 08.2011, please visit: <http://www.archives.gov/records-mgmt/memos/ac08-2011.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://2011E-RecordsSemiAnnualSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by September 30, 2011.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

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- If you wish to change a response, you must submit your request via email to angela.dorsey@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, October 15, 2011.

You will have until 11:59 pm EDT, September 30, 2011, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Angela Dorsey in the National Records Management Program (NRMP) if you have any questions about this survey. Angela may be reached at: angela.dorsey@nara.gov or on 301-837-1754.

PAUL M. WESTER, JR.
Chief Records Officer for the

U.S. Government

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/27/2011 4:28 PM >>>
Dear RM Communications,

Please reserve a place for me to attend NARA's October 4th Forum and BRIDG meetings. May I please have a confirmation if space is available?

Thank you.

Vivian Anne Scott
Program Analyst and Records Management Specialist
Office of Finance - Administration Group
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005

Telephone: 202/942-1629
Fax Number: 202/942-1674

September 28, 2011

Attachment 2: Detail for Pending and Proposed SF-115s for unscheduled or revision of existing records for *Series, System, or Website*

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S
September 2011 E-Records Scheduling Status Report**

**Record Schedule Actions Completed during Second 2011 Reporting Period
(April through September 2011)**

Electronic Records Scheduling Reporting *

*Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Detail of Ongoing Actions for Pending SF-115s

- 1) SF-115s reviewed by NARA's Appraisal Archivist; and
- 2) SF-115s in FRTIB's internal review – (some SF-115 drafts were submitted to NARA for pre-review before submitting original SF-115s)

FRTIB Unit: Office of the Executive Director

Executive Director's Monthly Calendar (N1-474-97-4, item 6)

The recordkeeping copy of the monthly calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.

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

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Ms. Fairbank approved this SF-115 for NARA's processing which is ongoing at this time.

Executive Director's Correspondence (Unscheduled)

The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.

Disposition: Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff.

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Revisions were made as requested by Ms. Fairbank and a new SF-115, signed on 8/18/2011, was sent to Ms. Fairbank for NARA Record Schedule processing which is ongoing at this time.

FRTIB Unit: Office of Finance

Note: This office was established during the 2005 Agency reorganization for consolidation of Accounting, Administration, Control (Budget), and Procurement Groups.

Office of Finance – Administration Group

FRTIB Personnel Unemployment Compensation Records (Unscheduled)

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee dispositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Disposition: Cut off upon termination of employment. Destroy 30 years after cutoff.

Status: Preliminary draft was prepared on April 5, 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist and reviewed procedures at August 9, 2011, Ms. Fairbank advised FRTIB to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Office of Finance – Control Group

Annual Budget Request (N1-474-97-2, item 1)

a. The recordkeeping copy of memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriations Committees of Congress and Office of Management and Budget, plus supporting justifications and budget estimates. 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
Disposition: Cut off files at the end of the fiscal year. Destroy 3 years after cutoff.

c. The recordkeeping copy of 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 Office of Finance, Control Group.
Disposition: Destroy 1 year after the close of the fiscal years covered by the budget.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Monthly Memoranda on the Status of the Budget (N1-474-97-2, item 2)

a. The recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group.
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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group**Audit Monitoring Records (N1-474-97-2, item 3)**

a. The recordkeeping copy of all audit monitoring paper records, including computer printouts, and monthly and semi-annual status reports to the Executive Director on the status of each active audit recommendation.

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

b. Executive Director's copy.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Audit Report File (N1-474-97-2, item 4)

a. The 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 files at the end of the fiscal year in which the audit was completed. Send to the Washington National Records Center [WNRC] 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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Annual Inspector General Act Report (N1-474-97-4, item 4)

Recordkeeping copy of FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Internal Audit Control Materials (Unscheduled)

Recordkeeping copy of electronic data material that are created as internal audits are performed.

Disposition: Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at the FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.

Status: Preliminary drafts were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

FRTIB Unit: Office of Investments

Note: This office was re-established as a separate office, i.e., solely distinct from the previous joint Office of Benefits and Investments [during the Agency's reorganizations].

Office of Investments**Investment and Interfund Policy Records (N1-474-96-4, item 2)**

a. Recordkeeping copy of all background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

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

b. Recordkeeping copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the background papers from archival documents within the Schedule as not all the documents will: a) have a proposed 10 year retention period, and b) will have a greater retention period of 30 years. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Investment and Subject Matter Records (N1-474-96-4, item 3)

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

Disposition: Purge annually. Destroy when three years old.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Investments

Correspondence Reading File for Investments Office (N1-474-96-4, item 6)

Recordkeeping copies of all internal and external correspondence in chronological order that are sent from the Office of Investments.

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

Fund Tracking Systems and Associated Spreadsheets (N1-474-98-2, item 1)

Recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.

a. Clipper System – Monthly and quarterly summary investment performance reports produced from the inception of the TSP investment programs through 2003.

Disposition: Archive all data from system through 2003. Send to FRC. Destroy 15 years after cutoff.

b. Gain/Loss spreadsheets for CY Reports of all funds per Daily Valuation System.

Disposition: Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to the FRC. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the previous now-obsolete Clipper System from the new spreadsheet system, as the retention periods are different. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments. The July 20, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Proxy Voting Report Records (Unscheduled)

Recordkeeping copy of investment manager voting proxy records provided quarterly to the Board – as a result of the shareholder meetings – which become input for performance review memoranda (Ref.: Schedule N1-474-96-4, item 4).

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

Status: Preliminary draft (dated September 7, 2011) for records relating to another Investments Office Schedule. This particular report documentation would verify investment manager retirement records, e.g., FRTIB could examine the detail of the votes. Such audit examinations would be a reflection of good due diligence. The Proxy Voting Reports are also inputs for another record (N1-474-96-4, item 4). Therefore the proxy voting data are provided to the Board members in performance review memoranda. The September 7, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Investments

Statistical Reports (Unscheduled)

Electronic recordkeeping copy of reports and relevant files containing statistical investment summary information on the TSP funds for submission to the Executive Director and the Board.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary SF-115 draft (dated July 20, 2011) is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

FRTIB Unit: Office of Participant Services

Note: This office consolidated several previous offices: Benefits, Communications, Education and Training, and a part of the External Affairs Office.

Office of Participant Services – Communications Group

Thrift Savings Plan [TSP] Forms (N1-474-97-3, item 1a)

a. Paper records containing background information on development of each form used by the TSP, including internal correspondence, clearance documents, and printed form. It is a history of the form's development.

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

a. Current Forms

Disposition: Cut off when form or current version is revised or obsolete. Move to "Old Forms" drawer.

b. Old Forms

Disposition: Cut off at the end of CY. Destroy 10 years after cutoff.

c. Communications Group Archived Forms

Disposition: Cut off at the end of CY. Destroy 30 years after cutoff.

d. Record Manager's Archived Forms (Recordkeeping copy)

Disposition: Permanent. Cut off at the end of the calendar year.

Transfer to NARA in 5-year blocks 30 days after cutoff (e.g., 1/97-12/01).

Status: Preliminary SF-115 draft (dated July 26, 2011) to implement all required changes for these TSP forms is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist to ensure meeting NARA's required media-neutral schedule implementation.

Continued: Office of Participant Services – Benefits Group

Annuity Index Rate Monthly Report (N1-474-97-2, item 6)

The recordkeeping copy of records that contain correspondence between the annuity vendor and the Office of Participant Services concerning the monthly annuity interest rate schedule.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Participant Services – Director's Office

Agency Correspondence (N1-474-97-2, item 6)

The recordkeeping copy of routine correspondence received from Federal agencies concerning participant accounts or TSP policy/procedure regulations. It includes the incoming letter, FRTIB's reply, and background information.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Attachment 2:

Compilation of Pending SF-115 Original Submissions to NARA and Drafts for FRTIB's Internal Review prepared on September 27, 2011 by V. Scott, Program Analyst and Records Management Specialist, Office of Finance, Administration Group

Attachment 1 for NARA's
E-Records Scheduling

Source for Direction and Guidance for this reporting: NARA Bulletin No. 2010-02

Note: This detail shows current status of existing records (all 3 categories), including those to be updated or revised.

Three categories (per Bulletin 2010-02: "electronic records series and electronic systems, including website content ... ") FRTIB Group's Record Schedules (according to NARA-Approved current RM Handbook and Schedules)	Existing Schedules	SERIES	SYSTEM	WEBSITE	TOTAL	GRS	Projected Schedules
	Approved Records Schedules (All Media) Number	Portion of Existing Series Electronic Approved Schedules	Portion of Existing System Electronic Approved Schedules	Portion of Existing Website Electronic Approved Schedules	Existing Series, System & Website Approved Electronic Schedules	General Records Schedules used GRS 20 and GRS 23, as applicable	SF-115s to Update New Series, System, or Website Pending Determination or Submission
Accounting	16	4	1		5		1 (system schedule to be revised)
Administration	19	1		1	2		1 (website)
Automated Systems	14			5	5		1 (website)
Benefits & Investments	32	6	1		7		
Board	8	0			0		
Communications	16	0			0		
Employee Thrift Advisory Council	6	0			0		
Office of Executive Director	8	0			0		
Office of External Affairs	27	0			0		
Office of General Council	20	4			4		
Office of Participant Services now oversees the records previously stored by National Finance Center	5	2			2		
	171	17	2	6	25		3

Federal Retirement Thrift Investment Board

Holdings Report: Approved Records Schedules for Each Office
Group: Program and GRS

Percentage of E-Records held determined by Group Totals

Current Electronic Records Schedules * ~ 15%

Identification: Record Number and Brief Description	% for each Unit Group	Total % of Electronic Records
Records re. direction and program planning for accounting and investment functions of the FRTIB. Series = N1-474-96-5, items 1c, 2c, 3c and 4c; System = N1-474-98-2, item 3, obsolete - new System to be scheduled.	31.25	31.25
Records re. Personnel, Procurement, Space/Building/Property Management, Communications and Transportation, and Mail and Distribution. System = N1-474-002, item 1b; item 1c(1); and Website = N1-474-98-1, item 1	10.526	10.53
Records re. development and operation of automated RK system for TSP accounts; communications; and office automation/administrative support systems. N1-474-98-1, item 2b; item 3; item 5; N1-474-01-1, item 1; item 2	35.714	35.71
Records re.functions re. planning, developing, and implementing policies relating to disbursement of TSP benefits. Series = N1-474-00-6,1b; 1c; 1f; N1-474-96-4,1b; N1-474-02-1,1b; 1c; and System = N1-474-98-2, item 1	21.875	21.88
	0	0
	0	0
	0	0
	0	0
	0	0
Records relating to legal services provided to the FRTIB N1-474-00-1, item 1a; item 1c; N1-474-00-4, item 2a; item 2b	20	20
Records relating to administration of the Thrift Savings [Retirement] Plan: N1-474-97-6, item 1b; N1-474-00-5 item (1)	40	40
	14.620	0.146
	~ 15%	

Record Schedule Actions Completed during Second 2011 Reporting Period (Apr-Sep 2011)

SF-115s for unscheduled or revision of existing records for Series, System, or Website

[Note: See Attachment 2: Detail of FRTIB's Pending SF-115 Actions]

Pending Schedule Requests: SF115s submitted to NARA and SF115 drafts within FRTIB's Internal Review Process

Description & Status of New (SF-115) Record Schedule Requests

1 new Request for Schedule (series) for Unemployment Compensation (internal FRTIB review approved for submission to Appraisal Archivist) for OF-Adm. Group

6 drafted Requests (series) for OF-Control Group; 1 drafted Request (system) for existing Fund Tracking System for OI, and and 5 drafted Requests (series) for OI. All within FRTIB internal review.

2 approved original SF-115s to Appraisal Archivist, R. Meservy: Ex. Dir.'s Monthly Calendar and Ex. Dir.'s Correspondence (series) - 1 existing and 1 unscheduled.

Set Up/Prepared by V. Scott, June 8, 2010
Update on 3/29/11 for March 2011 Submission

Last Update on Sept. 28, 2011 for 9/30/2011
Semi-Annual Report Submission

* Note: Records Schedules are being updated as needed; additional electronic schedules are being determined and will be added as required.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

2 AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) DATE 12/20/2010
Records Management Officer

3 AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, Administration Group, FRTIB Telephone: (202) 942-1629

4 RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and Title) DATE

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-10-031

6 RECORDS DATA

ACCESSION NUMBER			VOLUME 11 DVDs	AGENCY DVD NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0001	11	1 of 11 through 11 of 11 (Set No.3)	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 1c : General Ledger and Work Papers for CY 2005. These records contain all accounting transactions for the FRTIB. STORE DVDs in an "ENVIRONMENTALLY-CONTROLLED AREA" [VAULT] * <u>Note</u> : Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 1c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	Contingent Schedule, i.e., while 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner." 1/1/2036 Approved for transfer. Put this copy in the last box of the accession.				

VIVIAN.SCOTT@TSP.GOV>

Electronic SF 135

1-12-11

Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

2 AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) DATE 12/20/2010
Records Management Officer

3 AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, Administration Group, FRTIB Telephone: (202) 942-1629

4 RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and Title) DATE

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-10-032

6 RECORDS DATA

ACCESSION NUMBER			VOLUME 11 DVDs	AGENCY DVD NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0002	11 Set 3 of DVDs 1 Case	1 of 11 through 11 of 11 (Set No.3)	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 2c : Investment Source Documents for CY 2005 – Reports from Dept of Treasury confirming purchase of Treasury securities and earned interest. These records document Fund transactions. STORE DVDs in an "ENVIRONMENTALLY-CONTROLLED AREA" [VAULT] * <u>Note</u> : Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 2c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	Contingent Schedule, i.e., while 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner." 1/1/2036 Approved for transfer. Put this copy in the last box of the accession.				

VIVIAN.SCOTT@TSP.GOV>

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RECORDS TRANSMITTAL AND RECEIPT

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Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) Records Management Officer	DATE July 12, 2011
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, FRTIB (202) 942-1629 July 12, 2011	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-11-008

6 RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0012	1 metal box storing 4 DVDs (Set 3 of 4 DVDs)	1 of 1 metal box thru 1 of 1 metal box	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 3c : Status and Statistical Reports for CY 2005. These records contain reports that show all fund investments activity, i.e., contributions, withdrawals, administrative expenses, interfund transfers, loans, etc. STORE WNRC-approved DataLink Metal Box containing the 4 DVDs in WNRC's "TEXTUAL ENVIRONMENTAL-CONTROLLED AREA" * <u>Note:</u> Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 3c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	1/1/2036 Contingent Schedule, i.e., while eligible 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner."	Approved for transfer. Put this copy in the last box of the transfer.			

VIVIAN.SCOTT@TSP.GOV>

Electronic SF 135
7-18-11

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36 CFR 1228.152

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-11-009

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) Records Management Officer	DATE July 13, 2011
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, FRTIB (202) 942-1629	DATE July 13, 2011
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE

6 RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0013 Set 3 of 1 DVD	1 metal box storing 1 DVD	1 of 1 metal box thru 1 of 1 metal box	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 4c : Reconciliations for CY 2005. These records consist of TSP reconciliation reports for all funds managed by the Board. STORE WNRC-approved DataLink Metal Box containing the 1 DVD in WNRC's "TEXTUAL ENVIRONMENTAL-CONTROLLED AREA" * <u>Note:</u> Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 4c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	1/1/2036 Contingent Schedule, i.e., while eligible 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner."	Approved for transfer. Put this copy in the last box of the transfer.			

VIVIAN.SCOTT@TSP.GOV>

Electronic SF 135
7-18-11

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Prescribed by NARA
36 CFR 1228.152

Rebekah Meservy - Your Assistance Requested for: 1) Response to my March 28, 2012 E-mail Re. ERA Account Manager; and 2) Registration for ERA Boot Camp on May 3, 2012

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "ERAaccounts@nara.gov" <'ERAaccounts@nara.gov'>
Date: 4/5/2012 6:12 PM
Subject: Your Assistance Requested for: 1) Response to my March 28, 2012 E-mail Re. ERA Account Manager; and 2) Registration for ERA Boot Camp on May 3, 2012
CC: Michael Carlson <Michael.Carlson@NARA.GOV>, <Michael.Kargozian@NARA.GOV>...
Attachments: April Briefing - 3-6-12.pptx; Getting Started With ERA_initial steps_March 2012.mht; NARA ERA Email_Invitation to NARA's ERA Boot Camp April 5.htm; ERA Agency-User Manual.pdf

To: ERA Accounts Official

May I please have a response to my March 28, 2012 email (copy below) regarding the following two issues:

- 1) Your approval of an ERA Account for FRTIB. Susan C. Crowder, the Acting Records Management Officer for FRTIB has delegated me to serve as the ERA Account Manager at this time.
- 2) Your assistance requested to register me for the May 3, 2012 Boot Camp. I have tried several times via the web link provided without success. Although I completed all the steps within the program, and provided my information, I have not received a response for my April 5 application or for May 3.

Please note that I will be out of the office through April 17, and can be reached upon my return on April 18.

Thank you in advance for your assistance.

Sincerely,

*Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1676
E-mail: vscott@tsp.gov*

From: Vivian Scott
Sent: Wednesday, March 28, 2012 4:59 PM
To: 'ERAaccounts@nara.gov'
Cc: 'Michael Carlson'; Michael Karagozian; 'William Bridges'; 'Rebekah Meservy'; Susan Crowder; Gisile Goethe; Susan Peine; Angela Tucker; Randall Berry
Subject: ERA Account and ERA Account Manager Requests for the Federal Retirement Thrift Investment Board

To: ERA Accounts Official
National Archives and Records Administration

Dear NARA Official:

Request for Electronic Records Archives (ERA) Account

Per the request of, and on behalf of Mrs. Susan C. Crowder, Deputy Chief Financial Officer and Acting Records Management Officer, please set up an ERA Account for the Federal Retirement Thrift Investment Board (FRTIB).

Request for NARA to Appoint ERA Account Manager

As I have served as Records Management Specialist since October 2005 (concurrent with Program Analyst responsibilities), and as a Records Management Custodian since 1999, Mrs. Crowder has authorized me to serve as FRTIB's ERA Account Manager. With respect to understanding the comprehensive scope of multiple functions, I have completed all NARA Knowledge-Area Courses (1 through 6), plus advanced courses (Electronic Records, COOP for Emergency Planning and Disaster Recovery, Vital Records, etc.). After successfully completing NARA's five required exams, I earned the Certificate in Records Management Training, and have performed records management functions since early 2006. The previous Records Management Officer (January 2008-September 2011), Barbara Torres, delegated most records management responsibilities and work to me, e.g., since NARA's mandatory-report deployments, I have completed NARA's semi-annual Status Report on Electronic Records Scheduling and annual Self-Assessments; and required actions according to FRTIB's Records Management Directive.

My agency information follows:

Vivian Anne Scott
Records Management Specialist (and Program Analyst)
Federal Retirement Thrift Investment Board
Office of Finance – Administration Group
77K Street, N.E., Suite 1000
Washington, DC 20002
Telephone: 202/942-1629
Email: vscott@tsp.gov

Please note my completion of the following actions (in compliance with ERA's Account Manager initiation requirements):

1. Re. "ERA Rollout in April 2012" – Presentation prepared on February 9, 2012:
Vivian Scott participated in Webinar presented on March 6, 2012 – presented by Michael Carlson and Michael Karagozian to ERA agency applicants.
Please note: see page 7 of the attached "April Briefing – 3-6-12" which shows FRTIB as one of the "Adopted" federal agencies.

2. Reviewed the 194-page ERA Agency-User Manual (attached), and – as requested by NARA – will print and maintain as a
Desk Guide for the ERA Account Manager to use for operations and reference.

3. Training – of the modules available at ERA web-site – is planned to be completed before the April 5, 2012 "Boot Camp."
Please note: in view of short time remaining before registration closes, I will attempt to register myself

and Angela Tucker (Records Custodian)

today to ensure confirmation for the April 5 session. The ERA Modular training will be completed as soon as possible, before April 5.

4. Requesting an ERA Account and Account Manager for FRTIB: according to NARA/ERA direction and guidance.

It is noted that in section 3b (Reauthorizing ERA Accounts), FRTIB will be expected to verify updated information quarterly regarding the status of the ERA Account (e.g., Manager oversight).

5. Per my telephone discussions with Mr. Michael Carlson, and the attached invitation from Mr. William Bridges subsequently received, I am submitting a separate email request to attend April 5, 2012 Boot Camp at Archives II. Mrs. Crowder has approved my attending this session, and in addition, she has requested that Mrs. Angela Tucker (Records Custodian) also attend.

In view of the completed actions above, and per Acting Records Management Officer Susan C. Crowder's approval and authorization, please consider FRTIB's request to authorize an ERA Account for FRTIB, and to appoint Vivian Anne Scott as the ERA Account Manager.

Your response will be appreciated as it is required in time to attend the April 5 Boot Camp session.

Thank you for your kind consideration.

Sincerely,

*Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1676
E-mail: vscott@tsp.gov*

ERA Rollout in April 2012

February 9, 2012

Michael Carlson, NARA



Agenda

- ❑ ERA Adoption Plan
- ❑ Sequence of Steps to Deployment
- ❑ Connectivity
- ❑ Links to Account Management Forms and Training



Fulfilling NARA's Mission in the Digital Age

- ❑ Safeguards and preserves the records of our government
- ❑ Ensures that the people can discover, use, and learn from its documentary heritage.
- ❑ Ensures continuing access to the essential documentation of the rights of American citizens and the actions of their government.

ERA Adoption Plan – Important Milestones

- March 2011
 - Begin rolling out ERA to 30 CIO Council Agencies
- July 2011
 - ERA available for use by all Federal agencies
 - The preferred way for scheduling and transferring records to NARA
 - Enhancements deployed in September 2011
- End of FY 2012
 - ERA is required in order to schedule and transfer records to NARA
 - NARA will be contacting agencies to schedule preparation and training activities prior to agency adoption

Enhancements deployed in August 2011

- Streamline Accessioning workflow – allow agency users to sign both forms (Transfer Request and Legal Transfer Instrument) at once
- Enhancing the forms – Changing / redesigning fields and content
- Email Notifications – ERA will send an email to users when they have a task to perform in ERA
- Attachments – Will allow agency and NARA users to attach files to any business object
- Enhancing Ingest Throughput – will allow NARA to ingest larger quantities of data more efficiently
- ARCIS Data migration – Generate TR's automatically

ERA Adoption Plan – Important Milestones

□ April

- Maritime Administration
- Northern Command
- National Drug Intelligence Center
- Pacific Command
- National Institute of Food and Agriculture
- Court Services and Offender Supervision Agency
- Presidio Trust

ERA Adoption Plan – Important Milestones

□ April

- Surface Transportation Board
- Advisory Council on Historic Preservation
- Federal Retirement Thrift Investment Board
- Armed Forces Retirement Home
- Millennium Challenge Corporation

ERA Adoption Plan – Important Milestones

- Starting in April 2012:
 - Use ERA for scheduling records in any media regardless of classification and transferring permanent records to NARA
 - Provide feedback to NARA and help it improve the system

Sequence of Deployment Steps

- Meeting March 6
- Series of steps to take place prior to launch of ERA
 - Steps include identifying user roles, setting up accounts, training staff, getting connected and identifying workload
- April 5 (or later) training session
- Kick off
 - NARA help guide them through the process if necessary
 - NARA prepared to give immediate feedback

Connectivity

□ Connectivity Issues

- Firefox v3.6.X or Internet Explorer v7 recommended
- Windows XP recommended
- NARA needs to know your IP address range
- Packaging Tool
 - Download from <http://www.archives.gov/records-mgmt/era/packaging-tool.html>
 - Connected from ERA portal
 - Requires Java Runtime Environment (JRE) v6 or Later
- No other specific hardware requirements

Getting Started Using ERA

□ Getting Started Using ERA

- <http://www.archives.gov/records-mgmt/era/>
- <http://www.archives.gov/records-mgmt/era/account-request.html>

□ Step One – Appoint an ERA Account Manager

- ERAaccounts@nara.gov

Getting Started Using ERA

- Step Two - Determine ERA User Roles
 - Agency Roles in ERA
 - Scheduling Records
 - Records Scheduler
 - Certifying Official
 - Transferring Records
 - Transferring Official
 - Electronic Transfer Staff
 - Agency Approving Official
 - ERA Account Official assigns ERA roles to staff

Getting Started Using ERA

- Step Three – Get ERA Users Trained
 - <http://www.archives.gov/era/training/intended-audience.html>
 - Identify the classes they need
 - <http://www.archives.gov/era/training/>
 - Get users trained

Getting Started Using ERA

- Step Four - Submit ERA User Account Requests
 - ERA User Account Request Form (NA 3070)
 - Each User fills out the form and submits it
 - ERA Account Manager verifies information and forwards to ERAaccounts@nara.gov

Getting Started Using ERA

- Step Five – Attend April 5 training [invitation forwarded later]
- Pre-requisite for the additional training:
 - Completing the first four steps of the Getting Started Using ERA process.
 - Each person who attends the training should have taken the online training (Step Three) and obtained a User ID and Password (Step Four).

Getting Started Using ERA

- Log on to ERA!
 - <http://www.archives.gov/records-mgmt/era/>

Using ERA

- File transfer sizes
 - HTTPS Upload: 1 gb package size maximum
 - SFTP Upload: unlimited depending upon bandwidth
 - Physical media: suggested for larger shipments
- Prepare work
 - Schedules
 - The quantity of records schedules you may be creating
 - Transfers
 - What records will you be transferring to NARA
 - Let NARA know the disposition authorities of the records you want to transfer by sending email listing the disposition authorities to legacy.schedule@nara.gov
- ERA Help Desk at ERAHelp@nara.gov or 877-372-9594
- Start using ERA
 - Communicate with your appraisal and accessioning archivists

Contact

Michael Carlson

Michael.Carlson@nara.gov

301-837-1578

Or your appraisal or accessioning archivist

Or the ERA Help Desk at 877-372-9594 or

ERAHelp@nara.gov

From: William Bridges [William.Bridges@nara.gov]

Sent: Wednesday, March 21, 2012 6:05 PM

To: kfanizzo@achp.gov; maurice.swinton@afrrh.gov; diana.avery@csosa.gov; rmartin@csrees.usda.gov; brenda.bell@dot.gov; susan.sallaway@fhfa.gov; campbellbi@mcc.gov; sandra.mcafee-symons@northcom.mil; maureen.e.jones@pacom.mil; bjanis@presidiotrust.gov; michelle.thomas@stb.dot.gov; Vivian Scott; thomas.g.sylvia@usdoj.gov

Cc: Michael Carlson; Michael Karagozian

Subject: Invitation to NARA's ERA Boot Camp, April 5

Hello! In anticipation of your agency using the National Archives and Records Administration's Electronic Records Archives (ERA), I am inviting 1-2 agency representatives to attend our one-day "ERA Boot Camp" on **Thursday, April 5 in the Archives II building (8601 Adelphi Rd, College Park, MD 20740), from 9:00 am - 4:00 pm.** (Michael Carlson announced this training opportunity during his ERA Rollout Briefing.)

To enroll, go to <https://nara.learn.com/learncenter.asp?id=178413&DCT=1&sessionid=3-8926C243-24DA-426C-B7FF-69EA376E92B3&page=48&mode=preview>. (Watch for the link wrap.) Space is limited in the training class, so you will need to enroll as soon as possible. Each agency can send 1-2 people; attendees should be anyone who will be using ERA regularly **and** are willing to answer questions from fellow agency users.

BEFORE coming to the training, attendees will need to:

- * Establish ERA accounts
- * Take the existing online training
- * Review the Agency User Manual

You can find information about all of the above at <http://www.archives.gov/records-mgmt/era/>

Transportation

The National Archives has a shuttle that runs from the downtown Archives building (700 Pennsylvania Avenue, NW, Washington, DC 20408) out to the College Park location. The shuttle leaves at 8:00 am from the shuttle stop on the 7th Street side of the building. Similarly, a shuttle leaves Archives II on the hour, and we will finish in time for everyone to catch the 4:00 shuttle back downtown.

Re-Scheduling

If you cannot attend, but are interested in attending at another time, feel free to enroll in one of our other offerings.

Weather

If, on the day of class, OPM announces that the Unscheduled Leave or Telework policy is in effect due to inclement weather, we will re-schedule class for another time.

If you have any questions or if the link provided above does not work, don't hesitate to email me at william.bridges@nara.gov.

Thanks!

Bill

Bill Bridges, Ph.D.
Director, National Records Management Training Program

8601 Adelphi Rd, Room 5332
College Park, MD 20740
(301) 837-1710

From: Rebekah Meservy
To: Angela.Tucker@tsp.gov
Date: 6/22/2012 1:36 PM
Subject: Re: Vivian Scott's Retirement

Hi Angela,

I usually take the metro, but given that Suitland doesn't have great metro access, it would be great if there was a parking spot available. That might help some of my time crunch as well.

Rebekah

-----Original Message-----

From: Angela Tucker <Angela.Tucker@tsp.gov>
To: Meservy, Rebekah <Rebekah.Meservy@nara.gov>

Sent: 6/22/2012 12:19:45 PM
Subject: RE: Vivian Scott's Retirement

Thank you, Rebekah. That is great news! We are looking forward to seeing you on next Thursday. Vivian will be very excited to see you and receive acknowledgement from the Archivist.

Will you be traveling by car? If so, I will check to see if there is an available space for you in the building garage.

Angela Tucker
Office of Resource Management
Ext. 1453

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]
Sent: Friday, June 22, 2012 11:39 AM
To: Angela Tucker
Subject: Re: Vivian Scott's Retirement

Angela,

I have a letter from the Archivist that has been signed and is ready to present to Vivian. I am planning to attend, but have an earlier meeting in Suitland, MD that day, so I may be a bit late.

Look forward to joining you all.

Rebekah

>>> Angela Tucker <Angela.Tucker@tsp.gov> 6/22/2012 11:35 AM >>>
Hello Rebekah,

Just following up with you on Vivian Scott's retirement celebration on Thursday, June 28th, at 12:00 Noon. We hope that you are still available to attend. Also, was it possible to have a certificate or award printed to present to Vivian?

Please contact me at your earliest convenience.

Thanks!
Angela

Angela Tucker
Office of Resource Management

Federal Retirement Thrift Investment Board
Phone (202) 942-1453

From: Angela Tucker
Sent: Monday, June 11, 2012 2:19 PM
To: 'Rebekah.Meservy@nara.gov'
Cc: Gisile Goethe; Randall Berry
Subject: Vivian Scott's pending retirement

Hello Rebekah,

The two attachments provide detail of Vivian Scott's work as Records Management Specialist for the Federal Retirement Thrift Investment Board. The first attachment is a citation for the certificate you are preparing, and the second is detailed background for your information and reference.

If you need more information, we'll be happy to assist you. Thank you and we look forward to seeing you at the retirement celebration for Vivian on:

Thursday, June 28, 2012
12:00 Noon
Federal Retirement Thrift Investment Board
77K Street, NE
10th Floor
Washington, DC 20002
Phone: (202) 942-1600

Angela Tucker
Executive Assistant
Office of Resource Management
Phone: (202) 942-1453

Vivian,

Thank you for your request. Just to clarify - we do not need to approve the obsolescence of a schedule. If the records are no longer being created, you simply no longer use the schedule (you may remove it from your file plan without our approval).

So, although this is good for my information, there is nothing more needed here on NARA's end.

Rebekah

Rebekah Fairbank
Appraisal Archivist
National Archives and Records Administration
Life Cycle Management Division, (NWML)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697

rebekah.fairbank@nara.gov >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 8/23/2011 1:00 PM >>>

Re.: Request for Deletion of OED Records Schedule for Consultant Report Files: Neither Used or Maintained by the OED, OF Groups, or OGC

To: Rebekah L. Fairbank, Appraisal Archivist, NARA

Ref.: Discussions Re. Deletion of Obsolete Records Schedule; Internal Approvals Received per E-mails (below) included with this Action Request

Rebekah,

As previously discussed, the subject Records Schedule – currently listed within the group of Office of the Executive Director's records – is obsolete. Per the enclosed email copies, please see that this same "Consultant Report Files" schedule has been reviewed for use by other appropriate offices within the FRTIB, specifically, the Office of Finance's Administrative and Control Groups, and the Office of General Counsel.

As the record has been determined as no longer usable and thus obsolete, FRTIB requests this record schedule be withdrawn. I have therefore prepared a *Request for Records Disposition Authority* to withdraw the record – as this action appears to be facilitated in Column 10, SF-115 form. However, if a different procedure or form is now to be submitted, please advise.

If permissible to use the SF-115 as attached, I will prepare in final for Barbara Torres' approval for official submission to NARA – and mail to your attention.

Thank you for your assistance regarding this action.

Vivian

*Vivian A. Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

From: Vivian Scott
Sent: Friday, July 15, 2011 3:31 PM
To: Barbara Torres
Subject: Request for Approval to Delete Obsolete Records Schedule: Previous OED Consultant Report Files: N1-474-97-4, item 3

Ref.: **Consultant Report Files, N1-474-97-4, item 3 [Source: FRTIB's RM Handbook, Appendices, September 13, 2000, page A-H-2.]**

Description: Records containing background information from program offices on consultant reports.

Disposition: Cut off at the end of the calendar year during which no further corrective action is necessary. Destroy 3 years after cutoff.

To: Barbara P. Torres, Records Management Officer and Administrative Officer

Barb,

The above-referenced Consultant Reports Schedule was determined obsolete by Lorraine Terry, OED. I have made inquiries to relevant offices within FRTIB, e.g., Office of General Counsel, and Office of Finance-Control Group, and received responses from Megan and Anne that this schedule is not applicable to their series of records (please see their emails below).

May I therefore have your approval to submit request to NARA, per Rebekah Fairbank, that this Schedule be deleted?

Please let me know if you have any questions.

Thank you.

Vivian
Ext. 1629

From: Megan Graziano Grumbine
Sent: Thursday, June 23, 2011 2:55 PM
To: Vivian Scott; Anne Beemer
Cc: Barbara Torres; Lorraine Terry
Subject: RE: Thank You for Your Reply Re. OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

Vivian-
This does not appear to be OGC related – I too am fine deleting this.
MGG

From: Vivian Scott
Sent: Wednesday, June 22, 2011 4:09 PM
To: Anne Beemer; Megan Graziano Grumbine
Cc: Barbara Torres; Lorraine Terry
Subject: Thank You for Your Reply Re. OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

Thanks, Anne, for letting us know.

Vivian

From: Anne Beemer
Sent: Wednesday, June 22, 2011 3:38 PM
To: Vivian Scott; Megan Graziano Grumbine
Cc: Barbara Torres; Lorraine Terry
Subject: RE: OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

I am fine with deleting this record schedule.

From: Vivian Scott
Sent: Wednesday, June 22, 2011 3:04 PM
To: Anne Beemer; Megan Graziano Grumbine
Cc: Barbara Torres; Lorraine Terry
Subject: OED Records Schedule for Consultant Report Files: neither Used or Maintained by the OED

Ref.: Previous communications regarding Scheduled Records not maintained in the Office of the Executive Director

Anne and Megan,

Previously when reviewing all Office of the Executive Director records with Lorraine, and determining some schedules are obsolete, no longer used, or have no records maintained, I reviewed with you both the Annual Inspector General Act Report, N1-474-97-4, item 4, which was determined to be appropriate for Office of Finance's Control Group.

During a further review of a record determined by Lorraine and me as obsolete, I wanted to check with you to see if this record should also be transferred to either OF-Control Group or the Office of General Counsel. The Schedule number does suggest that it belongs with the audit series of records:

Consultant Report Files, N1-474-97-4, item 3 [Source: FRTIB's RM Handbook, Appendices, September 13, 2000, page A-H-2.]

Records containing background information from program offices on consultant reports.

Disposition: Cut off at the end of the calendar year during which no further corrective action is necessary. Destroy 3 years after cutoff.

I again regret that I have no examples of this record to offer for your review. If determined that this Records Schedule is not needed by the Office of Finance's Control Group for audit and budget materials, or the Office of General Counsel for legal oversight, I will request that NARA delete this record from FRTIB's program schedules.

Thank you both for your assistance.

Vivian
Ext. 1629

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 THE EXECUTIVE DIRECTOR [OED]

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

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

August 23, 2011

SIGNATURE OF AGENCY REPRESENTATIVE (signed by)

Barbara P. Torres

TITLE

9. GRS OR
Records Management Officer

10. ACTION

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SUPERSEDED

JOB CITATION

TAKEN (NARA

USE ONLY)

REQUEST TO WITHDRAW OBSOLETE RECORD

Consultant Report Files

Records containing background information from program offices on consultant reports.

Disposition: Cut off at the end of the calendar year during which no further corrective action is necessary. Destroy 3 years after cutoff.

N1-474-97-4,
item 3

LEAVE BLANK (NARA USE ONLY)

JOB NUMBER

DATE RECEIVED

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

Update 8/18/2011 finalizes SF-115 Schedule Request, determined per August 9, 2011 Appraisal Process Meeting

Office of the Executive Director

FILE PLAN, CY 2011

This group of records consists of documents maintained by and relating to the responsibilities and activities of the Office of the Executive Director (OED). This office is responsible for representing the Executive Director in the daily operations of the Thrift Savings Plan (TSP). In this role, the Office of the Executive Director keeps the Executive Director apprised of the programs and activities of the Federal Retirement Thrift Investment Board (FRTIB); Department of the Treasury, Office of Finance and Management; SERCO International - the "recordkeeper"; and BlackRock Institutional Trust Company, N.A. - the Investment manager for the C, F, I, and S Funds. This office also disseminates directions from the Executive Director to the FRTIB. (A number of the records previously maintained in this office were transferred to other program offices responsible for maintaining their schedules, e.g., Board Records are maintained in the Office of General Counsel, and ETAC Records in the Office of External Affairs.) The OED Office also maintains General Records Schedule (GRS) Records, as applicable.

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
0. OED- 0.1	<p><u>Office of the Executive Director's File Plan</u></p> <p>Office of the Executive Director's official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of the Executive Director's inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of the Executive Director's records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition</u>. Destroy when 6 years old, or when no longer needed.</p>	<p>GRS-16, item 2,a(2).</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

File Plan for the Office of the Executive Director, as of August 18, 2011– Supersedes all previous issues. Approved by the OED, August 18, 2011

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
1. OED-1.1	<p><u>Delegations of Authority</u>⁽¹⁾</p> <p>Memoranda from the Executive Director to FRTIB staff documenting the functions and responsibilities that were delegated to a particular organization and/or staff member.</p> <p><u>Disposition.</u> Cut off at the end of the calendar year. Destroy 3 years after the delegation is no longer valid.</p>	N1-474-97-4, item 1	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry
2. OED-2.1	<p><u>Executive Director's Internal Policy Decision File</u>⁽²⁾</p> <p>Paper copies of internal policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB internal policy and the Executive Director's decision.</p> <p><u>Disposition.</u> Permanent. Cut off at the end of the calendar year. Send to the Federal Records Center in 5-year blocks (e.g., 1/86-12/90 is one block) 5 years after cutoff. Transfer to NARA 20 years after cutoff.</p> <p>⁽¹⁾ All documents within this Records Schedule are also Vital Records and subject to federal requirements, i.e., semi-annual recycling and storage off-site as prescribed in the <i>Code of Federal Regulations</i>, 36 CFR, Part 1223; and Chapter 5 of the Federal Retirement Thrift Investment Board's Records Management Handbook.</p> <p>⁽²⁾ Same as footnote ⁽¹⁾ above.</p>	N1-474-97-4, item 2	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
3. OED-3.1	<p>⁽³⁾ <u>Executive Director's Monthly Calendar</u> Recordkeeping copy of the calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.</p> <p><u>Disposition.</u> Cut off at the end of calendar year. Destroy 3 years after cutoff.</p>	<p>N1-474-97-4, item 6</p> <p>[Note: New media-neutral schedule to be issued by NARA per SF-115 Request for Records Disposition Authority submitted to NARA, 6/22/2011, to supersede this 1997 Schedule.] Per Appraisal Process Meeting on Aug. 9, 2011, SF-115 was approved as submitted and is now under further review.</p>	OED: Computer Station/Outlook Platform-System in OED office maintained by Lorraine Terry	Lorraine Terry	Lorraine Terry
4. OED-4.1	<p><u>Executive Director's Correspondence Records</u></p> <p>The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.</p> <p><u>Disposition:</u> Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff (SF 258, <i>Agreement to Transfer Records to the National Archives of the United States</i> is required).</p> <p>⁽³⁾ A sequential change occurred in Record Schedule Item numbers as several Schedules were deleted and/or transferred to other Program units within the FRTIB. * Records identified by the RM Program Manager and Records Custodian, Lorraine Terry. SF-115s (Requests for Records Schedules) are submitted to NARA for proposed records.</p>	<p>[Note: N1-474 Records Schedule number has been requested by a SF-115 Request for Records Disposition Authority revised and re-submitted on 8/18/2011 to NARA.] The SF 115 (initiated on 6/22/2011) was reviewed by NARA's Archivist during Appraisal Process on Aug. 9, 2011. On Aug. 11, 2011, the Archivist's changes were received and entered in Schedule, pending review and approval of proposed retention periods. On 8/17/11 L. Terry and B. Torres reviewed and approved as revised; official SF-115 mailed to NARA (Appraisal Archivist), 8/18/11.</p>	<p>OED: Paper copy of current year maintained in the office of Lorraine Terry.</p> <p>OED: Computer Station/Windows System Directory for OED office maintained by Lorraine Terry</p> <p>File Room 4601: Previous years of records (1987 - 2010)</p>	Lorraine Terry	Lorraine Terry

File Plan for the Office of the Executive Director, as of August 18, 2011-- Supersedes all previous issues. Approved by the OED, August 18, 2011

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<u>GRS Schedules</u> General Records Schedules to be identified (e.g., for Travel and other generic records maintained in OED)	Approved GRS by NARA	OED: Office of Lorraine Terry	Lorraine Terry	Lorraine Terry

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF THE EXECUTIVE DIRECTOR’S RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of August 23, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of the Executive Director (OED) RM Program Manager and Records Custodian: Lorraine Terry, Executive Assistant to the Executive Director	1. Delegations of Authority. N1-474-97-4, item 1	Memoranda from the Executive Director to FRTIB staff documenting the functions and responsibilities that were delegated to a particular organization and/or staff member. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after the delegation is no longer valid. [Note: This is also a Vital Record – duplicate copies are maintained at WNRC.]	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Maintained in the OED. No change for Schedule or Item Number needed. (as of 6/30/11)
	2. Executive Director’s Internal Policy Decision File. N1-474-97-4, item 2	Paper copies of internal policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB internal policy and the Executive Director’s decision. <u>Disposition:</u> Permanent. Cut off at the end of the calendar year. Send to the Federal Records Center in 5-year blocks (e.g., 1/86 – 12/90 is one block) 5 years after cutoff. Transfer to NARA 20 years after cutoff. [Note: This is also a Vital Record – duplicate copies are maintained at WNRC.]	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Maintained in the OED. No change for Schedule or Item Number needed. (as of 6/30/11)
	3. Consultant Report Files. N1-474-97-4, item 3 Pending Action as of 8/23/2011: As Schedule is no longer needed within FRTIB per emails from OED, OF-Administration and Control Groups, and OGC, withdrawal of Schedule was requested by SF-115, 8/23/2011.	Records containing background information from program offices on consultant reports. <u>Disposition:</u> Cut off at the end of the calendar year during which no further corrective action is necessary. Destroy 3 years after cutoff.	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Obsolete. No copies in the OED. Request made to NARA for withdrawal of this schedule no longer needed at FRTIB by OED, OF, or OGC.

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF THE EXECUTIVE DIRECTOR’S RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of August 23, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of the Executive Director (OED) RM Program Manager and Records Custodian: Lorraine Terry, Executive Assistant to the Executive Director	4. Annual Inspector General Act Report. N1-474-97-4, item 4 Pending Action as of 6/20/2011: A drafted revision for Schedule to be maintained by OF-Control Group (for media-neutral approval of recordkeeping copy) sent to Appraisal Archivist (via email) on June 20, 2011.	Copies of the FRTIB’s Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Transferred to Office of Finance’s Control Group, per L.Terry and A. Beemer. (as of 4/30/2011)
	5. Miscellaneous Correspondence on the Employee Thrift Advisory Council. N1-474-97-4, item 4	Correspondence from the Executive Director to the Employee Thrift Advisory Council concerning various matters. It duplicates records maintained by the Office of External Affairs. <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.	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Transferred responsibility to OEA - unit maintaining ETAC records. (as of 4/30/11)
	6. Executive Director’s Monthly Calendar. N1-474-97-4, item 6 Pending Action as of 8/18/2011: [Note: New media-neutral schedule to be issued by NARA per SF-115 <i>Request for Records Disposition Authority</i> submitted to NARA, 6/22/2011, to supersede this 1997 Schedule.] Per Appraisal Process Meeting, Aug. 9, 2011, SF-115 was approved as submitted and is now under further review.	Proposed New Disposition Authority for Existing, Temporary Record: The recordkeeping copy of the monthly calendar of the Executive Director’s official monthly activities that is maintained by his Executive Assistant. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	Maintained in the OED.

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF THE EXECUTIVE DIRECTOR’S RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
RECONCILIATION of RECORD SCHEDULES for CURRENT HOLDINGS
SCHEDULES MAINTAINED, REVISED, OBSOLETE, OR TRANSFERRED TO ANOTHER UNIT
Status Report: as of August 23, 2011

Unit and RM Staff	Program Records Schedule; Pending Actions	Description of NARA-Approved Existing Record and Status: Maintained, Revised, Obsolete, or Transferred to Another Unit	Existing Schedule Date	Results of Transfer or Change; Date
Office of the Executive Director (OED) RM Program Manager and Records Custodian: Lorraine Terry, Executive Assistant to the Executive Director	7. Internal Work Reports of Program Offices N1-474-97-4, item 7	Internal reports made from program offices to the Executive Director concerning the amount of work, types of activities, and status of their programs. These are routine in nature and cover topics, such as the amount of correspondence, status of TSP Bulletins, daily staff availability, overtime use, number of court orders received, etc. a. Executive Director’s copy. <u>Disposition:</u> Cut off at end of the calendar year. Destroy 3 years after cutoff. b. Originating office’s copy. <u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after Cutoff or when no longer needed, whichever is sooner.	9/13/2000 (Installment No. 14 in FRTIB-RM Handbook)	a. Obsolete. No copies in the OED. Request NARA’s deletion of this duplicate record, or b. Transfer responsibility to program units as applicable.
(OED) RM Program Manager and Records Custodian: Lorraine Terry, Executive Assistant to the Executive Director	Executive Director’s Correspondence Records Pending Action as of 8/18/2011: [N1-474 Records Schedule number has been requested by a SF-115 <i>Request for Records Disposition Authority</i> revised and re-submitted on 8/18/2011 to NARA] The SF 115 (initiated on 6/22/2011) was reviewed by NARA’s Archivist during Appraisal Process on Aug. 9, 2011. On Aug. 11, 2011, the Archivist’s changes were received and entered in Schedule, pending review and approval of proposed retention periods. On 8/17/11 L. Terry and B. Torres reviewed and approved as revised; official SF-115 mailed to NARA (Appraisal Archivist), 8/18/11.	Proposed New Disposition Authority for Unscheduled, Permanent Record: The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director. <u>Disposition:</u> Permanent. Cut off at the end of the Executive Director’s tenure. Transfer to the National Archives 3 years after cutoff (SF 258, <i>Agreement to Transfer Records to the National Archives of the United States</i> is required).		Current year maintained in the OED office; files inception to current year maintained in File Room 4601, 4 th floor.

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
DIRECTIVE 28A – RECORDS MANAGEMENT PROGRAM
OFFICE OF THE EXECUTIVE DIRECTOR's RECORD SCHEDULES – DISPOSITIONS OF AUTHORITY
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	Prepared by V. Scott, 4/15/2011 Updated August 23, 2011			

Vivian,

Thank you for your questions. In answer to your first question, you may submit a request to transfer just the 8 years of records you have in paper format. There is no need to print out the following two years at this point.

In order to allow for media neutrality for that item since it is a permanent item you should follow the procedures for submitting a notification of change in format per the instructions in 36 CFR 1225.24 (a)(1). Basically I need an email stating that FRTIB wishes to begin creating the series electronically along with the reference to the series description and the previous disposition authority. The other information I need in the email includes the format the records are now to be maintained in and any appropriate questionnaires (ie, if the records are pdf there is a short questionnaire that determines if the pdfs will meet our transfer guidelines). Additionally, the volume of materials (MB,GB, etc?) that you have at this point would be helpful along with annual accumulation information.

Thanks!
Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 11/10/2011 7:45 PM >>>

Refs.: 1) NARA's Literature on Electronic Transfer for Permanent Records and Related Material (attached); 2) FRTIB's Current Program Records Schedule, N1-474-97-2, item 1a for Permanent Management Reports ; and 3) Meeting between ORSP Records Custodian Veronica Mance and Vivian Scott, November 3, 2011.

To: Ms. Rebekah Meservy, Appraisal Archivist, NARA

Refs.: 1) FRTIB's Records Schedule for Permanent Records: N1-474-97-2, item 1a; and 2) NARA's Current Regulations Re. Transfer of Permanent Records in Electronic Media

Rebekah,

In continuing to work with FRTIB's Units to revise and prepare records disposition requests, there will be a revised Schedule and several new Schedules forthcoming from the Office of Research and Strategic Planning [ORSP]. This email requests your guidance and recommendation, when convenient, with respect to an existing schedule for FRTIB's Management Reports (a permanent schedule previously maintained by the former Office of Benefits and Investments, which is referenced above).

After meeting with the Records Custodian, I learned that the Management reports – previously issued to FRTIB units in paper format – are now being distributed by electronic system process. Further, the files are being retained within the computer network system by the ORSP Records Custodian who is also FRTIB's Policy and Research Officer, Veronica Mance. Ms. Mance advised that for several years (beginning sometime in 2006) the reports are no longer issued in hard copy but distributed and retained in electronic format only.

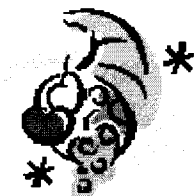
In accordance with the Records Schedule, N1-474-97-2, item 1a, the first ten-block of these management reports were sent to the WNRC for retention before their prescribed transfer to the Archives (block was from 1988 through 1997, per approved SF-258). As the next block of records will be due for transfer in 2012 (from 1998 through 2007), i.e., five years after 1/1/2008 cutoff, I would appreciate knowing if FRTIB may:

- 1) submit a request to transfer for 8 years of records (from 1998 through 2005) or is it necessary to have the full 10-year block? If so, I will request the ORSP maintaining the records now have the remaining two years (2006 and 2007) printed in hard copy.
- 2) in view of the technological obsolescence requirements, does NARA currently have special regulations regarding submissions of electronic formats for permanent records for a schedule that indicates paper, which will be changed to media neutral?

Your guidance and recommendations – only when convenient for your schedule – will be greatly appreciated.

Please note that there is no urgency for your response as I will be out of the office from November 14 through November 28. I look forward to discussing these issues with you when returning, at your convenience.

Thank you for your continued kind assistance. All good wishes for a pleasant Veterans Day holiday weekend



and Happy Thanksgiving, too!

Vivian

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

Rebekah Meservy - NARA's Notification Re. 60-day Initiative to Complete Processing of Agency-Submitted Records Schedules in Appraisal Backlog and FRTIB's Pending Records Schedule Status

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: Susan Crowder <Susan.Crowder@tsp.gov>, Tracey Ray <Tracey.Ray@tsp.gov>, ...
Date: 5/7/2012 6:55 PM
Subject: NARA's Notification Re. 60-day Initiative to Complete Processing of Agency-Submitted Records Schedules in Appraisal Backlog and FRTIB's Pending Records Schedule Status
CC: Rebekah Meservy <Rebekah.Meservy@nara.gov>, Anne Beemer <Anne.Beemer@tsp...>
Attachments: Resent Email Recap of AppraisalArchivist Meeting on April 27 2012 and Actions Required Re. 6 Pending RecordSchedules Reviewed.htm; Tentative Agenda_April 27_2012 Appraisal Process Mtg.pdf

Refs.: 1) NARA-FRTIB Appraisal Archivist Meeting on April 27, 2012 for Office of Investments' 5 pending Schedules and 1 Office of Finance-Administration Group Schedule; 2) Office of Investments' Schedules revisions sent to OI Staff on May 2, 2012 for internal review and approval; and 3) Office of Finance-Control Group proposed Schedules to be resent to Appraisal Archivist in May 2012.

The attached email from Paul M. Wester, Jr., Chief Records Officer for the U.S. Government, affirms that NARA has begun a special "initiative to complete processing of agency-submitted records schedules in the appraisal backlog" (please see NARA's email below).

Status of FRTIB's records schedules submitted to NARA re. Appraisal process: Rebekah Meservy has already performed her appraisal review on FRTIB's SF-115 Records Disposition Requests officially approved and submitted, i.e., for above referenced records (Office of Investments' 5 records schedules; and Office of Finance-Administration Group's 1 record schedule). These 6 records schedules have therefore completed the Appraisal Archivist process and are further being processed toward NARA's approval and issuance of new records schedule numbers. On May 2, the revised 5 Schedules were sent for internal review and approval, and as soon as approved, the FRTIB-official SF-115 *Requests for Records Disposition Authority* will be resubmitted to Rebekah.

Status of FRTIB's pending schedules for Office of Finance's Control Group: these schedules are being revised according to changes requested by appraisal archivist and Anne Beemer and will soon be issued for FRTIB's internal review (Anne Beemer and Susan Crowder) before being officially sent to Rebekah Meservy. As Rebekah has already reviewed the schedules in draft form, an appraisal meeting should be possible soon after Rebekah receives the internally-approved schedules.

Remaining Units' Requirements for Revised Schedule Submissions: At this time, FRTIB does not have any further records schedules pending; however, many of the remaining units' schedules require revisions and updates. I have discussed the status of unit schedules with RM Program Managers and Custodians during the annual inventories and completed assessments. Therefore, FRTIB will have forthcoming revisions for records schedules requiring changes and updates.

More information will be provided as actions are completed concerning these records schedules processes.

Please let me know if you have any questions.

Thank you all.

Vivian

From: RM Communications [mailto:RM.Communications@NARA.GOV]
Sent: Monday, May 07, 2012 7:33 AM
To: NARA-RM-COMMUNICATIONS@LISTSERV.GSA.GOV
Subject: AC17.2012: Reducing the Records Scheduling Backlog

May 7, 2012

AC17.2012

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Reducing the Records Scheduling Backlog

Starting today, Monday, May 7, through Friday, July 6, the Appraisal Teams within Records Management Services (ACNR) will begin a 60-day initiative to complete processing of agency-submitted records schedules in the appraisal backlog. Backlog schedules are defined as those that are at least two years old and have an FY 2009 or older registration number.

During this 60-day focus, appraisers will review all backlog schedules and take actions to move them forward as rapidly as possible for approval. Your appraiser may be contacting you for schedule revisions, appraisal visit appointments, or questions related to these schedules. We ask that you provide prompt responses so that together we can complete these schedules. Your appraisers will continue to work with you on prioritizing your other schedules, and during this 60-day period we will continue to work on other schedules that are already in progress or others that agencies identify as high priority.

Since the start of the fiscal year the Appraisal Teams have already reduced the number of backlog schedules on hand by 40%. We would like to continue this trend throughout the rest of the fiscal year, and as we work through the backlog, we will be collecting data and lessons learned that will help us improve our process for completing future records schedules in a more timely fashion.

We appreciate your cooperation in this ongoing effort to reduce the amount of time it takes to process records schedules, whether they are recently submitted or in the appraisal backlog. We believe this initiative is an important project that supports the NARA transformational pillar to become a *customer-focused organization*. In working towards that goal, we are committed to being responsive to your records management needs, and we look forward to working with you on completing action on all your submitted records schedules.

If you have any questions about your agency's backlog schedules, please contact your Appraisal Archivist. A list of Appraisal Archivists can be found at <http://www.archives.gov/records-mgmt/appraisal/work-group-all.html>. For overall questions about the initiative, contact Margaret Hawkins, Director of Records Management Services, at (301) 837-1799, or by e-mail at margaret.hawkins@nara.gov.

PAUL M. WESTER, JR.
Chief Records Officer for the

U. S. Government



TENTATIVE AGENDA

Federal Retirement Thrift Investment Board (FRTIB) and the National Archives & Records Administration (NARA)

FRTIB-NARA Meeting

at

FRTIB, 77 K Street, N.E., Suite 1000, N.W., Washington, D.C.

Capitol Conference Room, 11th Floor

Date: April 27, 2012

Time: 9:30 a.m. – ~ 2:30 p.m.

Attendees

NARA: Rebekah L. Meservy, Appraisal Archivist, Life Cycle Management Division

FRTIB: Susan C. Crowder, Deputy Chief Financial Officer and Acting Records Officer (invited)
Tracey A. Ray, Chief Investments Officer (invited), Office of Investments
William H. Jacobson, CFA, Financial Analyst and Records Custodian, Office of Investments
Gisile Goethe, Deputy Director, HR/Admin. & RM Program Mgr. (invited), Office of Finance
Kelly Powell, Human Resources/Admin. Specialist and Records Custodian, Office of Finance
Angela Tucker, Records Custodian, Office of Participant Services
Vivian A. Scott, Program Analyst & Records Management Specialist, Office of Finance

9:30 a.m. – 9:45 a.m.

Welcome and Introduction

9:45 a.m. – 10:00 a.m.

Presentation of Meeting Materials

Office of Investments' Records Meeting with NARA **for Records Appraisal Process**

FRTIB O.I. Session

FRTIB Investment Schedules for Review:

10:00 a.m. –

~ 11:45 a.m. *SF-115 – Request for Records Disposition Authority*

Agenda Item 1
Agenda Item 2
Agenda Item 3
Agenda Item 4

Existing Records Schedules (4)

Investment and Interfund Policy Records
Investment and Subject Matter Records
Investment Performance Reports
Fund Tracking Systems and Spreadsheets

*Rebekah L.
Meservy's
Review and
discussion with
FRTIB Investments
Senior and Records
Management Staff*

Agenda Item 5

New Program Records Schedule (1) **Statistical Reports**

Break for Lunch– Suggested:

11:45 a.m. – 12:45 p.m.

Café Phillips (Amenities handout in folder)

From: Vivian Scott

Sent: Wednesday, May 02, 2012 3:45 PM

To: 'Rebekah Meservy'; William Jacobson; Kelly Powell; Angela Tucker

Cc: Tracey Ray; Susan Crowder; Gisile Goethe; Susan Peine; Megan Grumbine; Steffani Pounds

Subject: Resent Email: Recap of Appraisal Archivist Meeting on April 27, 2012 and Actions Required Re. 6 Pending Record Schedules Reviewed

Attachments: Tentative Agenda_April 27_2012 Appraisal Process Mtg.pdf; OGC response to OF-Adm Group Inquiry re. Appeal Process Time Limits for Disposition Schedule.htm; Official Submitted SF-115 Form_OI_Investmt and Interfund Policy_signed 11_2_2011.pdf; Official Submitted OI_SF115 for Investment and Subject Matter Files_signed 11_2_2011.pdf; Official Submitted_OI_SF115 for Investment Performance Rpts_Quarterly and Monthly_signed 11_2_2011.pdf; Official Submitted OI_SF115 for Fund Tracking Systems and Associated Spreadsheets_signed 11_2_2011.pdf; Official Submitted OI_SF115_Statistical Reports_signed 11_2_2011.pdf; Official Submission to NARA_SF115 OF_Administration Group_Unemploymt Comp_signed 11_2_2011.pdf; Approved OI File Plan with 5 pending Schedules as of Dec 31_2011.pdf; File Plan_final draft_August 31_2011 for OF_Administration Group_for BPT approval.doc; Off of Investment_Reconciliation of Existing Schedules_to Current Holdings_as of Dec 31_2011.pdf; NARA Bulletin 2010-02.mht; Federal Retirement Thrift Investment Board - Scott.pdf; Att 1_E-Records Scheduling_March 30_2012 Detail Rpt_Percentage of FRTIB Schedules Calc.xls; Att 2_Pending and Proposed Electronic Records to be Scheduled__E-Records Scheduling Status Report_as of 3_31_2012.pdf; E-Mail Memo from Paul Wester_Re. Status Rpt on E-Records Scheduling.doc
To: Rebekah Meservy-Appraisal Archivist, William Jacobson, Kelly Powell, Angela Tucker

Please note that this email is being resent to you as I have added additional staff referenced within or who have need to access attachments. I have also updated some of the information, i.e., number of Schedules to be redone and submitted for approval (5 for the Office of Investments only).

Rebekah, Bill, Kelly, and Angela,

Thank you for your participation in the April 27 meeting held at FRTIB re. six *Requests for Records Disposition Authority* Records Schedules that were reviewed for NARA's approval during the meeting. The following recap and notes are provided for your information and to identify actions to be taken.

Notes Re. Meeting

The attached tentative agenda was followed with respect to completion of all items, including Appraisal Archivist Rebekah Meservy's explanation of NARA's appraisal policy and process.

During the meeting, Ms. Meservy afforded time for questions and discussion, e.g., specifics of writing descriptions for media-neutral schedules for one record item (i.e., where there would be no part b, c, etc.), the term "recordkeeping copy" is not necessary. Further, usage of vague or ambiguous terms in

disposition (such as “purge”) are discouraged as clear directions such as “cut off at end of calendar year” or “fiscal year” are preferred to prevent confusion.

The importance of properly and securely maintaining emails of scheduled records was also addressed. After Bill Jacobson related his maintenance of emails that contain scheduled materials, i.e., on the *Outlook* platform in folders and within computer directories, Ms. Meservy responded that was a good way for FRTIB units to store emails. Discussion about industrial software such as auto-categorization for capturing specific emails led to agreement that costly software was not needed as FRTIB staff should continue to maintain emails in electronic folders within *Outlook* and within the *Windows* environment (unit computer directories).

Further, in response to my question regarding adding a technological obsolescence clause to disposition schedules to ensure the media device holding e-material was checked every 5 years (in compliance with NARA’s required agencies’ implementation of strategy to ensure readability of electronic records), Rebekah advised that this statement should be a part of a unit’s File Plan, i.e., it is not necessary to write it in the disposition schedule. The importance of this direction to retrieve and examine electronic records every 5 years remains, and is to be added to all File Plans with respect to electronic records maintained.

Presentation by the Office of Investments (William H. Jacobson)

As the Office of Automated Systems responded to Bill Jacobson’s request to facilitate video conferencing, the Office of Investments’ presentation was greatly enhanced and clarified, i.e., with respect to Bill’s overviews of technically-complex investment spreadsheets that are a part of the Investment schedules.

As a result of Bill’s presentations and discussion of the Office of Investment’s pending schedules, Rebekah determined the following changes would be appropriate, e.g., on several Schedules wherein Bill had proposed a more suitable description and timely disposal.

Office of Investments’ Schedules:

Investment and Interfund Policy Records – change in disposition.

Investment and Subject Matter Records – change in disposition.

Investment Performance Reports – No changes needed (except to delete “recordkeeping copy”).

Fund Tracking Systems and Spreadsheets – changes in two dispositions (a) and (b).

Statistical Reports – minor change in descriptive language and disposition procedures.

Presentation by the Office of Finance – Administration/Human Resources Group (Kelly Powell)

FRTIB Personnel Unemployment Compensation Records – No changes needed.

Kelly Powell’s presentation centered on a variety of documents that she provided for review – which clarified the case process and prompted questions regarding appeals. Ms. Meservy requested that Kelly consult FRTIB’s Office of General Counsel regarding time limits for appeal process that could affect proposed disposition schedule of 3 years. This action has been completed; the response from Office of General Counsel was that three years provides plenty of time to complete an appeal process (see the attached email communications between Kelly Powell and Megan Grumbine).

As a result of this review, there is no need to revise the Schedule which can now be continued by Ms. Meservy.

Actions to be Completed

Upon review of all Schedules and changes notated, Ms. Meservy requested that Schedules requiring changes be revised as discussed and, after internal FRTIB approval, be sent to her for processing.

These actions will be completed asap with revised SF-115s prepared and sent to NARA as prescribed. Ms. Meservy advised that – for those records that already have existing Schedule numbers – it is not necessary to mail an original, i.e., a scanned copy emailed to her is acceptable as she already has an original signature by Susan C. Crowder, Acting Records Management Officer.

Any revised originals for new requests, however, do have to be mailed to Ms. Meservy, i.e., for the Office of Investments' new Schedule for Statistical Reports.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Note re. Meeting Materials:

Folders of all distributed materials* were issued to meeting participants and in addition to: Tracey A. Ray, Susan C. Crowder, Gisile Goethe, Susan Peine, and Randall Berry. Some of the meeting materials were also attached to this email and previous communications to make electronic file copies available for those who need this information for easy reference.

A copy of FRTIB's March 2012 Report on Electronic Records Scheduling was also included as this report pertains to pending schedules also by the Office of Finance – Administration Group and the Office of Investments.

Conclusion and Recap

The meeting concluded before 2:00 p.m. on April 27, 2012, and – as always agenda items were successfully completed – all issues were addressed and resultant action items planned.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Questions?

Please let me know if you have any questions regarding the meeting or the materials distributed.

Vivian

* *Meeting Materials*: Tentative Agenda; Pending Records Schedules (SF-115s); File Plans for Office of Finance-Administration Group and Office of Investments; Reconciliation Report for the Office of Investments; Six Pending Schedules to be Reviewed – delineated above; Records Management Roster as of March 1, 2012; March 2012 Report on Electronic Records Scheduling and NARA's Guiding Bulletin 2010-02 re. Agency Responsibilities; NARA-Federal Records Center Media Services and eFRC Information re. NARA's Piloting of an Electronic Records Management System; NARA's Pamphlets: *How to Prepare for an Appraisal Meeting*; *Appraisal Policy of the NARA*; *Electronic Records Management Resource Guide*; *Transferring Electronic Records to NARA – Answers to the Top 5 Questions*; and *Pre-Accessioning – A Strategy for Preserving Permanent Electronic Records*.

From: Vivian Scott
Sent: Tuesday, April 03, 2012 7:22 PM
To: Susan Crowder
Cc: Angela Tucker; Gisile Goethe
Subject: FRTIB's Submission of Mandatory Electronic Records Scheduling Status Report

Susan,

Per my completion and transmission of the subject report last Friday, March 30, and per updates with first two attachments which explain and detail the same report, FRTIB has met the mandatory requirements for this reporting, set forth in NARA Bulletin 2010-02, *Continuing Agency Responsibilities for Scheduling Electronic Records* (copy of Bulletin attached).

Please note that my Attachments 1 and 2 were updated with specific detail regarding the increased number of electronic schedules cited for report. It was important to identify and explain this information for future reference. I have also provided it – as required – to NARA's Appraisal Archivist, Rebekah Meservy. Rebekah will be here on April 27, 2012 to conduct an Appraisal Review of 6 pending schedules (which are cited as part of the attached report).

I have attached all of the items to this email fyi. A printed copy of this March 2012 submission, and past reports that originated in 2009, are maintained in the Records Management Office. If you would like to see a printed copy, please let me know.

Vivian
Ext. 1629

From: Shannon Olsen [mailto:Shannon.Olsen@nara.gov]
Sent: Monday, April 02, 2012 8:30 AM
To: Vivian Scott
Cc: Rebekah Meservy; Susan Crowder
Subject: Re: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

Ms. Scott-

Thank you for your Spring 2012 eRecords Survey submission. Attached is a pdf copy of your submission. The attachments included with your email will be saved with your file. Please let me know if I may be of further assistance.

Sincerely,
Shannon

Shannon Olsen
National Archives and Records Administration
Office of the Chief Records Officer (AC)
Shannon.Olsen@nara.gov
(301) 837-3486

Have you seen our blog? Check it out!
<http://blogs.archives.gov/records-express/>

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 3/30/2012 6:42 PM >>>

Ref.: March 14, 2012 MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling Electronic Records from Paul M. Wester, Jr., Chief Records Officer of the United States

To: Ms. Shannon Olson, NARA's National Records Management Program

In the above referenced email re. federal agencies' required submission of the Semi-Annual Report on Scheduling Electronic Records, I have completed and submitted the report and – per this email transmittal – include the source documentation (attachments).

Per Mr. Wester's referenced email, it is understood that a copy of the report would be sent by NARA with agency request. Therefore, FRTIB is requesting NARA's acknowledgment and copy of the report, in addition to acknowledgment that the 8 attachments have also been received, and will be included with FRTIB's response/submission, i.e., as part of FRTIB's report.

The report and attachments were completed and submitted before the 3/31/2012 prescribed deadline. The attachment data detail text entered in the NARA *QuestionPro* Comment field and are sources for the numerical data provided.

As I received a "thank you for completing the Spring 2012 E-Records Semi-Annual Survey" computer page after submitting the report, I believe that FRTIB's report has been successfully submitted. This positive notice at the end of the report program is very much appreciated. Further, the information contained within the notice to submit a copy of the same report to FRTIB's Appraisal Archivist is also appreciated. This has always been

done with FRTIB's submissions.

Thank you in advance for your assistance in providing a copy of the *QuestionPro* program text responses that I submitted today, 3/30/2012.

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

NARA Session

12:55 p.m. – 1:15 p.m.

FRTIB-NARA Meeting

*Consultation and Guidance from NARA
(Rebekah L. Meservy, Appraisal Archivist)
Appraisal* Policy of the National Archives &
Records Administration*

*Appraisal – the process of determining the value and thus the final disposition of Federal records, making them either temporary or permanent. (Distributed Source: NARA's *Appraisal Policy of the National Archives and Records Administration*, 2-page booklet.)

*Rebekah L.
Meservy's Review
with FRTIB:
Investments;
Finance-
HR/Administration
and Participant
Services staff*

NARA – FRTIB Session

1:15 p.m. – 2:00 p.m.

Office of Finance-Human Resources/ Administration**Groups' New Record Appraisal for:***SF-115 – Request for Records Disposition Authority***New Program Records Schedule (1)****Unemployment Compensation**

Agenda Item 6

*Rebekah L.
Meservy's Review
and discussion with
FRTIB Staff
from Office of
Finance-Admin.-
Human Resources*

NARA Session

2:00 p.m. – 2:15 p.m.

*Discussion and Review of Actions Required for
Records Disposition Authority Process Completion
for FRTIB's Records** Requests*

FRTIB's Cognizance for Appraisal Meeting (Preparedness):
(Cited Source Distributed:

NARA's *How to Prepare for An Appraisal Meeting* and

NARA's Other Guidance Publications - distributed) ***

- ◆ Discuss and clarify specific SF115 appraisal issues.
- ◆ Identify for each specific issue:
 - all key program officials
 - technical information required for transfer
 - regulatory or statutory access concerns
 - locations where information is maintained
 - all formats of information
- ◆ Access to the records, in all formats, with appropriate staff available to answer questions.

2:15 p.m. – 2:30 p.m.

Recap: Actions Required and Concluding Remarks**All**

**As established by *Directive 284*, the FRTIB has a centralized RM system regulation. The records that can be inventoried are those at FRTIB and its known storage and contractor sites (e.g., NARA/WNRC, and SERCO). Records requiring inventory and entry in Records Storage Log are those records generated and maintained at FRTIB or contractor sites which are identified by approved schedules and in compliance with NARA regulations.

Compliant Storage for all holdings off site at WNRC: FRTIB has ensured all records stored on and off site meet requirements (i.e., as directed by NARA's Modern Records Program Office) – with additional Code Requirements under 36 CFR part 1228, Subpart K, and 36 CFR, part 1228.154 and 156 for Facility Certification.

***See Handouts distributed in folders for 4/27/2012 Meeting: NARA's *How to Prepare for Appraisal Meeting*; *Appraisal Policy of the National Archives & Records Administration*; *Electronic Records Management Resource Guide*; *Transferring Permanent Electronic Records to NARA – Answers to the Top 5 Questions*; *Pre-Accessioning – A Strategy for Preserving Permanent Electronic Records*; *e-Media Services*; *e-FRC Program*, and *Bulletin 2010-02*.

Rebekah Meservy - NARA Forms for Completion and Submission by FRTIB -- FW: Request for Customer Training Document Pertinent to ARCIS Gateway 2

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "John McEvoy" <John.McEvoy@nara.gov>, Pam Northern <Pam.Northern@nara.gov>
Date: 6/21/2012 3:45 PM
Subject: NARA Forms for Completion and Submission by FRTIB -- FW: Request for Customer Training Document Pertinent to ARCIS Gateway 2
CC: Gisile Goethe <Gisile.Goethe@tsp.gov>, Angela Tucker <Angela.Tucker@tsp.gov>
Attachments: ARCIS Training Facility.doc; ARCIS Portal Agency Questionnaire_Gateway 1 Demo_6_14_2012.docx

John McEvoy, NARA

Thank you for sending the *ARCIS Training Facility Checklist*. By attachment to this email, I am forwarding this document - together with the *Questionnaire* received from Pam Northern. As indicated in my previous email, arrangements for ARCIS Gateway 2 (Training at FRTIB) will be arranged by the newly-assigned Records Management Specialist, Angela Tucker. Please note the following information regarding current RM staff at FRTIB.

1. Gisile Goethe, Director (Acting), Office of Resource Management, and Records Management Officer
 (Acting) Federal Retirement Thrift Investment Board, 77K Street, N.E., Suite 1000, Washington, DC 20002
Gisile.Goethe@tsp.gov
 Telephone: 202/942-1600

2. Angela M. Tucker, Records Management Specialist, Office of Resource Management
 Federal Retirement Thrift Investment Board, 77K Street, N.E., Suite 1000, Washington, DC 20002
Angela.Tucker@tsp.gov
 Telephone: 202/942-1453

By copy of this email, I am reiterating the need to expedite completion of the Questionnaire and Facility Checklist – so that Gateway 2 Training can be set up within FRTIB for use by those appropriate staff.

Also, as I understand the current ARCIS system is still usable, I will be working with Angela to order 12 boxes of Vital Records for recycling – so that she can have experience with retrieval transactions which will continue to occur within the new system.

Thank you again for your assistance.

Vivian

From: John McEvoy [mailto:John.McEvoy@nara.gov]
Sent: Thursday, June 21, 2012 12:00 PM
To: Vivian Scott
Subject: Re: Request for Customer Training Document Pertinent to ARCIS Gateway 2

Vivian:

Suggested training room set-up attached. Sorry I forgot to send it along Monday. Please contact me when you are ready to meet to discuss next steps.

Thanks- John

>>> Vivian Scott <Vivian.Scott@tsp.gov> 6/14/2012 3:14 PM >>>

To: Mr. John McEvoy, NARA

In reference to a demonstration conducted at FRTIB today by Ms. Pamela Northern, several FRTIB staff members were provided with Gateway 1 materials and information. As Ms. Northern explained that agencies are to review and answer the questions for the ARCIS Portal Rollout, which also include set-up of a lab-type environment – per the Customer Training Checklist – would you please email a

copy of same Checklist to me when convenient?

Thank you.

Vivian A. Scott, FRTIB

From: Vivian Scott

Sent: Thursday, June 14, 2012 3:07 PM

To: Gisile Goethe; Angela Tucker; Denise Clifton

Cc: 'Pam Northern'; 'Rebekah Meservy'; 'John McEvoy'; Susan Peine

Subject: 1) Your Attendance Recommended for NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27, 2012; and 2) ARCIS Gateway 1 Demonstration Today by Pam Northern, NARA/FRC Atlanta

In regard to follow-up actions as a result of this morning's meeting, please note the following:

NARA's BRIDG Meeting – See RM Communications' E-mail below for Registration Information

1) Please note that NARA's next BRIDG Meeting is on Wednesday, June 27, 2012. With respect to mandated issues such as ERA Adoption and current status (FRTIB is already in this program), and other important items (please see NARA's email below), this is one meeting that FRTIB's RM officials should attend, together with appropriate staff who are working in these areas. Registration information is contained within NARA's email – and should be done "no later than June 25."

ARCIS Gateway 1 Demonstration - Encore

2) When meeting with Pam Northern following her ARCIS presentation today, she advised that – after BRIDG Meeting on June 27, - 2012 – a small group will be provided Gateway 1 demonstration and she could reserve space for officials not able to attend the demonstration today. As space is limited, Pam needs to know asap if FRTIB's official RM staff – not able to attend demonstration this morning – could attend on June 27. If so, please let me know so I may contact her and submit your name and FRTIB information.

3) Arranging Gateway 2 – Hands-on Training at FRTIB provided by NARA ARCIS Expert John McEvoy

As Gateway 1 presentation was completed today at FRTIB. Ms. Northern explained the next steps include a hands-on training session (Gateway 2), i.e., after specific FRTIB criteria have been identified [users, super-administrator (certifying official), and completion of Customer Training Questionnaire *]. When FRTIB has determined these criteria, it will be possible to contact John McEvoy to arrange a training session at FRTIB.

As a first step to Gateway 2, please review the attached "ARCIS PORTAL ROLLOUT . . . QUESTIONS FOR THE CUSTOMER TO CONSIDER." *

Please note: As other federal agencies are registering for training sessions, I recommend scheduling a training session at FRTIB with John McEvoy asap.

*As this attachment does not include the *Customer Training Checklist*, I will request document directly from John McEvoy, and forward to Gisile for her review and approval when received.

Vivian

Vivian Anne Scott

Records Management Specialist

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

Email: vscott@tsp.gov

From: RM Communications [mailto:RM.Communications@NARA.GOV]

Sent: Thursday, June 14, 2012 9:58 AM

To: NARA-RM-COMMUNICATIONS@LISTSERV.GSA.GOV

Subject: AC 20. 2012: NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27,

2012

June 14, 2012

AC 20. 2012

MEMORANDUM TO FEDERAL AGENCY CONTACTS: NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27, 2012

Please mark your calendars for the next BRIDG meeting scheduled for Wednesday, June 27, 2012.

The meeting will be held at the National Archives and Records Administration downtown building, 700 Pennsylvania Avenue, NW (Metrorail's Yellow or Green lines to the Archives/Navy Memorial station) in the McGowan Theater. Please enter on the Constitution Avenue side of the building, the "Special Events" entrance (which is actually the exit for the general public).

We will begin with an informal networking hour from 9:00 a.m. to 10:00 a.m. in the Washington Room (mezzanine level). The BRIDG meeting will run from 10:00 a.m. to 12:00 p.m. in the McGowan Theater (basement level).

Meeting agenda items include the following:

Introduction to Offices and Functions within Agency Services

John Fitzpatrick, Director, Information Security Oversight Office
Don McIlwain, Supervisory Archivist, National Declassification Center
Miriam Nisbet, Director, Office of Government Information Services

ERA Adoption and the Annual Move of Records to NARA

Mike Carlson, ERA User Adoption Coordinator, Office of the Chief Records Officer
Lynn Stewart, Permanent Records Capture Section, Office of the Chief Records Officer

Misidentified Accessioned Records and Freezes

Ann Cummings, Supervisory Archivist for Textual Records, Washington, DC
Maggie Hawkins, Director of Records Management Services, Office of the Chief Records Officer
Ron Mitchell, National Accounts Manager, Federal Records Centers Program

NARA will make this meeting available via webcast. Please note we will be webcasting live, and we are still experimenting with webcasting services, hardware, and software. The webcast will include an American Sign Language interpreter.

Please visit this link (<http://www.archives.gov/records-mgmt/meetings/webcast-instructions.html>) to view the steps you will need to take to view the webcast.

Beginning with this meeting, NARA will provide free wi-fi to on-site participants in the McGowan Theater. We will also be monitoring questions from both the on-site and remote audiences through Twitter. If you would like to ask a question or make a comment, please use the #NARABRIDG hashtag.

To reserve a place for the Agency Services-BRIDG meeting and/or the pre-BRIDG networking hour, please provide your name, telephone number, and agency name via email to rm.communications@nara.gov, no later than **Monday, June 25, 2012**. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name, telephone number, and email address. If you would like to attend the pre-BRIDG networking hour, please RSVP in your email response, so that we can determine an accurate headcount for catering. You **do not** need to RSVP if you plan to attend via the webcast.

Please email Shannon Olsen at shannon.olsen@nara.gov, or call 301-837-3486 if you need assistance.

NARA encourages agencies to participate at BRIDG by presenting best practices or lessons learned that would be helpful to other attending agencies. If you wish to lead a discussion, please reply to this RM Communications.

NARA reserves the right to postpone or cancel a meeting at any time. We will make every effort to contact registrants by e-mail and telephone if that occurs, so complete information at the time of registration is very important. Meetings WILL BE CANCELED if the Office of Personnel Management (OPM) announces a "closed," "unscheduled leave," "liberal leave," or "delayed arrival" policy for Federal employees for that day or if there has been an elevation to threat level RED in the Homeland Security status. Official Government closing and leave information is located on the OPM web site at www.opm.gov.

PAUL M. WESTER, JR.
Chief Records Officer for the
U.S. Government

DAVID WEINBERG
Director, Federal Records Centers Program

Suggested Facility/Equipment Requirement Checklist**General Room Configuration**

- ☐ Temperature, noise, and lighting controlled to facilitate a positive learning environment. Lighting must facilitate the comfortable reading of written handouts without bleaching out the LCD projector image.
- ☐ 1 instructor PC that meets Instructor/Participant Workstation Requirements shown below. Instructor monitor, in addition to LCD projector is highly desirable, but not required.
- ☐ 1 networked or direct connected printer and paper for instructor.
- ☐ 1 LCD VGA/XVGA projector connected to instructor PC. Projector must be of high enough quality to overcome room lighting and clearly display small text often associated with form field headings.
- ☐ 1 projector screen positioned to the side of the instructor workstation. Size of the projected image and the position of the screen will facilitate easy viewing for all participants.
- ☐ 1 instructor workstation/podium positioned so the instructor can stand facing participants without blocking the projector screen while operating the PC.
- ☐ Instructor workstation/podium should have enough flat workspace to accommodate printed lesson plans and instructor materials.
- ☐ 1 side table close to the instructor workstation to hold participant handouts.
- ☐ 1 dry erase board with a supply of dry erase markers and eraser. Must be of adequate size and positioned for all participants to see.
- ☐ 1 PC that meets Instructor/Participant Workstation Requirements shown below for each participant (Maximum of 20 participants).
- ☐ 1 lavalier microphone w/PA for instructor if needed to overcome poor room acoustics.
- ☐ 1 PC monitor for each participant (15in minimum, 17in or larger preferred).
- ☐ 1 PC workstation for each participant positioned for easy viewing of the instructor, projector screen and dry erase board. Must have adequate table-top space to support course materials and pen/pencil writing exercises.

Trainer/Participant Workstation Requirements

- ☐ All PCs should be capable of running modern internet-based applications for each participant and instructor.
- ☐ 1 monitor for each participant. Monitor desired but not necessary for the instructor. 15 in. minimum, 17 in. or larger preferred.
- ☐ Internet connected and accessible from each PC.
- ☐ PC, network, and/or internet user IDs and passwords for each participant and the instructor as applicable.

ARCIS PORTAL ROLLOUT
GATEWAY 1 MEETING
QUESTIONS FOR THE CUSTOMER TO CONSIDER

User Administration

Who will your Super-administrator(s) be?

Who will your Administrators be?

Administrative Hierarchy Decision – Flat or Hierarchical? If you want to build a hierarchical administrative structure, you will need to define Branches.

See the attached information from our User Administration manual (Chapter 4) for more details.

Access Controls

They are: Record Group, Records Center, Charge Account, Agency Defined Field, and Security Classification/Level. All access rights are decisions that will be made as you create each user's profile.

Notes:

Security Classification: If your agency stores classified records with us, your Super-administrator will have to be given access control rights for classified records in order to be able to give those rights to other administrators and users. **NARA will require proof of security clearance prior to giving the Superadministrator those rights.** If the Superadministrator does not possess the necessary security clearance, NARA can add the security classification access control rights for specific individuals with appropriate proof of security clearance.

Agency Defined Fields are an **option** for access controls. A Super-administrator can add Agency Defined fields but the value **must** be added to the records transfers for it to work as an access control. You can have NONE as well as other Agency Defined Fields to segregate a grouping of transfers, or you can have us remove NONE and all transfers will be filtered to the users based on profile attributes. If you want to use Agency Defined Fields as an access control, there is much work to be done prior to your use of the new version of the portal. You will have to create a list of Agency Defined Fields (Accounting, Operations, etc.). Then you will have to take your list of Records Transfers and tell us which field name to apply to each transfer (only one per transfer). Then there is a timing issue to consider, after which all new SF-135s submitted to an FRC will have to have the field name you specify.

If you are a stratified (departmentally billed) customer, you can use your existing charge codes as an access control.

But if you're not stratified, do you want to be? If so, there is much work to be done prior to your use of the new version of the portal. You will have to create a list of two character codes and their descriptions (AC = Accounting, OP = Operations, etc.). Then you will have to take your list of Records Transfers and tell us which code to apply to each transfer (only one per transfer). Then there is a timing issue to consider, after which all new SF-135s submitted to an FRC will have to have the code you specify. You will always have Charge Code 00 as an option too.

If you go this route, you will achieve both departmental billing and access controls based on charge codes. The unfortunate aspect is that it will take some time to complete these changes for you.

Contact Clean-up

We will provide you a list of current "Contacts" in ARCIS. This list will need to be cleaned up for data migration prior to deployment for your agency. We will also need to determine if any of the existing contacts who are also current customer portal users will remain portal users after the deployment.

Change Management

The new version of the portal will in many ways change the way you conduct business with the FRCs. Eventually, you may (and should!) declare that you are fully deployed with the system and may consider telling us to stop accepting paper SFs-135 and OFs-11 in lieu of strictly portal born transfers and requests. In addition, once you are fully deployed, you should also instruct us not to accept any new user applications. We should instead refer them to the ARCIS POC for your agency and your administrator(s) will handle the request. We are working on an addendum to your IAA that will release NARA from responsibility for user administration once you make that declaration. In other words, we will hand over the "keys to ARCIS" to you.

Who will serve as your ARCIS POC after deployment? Our ARCIS Help Desk staff will refer user access applications and other ARCIS issues to the person you designate.

Training

We believe the best way to train your agency is via an instructor led, computer lab environment. We are developing other ways to provide training (computer based, webinar, DVD, etc.) but they will not be available for some time. Our training is designed to "train the trainer." You should consider training your superadministrators and administrators first, knowing that they in turn will train other administrators and users.

Our training session lasts 1.5 days. Day 1 covers User Administration. Day 2 covers Records Transfers and Reference Requests. Training documentation for student and trainer alike is available via a website that will be provided to you.

Who will you send to initial training?

Does your agency have a computer lab? If not, NARA has one in College Park, MD and one in St. Louis, MO that might be available. The possibility of renting a lab from another agency may exist as well as private sector rental.

How will you train all your administrators and users? What about those in other areas of the United States or even the world?

We most certainly recognize your agency's limited travel budget and we ask that you recognize the same for NARA and our limited training resources. We want your deployment of ARCIS to be successful and we will have to work together to make it happen.

If you have questions regarding the ARCIS portal, please contact John McEvoy on 301-837-3056 or john.mcevoy@nara.gov.

Chapter 4

Roles, Structures, and Rules

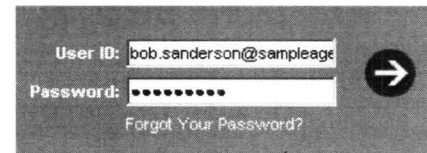
4.1 Users, Administrators, and Superadministrators

Users get created, and user profiles get set up and modified, by ARCIS administrators.

There are three kinds of roles that people can have in ARCIS:

1. **User**
2. **Administrator**
3. **Superadministrator**

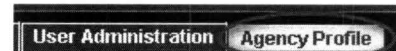
A user is anyone who has an ARCIS user ID, password, and profile, and who can therefore log in and use the system.

A screenshot of the ARCIS login interface. It features a 'User ID' field with the text 'bob.sanderson@sampleage', a 'Password' field with masked characters, and a 'Forgot Your Password?' link. A black arrow button is positioned to the right of the password field.

An administrator is a special type of user. An administrator has been given the extra capability of creating other users and modifying their profiles.

Assigned Capabilities	
Capability	
> Administration	STANDARD: I can create and modify users
> Basic	I can view basic pages and edit my personal information
> Records Transfers 1, CREATE	I can create transfers, and I can view transfers I created

A superadministrator is a special type of administrator. A superadministrator has additional capabilities, such as making certain decisions about how the whole agency is configured in ARCIS. Only a superadministrator sees the **Agency Profile** tab.



There are typically just one or two superadministrators per agency. For more about superadministrators, see the **Superadministrator's Manual**.

4.2 Administrative Structures

Administrators administer users. That is, they create users and modify their profiles.

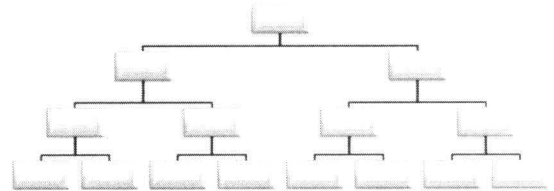
Depending on circumstances, administrators may also administer other administrators.

Exactly what an administrator can do depends in part on how the agency's **administrative structure** is configured in ARCIS and on the administrator's place in that structure.

ARCIS allows agencies to tailor the user administration process to meet their specific needs. There are two kinds of administrative structures, designed to meet the needs of agencies that want to closely control user administration as well as those agencies that do not require so much control.

4.2.1 Hierarchical vs. Flat Administrative Structure

- A **hierarchical administrative structure** is organized into multiple levels.



This sort of structure allows an agency to distribute the task of administering ARCIS users. For example, administrators at one level can create administrators at lower levels, who in turn can create administrators at lower levels, spreading the work of user administration among a number of units.

It also allows an agency to control which administrators can administer what users. For example, an administrator assigned to one part of the branching structure can only administer users in that part of the structure.

An agency that is large, has a complex organizational chart, and/or has many ARCIS users may want to use a hierarchical administrative structure.

- A **flat administrative structure** has only one level.

In this kind of structure, for purposes of user administration, there is no hierarchy. All administrators and users are in the same “bucket,” which includes the whole agency, and any administrator can administer any ARCIS user. A flat administrative structure is simple to set up and keep track of, but it offers less control over who does what.

An agency that is small, has a fairly simple organizational chart, and/or has relatively few ARCIS users may want to use a flat administrative structure.

An agency’s administrative structure must be programmed into ARCIS. Your agency’s superadministrator will have worked with NARA to identify the right kind of structure and set up specific branches, if needed.

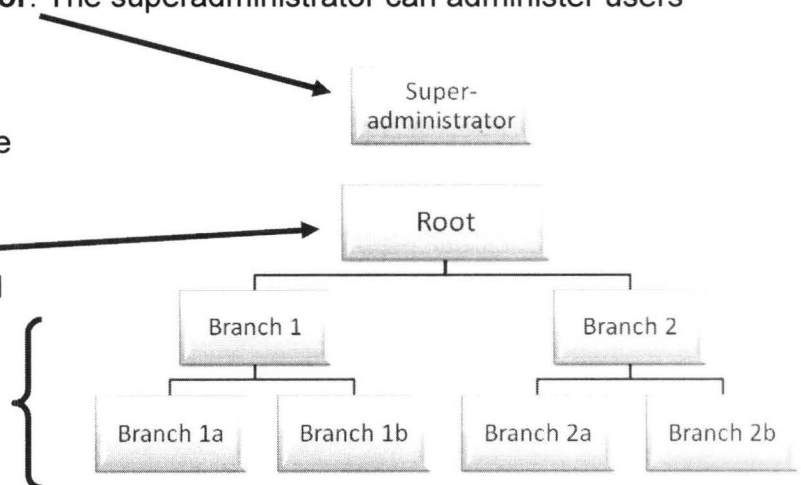
The next sections take a closer look at hierarchical and flat administrative structures.

4.2.2 A Closer Look at a Hierarchical Administrative Structure

In both kinds of structures, there is an entity that sits above the whole structure: the **superadministrator**. The superadministrator can administer users and administrators anywhere in the administrative structure.

In a hierarchical structure, the entire branching tree sits below the superadministrator. The top level of the tree is the **root**. This represents the highest level of the agency.

Below the root are one or more levels of **branches**.



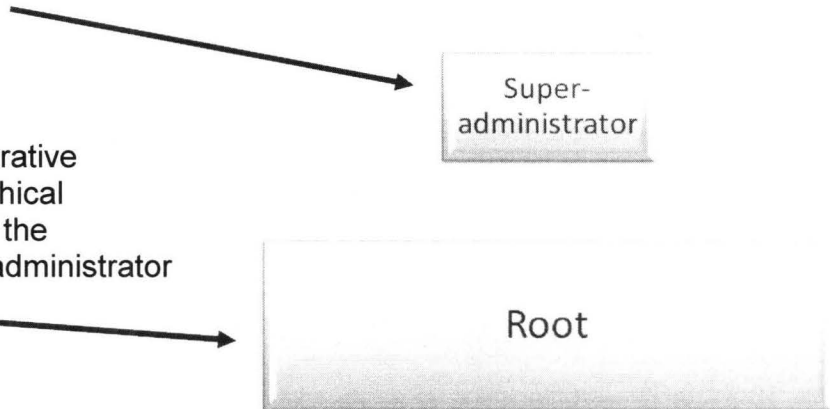
Administrators and users can be assigned to the root or to any of the branches.

A very simple hierarchical administrative structure is seen above. The structure for a real agency could be much more complex, with several levels of branches.

4.2.3 A Closer Look at a Flat Administrative Structure

In a flat administrative structure, as in a hierarchical administrative structure, the **superadministrator** sits above the structure.

And in a flat administrative structure, as in a hierarchical administrative structure, the level beneath the superadministrator is the **root**.



But in a flat administrative structure, there is no tree-like structure below the root. For purposes of user administration, the agency is not subdivided into branches and sub-branches. All administrators and users belong to the same unit—the root.

4.3 Administrative Rules

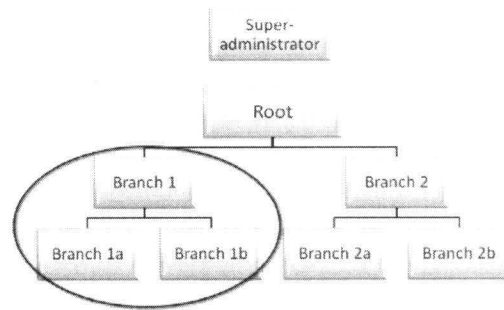
As described previously, administrators administer users. Depending on circumstances, they may also administer other administrators.

Exactly what an administrator can do, and to whom, depends on the agency's structure, on the administrator's place in that structure, and on a few basic rules.

4.3.1 Rule #1: Administering Users (Same Unit or Below)

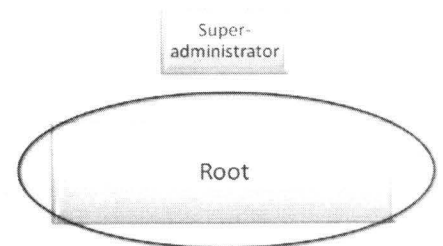
Administrators can administer users in their own unit OR in any unit directly below.

The example at right shows a hierarchical structure. An administrator in Branch 1 can create and modify users in Branch 1 OR in either of the branches directly below Branch 1: Branch 1a or Branch 1b.



An administrator in Branch 1 CANNOT create and modify users at the root level or in Branch 2, Branch 2a, or Branch 2b.

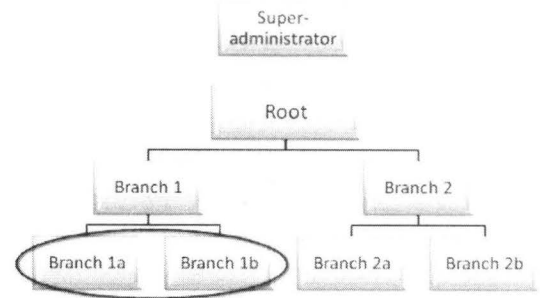
The example at right shows a flat structure. There is only one unit: the root. All administrators are in this unit, and they create and modify users in this unit.



4.3.2 Rule #2: Administering Administrators (Only Below)

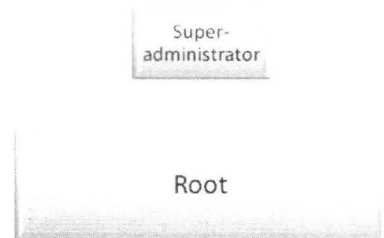
Administrators can administer other administrators ONLY in units directly below them—NOT at their own level. In other words, they cannot create or modify “peer” administrators.

The example at right shows a hierarchical structure. An administrator in Branch 1 can create and modify administrators ONLY in branches directly below Branch 1. In other words, an administrator in Branch 1 can create and modify administrators ONLY in Branch 1a or Branch 1b.



An administrator in Branch 1 **CANNOT** create and modify other administrators in Branch 1.

The example at right shows a flat structure. There is only one unit below the superadministrator: the root. All administrators are this unit. Since there are no branches below the root, administrators cannot create or modify other administrators. They can only create and edit users.

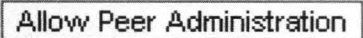


That's the basic rule—the way things work under ordinary circumstances. However, **if necessary, there IS a way to override this rule and to allow administrators to create and modify other administrators at their own level.**

4.3.3 Rule #3: Overriding Rule #2 (Peer Administration)

Under certain circumstances, you may want to give certain administrators the capability of doing **peer administration**—that is, creating and modifying other administrators at their own level.

When creating an administrator, you can grant the administrator this special capability by clicking a special button.



Allow Peer Administration

The next chapter will explore this in more detail, in section 5.6.

I look forward to the agenda. I will be in and out today, but should be able to talk Wednesday if not today. If you call Wednesday, please use my BB number rather than the office as I believe I will be teleworking on Wednesday.

Looking forward to our meetings this Friday.

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov
>>> Vivian Scott <Vivian.Scott@tsp.gov> 4/23/2012 7:02 PM >>>
Rebekah,

Tomorrow I plan to send a drafted Agenda for our Friday, April 27, 2012 meeting. I will also provide directions to FRTIB's new location.

Please also know that the meeting on Friday will probably not take all day in case you need time for another agency in the afternoon. I will contact you by telephone tomorrow or Wednesday to review several issues with you regarding the Schedules – in order to assist your review.

Looking forward to speaking with you soon.

Vivian

*Vivian Anne Scott
Records Management Specialist
Administration Group, Office of Finance
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629*

I'm going through my email and wasn't sure if I had given you a response. I am planning for April 27 at 9 AM.

Rebekah

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 3/5/2012 10:29 AM >>>
Rebekah,

Thank you for your response. Friday, April 27, 2012 is a good date for the meetings. I will contact Kelly Powell and Bill Jacobson and confirm that date with them.

As far as starting time, is 9:00 a.m. okay with you? Since there are 6 Schedules to review, I thought perhaps an early start would allow time to complete them all on April 27.

If you want to make it a bit later, perhaps 9:30 or 10:00 a.m., please let me know. You have a good understanding of how long each Schedule would take so as to know how many hours will be needed.

Please let me know what time is good for you – and so I will confirm date and time.

Vivian

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]
Sent: Monday, March 05, 2012 8:19 AM
To: Vivian Scott
Subject: Re: April 24, 2012 Proposed for Appraisal Archivist Meeting(s) to Review Pending Record Disposition Schedules

Good morning Vivian,

Unfortunately, April 24, 25 and 26 are already filled on my calendar. However, I could do anytime on April 27 or 30. Just let me know which of the days is better and when you would like to me to get there.

Rebekah

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 3/1/2012 6:38 PM >>>
Rebekah,

Re. a planned meeting in April: Bill Jacobson, Kelly Powell, and I would be able to attend on Tuesday, April 24 if that date is good for you. If not, please let me know what would be convenient for your schedule for April 25, 26, 27, and 30.

This would be an all-day meeting, beginning with the Administration Group's schedule review at about 9:00 a.m. (if that time is good for you), and continuing with the Office of Investments through the remainder of the morning and into afternoon.

The meeting would be held at FRTIB's new office address which is (after March 15): **77K Street, N.E., Washington, DC 20002 (near Union Station).**

When convenient, please let me know if April 24th will work for you, and if not, what date you prefer.

Thank you.

Vivian

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]

Sent: Monday, February 27, 2012 6:30 AM

To: Vivian Scott

Cc: Susan Crowder

Subject: Re: Attendance for Appraisal Archivist Meeting(s) to Review Pending Record Disposition Schedules

Thank you for letting me know. I do not need Ms. Crowder present at the meeting. If she is okay with us proceeding with your attendance, then we can go ahead and schedule the meetings at your convenience.

Rebekah

Rebekah (Fairbank) Meservy

Appraisal Archivist

National Archives and Records Administration

Records Management Services (ACNR)

ph. (301) 837-0662

BB (301) 957-8910

fax (301) 837-3697

rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 2/24/2012 7:42 PM >>>

Rebekah,

Today I spoke with Susan Crowder re. the subject Appraisal Archivist meeting. Due to FRTIB's move in March and an overwhelming number of meetings and other commitments, Susan asked whether we could proceed without her attending.

Please let me know if my attendance, representing FRTIB for Susan, would be acceptable to you for these meetings to review the pending schedules. The RM staff who are involved – Mr. William Jacobson for the Office of Investments and Ms. Kelly Powell for the Office of Finance-Administration Group – are very knowledgeable about the technicalities of the pending schedules, e.g., would provide content criteria information.

If Susan Crowder does not need to attend the Appraisal Archivist meeting, I will arrange a meeting as early as possible in April so that you may review the documentation that is to be scheduled.

Thank you and all good wishes for a happy and safe weekend!

Vivian

From: Vivian Scott

Sent: Friday, February 17, 2012 9:56 AM

To: 'Rebekah Meservy'

Cc: Susan Crowder

Subject: Planning Appraisal Archivist Meeting(s) to Review Pending Record Disposition Schedules

Thank you, Rebekah, for your email regarding the Appraisal Archivist Meetings, kind words, and good wishes.

I will start setting up one or two meetings, based on Susan Crowder's preference and her schedule. As soon as a firm date is given by Susan, that is also good for the responsible RM staff, I will contact you.

Thank you also for looking into the 3rd self-assessment issue. I attended the Feb. 15 BRIDG Meeting

but didn't hear of an update for NARA's posting of the results on its website with the first two assessments. Much of the BRIDG Meeting focused on NARA's working with agencies for the Presidential Memorandum response due on March 27 as shown in the *Records Express*.

Vivian

*Vivian Anne Scott
Records Management Specialist
Administration Group, Office of Finance
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629*

From: Rebekah Meservy [mailto:Rebekah.Meservy@nara.gov]
Sent: Friday, February 17, 2012 8:32 AM
To: Vivian Scott
Cc: Susan Crowder
Subject: Re: Actions to be completed following Open House, February 7, 2012

Good Morning Vivian,

You may schedule the visits to appraise records either in two separate visits (one for each office) or both on the same day. Whichever works best for you will be fine. And I look forward to it sometime either the end of March or in April.

I am looking into the self assessment question. It is possible that I was mistaken and it has not yet been posted, but should be soon. I will let you know after I can talk with the lead of the self-assessment group.

Good luck on your move!

Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 2/9/2012 6:52 PM >>>

Thank you, Rebekah, for taking time to answer my questions at the Open House this past Tuesday. It was nice to see you again and I continue to sincerely appreciate your assistance in the Records Schedules and other issues.

Pending Requests for Records Disposition Authority for New and Revised Schedules and Request for Your Preference in Setting Up 1 or 2 Appraisal Archivist Meetings

With respect to the number of pending Records Schedules, there are actually 6 that were sent to you last November:

- 4 Requests are for revisions to 4 *Office of Investment* Schedules;
- 1 Request is for a new Schedule for the *Office of Investments*; and
- 1 Request is for a new Schedule for the *Office of Finance, Administration Group* (Unemployment Compensation).

In order that I may set up the Appraisal Archivist meetings as you wish to have done, would you please let me know if I should schedule two separate meetings for you as there are two different offices: Office of Investments and Office of Finance.

If you prefer to have one meeting at FRTIB for both offices (i.e., on one day) to review all 6 requests, I will need to find a possible date for both Office of Finance and Office of Investments staff – which I shall begin to do, after hearing from you. As I explained at the Open House, it is a very busy time at FRTIB as our agency is moving to a new site on March 16, and most of the management staff is away this week for their annual meeting. I will try to arrange the meeting later in March but it may not be until April that it will be possible. Everyone has begun clearing areas and packing will be starting very soon, and then unpacking will be necessary after the move and setting up offices.

Please know that despite the March 2012 move, which is greatly impacting my work schedule, I am trying to complete the Control Group Schedules that I had sent drafts of last year to you. After speaking with you by telephone and revising those schedules, I plan to prepare in SF-115 final form and submit asap for your review.

Records Schedules for the Office of the Executive Director

When convenient for your schedule, would you please let me know what the date is for those two approved schedules, or how I may access them at the NARA website. I would like to provide that information to the Office of the Executive Director staff and also record it at FRTIB.

Signature Authorization Requested for Susan C. Crowder

As you requested, I will prepare a notification letter to you from Mrs. Susan C. Crowder as she is the responsible official who will be signing the forms for transactions between FRTIB and NARA.

Third Self-Assessment completed in June 2011

After speaking with you at the Open House, I did check the NARA website again for the results of this 3rd Self-Assessment, however, I could only find the 2nd Self-Assessment which was posted in February 2011. Perhaps there is another menu where the 3rd one is posted.

Thank you again for your assistance.

With all good wishes,

Vivian

Rebekah Meservy - Please Help . . . RE: Your Assistance Requested Re. Submitted Report -- Resending E-mail to Angela Dorsey Here - FW: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

From: RM Communications
To: Dorsey, Angela; Scott, Vivian
Date: 9/30/2011 11:25 AM
Subject: Please Help . . . RE: Your Assistance Requested Re. Submitted Report -- Resending E-mail to Angela Dorsey Here - FW: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records
CC: Berry, Randall; Meservy, Rebekah

Hi Vivian,

When I spoke to you on the phone two days ago, I provided you with verbal confirmation that you are currently on the BRIDG registration list and you can attend the BRIDG meeting on October 4th.

Email confirmations for BRIDG are sent to prospective attendees after the registration closes. Since the registration deadline for BRIDG closes today, confirmations will be sent this afternoon. Thanks again for your patience.

Angela

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 10:09 AM >>>
 Angela,

Re. Unanswered Question if Survey Submission was Received and Added Concern About E-mails Caught in NARA's Spam

Thank you for your email, however, it does not answer my repeated question. May I please have a response to my question – per several messages left on your answer phone and my emails – **as I had problems with QuestionPro program and need to know if the submission sent from FRTIB was received when sent on 9/29/2011.**

As you have said that my emails were caught in NARA's spam (and this is both perplexing and troubling as I have not had this problem before) – I am even more concerned that FRTIB's submission that I spent much time on, was not received – particularly if FRTIB transmissions are going to NARA's spam. In the many years I have sent to and received emails from RM Communications, I have not had my emails caught in spam. Please advise if I should use another email address.

In past transmissions for Self Assessments, Evaluations, and other surveys, a generated response was usually received. I have not received any type of response or indication that our report was received. While the QuestionPro computer survey software prompted that the survey was completed, I received no confirmation – from the computer program or by generated response from NARA.

Forum and BRIDG Meetings

Also, as I recall during our telephone conversation a few days ago, you had advised me that confirmations for Forum and Bridg meeting attendance requests would be sent soon – not confirmations for the survey. I am still waiting for a confirmation for attendance for the Forum and Bridg meeting – if I do not receive one, I presume that there is not space available, or I should not attend either of these meetings. I will not be in the office on Monday, October 3, and would also appreciate knowing if it is okay to attend these meetings on Tuesday

morning, October 4.

Vivian

From: Angela Dorsey [mailto:Angela.Dorsey@nara.gov]
Sent: Friday, September 30, 2011 9:48 AM
To: RM Communications; Vivian Scott
Cc: Rebekah Meservy
Subject: Re: Your Assistance Requested Re. Submitted Report -- Resending E-mail to Angela Dorsey Here -
 FW: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on
 Scheduling Electronic Records

Hi Vivian,

I recall speaking to you on the phone regarding your E-Records submission two days ago as well as your RSVP for BRIDG. Yes, I was in the office yesterday; however, your emails were caught in our spam filter and I'm just now able to respond.

As I mentioned on the phone, I will send a confirmation to all individuals today to verify receipt of the e-Records survey submission. Please be aware that you will need to allow us time to provide you with a copy of your submission if you are unable to print your responses via your own computer.

Hope this helps!

Angela

Angela Dorsey
 National Records Management Program (ACN)
 NARA/Agency Services
angela.dorsey@nara.gov
 (301) 837-1754

Check out our blog "Records Express" @
<http://blogs.archives.gov/records-express/> and follow us on Twitter @NARA_RecMgmt
 >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 9:24 AM >>>
 To: RM Communications Staff

Would someone please respond to my 9/29/2011 email to Angela Dorsey (below)? I have left several messages on her answer phone but have not had a response. As I do not know if she is in the office today, I am seeking your assistance.

Please read my email which explains that I was not able to print my submission – as the survey screen prompted that the submission was completed and the software function apparently ended the program. While I did see – at one point – that all my written paragraphs were entered into the program, I was not able to print a copy.

Please let me know if FRTIB's submission was received, and if so, please provide a confirmation that it was in fact received on 9/29/2011. Please also provide a copy of the submission which I need to distribute here to agency officials.

Your response to these messages would be most appreciated.

Vivian A. Scott, FRTIB
 202/942-1629

From: Vivian Scott
Sent: Thursday, September 29, 2011 7:59 PM
To: 'angela.dorsey@nara.gov'
Cc: 'Rebekah Meservy'
Subject: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Ref.: Telephone Message left on Your Answer Phone, this evening, 7:20 p.m. re. completed and submitted *QuestionPro* Survey for Semi-Annual Report

To: Ms. Angela Dorsey, RM Communications, NARA

Angela,

Per my referenced telephone message, would you please assist me in the following:

- 1) Please let me know if RM Communications received my completed responses within the *QuestionPro* Survey – which I completed this evening. Although I received a computer prompt that the survey had been submitted, I was not able to print a copy for FRTIB records or distribution to Agency principals.
- 2) If RM Communications received my submission today, please email me a copy (of my written paragraphs for each question) so I may distribute as required within FRTIB, and maintain a copy in file. As before with all other evaluations and reports, copies are to be distributed to agency officials with prepared attachments. Please note that the attachments included here are to be a part of FRTIB's responses for this Semi-Annual Report.

Your assistance to resolve the *QuestionPro* problems, difficulties, and resultant failure to receive our “guaranteed” copy will be greatly appreciated.

Sincerely,

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Wednesday, September 28, 2011 3:55 PM
To: Vivian Scott
Subject: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Vivian,

Please see below. Hope this helps!

Angela

>>> RM Communications RM.Communications@NARA.GOV> 9/7/2011 3:08 PM >>

September 7, 2011

AC 10.2011

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

On Thursday, September 1, 2011, you should have received Memorandum *AC 08.2011 Semi-annual Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 08.2011, please visit: <http://www.archives.gov/records-mgmt/memos/ac08-2011.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://2011E-RecordsSemiAnnualSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by September 30, 2011.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

- If you must exit the report before completing it, press the "Save and Continue" button. Otherwise, your previous responses will be erased and you will have to start over. Also, when you return to complete the report, you will not be able to access your previous response.
- If you would like to review and/or print your survey responses, click the "print" icon at the end of the survey. If you are still unable to print your survey and would like a .pdf version of your survey responses, email angela.dorsey@nara.gov. Attached is a printable .pdf version of the questions asked in the survey.
- If you wish to change a response, you must submit your request via email to angela.dorsey@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, October 15, 2011.

You will have until 11:59 pm EDT, September 30, 2011, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Angela Dorsey in the National Records Management Program (NRMP) if you have any questions about this survey. Angela may be reached at: angela.dorsey@nara.gov or on 301-837-1754.

PAUL M. WESTER, JR.
Chief Records Officer for the
U.S. Government

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/27/2011 4:28 PM >>>

Dear RM Communications,

Please reserve a place for me to attend NARA's October 4th Forum and BRIDG meetings. May I please have a confirmation if space is available?

Thank you.

Vivian Anne Scott
Program Analyst and Records Management Specialist
Office of Finance - Administration Group
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005

Telephone: 202/942-1629
Fax Number: 202/942-1674

Rebekah Meservy - POC Identification and Indicated Scheduling for Gateway 2 MEETING before Gateway 2 TRAINING

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "'Pam Northern'" <Pam.Northern@nara.gov>, "'John McEvoy'" <John.McEvoy@n...>
Date: 6/27/2012 9:51 AM
Subject: POC Identification and Indicated Scheduling for Gateway 2 MEETING before Gateway 2 TRAINING
CC: Angela Tucker <Angela.Tucker@tsp.gov>, Denise Clifton <Denise.Clifton@ts...

Pam,

Thank you for your email re. the Questionnaire that was sent on May 23. Your June 13 email refers to questionnaire, asking attendees to "look at the questions after your demonstration" (Gateway 1). As the Questionnaire training section was reviewed during your presentation – which included advising FRTIB that super-administrator, administrators, and POC are to be identified – it was indicated that the Questionnaire and Facilities Checklist (from John McEvoy) requires FRTIB response. I had no knowledge or information about a Gateway 2 "meeting" to occur before John McEvoy's "Training Session" (which was indicated as the next step or Gateway 2). As it was also communicated that the Facilities Checklist was required, I subsequently contacted Mr. McEvoy (after your Gateway 1 meeting) and he has sent the ARCIS Facility Requirement Checklist on June 21 – which I forwarded to all appropriate staff.

Your email this morning requests that FRTIB provide "POC" information to you. Is this POC to be the same as the "ARCIS POC" (which is one of the questions in the Questionnaire *)?

FRTIB is most appreciative for the Gateway 1 presentation that you provided on June 14 and looks forward to meeting with John McEvoy for the Gateway 2 Presentation. FRTIB is also complying in every way to accommodate and facilitate this training session for which FRTIB staff are also most appreciative to receive from Mr. McEvoy. I have already forwarded the information-request email that you sent to me on 6/25 to Angela and Gisile for response.

I am also providing a copy of this response to your 6/26 email to all email recipients. As I will not be attending further ARCIS meetings (due to my retirement), please contact Angela and Gisile directly.

Indicated Next Action

From these recent communications, it appears that a Gateway 2 Meeting needs to be set up asap – so that resolution of pending issues can be discussed and agreed-upon at that meeting to occur **before** the Training Session. Therefore, it would be helpful if John McEvoy would communicate to POC (once identified by Gisile Goethe) and a mutually-convenient meeting date can be scheduled with those FRTIB staff that Gisile indicates should attend.

Thank you again for your outstanding and most kind assistance.

Vivian

* **Excerpt from Questionnaire**

-

Change Management

The new version of the portal will in many ways change the way you conduct business with the FRCs. Eventually, you may (and should!) declare that you are fully deployed with the system and may consider telling us to stop accepting paper SFs-135 and OFs-11 in lieu of strictly portal born transfers and requests. In addition, once you are fully deployed, you should also instruct us not to accept any new user applications. We should instead refer them to the ARCIS POC for your agency and your administrator(s) will handle the request. We are working on an addendum to your IAA that will release NARA from responsibility for user administration once you make that declaration. In other words, we will hand over the "keys to ARCIS" to you.

Who will serve as your ARCIS POC after deployment? Our ARCIS Help Desk staff will refer user access applications and other ARCIS issues to the person you designate.

From: Pam Northern [mailto:Pam.Northern@nara.gov]

Sent: Tuesday, June 26, 2012 6:49 PM

To: John McEvoy; Rebekah Meservy; Vivian Scott

Cc: Angela Tucker; Denise Clifton; Gisile Goethe

Subject: Re: ARCIS Gateway 1 Presentation and Questions for Customer to Consider and Submit to NARA -- for ARCIS Gateway 2

Vivian,

For clarification, it is not necessary to submit answers to the Questions for Customer to consider to NARA prior to scheduling the Gateway 2 meeting. During the Gateway 2 meeting, along with John, your agency will answer those questions. In addition, the Gateway 2 is not the training. After the Gateway 2 meeting John will schedule your agency for the 1.5 day training.

Please let me know if you have any questions.

Thanks.

Pam M. Northern
Regional Account Manager
Atlanta Federal Records Center
National Archives and Records Administration
4712 Southpark Blvd.
Ellenwood, GA 30294
(404) 736-2857 (office)
(404) 831-4004 (cell)
(404) 736-2924 (fax)
Tele-work: Mondays and Fridays-please call cell number
Web: www.archives.gov/frc
Facebook: www.facebook.com/NARAFRC
Twitter: www.twitter.com/NARAFRC

>>> Vivian Scott <Vivian.Scott@tsp.gov> 6/15/2012 12:20 PM >>>

To: Pam Northern, Regional Account Manager, NARA

Thank you again, Pam, for your outstanding ARCIS Gateway 1 presentation yesterday at FRTIB. It was a pleasure to meet with you again. Gisile, Angela, Denise, and I also appreciated your including time to answer our questions.

Action Item: FRTIB's Review and Response to *Questions for the Customer to Consider* (to Schedule ARCIS Gateway 2 - Training)

With respect to your ARCIS materials which I distributed in the meeting folders, I am reiterating your request that Gisile, Angela, and Denise review the "Questions for the Customer to Consider" regarding the ARCIS PORTAL ROLLOUT and reply to you and John McEvoy regarding each of the questions.

FRTIB's responses can be coordinated through Angela Tucker, i.e., an email to you with completed, approved responses from Gisile.

Current Records Management officer at FRTIB

Also, in response to your question regarding the current Records Management Officer at FRTIB, please note that Susan Crowder is no longer the Acting Records Management Officer. Please change your records as follows:

Ms. Gisile Goethe
Acting Director, Office of Resource Management, and
Acting Records Management Officer
Office of Resource Management
Federal Retirement Thrift Investment Board
77K Street, N.E., Suite 1000
Washington, DC 20002
Email: Gisile.Goethe@tsp.gov

Thank you again for your most helpful demonstration of the new ARCIS System. Thank you also for your outstanding assistance provided to FRTIB for the many scanning projects during the past several years, including issues relating to ongoing Interagency Agreement.

All good wishes to you,

Vivian

Vivian Anne Scott
Records Management Specialist
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Email: vscott@tsp.gov<<mailto:vscott@tsp.gov>>

-----Original Message-----

From: John McEvoy [<mailto:John.McEvoy@nara.gov>]
Sent: Friday, June 15, 2012 11:44 AM
To: Vivian Scott
Cc: Pam Northern
Subject: Re: Request for Customer Training Document Pertinent to ARCIS Gateway 2

Vivian:

On the road today, will send it on Monday. Will call you within the next few weeks to discuss Gateway 2 aspects as well.

Have a nice weekend.

John

John McEvoy
Federal Records Centers Program
(301) 778-1517

>>> Vivian Scott <Vivian.Scott@tsp.gov> 06/14/12 3:14 PM >>>

To: Mr. John McEvoy, NARA

In reference to a demonstration conducted at FRTIB today by Ms. Pamela Northern, several FRTIB staff members were provided with Gateway 1 materials and information. As Ms. Northern explained that agencies are to review and answer the questions for the ARCIS Portal Rollout, which also include set-up of a lab-type environment - per the Customer Training Checklist - would you please email a copy of same Checklist to me when convenient?

Thank you.

Vivian A. Scott, FRTIB

From: Vivian Scott

Sent: Thursday, June 14, 2012 3:07 PM

To: Gisile Goethe; Angela Tucker; Denise Clifton

Cc: 'Pam Northern'; 'Rebekah Meservy'; 'John McEvoy'; Susan Peine

Subject: 1) Your Attendance Recommended for NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27, 2012; and 2) ARCIS Gateway 1 Demonstration Today by Pam Northern, NARA/FRC Atlanta

In regard to follow-up actions as a result of this morning's meeting, please note the following:

NARA's BRIDG Meeting - See RM Communications' E-mail below for Registration Information

1) Please note that NARA's next BRIDG Meeting is on Wednesday, June 27, 2012. With respect to mandated issues such as ERA Adoption and current status (FRTIB is already in this program), and other important items (please see NARA's email below), this is one meeting that FRTIB's RM officials should attend, together with appropriate staff who are working in these areas. Registration information is contained within NARA's email - and should be done "no later than June 25."

ARCIS Gateway 1 Demonstration - Encore

2) When meeting with Pam Northern following her ARCIS presentation today, she advised that - after BRIDG Meeting on June 27, 2012 - a small group will be provided Gateway 1 demonstration and she could reserve space for officials not able to attend the demonstration today. As space is limited, Pam needs to know asap if FRTIB's official RM staff - not able to attend demonstration this morning - could attend on June 27. If so, please let me know so I may contact her and submit your name and FRTIB information.

3) Arranging Gateway 2 - Hands-on Training at FRTIB provided by NARA ARCIS Expert John McEvoy

As Gateway 1 presentation was completed today at FRTIB, Ms. Northern explained the next steps include a hands-on training session (Gateway 2), i.e., after specific FRTIB criteria have been identified [users, super-administrator (certifying official), and completion of Customer Training Questionnaire *]. When FRTIB has determined these criteria, it will be possible to contact John McEvoy to arrange a training session at FRTIB.

As a first step to Gateway 2, please review the attached "ARCIS PORTAL ROLLOUT . . . QUESTIONS FOR THE CUSTOMER TO CONSIDER." *

Please note: As other federal agencies are registering for training sessions, I recommend scheduling a training session at FRTIB with John McEvoy asap.

*As this attachment does not include the Customer Training Checklist, I will request document directly from John McEvoy, and forward to Gisile for her review and approval when received.

Vivian
Vivian Anne Scott
Records Management Specialist

Federal Retirement Thrift Investment Board
 Telephone: 202/942-1629
 Email: vscott@tsp.gov<mailto:vscott@tsp.gov>

From: RM Communications [mailto:RM.Communications@NARA.GOV]
 Sent: Thursday, June 14, 2012 9:58 AM
 To: NARA-RM-COMMUNICATIONS@LISTSERV.GSA.GOV
 Subject: AC 20. 2012: NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27, 2012

June 14, 2012

AC 20. 2012

MEMORANDUM TO FEDERAL AGENCY CONTACTS: NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG) Meeting on Wednesday, June 27, 2012

Please mark your calendars for the next BRIDG meeting scheduled for Wednesday, June 27, 2012.

The meeting will be held at the National Archives and Records Administration downtown building, 700 Pennsylvania Avenue, NW (Metrorail's Yellow or Green lines to the Archives/Navy Memorial station) in the McGowan Theater. Please enter on the Constitution Avenue side of the building, the "Special Events" entrance (which is actually the exit for the general public).

We will begin with an informal networking hour from 9:00 a.m. to 10:00 a.m. in the Washington Room (mezzanine level). The BRIDG meeting will run from 10:00 a.m. to 12:00 p.m. in the McGowan Theater (basement level).

Meeting agenda items include the following:

- * Introduction to Offices and Functions within Agency Services
 John Fitzpatrick, Director, Information Security Oversight Office
 Don McIlwain, Supervisory Archivist, National Declassification Center
 Miriam Nisbet, Director, Office of Government Information Services

- * ERA Adoption and the Annual Move of Records to NARA
 Mike Carlson, ERA User Adoption Coordinator, Office of the Chief Records Officer
 Lynn Stewart, Permanent Records Capture Section, Office of the Chief Records Officer

- * Misidentified Accessioned Records and Freezes
 Ann Cummings, Supervisory Archivist for Textual Records, Washington, DC
 Maggie Hawkins, Director of Records Management Services, Office of the Chief Records Officer
 Ron Mitchell, National Accounts Manager, Federal Records Centers Program

NARA will make this meeting available via webcast. Please note we will be webcasting live, and we are still experimenting with webcasting services, hardware, and software. The webcast will include an American Sign Language interpreter.

Please visit this link (<http://www.archives.gov/records-mgmt/meetings/webcast-instructions.html>) to view the steps you will need to take to view the webcast.

Beginning with this meeting, NARA will provide free wi-fi to on-site participants in the McGowan Theater. We will also be monitoring questions from both the on-site and remote audiences through Twitter. If you would like to ask a question or make a

comment, please use the #NARABRIDG hashtag.

To reserve a place for the Agency Services-BRIDG meeting and/or the pre-BRIDG networking hour, please provide your name, telephone number, and agency name via email to rm.communications@nara.gov<<mailto:rm.communications@nara.gov>>, no later than Monday, June 25, 2012. You may reserve places for several staff in the same email, but for security purposes we must have each individual's name, telephone number, and email address. If you would like to attend the pre-BRIDG networking hour, please RSVP in your email response, so that we can determine an accurate headcount for catering. You do not need to RSVP if you plan to attend via the webcast.

Please email Shannon Olsen at shannon.olsen@nara.gov<<mailto:shannon.olsen@nara.gov>>, or call 301-837-3486 if you need assistance.

NARA encourages agencies to participate at BRIDG by presenting best practices or lessons learned that would be helpful to other attending agencies. If you wish to lead a discussion, please reply to this RM Communications.

NARA reserves the right to postpone or cancel a meeting at any time. We will make every effort to contact registrants by e-mail and telephone if that occurs, so complete information at the time of registration is very important. Meetings WILL BE CANCELED if the Office of Personnel Management (OPM) announces a "closed," "unscheduled leave," "liberal leave," or "delayed arrival" policy for Federal employees for that day or if there has been an elevation to threat level RED in the Homeland Security status. Official Government closing and leave information is located on the OPM web site at www.opm.gov<<http://www.opm.gov>>.

PAUL M. WESTER, JR.
Chief Records Officer for the
U.S. Government

DAVID WEINBERG
Director, Federal Records Centers Program

Good morning,

I can have a letter of appreciation prepared for the Archivist to sign thanking Vivian for her service and contribution to records management. Since I have only had the pleasure of working with Vivian for a somewhat short time, it would be helpful to have some more specifics about her records management career there at TSP. Anything you provide will be helpful.

Also, I will need to know when you plan to hold the ceremony so that I can be sure that it is ready in time. Also, would you like me to be on hand to present it to her? I would be happy to be there and thank her personally for her contributions.

Thanks,
Rebekah

Rebekah (Fairbank) Meservy
Appraisal Archivist
National Archives and Records Administration
Records Management Services (ACNR)
ph. (301) 837-0662
BB (301) 957-8910
fax (301) 837-3697
rebekah.meservy@nara.gov

>>> Gisile Goethe <Gisile.Goethe@tsp.gov> 5/15/2012 1:16 PM >>>
Greetings Ms. Meservy:

You were invited by Ms. Vivian Scott to come to our agency to discuss our NARA scheduling, among other things covered in the meeting. I cannot tell you how much it meant to Vivian and key staff here that you took the time to assist us as we continue our journey moving forward with sustaining our existing records disposition plan, and formulate a more expansive plan with regard to the Federal Retirement Thrift Investment Board's mission of maintaining TSP accounts for the 4.7 million Federal civilian and uniformed service members.

In any event, Vivian is retiring soon, at the end of June in fact, and we are planning a retirement ceremony at the end of next month, to honor her and her accomplishments here. I was asked to find out if NARA had any form of recognition; a plaque or certificate of appreciation for staff outside of NARA who have done great work at their own agency to ensure NARA principles, regulations, and guidelines are followed, and a successful program of records retention is implemented. Ms. Scott has done that and more for our agency and the staff who assist by office to allow us to stay on schedule and in compliance.

I am sure you are busy and may not be the right person to direct this request to, but if you know of a NARA staff member who can assist with this type of recognition, and the requirements to receive such a certificate of appreciation from NARA, I would appreciate any referral you could provide me.

I thank you in advance for your assistance and hope to hear good news on whether such a program exists.

Gisile Goethe
Acting Director
Office of Resource Management
Federal Retirement Thrift Investment Board
202-942-1452

I received your official communication to change the POC for NARA contacts with FRTIB. Thank you.

I am following up on this request. Would you still like me to prepare a letter for Vivian? If so, I will need details asap so that I can get it through to the Archivist and ready in time.

Thanks!
Rebekah

>>> Gisile Goethe <Gisile.Goethe@tsp.gov> 5/15/2012 1:16 PM >>>
Greetings Ms. Meservy:

You were invited by Ms. Vivian Scott to come to our agency to discuss our NARA scheduling, among other things covered in the meeting. I cannot tell you how much it meant to Vivian and key staff here that you took the time to assist us as we continue our journey moving forward with sustaining our existing records disposition plan, and formulate a more expansive plan with regard to the Federal Retirement Thrift Investment Board's mission of maintaining TSP accounts for the 4.7 million Federal civilian and uniformed service members.

In any event, Vivian is retiring soon, at the end of June in fact, and we are planning a retirement ceremony at the end of next month, to honor her and her accomplishments here. I was asked to find out if NARA had any form of recognition; a plaque or certificate of appreciation for staff outside of NARA who have done great work at their own agency to ensure NARA principles, regulations, and guidelines are followed, and a successful program of records retention is implemented. Ms. Scott has done that and more for our agency and the staff who assist by office to allow us to stay on schedule and in compliance.

I am sure you are busy and may not be the right person to direct this request to, but if you know of a NARA staff member who can assist with this type of recognition, and the requirements to receive such a certificate of appreciation from NARA, I would appreciate any referral you could provide me.

I thank you in advance for your assistance and hope to hear good news on whether such a program exists.

Gisile Goethe
Acting Director
Office of Resource Management
Federal Retirement Thrift Investment Board
202-942-1452

From: Rebekah Meservy
To: vivian.scott@tsp.gov
Date: 3/30/2012 6:49 PM
Subject: Re: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

Thank you Vivian,

I have received your report.

Rebekah

-----Original Message-----

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
Cc: Dorsey, Angela <Angela.Dorsey@nara.gov>
To: Communications, RM <RM.Communications@nara.gov>
Cc: Meservy, Rebekah <Rebekah.Meservy@nara.gov>
To: Olsen, Shannon <Shannon.Olsen@nara.gov>
Cc: Crowder, Susan <Susan.Crowder@tsp.gov>

Sent: 3/30/2012 6:42:47 PM

Subject: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

Ref.: March 14, 2012 MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS:
QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling
Electronic Records from Paul M. Wester, Jr., Chief Records Officer of
the United States

To: Ms. Shannon Olson, NARA's National Records Management Program

In the above referenced email re. federal agencies' required submission of the Semi-Annual Report on Scheduling Electronic Records, I have completed and submitted the report and - per this email transmittal - include the source documentation (attachments).

Per Mr. Wester's referenced email, it is understood that a copy of the report would be sent by NARA with agency request. Therefore, FRTIB is requesting NARA's acknowledgment and copy of the report, in addition to acknowledgment that the 8 attachments have also been received, and will be included with FRTIB's response/submission, i.e., as part of FRTIB's report.

The report and attachments were completed and submitted before the

3/31/2012 prescribed deadline. The attachment data detail text entered in the NARA QuestionPro Comment field and are sources for the numerical data provided.

As I received a "thank you for completing the Spring 2012 E-Records Semi-Annual Survey" computer page after submitting the report, I believe that FRTIB's report has been successfully submitted. This positive notice at the end of the report program is very much appreciated. Further, the information contained within the notice to submit a copy of the same report to FRTIB's Appraisal Archivist is also appreciated. This has always been done with FRTIB's submissions.

Thank you in advance for your assistance in providing a copy of the QuestionPro program text responses that I submitted today, 3/30/2012.

Vivian Anne Scott

Records Management Specialist

Office of Finance

Administration Group, Records Management

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

Fax: 202/942-1674

Email: vscott@tsp.gov <<mailto:vscott@tsp.gov>>

These are all fine from my end. I'm sorry I somehow missed the May 21 email and was unaware you awaiting my action.

Rebekah

>>> Vivian Scott <Vivian.Scott@tsp.gov> 6/4/2012 2:26 PM >>>
Rebekah,

On May 21, I had sent the revisions by email to you for your approval before having them resigned by new Acting RMO. I explained in my May 21 email that FRTIB now has another Acting RMO who will be resigning the revised 5 Office of Investments Schedules (forwarded to you on May 21).

Please see the attached email (in Word) which explains why all 5 OI Schedules were redone and are pending your approval before remailing them to you.

Please Note: As I had email problems during that week, I copied email in a Word document and attached to the resent May 21 email, with the revised 5 Schedules. I did not resend the Administration Group's Unemployment Compensation Schedule because there were no changes to be made. However, I did send all 5 of the Office of Investments Schedules which incorporated the changes we discussed during our Appraisal meeting.

Action Requested:

Please review the attached 5 Schedules and provide your approval so I may run in final, have the new Acting RMO sign, and then send them to you.

Please let me know if you have any questions.

Thank you.

Vivian
202/942-1629

E-mail from Rebekah Meservy, dated June 4, 2012, 2:00 p.m.

Vivian,

I am just checking on the status of the revisions to some of the schedules that we looked at. I have the appraisals for these ready to go and would like to move them forward to the Federal Register, but just need the revisions approved.

Thanks!
Rebekah

From: Vivian Scott
Sent: Monday, May 21, 2012 6:48 PM
To: 'Rebekah Meservy'
Cc: Tracey Ray; William Jacobson; Susan Crowder; Gisile Goethe; Kelly Powell; Ne-Toisha Bailey; Randall Berry; Angela Tucker; Steffani Pounds; OATEAM
Subject:

Rebekah,

After a third attempt to send this email, and again receiving an *Outlook* program prompt that “Operation Failed,” – I am sending the email written on 5/18, and rekeyed today, 5/21, by a *Word* file.

I apologize for any inconvenience.

Vivian

To: Rebekah Meservy, Appraisal Archivist, NARA
cc: Tracey Ray; William Jacobson; Susan Crowder; Gisile Goethe; Kelly Powell; Ne-Toisha Bailey; Randall Berry; Susan Peine; Angela Tucker; Steffani Pounds

Note to Recipients from V. Scott regarding this email:

On Friday, May 18, 2012, I wrote this email and attached the 5 revised Schedules between 5:30 – 6:30 p.m. When transmitting the email and attachments, the computer *Outlook* program prompted that the “Send” function *failed* and the email (although also saved in draft) was destroyed. If any of the recipients received this email and attachments on Friday, May 18, 2012, I apologize for the duplicate transmittal today. From the evidence available in my records, it does not appear that the email was successfully sent (I have no copy in Sent emails). V. Scott, May 21, 2012

Email written and sent on May 18, 2012 to NARA’s Appraisal Archivist, Rebekah Meservy, with copies to appropriate FRTIB Staff

Refs.: May 2, 2012 Email and Our Meeting on April 27, 2012

Rebekah,

SUBJECT: Request for Your Approval of Attached Five Revised Requests before Submitting for FRTIB's Official Signatures and Subsequent Mailing to NARA (Rebekah Meservy, Appraisal Archivist)

As said in my May 2 email, FRTIB would complete the required actions discussed at our referenced April 27, 2012 meeting. Further, you kindly advised that it would not be necessary to mail newly-printed SF-115s for revised Schedules (i.e., already existing Schedules with changes). However, since the time of our last communications, there has been an Agency organizational change and, as a result, there is a new Acting Records Management Officer who will be signing the revised and new Schedules. A letter has been prepared regarding this change and will be sent to you shortly.

Re. Office of Investment’s (OI) Schedules Revised and Approved by OI Director Tracey Ray and Financial Analyst William Jacobson

Please see the attached Schedules which – per our discussion – contain the revised disposition dates. Also please note that I have removed the term “recordkeeping copy” from all the Schedules per our discussion that this term was not necessary. It is FRTIB’s further understanding – from our discussion on April 27 – that it is not necessary to add the phrase “including email” to the description of the record. During our meeting, William Jacobson demonstrated (through his presentation) that emails that are a part of a particular Records Schedule are filed in e-folders within the *Outlook* E-mail platform.

In order that these Schedule requests may be timely submitted – and to include any additional changes that you may have – I have attached the revised SF-115s herewith for your approval before preparing them in final for FRTIB’s official process (review and approval by new certifying official, then mailing originals to you via U.S. Postal Service).

Re. Office of Finance – Administration Group’s Unemployment Compensation Schedule Request – Previously Approved by FRTIB Officials

Please note that per the actions completed since our last communication, the Office of Finance-Administration Group’s schedule for Unemployment Compensation has no revisions. As said in my May 2, 2012 email, this new Schedule request – approved by you at the April 27 meeting – can be continued by you (posting in *Federal Register* and processed by NARA for disposition number).

I will be in the office through May 31 (except for holiday) if you have any questions regarding the attached Schedules. Please note that I also continue to work between two buildings to process remaining records at previous office site for transfer to NARA or for destructions – and request that you please leave a message so I may return the call when returning to 77K Street office.

Thank you again, Rebekah, for your continued outstanding and most kind assistance.

With all good wishes,

Vivian

May 2, 2012 Email

To: Rebekah Meservy-Appraisal Archivist, William Jacobson, Kelly Powell, Angela Tucker

Rebekah, Bill, Kelly, and Angela,

Thank you for your participation in the April 27 meeting held at FRTIB re. six *Requests for Records Disposition Authority* Records Schedules that were reviewed for NARA’s approval during the meeting. The following recap and notes are provided for your information and to identify actions to be taken.

Notes Re. Meeting

The attached tentative agenda was followed with respect to completion of all items, including Appraisal Archivist Rebekah Meservy’s explanation of NARA’s appraisal policy and process.

During the meeting, Ms. Meservy afforded time for questions and discussion, e.g., specifics of writing descriptions for media-neutral schedules for one record item (i.e., where there would be no part b, c, etc.), the term “recordkeeping copy” is not necessary. Further, usage of vague or ambiguous terms in disposition (such as “purge”) are discouraged as clear directions such as “cut off at end of calendar year” or “fiscal year” are preferred to prevent confusion.

The importance of properly and securely maintaining emails of scheduled records was also addressed. After Bill Jacobson related his maintenance of emails that contain scheduled materials, i.e., on the *Outlook* platform in folders and within computer directories, Ms. Meservy responded that was a good way for FRTIB units to store emails. Discussion about industrial software such as auto-categorization for capturing specific emails led to agreement that costly software was not needed as FRTIB staff should continue to maintain emails in electronic folders within *Outlook* and within the *Windows* environment (unit computer directories).

Further, in response to my question regarding adding a technological obsolescence clause to disposition schedules to ensure the media device holding e-material was checked every 5 years (in compliance with NARA's required agencies' implementation of strategy to ensure readability of electronic records), Rebekah advised that this statement should be a part of a unit's File Plan, i.e., it is not necessary to write it in the disposition schedule. The importance of this direction to retrieve and examine electronic records every 5 years remains, and is to be added to all File Plans with respect to electronic records maintained.

Presentation by the Office of Investments (William H. Jacobson)

As the Office of Automated Systems responded to Bill Jacobson's request to facilitate video conferencing, the Office of Investments' presentation was greatly enhanced and clarified, i.e., with respect to Bill's overviews of technically-complex investment spreadsheets that are a part of the Investment schedules.

As a result of Bill's presentations and discussion of the Office of Investment's pending schedules, Rebekah determined the following changes would be appropriate, e.g., on several Schedules wherein Bill had proposed a more suitable description and timely disposal.

Office of Investments' Schedules:

Investment and Interfund Policy Records – change in disposition.

Investment and Subject Matter Records – change in disposition.

Investment Performance Reports – No changes needed (except to delete "recordkeeping copy").

Fund Tracking Systems and Spreadsheets – changes in two dispositions (a) and (b).

Statistical Reports – minor change in descriptive language and disposition procedures.

Presentation by the Office of Finance – Administration/Human Resources Group (Kelly Powell)

FRTIB Personnel Unemployment Compensation Records – No changes needed.

Kelly Powell's presentation centered on a variety of documents that she provided for review – which clarified the case process and prompted questions regarding appeals. Ms. Meservy requested that Kelly consult FRTIB's Office of General Counsel regarding time limits for appeal process that could affect proposed disposition schedule of 3 years. This action has been completed; the response from Office of General Counsel was that three years provides plenty of time to complete an appeal process (see the attached email communications between Kelly Powell and Megan Grumbine).

As a result of this review, there is no need to revise the Schedule which can now be continued by Ms. Meservy.

Actions to be Completed

Upon review of all Schedules and changes notated, Ms. Meservy requested that Schedules requiring changes be revised as discussed and, after internal FRTIB approval, be sent to her for processing.

These actions will be completed asap with revised SF-115s prepared and sent to NARA as prescribed. Ms. Meservy advised that – for those records that already have existing Schedule numbers – it is not necessary to mail an original, i.e., a scanned copy emailed to her is acceptable

as she already has an original signature by Susan C. Crowder, Acting Records Management Officer.

Any revised originals for new requests, however, do have to be mailed to Ms. Meservy, i.e., for the Office of Investments' new Schedule for Statistical Reports.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Note re. Meeting Materials:

Folders of all distributed materials* were issued to meeting participants and in addition to: Tracey A. Ray, Susan C. Crowder, Gisile Goethe, Susan Peine, and Randall Berry. Some of the meeting materials were also attached to this email and previous communications to make electronic file copies available for those who need this information for easy reference.

A copy of FRTIB's March 2012 Report on Electronic Records Scheduling was also included as this report pertains to pending schedules also by the Office of Finance – Administration Group and the Office of Investments.

Conclusion and Recap

The meeting concluded before 2:00 p.m. on April 27, 2012, and – as always agenda items were successfully completed – all issues were addressed and resultant action items planned.

As soon as the 5 Schedules requiring changes are revised (planned for completion by May 2), they will be submitted to Susan C. Crowder for review and approval, then forwarded to Mrs. Meservy.

Questions?

Please let me know if you have any questions regarding the meeting or the materials distributed.

Vivian

* *Meeting Materials:* Tentative Agenda; Pending Records Schedules (SF-115s); File Plans for Office of Finance-Administration Group and Office of Investments; Reconciliation Report for the Office of Investments; Six Pending Schedules to be Reviewed – delineated above; Records Management Roster as of March 1, 2012; March 2012 Report on Electronic Records Scheduling and NARA's Guiding Bulletin 2010-02 re. Agency Responsibilities; NARA-Federal Records Center Media Services and eFRC Information re. NARA's Piloting of an Electronic Records Management System; NARA's Pamphlets: *How to Prepare for an Appraisal Meeting*; *Appraisal Policy of the NARA*; *Electronic Records Management Resource Guide*; *Transferring Electronic Records to NARA – Answers to the Top 5 Questions*; and *Pre-Accessioning – A Strategy for Preserving Permanent Electronic Records*.

From: Vivian Scott
Sent: Tuesday, April 03, 2012 7:22 PM
To: Susan Crowder
Cc: Angela Tucker; Gisile Goethe
Subject: FRTIB's Submission of Mandatory Electronic Records Scheduling Status Report

Susan,

Per my completion and transmission of the subject report last Friday, March 30, and per updates with first two attachments which explain and detail the same report, FRTIB has met the mandatory requirements for this reporting, set forth in NARA Bulletin 2010-02, *Continuing Agency Responsibilities for Scheduling Electronic Records* (copy of Bulletin attached).

Please note that my Attachments 1 and 2 were updated with specific detail regarding the increased number of electronic schedules cited for report. It was important to identify and explain this information for future reference. I have also provided it – as required – to NARA's Appraisal Archivist, Rebekah Meservy. Rebekah will be here on April 27, 2012 to conduct an Appraisal Review of 6 pending schedules (which are cited as part of the attached report).

I have attached all of the items to this email fyi. A printed copy of this March 2012 submission, and past reports that originated in 2009, are maintained in the Records Management Office. If you would like to see a printed copy, please let me know.

Vivian
Ext. 1629

From: Shannon Olsen [mailto:Shannon.Olsen@nara.gov]
Sent: Monday, April 02, 2012 8:30 AM
To: Vivian Scott
Cc: Rebekah Meservy; Susan Crowder
Subject: Re: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

Ms. Scott-

Thank you for your Spring 2012 eRecords Survey submission. Attached is a pdf copy of your submission. The attachments included with your email will be saved with your file. Please let me know if I may be of further assistance.

Sincerely,
Shannon

Shannon Olsen
National Archives and Records Administration
Office of the Chief Records Officer (AC)
Shannon.Olsen@nara.gov
(301) 837-3486

Have you seen our blog? Check it out!
<http://blogs.archives.gov/records-express/>

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 3/30/2012 6:42 PM >>>

Ref.: March 14, 2012 MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling Electronic Records from Paul M. Wester, Jr., Chief Records Officer of the United States

To: Ms. Shannon Olson, NARA's National Records Management Program

In the above referenced email re. federal agencies' required submission of the Semi-Annual Report on Scheduling Electronic Records, I have completed and submitted the report and – per this email transmittal – include the source documentation (attachments).

Per Mr. Wester's referenced email, it is understood that a copy of the report would be sent by NARA with agency request. Therefore, FRTIB is requesting NARA's acknowledgment and copy of the report, in addition to acknowledgment that the 8 attachments have also been received, and will be included with FRTIB's response/submission, i.e., as part of FRTIB's report.

The report and attachments were completed and submitted before the 3/31/2012 prescribed deadline. The attachment data detail text entered in the NARA *QuestionPro* Comment field and are sources for the numerical data provided.

As I received a "thank you for completing the Spring 2012 E-Records Semi-Annual Survey" computer page after submitting the report, I believe that FRTIB's report has been successfully submitted. This positive notice at the end of the report program is very much appreciated. Further, the information contained within the notice to submit a copy of the same report to FRTIB's Appraisal Archivist is also appreciated. This has always been done with FRTIB's submissions.

Thank you in advance for your assistance in providing a copy of the *QuestionPro* program text responses that I submitted today, 3/30/2012.

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov*

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 INVESTMENTS [OI]

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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

ITEM
5/18/2012
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SIGNATURE OF AGENCY REPRESENTATIVE signed by:

TITLE Acting Director, Resource

9. GRS OR

10. ACTION
TAKEN (NARA
USE ONLY)SUPERSEDED
JOB CITATION**Investment and Interfund Policy Records**

a) copy of all background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

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

b) copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year.
Maintain within the *OI Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system.
Destroy upon dissolution of the TSP.

N1-474-96-4, item 2

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for FRTIB's
Office of Investments' Investment and Interfund Policy Records**

[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]

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.

Search for GRS to be used for

Office of Investments' Investment and Interfund Policy Records

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Investment and Interfund Policy Records, N1-474-96-4, item 2

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to separate the background papers from archival documents within the Schedule as not all the documents require the same retention period. Specifically, creation of an a) Schedule will cover background papers that have a proposed 10 year retention period, and the creation of a b) Schedule will cover decision documents that have a greater retention period, i.e., until the dissolution of the TSP.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

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 INVESTMENTS [OI]

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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.

7 DATE ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION SIGNATURE OF AGENCY REPRESENTATIVE signed by:	TITLE 9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><u>Investment and Subject Matter files</u></p> <p>All working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter.</p> <p><u>Disposition:</u> Cut off at the end of the calendar year. Destroy when 3 years old.</p>	<p>Acting Director, Resource Management and Action RM Office</p> <p>N1-474-96-4, item 3</p>	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments' Investment and Subject Matter Files
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

Search for GRS to be used for

Office of Investments' Investment and Subject Matter Files

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Office of Investments' program material relating to responsibilities and activities of the Office of the Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Investment and Subject Matter Files, N1-474-96-4, item 3

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to create a media-neutral Schedule, i.e., a recordkeeping copy of all **working papers and other major documents having a 3-year retention period, that relate to investment reporting to the Executive Director and the Board.**

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

(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 INVESTMENTS [OI]

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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.

7. DATE
ITEM
5/18/2012
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
SIGNATURE OF AGENCY REPRESENTATIVE signed by:

10. ACTION
TAKEN (NARA
USE ONLY)
TITLE Acting Director, Resource
9. GRS OR
SUPERSEDED
JOB CITATION

Fund Tracking Systems and Associated Spreadsheets

Copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.

a. Clipper System - Monthly and quarterly summary investment performance reports produced from inception of the TSP investment programs through 2003.

Disposition. Archive all data from the system through 2003. Destroy immediately after archiving.

b. Daily investment transactions history currently maintained in calendar year "gain/loss" spreadsheets.

Disposition. Cut off at the end of the calendar year. Destroy 10 years after cutoff.

N1-474-98-2, item 1

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments'
Fund Tracking Systems and Associated Spreadsheets
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

Search for GRS to be used for

Office of Investments' Fund Tracking Systems and Associated Spreadsheets

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Fund Tracking Systems and Associated Spreadsheets, N1-474-98-2, item 1

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to separate the previous, now-obsolete Clipper System from the new spreadsheet System, as the retention schedules are for different time periods. Specifically, the proposed schedules would create a Schedule to archive a) Monthly and quarterly summary investment performance reports produced from inception through 2003 that have a proposed 10-year retention period, and the creation of b) currently-maintained gain/loss spreadsheets that also have a retention period of 10 years.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

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 INVESTMENTS [OI]

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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.

7. DATE ITEM	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION SIGNATURE OF AGENCY REPRESENTATIVE signed by:	TITLE Acting Director, Resource 9. GRS OR	10. ACTION TAKEN (NARA)
NO.		SUPERSEDED JOB CITATION	USE ONLY)
	<p><u>Investment Performance Reports (Quarterly and Monthly)</u></p> <p>Summary reports produced by the Office Investments, containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.</p> <p><u>Disposition:</u> Cut off at the end of the calendar year. Destroy 10 years after cut off.</p>	N1-474-96-4, item 4	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments'
Investment Performance Reports (Quarterly and Monthly)
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

Search for GRS to be used for

Office of Investments' Investment Performance Reports (Quarterly and Monthly)

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no generic schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of the Executive Director and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

**Office of Investments' Investment Performance Reports (Quarterly and Monthly),
N1-474-96-4, item 4**

The changes and additions are in conformity with the existing Schedule as cited and follow other approved program schedules issued to the FRTIB for these program records.

A major change for the existing Schedule is to create a media neutral recordkeeping copy. Specifically, the recordkeeping copy of summary reports has a 10 year retention period. Further, it has been determined that b) the Executive Director's report copy, which is a part of a), and c) Other copies, be deleted from the group of Schedules.

The proposed additions to the existing Schedule will enable electronic storage when required for a major record generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>		JOB NUMBER	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD		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.	
2. MAJOR SUBDIVISION OFFICE OF INVESTMENTS [OI]			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, PM Specialist	5. TELEPHONE (202) 942-1629	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION <p>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,</p> <p>X is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p>			

DATE ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	TITLE Acting Director, Resource 9. GRS OR Management and Acting RM Officer SUPERSEDED	TO ACTION TAKEN (NARA USE ONLY)
	Gisile Goethe		
	Statistical Reports Reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds. <u>Disposition.</u> Cut off files at the end of the calendar year. Destroy 30 years after cutoff.	JOB CITATION	

**Attachment to FRTIB's SF-115 Request for Records Disposition Authority
for
FRTIB's Office of Investments' Statistical Reports_
[Reference: Revisions to 36 CFR 1228.24 and 1228.31 re. Media Neutral Schedules]**

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.

**Search for GRS to be used for
Office of Investments' Statistical Reports_**

An extensive search was done of all NARA's disposition authorities within General Records Schedules, however, no specific schedule was found to cover this Investments Office program material relating to responsibilities and activities of the Office of Investments and the daily operations of the Thrift Savings Plan.

Description of Items and Proposed Disposition Authority

Office of Investments' Statistical Reports

The changes and additions are in conformity with other approved program schedules issued to the FRTIB for Office of Investments program records.

This new Schedule for an unscheduled record will enable electronic storage when required for major reports generated within the Office of Investments. The Office of Investments is responsible for monitoring the investment of funds and serves as the main point of contact for asset managers in their relations with the Federal Retirement Thrift Investment Board.



FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
77 K Street, NE Washington, DC 20002

November 8, 2012

I am responding to a request you sent to the National Archives and Records Administration (NARA), on June 23, 2012, in which you made a request for records under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, as amended. Because your request involved correspondence between NARA and the Federal Retirement Thrift Investment Board (Agency), NARA consulted us to determine what information, if any, should be exempt from releasing. It was decided that we would split your request into two separate requests so that NARA would respond to your request regarding all correspondence that initiated from NARA, and our agency would respond to your request regarding all correspondence that initiated from our agency.

Request

A copy of correspondence between the National Archives and the Federal Retirement Thrift Investment Board initiated from the Federal Retirement Thrift Investment Board from January 1, 2001 to the present.

Response

Your request is granted. Attached is all correspondence between the National Archives and the Federal Retirement Thrift Investment Board initiated from the Federal Retirement Thrift Investment Board from January 1, 2001 to the present. If you have any questions, you may contact me at 202-942-1660 or FoiaRequest@tsp.gov. If you have any questions regarding correspondence between NARA and the Agency which was initiated by NARA, please contact NARA's FOIA office.

Sincerely,

Amanda P. Haas
FOIA Officer

Rebekah Meservy - Training Presentation on June 19, 2012 to FRTIB RM Staff

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 6/29/2012 5:55 PM
Subject: Training Presentation on June 19, 2012 to FRTIB RM Staff
Attachments: Records Mgt on Intranet ARPEXtraordinaire_June 19_2012_Proceedings.ppt; Vital Records in a Nutshell_October 2011.pdf

Dear Rebekah,

Attached is a copy of my June 19, 2012 presentation which summarizes the last session that I have been privileged to hold for FRTIB staff before leaving. There were quite a number of materials for the presentation folders but I am just attaching the proceedings and a paper I prepared for Vital Records information.

All good wishes,

Vivian



FEDERAL RETIREMENT THRIFT INVESTMENT BOARD

RECORDS MANAGEMENT PRESENTATION

Records Materials on FRTIB's Intranet Extraordinaire

The Agency Resources Page

by

Steffani K. Pounds, IT and OAS Web-Team Specialist

Vivian A. Scott, Program Analyst-RM Specialist, ORM

Washington, DC

June 19, 2012 - Proceedings (with revisions)

AGENDA FOR RECORDS MANAGEMENT PRESENTATION



Congratulations! “We’ve Come A Long Way ... ” FRTIB!

June 19, 2012

2:00 - ~ 3:30 P.M.

- ◆ **WELCOME – CONGRATULATIONS ON FINDING TRAINING ROOM - PART B !!!**
- ◆ **FRTIB-Mission Ongoing Objective:**
A NARA-Compliant, Up-to-date, Modern RM Functional Program
by carrying out actions in *Directive 28A*
- ◆ **FRTIB’s Super-Highway Resource – *Agency Resources Page* – Get On & Ride the E-Wave!**
- ◆ ***The Big Three Worlds* – Ready for Exploration and Enlightenment**
- ◆ **Functionalities and Tasks – Check out **Directive 28A****
- ◆ **File Plans – Climbing an Unending Staircase to Records Compliance**
- ◆ **Reporting to NARA –**
Agency RM Program Evaluations by NARA – What they are:
Inventory and Assessments for Records Scheduling Updates
- ◆ **Looking Ahead – where we were, the present, and what’s ahead – Each Unit’s Very Own CheckList!**
- ◆ **Session Wrap-Up – Questions & Comments Please** ☺

June 19, 2012, Slide 2



RM Responsibilities for FRTIB

[Quick Click to Directive 28A]

Be a Seeker and *Succeeder*

- EVALUATE, PROTECT, MAINTAIN CURRENT RECORDS BY:
 - **ANNUAL EVALUATIONS AND INVENTORIES**
 - **ADDING NEW RECORDS TO SCHEDULES OR WRITING NEW SCHEDULES**
 - **UPDATING AND REVISING EXISTING RECORDS SCHEDULES AS NEEDED**
- ENSURE DISPOSITION SCHEDULES ARE FOLLOWED BY:
 - **ANNUAL REVIEW OF STORED SCHEDULED AND VITAL RECORDS**
 - **TRANSFERRING RECORDS FOR TEMPORARY OR PERMANENT STORAGE**
 - **COMPLIANCE WITH NOTICES FOR ELIGIBILITY OF DESTRUCTION**
- ENFORCE RM STAFF OVERSIGHT IN ALL FILE AREAS:
 - **KEEP CURRENT FILE PLANS TO ENSURE AND PROTECT ALL RECORDS**
 - **INCLUDE VITAL RECORDS REQUIREMENTS WITH INSTRUCTIONS TO FRTIB'S COOP [CONTINUITY OF BUSINESS OPERATIONS] PROGRAM**

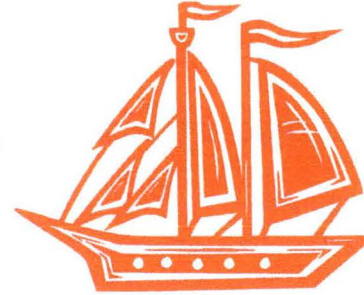
Remembering a Records Management Issue
**Evaluation through Unit Assessments
of current records and non-records
by completing**

VIP REVIEW TASK

- a. Review Holdings in Existing Schedules and Pending-Revision Schedules. Are additions or revisions needed?**
- b. Evaluate Filing System and File Plan, e.g.,**
 - b.1 - Are cabinets clearly labeled?**
 - b.2 - Have definitions and titles been assigned to all document holdings (see RMH, Chapter 6, 6-1 – 6-6).**
 - b.3 - Are index cards or folders in drawers preceding records to identify FRTIB Schedules and GRS?**
 - b.4 - Does cabinet have File Index of Records?**
 - b.5 - Is a File Plan near Cabinet or Storage Area to identify RM staff person overseeing records?**
 - b.6 - Are non-records separate or mixed with records?**



File Plan Flagships



File Plans, Records Schedules, Records Reconciliation Report, New Filing System

Office of the Executive Director

Office of Investments

File Plan, Records Schedules, Records Reconciliation

Office of Finance – Control Group

File Plan Drafts, New Filing Systems

Office of General Counsel

Office of Participant Services – Director Group

**Looking Back to What Was Done and
What Still Needs to be Done ...
Inventories are like Seasons ...
they come every year!
Are You Still Using a Checklist?**



Unit _____ Prepared by: _____ Date: _____

1. Annual Inventory – Reviewing Unit’s Files for Required Actions
2. Records to be Stored and/or Destroyed --- Actions Taken (*Request to Store/Destroy & Box List*)
3. Does Your File Plan Need to be Updated?
4. Are there **Unscheduled** records in Your Unit? (Documents that do not have description or disposition)
5. Do existing Schedules need revisions?
6. Has *Directive 28A* been reviewed for special function requirements (like Vital Records)?
7. Have You Submitted Requests to Your RM Officer/Specialist for Your Following Needed Tasks, i.e.:

Open Forum

Questions?

Thank You for Participating!



Post Meeting Questions, Please Contact
Your Records Management Staff!

Presenters: Steffani K. Pounds, Ext. 1479 &
Vivian A. Scott, Ext. 1629



FEDERAL RETIREMENT THRIFT INVESTMENT BOARD

Vital Records in a Nutshell



*Definition: **Vital Records** are those records that are indispensable to the Federal Retirement Thrift Investment Board under emergency conditions and are essential to the continued functioning or reconstitution of the Board during and after an emergency. They are also records that are essential to protecting the legal and financial rights of individuals and the Government. These records cannot be reconstituted elsewhere and are necessary to fulfill the statutory responsibilities assigned to the Board.*

- Chapter 5: Vital Records Program, RM Handbook

The *What, Why, How, When, and Where* x 2 of Vital Records

What are Vital Records?

“Vital” Records are as described above but become off-site storage specific via the format of produced duplicate copies. Simply, vital records are duplicate copies of essential FRTIB (federal) records needed for business and operations. The name of the essential record is its title per the Records Schedule. Note that Disposition Schedules of FRTIB’s records – whether temporary or permanent – do not apply to vital records – because vital records are duplicate copies of same records, and subject to recycling. For example, some of FRTIB’s current essential (vital) records are:

Office of the Executive Director’s Delegations of Authority, N1-474-97-4, item 1 Disposition: Cut off at the end of the calendar year. Destroy 3 years after the delegation is no longer valid.

Delegations of Authority were determined as essential for operations. Accordingly, duplicate copies are made of same record to become Vital Records stored off site.

The What, Why, How, When, and Where x 2 of Vital Records

Office of the Executive Director's Internal Policy Decision File, N1-474-97-4, item 2
Disposition: Permanent. Cut off at the end of the calendar year. . . .

Internal Policy Decision File was determined as essential for operations.
Accordingly, duplicate copies are made of same record to become Vital Records stored off site.

Board Records – FRTIB Board Meeting Files, N1-474-96-1, item 1
Disposition: Permanent. Cut off at the end of the calendar year. . . .

Board Meeting Files were determined as essential for operations.
Accordingly, duplicate copies are made of same record to become Vital Records stored off site.

Office of Participant Services, Benefits Operations – Annuity Vendor Reports,
N1-474-02-1, item 1f

Disposition: Cut off files at the end of the calendar year. Retire to the WNRC
15 years after cutoff. Destroy 30 years after cutoff.

Annuity Vendor Reports were determined as essential for operations.
Accordingly, duplicate copies are made of same record to become Vital Records stored off site.

Why are there Vital Records?

“Vital” Records are necessary as a critical backup of actual scheduled records to ensure Board operations can continue in the event of an emergency or disaster. If the FRTIB's records maintained within its office buildings are destroyed by fire, water, etc., the Vital Records (i.e., the duplicate copies – stored safely and securely at NARA) will replace destroyed essential records. Vital Records can be retrieved within 24 hours or sooner, ensuring continuation of FRTIB's business and operations.

How are Vital Records established?

“Vital” Records are established by an agency's official careful review [at least annually], of all of its records, i.e., to ensure all essential records required for *continuity of operations* (COOP) are accounted for and on the list of Vital Records.

The What, Why, How, When, and Where x 2 of Vital Records

As new records are developed, generated, or implemented, they must be considered whether or not they are essential to FRTIB's operations. In annual reviews, RM unit staff are to review their scheduled records, and also determine whether there are new, revised, or existing records to be added to records stored off site – in order to ensure protection against loss of valuable, vital information.

FRTIB's Records Management Program, per its **Directive 28A**, facilitates procedures for Vital Records. Chapter 5 of the **Records Management Handbook** is solely written for policy and procedures, which include the semi-annual recycling process.

When are Vital Records (copies of essential records) created?

As described above, **Directive 28A**, section 7 (i) directs units to “recycle their vital records semiannually in April and October” which means review of stored records and submission of new material to the RM Officer overseeing the recycling process. Usually, out-of-date and/or inactive records are removed from the archive-storage box and destroyed, and new, current records added. However, because of unique circumstances at FRTIB, not all of the old records are being destroyed (at this time). See, for example, notes on the Vital Records Holdings Report (available from *Agency Resources Page*) concerning Board Records and OPS Records.

Where No. 1 -- Where are Vital Records stored?

All of FRTIB's Vital Records are stored at NARA's Washington National Records Center. The WNRC was selected as this NARA Federal Records Center is also the storage facility for all of FRTIB's records.

In the event of an emergency or disaster, records can be retrieved via urgent or standard request, made by telephone call to WNRC, or OF-11 format submission, now done via NARA's newly-deployed *Archives & Records Centers Information System* [ARCIS]. Records can also be retrieved via the *SmartScan* process.

Where No. 2 -- Where is more information about Vital Records?

FRTIB's *Agency Resources Page* contains several menus for Records Management. See the RM Handbook, Chapter 5 – Vital Records. See also Requirements and Responsibilities; and Report on Vital Records Holdings (listing of FRTIB's stored Vital Records) – all accessible via FRTIB's *Agency Resources Page*.

All federal employees have record responsibilities. Records Management information, including Vital Records, has been conveniently posted on the *Agency Resources Page* for easy access to information and training.

The What, Why, How, When, and Where x 2 of Vital Records

Click on checked ARP Paths to Gateways of Information:✓ **ARP's Section: FRTIB Online Directives System Main Menu****Click on: . Records Management Program, Directive 28A**(or use Alternate Link: <http://tibwebs/Directives/index.html>)

All federal employees are responsible for understanding rules and regulations for handling federal records. *Directive 28A* defines FRTIB's Records Management (RM) Program to ensure employees are aware of requirements and responsibilities prescribed by the *U.S. Code of Federal Regulations*.

✓ **ARP's Section: FRTIB Emergency Preparedness & Continuity of Operations****Click on: . Records Management Program, Introduction**

Access links to RM data bank of policy and procedures are available to guide day-to-day operations, and provide information in the event of an emergency or disaster. Check out internal and external websites and also review training CDs.

Click on:

- . Federal Employee Responsibilities
- . FRTIB RM Program Requirements & Responsibilities
- . FRTIB RM Program Staff
- . FRTIB Directions for Accessing RM Materials
- . FRTIB RM Handbook and the RM Disposition Schedules
- . NARA's General Records Schedules
- . On-Line Training containing 3 accessible CDs, or use Alternate External Link: <http://www.archives.gov/records-mgmt/training/>

✓ **ARP's FRTIB Emergency Preparedness and Continuity of Operations *****Click on: . FRTIB Continuity of Operations [COOP]**

Access links to RM data bank of procedures to follow for Vital Records – a part of the COOP Program – are available in the event of an emergency or disaster.

Click on:

- . **Vital Records** – Requirements and Responsibilities
- . **Vital Records** – Contents for FRTIB Materials and NARA Sources
- . **Vital Records** – NARA's Briefing: *Preparing for the Unexpected*

* **Note:** Vital Records are part of the Emergency Preparedness and Continuity of Operations Program – see *Agency Resources Page* for additional information regarding the entire COOP Program.

The Administration Group of the Office of Finance maintains this page.

E-mail any suggestions, corrections, etc. to the attention of: vscott@tsp.gov.

Rebekah Meservy - Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: <shannon.olsen@nara.gov>, "RM Communications" <RM.Communications@nara.gov>
Date: 3/30/2012 6:43 PM
Subject: Submission of March 2012 E-Records E-Records Status Report and Request for Acknowledgment and Copy of FRTIB's Transmitted Report
CC: "Angela Dorsey" <Angela.Dorsey@nara.gov>, "Rebekah Meservy" <Rebekah.Mes...>
Attachments: QuestionPro Numerical Data Submission for Electronic Records to be Scheduled_NARA E-Records Scheduling Status Report_March 2012.pdf; Att 1_E-Records Scheduling_March 2012 Detail Rpt_Percentage of FRTIB Schedules Calc.xls; Att 2_Pending and Proposed Electronic Records to be Scheduled_E-Records Scheduling Status Report_March 2012.pdf; File Plan as of Dec 31_2011_final_all schedules approved for OED.pdf; File Plan for OEA_draft updated as of Dec 31_2011.pdf; File Plan_final draft_August 31_2011 for OF_Administration Group_for BPT approval.pdf; Approved File Plan with 5 pending Schedules as of Dec 31_2011.pdf; File Plan draft for ORSP_as of 12_31_2011.pdf

Ref.: March 14, 2012 MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Spring 2012 Semi-Annual Report on Scheduling Electronic Records from Paul M. Wester, Jr., Chief Records Officer of the United States

To: Ms. Shannon Olson, NARA's National Records Management Program

In the above referenced email re. federal agencies' required submission of the Semi-Annual Report on Scheduling Electronic Records, I have completed and submitted the report and – per this email transmittal – include the source documentation (attachments).

Per Mr. Wester's referenced email, it is understood that a copy of the report would be sent by NARA with agency request. Therefore, FRTIB is requesting NARA's acknowledgment and copy of the report, in addition to acknowledgment that the 8 attachments have also been received, and will be included with FRTIB's response/submission, i.e., as part of FRTIB's report.

The report and attachments were completed and submitted before the 3/31/2012 prescribed deadline. The attachment data detail text entered in the NARA *QuestionPro* Comment field and are sources for the numerical data provided.

As I received a "thank you for completing the Spring 2012 E-Records Semi-Annual Survey" computer page after submitting the report, I believe that FRTIB's report has been successfully submitted. This positive notice at the end of the report program is very much appreciated. Further, the information contained within the notice to submit a copy of the same report to FRTIB's Appraisal Archivist is also appreciated. This has always been done with FRTIB's submissions.

Thank you in advance for your assistance in providing a copy of the *QuestionPro* program text responses that I submitted today, 3/30/2012.

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@fsp.gov

FRTIB's March 30, 2012 Submission for:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S March 30, 2012 E-Records Scheduling Status Report

**Record Schedule Actions Completed during First 2012 Reporting Period
(October 2011 through March 2012)**

Electronic Records Scheduling Reporting *

*Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Numerical Responses to Three Questions

- 1) How many electronic records systems or series does your agency have not including those that do not contain records? **38**
- 2) How many of your agency's electronic systems or series are scheduled by NARA approved schedules? **38**
- 3) How many of your agency's electronic systems or series have schedules submitted to NARA and pending approval? **6**

Responses to Information Questions:

Vivian Anne Scott
Federal Retirement Thrift Investment Board
77 K Street, N.E., Suite 1000
Washington, DC 20002
vscott@tsp.gov
202/942-1629

* Compilation of Detail Re. Pending SF-115 Original Submissions to NARA and Drafts for FRTIB's Internal Review prepared on March 30, 2012 by Vivian A. Scott, Program Analyst and Records Management Specialist, Office of Finance, Administration Group. For detail of ongoing actions regarding "name and description of all unscheduled electronic records series or systems" as called for in NARA Bulletin 2010-02, please see Attachments 1 and 2, which are a part of FRTIB's submission.

March 30, 2012

Attachment 2: Detail for Pending and Proposed SF-115s for unscheduled or revision of existing records for *Series, System, or Website*

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S
March 30, 2012 E-Records Scheduling Status Report**

**Record Schedule Actions Completed during First 2012 Reporting Period
(October 2011 through March 2012)**

Electronic Records Scheduling Reporting *

* Semi-annual reporting required in NARA Bulletin 2010-02: (a) the name and description of all unscheduled electronic records series or systems.

Detail of Ongoing Actions for Pending SF-115s

- 1) SF-115s reviewed by NARA's Appraisal Archivist; and
- 2) SF-115s in FRTIB's internal review – (some SF-115 drafts were submitted to NARA for pre-review before submitting original SF-115s)
- 3) Two Schedules (for Executive Director's Office) approved by U.S. Archivist and issued.
- 4) Appraisal Archivist Meeting Scheduled at the FRTIB on April 27, 2012 for 6 SF-115s.

FRTIB Unit: Office of the Executive Director

New Action: *Schedule Approved and Issued on December 8, 2011 for:*

Executive Director's Monthly Calendar (N1-474-11-1)

Recordkeeping copy of the calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.

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

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Mrs. Rebekah Meservy approved the SF-115, which was further reviewed and approved by the Archivist of the United States on December 8, 2011.

New Action: Schedule Approved and Issued on October 27, 2011 for:

Executive Director's Correspondence (Unscheduled)

The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.

Disposition: Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff.

Status: Original SF-115 was signed by Records Management Officer Barbara Torres on 6/22/2011, and reviewed by Appraisal Archivist Rebekah Fairbank in meeting at FRTIB on August 9, 2011. Revisions were made as requested by Ms. Fairbank and a new SF-115, signed on 8/18/2011, was sent to Ms. Fairbank at NARA. Mrs. (Fairbank) Meservy approved the new SF-115, which was further reviewed and approved by the Archivist of the United States on October 27, 2011.

FRTIB Unit: Office of Finance (See Unit Structure in Att. 1)

Note: This office was established during the 2005 Agency reorganization for consolidation of Accounting, Administration, Control (Budget), and Procurement Groups.

Office of Finance – Administration Group

New Action: Appraisal Archivist Review Meeting Scheduled with FRTIB's RM Administration Staff for April 27, 2012 for:

FRTIB Personnel Unemployment Compensation Records (Unscheduled)

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee dispositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Disposition: Cut off upon termination of employment. Destroy 30 years after cutoff.

Status: Preliminary draft was prepared on April 5, 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist and reviewed procedures at August 9, 2011, Ms. Fairbank advised FRTIB to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff). Mrs. (Fairbank) Meservy has reviewed and scheduled an Appraisal Archivist meeting with designated Records Management staff (overseeing this record) for April 27, 2012.

Office of Finance – Control Group

New Action: Revised Schedules Near Approval for Submission to NARA/Appraisal Archivist for:

Annual Budget Request (N1-474-97-2, item 1)

a. The recordkeeping copy of memorandum to FRTIB Board members requesting approval of the annual budget and midyear update. Records include courtesy letters to the Appropriations Committees of Congress and Office of Management and Budget, plus supporting justifications and budget estimates. 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
Disposition: Cut off files at the end of the fiscal year. Destroy 3 years after cutoff.

c. The recordkeeping copy of 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 Office of Finance, Control Group.
Disposition: Destroy 1 year after the close of the fiscal years covered by the budget.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Monthly Memoranda on the Status of the Budget (N1-474-97-2, item 2)

a. The recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group.
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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Audit Monitoring Records (N1-474-97-2, item 3)

a. The recordkeeping copy of all audit monitoring paper records, including computer printouts, and monthly and semi-annual status reports to the Executive Director on the status of each active audit recommendation.

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

b. Executive Director's copy.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Audit Report File (N1-474-97-2, item 4)

a. The 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 files at the end of the fiscal year in which the audit was completed. Send to the Washington National Records Center [WNRC] 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.

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Continued: Office of Finance – Control Group

Annual Inspector General Act Report (N1-474-97-4, item 4)

Recordkeeping copy of FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

Status: Preliminary drafts for required change (due to NARA's media-neutral schedule implementation) were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

Internal Audit Control Materials (Unscheduled)

Recordkeeping copy of electronic data material that are created as internal audits are performed.

Disposition: Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at the FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.

Status: Preliminary drafts were prepared in April 2011 for internal review and sent to Appraisal Archivist. Per telephone discussions in June 2011 with Appraisal Archivist, revised drafted SF-115 (dated July 12, 2011) and resubmitted. Reviewed procedures with Ms. Fairbank on August 9, 2011, and FRTIB has been requested to submit this SF-115 as an original for Appraisal Archivist's further review and scheduling of interagency meeting (NARA with FRTIB appropriate staff).

FRTIB Unit: Office of Investments

Note: This office was re-established as a separate office, i.e., solely distinct from the previous joint Office of Benefits and Investments [during the Agency's reorganizations].

New Action: *Appraisal Archivist Review Meeting Scheduled with FRTIB's RM Administration Staff for April 27, 2012 for:*

Office of Investments

Four Revised Schedules:

Investment and Interfund Policy Records (N1-474-96-4, item 2)

a. Recordkeeping copy of all background papers for internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

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

b. Recordkeeping copy of all internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year. Maintain within the Office of Investments *Digest* electronic system contained on FRTIB's Intranet *Agency Resources Page* system. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the background papers from archival documents within the Schedule as not all the documents will: a) have a proposed 10 year retention period, and b) will have a greater retention period of 30 years. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Investment and Subject Matter Records (N1-474-96-4, item 3)

Recordkeeping copy of all working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, external correspondence, etc. maintained by subject matter.

Disposition: Purge annually. Destroy when three years old.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Fund Tracking Systems and Associated Spreadsheets (N1-474-98-2, item 1)

Recordkeeping copy of electronic tracking systems and associated spreadsheets for tracking each fund's investment with the asset manager. Performance reports are produced from the systems.

a. Clipper System – Monthly and quarterly summary investment performance reports produced from the inception of the TSP investment programs through 2003.

Disposition: Archive all data from system through 2003. Send to FRC. Destroy 15 years after cutoff.

b. Gain/Loss spreadsheets for CY Reports of all funds per Daily Valuation System.

Disposition: Archive all data from the system in blocks of 10 years, e.g., from 2004 through 2013. Send to the FRC. Destroy 30 years after cutoff.

Status: Preliminary draft (dated July 20, 2011) for required changes, i.e., due to NARA's media-neutral schedule implementation, and to separate the previous now-obsolete Clipper System from the new spreadsheet system, as the retention periods are different. The proposed additions to the existing schedule will enable electronic storage when required for a major record generated within the Office of Investments.

The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Investment Performance Reports [Quarterly and Monthly] (N1-474-96-4, item 4)

The recordkeeping copy of summary reports produced by the Office of Investments, containing information on investment performance for the funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.

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

Status: The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

Statistical Reports (Unscheduled)

Electronic recordkeeping copy of reports (e.g., Report TSP 6007 and Investment Activity Reports) and relevant files containing statistical investment summary information on the TSP funds.

Disposition: Cut off files at the end of the calendar year. Transfer to FRC after 15 years. Destroy 30 years after cutoff.

Status: The internally, approved SF-115 was sent to Appraisal Archivist in November 2011 and, per her review and approval, an Appraisal Meeting has been scheduled for April 27, 2012, with Office of Investments and Records Management staff.

FRTIB Unit: Office of Participant Services

Note: This office consolidated several previous offices: Benefits, Communications, Education and Training, and a part of the External Affairs Office.

New Action: Ongoing Work to Determine Electronic Recordkeeping

**Office of Participant Services – Communications Group
Thrift Savings Plan [TSP] Forms (N1-474-97-3, item 1a)**

a. Paper records containing background information on development of each form used by the TSP, including internal correspondence, clearance documents, and printed form. It is a history of the form's development.

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

a. Current Forms

Disposition: Cut off when form or current version is revised or obsolete. Move to "Old Forms" drawer.

b. Old Forms

Disposition: Cut off at the end of CY. Destroy 10 years after cutoff.

c. Communications Group Archived Forms

Disposition: Cut off at the end of CY. Destroy 30 years after cutoff.

d. Record Manager's Archived Forms (Recordkeeping copy)

Disposition: Permanent. Cut off at the end of the calendar year.

Transfer to NARA in 5-year blocks 30 days after cutoff (e.g., 1/97-12/01).

Status: Preliminary SF-115 draft (dated July 26, 2011) to implement all required changes for these TSP forms is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist to ensure meeting NARA's required media-neutral schedule implementation.

Continued: Office of Participant Services – Benefits Group

Annuity Index Rate Monthly Report (N1-474-97-2, item 6)

The recordkeeping copy of records that contain correspondence between the annuity vendor and the Office of Participant Services concerning the monthly annuity interest rate schedule.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Continued: Office of Participant Services – Director's Office

Agency Correspondence (N1-474-97-2, item 6)

The recordkeeping copy of routine correspondence received from Federal agencies concerning participant accounts or TSP policy/procedure regulations. It includes the incoming letter, FRTIB's reply, and background information.

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

Status: Preliminary draft for required changes, i.e., due to NARA's media-neutral schedule implementation. The July 26, 2011 drafted SF-115 is undergoing directorial level at the FRTIB before submission to NARA's Appraisal Archivist.

Attachment 2:

Compilation of Pending SF-115 (and approved) Original Submissions to NARA and Drafts for FRTIB's Internal Review prepared on March 30, 2012 by Vivian A. Scott, Program Analyst and Records Management Specialist, Office of Finance, Administration Group.

Office of the Executive Director

FILE PLAN, CY 2011

This group of records consists of documents maintained by and relating to the responsibilities and activities of the Office of the Executive Director (OED). This office is responsible for representing the Executive Director in the daily operations of the Thrift Savings Plan (TSP). In this role, the Office of the Executive Director keeps the Executive Director apprised of the programs and activities of the Federal Retirement Thrift Investment Board (FRTIB); Department of the Treasury, Office of Finance and Management; SERCO International – the “recordkeeper”; and BlackRock Institutional Trust Company, N.A. – the Investment manager for the C, F, I, and S Funds. This office also disseminates directions from the Executive Director to the FRTIB. (A number of the records previously maintained in this office were transferred to other program offices responsible for maintaining their schedules, e.g., Board Records are maintained in the Office of General Counsel, and ETAC Records in the Office of External Affairs.) The OED Office also maintains General Records Schedule (GRS) Records, as applicable.

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
0. OED-0.1	<p><u>Office of the Executive Director's File Plan</u></p> <p>Office of the Executive Director's official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of the Executive Director's inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of the Executive Director's records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition.</u> Destroy when 6 years old, or when no longer needed.</p>	<p>GRS-16, item 2,a(2)</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

Records File Plan, Office of the Executive Director, as of December 31, 2011

[Supersedes 9/13/2000, Inst. No.14, in Records Management Handbook]

Last Update: 2 Approved New Schedules Added to OED's Current Records Group

OED-1

OED-4

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
1. OED-1.1	<p><u>Delegations of Authority</u>⁽¹⁾</p> <p>Memoranda from the Executive Director to FRTIB staff documenting the functions and responsibilities that were delegated to a particular organization and/or staff member.</p> <p><u>Disposition.</u> Cut off at the end of the calendar year. Destroy 3 years after the delegation is no longer valid.</p>	N1-474-97-4, item 1	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry
2. OED-2.1	<p><u>Executive Director's Internal Policy Decision File</u>⁽²⁾</p> <p>Paper copies of internal policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB internal policy and the Executive Director's decision.</p> <p><u>Disposition.</u> Permanent. Cut off at the end of the calendar year. Send to the Federal Records Center in 5-year blocks (e.g., 1/86-12/90 is one block) 5 years after cutoff. Transfer to NARA 20 years after cutoff.</p> <p>(Note: SF 258, <i>Agreement to Transfer Records to the National Archives of the United States</i> is required).</p> <p>⁽¹⁾ All documents within this Records Schedule are also Vital Records and subject to federal requirements, i.e., semi-annual recycling and storage off-site as prescribed in the <i>Code of Federal Regulations</i>, 36 CFR, Part 1223; and Chapter 5 of the Federal Retirement Thrift Investment Board's Records Management Handbook.</p> <p>⁽²⁾ Same as footnote ⁽¹⁾ above.</p>	N1-474-97-4, item 2	OED: Desk of Lorraine Terry	Lorraine Terry	Lorraine Terry

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
3. OED-3.1	<p>⁽³⁾ <u>Executive Director's Monthly Calendar</u> Recordkeeping copy of the calendar of the Executive Director's official monthly activities that is maintained by his Executive Assistant.</p> <p><u>Disposition.</u> Cut off at the end of calendar year. Destroy 3 years after cutoff.</p>	<p>N1-474-11-1</p> <p>[Note: New media-neutral schedule was approved December 8, 2011 per SF-115 Request for Records Disposition Authority submitted to NARA, 6/22/2011, superseding 1997 Schedule.] Per Appraisal Process Meeting on August 9, 2011, the SF-115 was approved as submitted to NARA.</p>	<p>OED: Computer Station/Outlook Platform-System in OED office maintained by Lorraine Terry</p>	Lorraine Terry	Lorraine Terry
4. OED-4.1	<p><u>Executive Director's Correspondence Records</u></p> <p>The recordkeeping copy of internal and external correspondence records created by the Executive Director that are maintained in chronological order by his Executive Assistant. This is official correspondence only and does not include email correspondence of the Executive Director.</p> <p><u>Disposition:</u> Permanent. Cut off at the end of the Executive Director's tenure. Transfer to the National Archives 3 years after cutoff.</p> <p>(Note: SF 258, <i>Agreement to Transfer Records to the National Archives of the United States</i> is required).</p> <p>⁽³⁾ A sequential change occurred in Record Schedule Item numbers as several Schedules were deleted and/or transferred to other Program units within the FRTIB.</p>	<p>N1-474-11-2</p> <p>[Note: New Records Schedule was approved October 27, 2011 per SF-115 Request for Records Disposition Authority revised and re-submitted on 8/18/2011. Per Appraisal Process Meeting on August 9, 2011, the Archivist's changes were entered into the Schedule on August 11, 2011 re. the retention period. Permanent retention was approved by NARA.</p>	<p>OED: Paper copy of current year maintained in the office of Lorraine Terry.</p> <p>OED: Computer Station/Windows System Directory for OED office maintained by Lorraine Terry</p> <p>File Room 4601: Previous years of records (1987 - 2010)</p>	Lorraine Terry	Lorraine Terry

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.	RM Program Manager	Records Custodian
	<u>GRS Schedules</u> General Records Schedules to be identified and utilized as needed (e.g., for Travel and other generic records maintained in OED)	Approved GRS by NARA	OED: Office of Lorraine Terry	Lorraine Terry	Lorraine Terry

File Plan Update of December 31, 2011 - Supersedes all earlier drafts

Office of External Affairs (OEA)

FILE PLAN, CY 2011

This group of records consists of documents relating to the responsibilities and activities of the Office of External Affairs (OEA). This office is responsible for maintaining liaison activities and relations with the Congress, media, Thrift Savings Plan (TSP) participants, Federal agencies, and Employee Thrift Advisory Council (ETAC). (ETAC records are listed separately.)

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.		Records Custodian
0. OEA-0.1	<p><u>Office of External Affairs' File Plan</u></p> <p>Office of External Affairs' official paper record copy of File Plan, by calendar year.</p> <p>File Plans are to be updated in conjunction with the annual review of the Office of External Affairs' inventory. A copy of the relevant calendar year's File Plan will be included with eligible Office of External Affairs' records transferred to NARA, according to their retention schedules.</p> <p><u>Disposition</u>. Destroy when 6 years old.</p>	<p>GRS-16, item 2,a(2).</p> <p>Records Disposition Files (Descriptive inventories, disposal authorizations, schedules, and reports.)</p>	4103		David T. Toro
1. OEA-1	<p><u>Congressional Correspondence</u></p> <p>Paper copies of correspondence to members of Congress in response to inquiries on TSP participants who are their constituents. It consists of the incoming letter, FRTIB's reply, and background account information.</p> <p><u>Disposition</u>: Cut off files at the end of each</p>	<p>N1-474-96-3, item 1</p>			

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.		Records Custodian
2. OEA-2	<p>calendar year. Destroy 4 years after cutoff.</p> <p><u>Congressional Testimony</u></p> <p>Drafts, finals, and printed copies of Congressional testimony given by the FRTIB's Executive Director.</p> <p><u>Disposition.</u> Cut off files at the end of each calendar year. Destroy 20 years after cutoff.</p>	N1-474-96-3, item 3			
3. OEA-3	<p><u>TSP Legislation</u></p> <p>Paper records that contain significant internal and external correspondence, activity reports, impact analysis studies, legal opinions, and printed copies of proposed and enacted TSP legislation.</p> <p><u>Disposition.</u> Cut off files at the end of each calendar year. Destroy 20 years after cutoff.</p>	N1-474-96-3, item 4			
4. OEA-4	<p><u>Legislative Project Background Records</u></p> <p>Project files relating to proposed and enacted legislation that affect the FRTIB's programs. It includes working papers, such as source material, studies, analyses, notes and drafts.</p> <p><u>Disposition.</u> Cut off files at the end of the calendar year during which the project was completed. Destroy 10 years after cutoff.</p>	N1-474-96-3, item 5			
5. OGC-5	<p><u>Press Releases</u></p> <p>Record set of press releases that consists of the original copy of each release.</p> <p><u>Disposition:</u> Permanent. Cut off at the end</p>	N1-474-96-3, item 6			

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.		Records Custodian
7. OEA-7	<p>of the calendar year. Transfer to NARA when 20 years old.</p> <p><u>Weekly Clips</u> (NI-474-96-3, item 10)</p> <p>Weekly clips of newspaper, journal, and other published articles that relate to the work that the FRTIB does and may contain work-related information on such topics as retirement plans, investments, and Federal employee benefits.</p> <p>a. Copy maintained by the originating office (OEA).</p> <p><u>Disposition:</u> Cut off at the end of the calendar year. Destroy 3 years after cutoff.</p> <p>b. Copies maintained by other offices or individual employees for reference purposes only.</p> <p><u>Disposition:</u> Purge file every 3 months. Destroy when no longer needed for reference purposes.</p> <p><u>GRS Schedules</u> to be identified and utilized as required (e.g., for Travel and other generic records maintained in OEA.)</p>	NI-474-96-3, item 10			

Item No. and Filing Series	Filing Title, Description of Item, Inclusive Dates, and Authorized Disposition Instructions	Records Schedule Disposition Authority No. [GRS or Program]	File Room Location No.		Records Custodian

This detail shows current status of existing records (all 3 categories), including those to be updated or revised.

Holdings Report: Approved Records Schedules for Each Office
Group: Program and GRS

SF-115a for unscheduled or revision of existing
records for Series, System, or Website

Record categories (per Bulletin 2010-02: electronic records series and electronic systems, including website content ...)	Existing Schedules	Projected Schedules						[Note: See Attachment 2: Detail of FRTIB's Pending SF-115 Actions]			
FRTIB Group's Record Schedules according to NARA-Approved current FRTIB Handbook and Schedules)	Approved Records Schedules (All Media) Number	SERIES	SYSTEM	WEBSITE	TOTAL	GRS	PROJECTED	Percentage of E-Records held determined by Group Totals			Pending Schedule Requests: SF115a submitted to NARA and SF115 drafts within FRTIB's Internal Review Process
		Portion of Existing Series Electronic Approved Media-Neutral Schedules	Portion of Existing System Electronic Approved Schedules	Portion of Existing Website Electronic Approved Schedules	Existing Series, System & Website Approved Electronic Schedules, including	General Records Schedules are used; GRS 20 and GRS 23, as applicable	SF-115a to Update New Series, System, or Website Pending Submission or Appraisal Archivist	Current Electronic Records Schedules * ~ 15%			
		Identification: Record Number and Brief Description						% for each Unit Group	Total % of Electronic Records	Description & Status of New (SF-115) Record Schedule Requests	
Office of Participant Services	32	6	1		7			Records re.functions re. planning, developing, and implementing policies relating to disbursement of TSP benefits. Series = N1-474-00-6,1b; 1c; 1f; N1-474-96-4,1b; N1-474-02-1,1b; 1c; and System = N1-474-98-2, item 1	21.88	21.88	6 drafted Requests (series) for OF-Control Group; 1 drafted Request (system) for exist Fund Tracking System for OI, and 5 drafted Requests (series) for OI. All within FRTIB internal review.
OPS - Director's Office which also processes records previously stored by National Finance Center	10	3			3			Records relating to administration, policies, and program of the Thrift Savings [Retirement] Plan: N1-474-96-3, item 7b, N1-474-97-6, item 1b; and N1-474-00-5 item (1)	30.00	30	
OPS - Benefits Operations	9										
OPS - Communications	15			1	1				6.67	6.67	
OPS - Education & Liaison	6										
Office of Research and Strategic Planning	8	2			2			Records relating to functions of Agency's strategic goal life cycle from vision to implementation. Revision needed for Schedules is being determined for further electronic recordkeeping. See attached File Plan as of 12/31/2011.	25.00	25	
									19.388	19.388	
									~ 19%		

Prepared by V. Scott, June 8, 2010
on 3/29/11 for March 2011 Submission
on 9/28/11 for Sept 2011 Submission
Update on March 28, 2012 for Required
30, 2012 Semi-Annual Report
Submission

Note: Records Schedules continue to be determined and submitted; two new OED Schedules were approved and issued during this reporting period.

Rebekah Meservy - Re: Still Waiting for Your Response to my Question in Oct. 7, 2011 E-mail Requesting Re-Confirmation of Question-Pro Survey Completed, and On Time

From: Angela Dorsey
To: Scott, Vivian
Date: 10/14/2011 8:16 AM
Subject: Re: Still Waiting for Your Response to my Question in Oct. 7, 2011 E-mail Requesting Re-Confirmation of Question-Pro Survey Completed, and On Time
CC: Meservy, Rebekah

Vivian,

Yes, we received FRTIB's response to our survey. In my initial email to you, I simply confirmed that we received a response from FRTIB. It was only after further reviewing your responses that I realized they were not sufficient based on the specific questions we asked. In the three questions we asked on the survey, we asked for a numerical response for each question. As such, the email you sent us with the numerical responses to our e-records survey will suffice for our reporting purposes.

Thanks again for our cooperation.

Angela

Angela Dorsey
 National Records Management Program (ACN)
 NARA/Agency Services
angela.dorsey@nara.gov
 (301) 837-1754

Check out our blog "Records Express" @
<http://blogs.archives.gov/records-express/> and follow us on Twitter @NARA_RecMgmt
 >>> "Vivian Scott" <Vivian.Scott@tsp.gov> 10/13/2011 3:27 PM >>>
 Angela,

Early October 7, per your request, I resent the data submitted on September 29, which included:

1. Responding directly to the questions with numbers entered in your email;
2. Sending a new *Word* file which had the 3 questions and 3 numerical answers;
3. Resending Attachment 1 – which was an update of the same spreadsheet sent with the March 2011 Report (accepted by NARA); and
4. Resending Attachment 2 – which was a detail of "name and description" * as required by Bulletin 2010-02 – with respect to compliance in responding to the questions. I prepared Attachment 2 in order to provide NARA with the source data, e.g., "name and description" for the cited numbers. I also entered summary of this information within the Comment field for the report.

* Semi-annual reporting required in NARA Bulletin 2010-02: "(a) the name and description of all unscheduled electronic

records series or systems.”

When completing and submitting the report on Sept. 29, I painstakingly adhered to NARA’s prescribed requirements within their Bulletin 2010-02 with regard to proper format, numerical and textual language for response. It was therefore unsettling to receive conflicting information, i.e., that only numbers were accepted. Please know that FRTIB has always strived to complete NARA’s requests and reports on the highest level, and according to NARA’s directions.

Still Waiting your Response to my Question Re. FRTIB’s ON-TIME Submission

As your Oct. 7 email appears to negate your earlier Sept. 30** confirmation (see below), I resent everything as described above on Oct. 7 – and with only numbers to questions as you instructed.

Would you please therefore reconfirm that NARA received FRTIB’s response and on time?

Please note that the numerical information resent on Oct. 7 is identical to the information sent on Sept. 29 in the format (both numerical and textual) as NARA previously required, per its Bulletin 2010-02.

As soon as I receive your re-confirmation, I will be able to distribute the responses made (September 30 report submitted for FRTIB) to FRTIB-agency principals, informing them that FRTIB completed and submitted the Status Report for E-Records **on time**.

Your response will be greatly appreciated. If you have any questions regarding this request, please do not hesitate to contact me.

Thank you in advance for your continued assistance.

Vivian

*** * Excerpt from E-mail from Angela Dorsey, 9/30/2011, 2:46 p.m., - advising FRTIB that its response was received on time:**
Dear Federal Records Officer,

Thank you for submitting your agency’s Semi-Annual Report on Scheduling Electronic Records via our survey tool. If you are receiving this email, this is confirmation that your submission has been received.

From: Vivian Scott
Sent: Friday, October 07, 2011 11:07 AM
To: 'Angela Dorsey'
Cc: Rebekah Meservy; 'Tara McLoughlin'
Subject: RE: Re-Submitting E-Records Survey Responses for Same Data Submitted on 9/29/2011, Before Deadline of 9/30/2011

To: Ms. Angela Dorsey, NARA’s National Records Management Program

Angela,

In response to your email this morning re. FRTIB’s submission for the Semi-Annual Report on Scheduling Electronic Records, I am providing the same exact numbers given in my 9/29/2011 responses, but resubmitting within your 10/7 email as requested. I am also resending two relevant attachments (accepted before by NARA in these reports) which give exact same numbers submitted on 9/29/2011, a day before the deadline of 9/30/2011. The attachment data which detail text entered in the NARA *QuestionPro* Comment field are source data for the numerical data provided.

Please note that, per your request today, I have entered numbers (in blue font) after the 3 questions given in your email. Please note that I have also prepared a separate *Word* file stating the 3 questions with numerical answers – in case it is not acceptable to enter the numbers in your email. I am also again requesting that the text responses made on 9/30/2011, within the *Comment* Section, be maintained as part of FRTIB's submission, i.e., to ensure an accurate picture of FRTIB's approved and pending schedules. In past submissions, I was never advised that attachments or text in the *Comment* section would not be acceptable as part of response.

In completion of prior e-records scheduling reports, surveys, self-assessments, etc., I was encouraged to provide *Comment* information (with Attachments) – as there is a field in the *QuestionPro* for such *Comment* information. I have searched through all communications received from NARA and also the *QuestionPro* survey and cannot find a statement that advises numerical responses only. I am making a note of this information for future submissions.

As your email today indicates that previous numerical, text, and comment data provided within the *QuestionPro* Survey submitted on 9/29/2011, detailed within the attachments, appear to be ignored, I am greatly concerned about the status of FRTIB's submission. I am therefore requesting your reconfirmation that FRTIB's submission was in fact submitted on time. Ms. Rebekah Meservy and Ms. Tara McLoughlin can verify that I have completed required self-assessments, evaluations, surveys, and semi-annual e-records scheduling reports before or by the deadline. Please reconfirm that FRTIB's submission will be included with all agency responses received on time, i.e., on or before 9/30/2011.

Also, please note that – per copies of my attached emails – and your response on 9/30, there was difficulty in submission as the *QuestionPro* program would not generate a confirmation page. I reiterate my regret of necessity to repeatedly contact you to inquire if submission was received. Because *QuestionPro* program would not print report or give confirmation – even though emails from NARA advised that it would -- I had no other recourse than to plead for your assistance.

Please also provide a confirmation that the data resubmitted here will be shown on time for the required deadline of 9/30/2011. As you and Ms. Meservy are aware, I did not directly receive NARA's emails regarding completion of the report – which were sent to agency Records Management Officers. As I explained to you when contacting you for the necessary tool to perform the submission, I only received the information about web-link “tool” on September 28. And upon receiving it, spent considerable time to reevaluate status of all agency units, update the spreadsheet bearing data on current and projected submissions with accurate detail in Attachment 2. Even though I had problems with the submission because of *QuestionPro*'s “print and save” feature failing to give confirmation, I was able to confirm (because of you most-helpful assistance) that FRTIB's submission to NARA on 9/29/2011, was on time for 9/30/2011 deadline.

Please see the numerical data entered in your email below, and per the separate Word file titled, *QuestionPro* Numerical Data for Electronic Records I reiterate FRTIB's request to please include Attachments 1 and 2 (attached again here to this email) to our submission. In the past submissions, NARA always accepted the attachments FRTIB provided as part of the response.

Thank you again for your assistance and for providing a copy of the *QuestionPro* program text responses that I submitted on 9/29/2011.

Vivian

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

**Excerpt from E-mail from Angela Dorsey, 9/30/2011, 2:46 p.m.,
Dear Federal Records Officer,**

Thank you for submitting your agency's Semi-Annual Report on Scheduling Electronic Records via our survey tool. If you are receiving this email, this is confirmation that your submission has been received.

We apologize for the confusion caused by the lack of a survey submitted and/or confirmation page. It appears that use of the "print and save" feature prevented us from including a confirmation page as a finishing option at the conclusion of the survey. As such, if you were unable to print and save your agency's submission, feel free to email me directly at angela.dorsey@nara.gov and I will send you a .pdf copy of your submission by **Wednesday, October 5th 2011**.

Angela Dorsey
National Records Management Program (ACN)
NARA/Agency Services
angela.dorsey@nara.gov
(301) 837-1754

From: Angela Dorsey [mailto:Angela.Dorsey@nara.gov]
Sent: Friday, October 07, 2011 8:57 AM
To: Vivian Scott
Cc: Rebekah Meservy
Subject: Re-Submitting E-Records Survey Responses

Hi Vivian,

Last week I provided you with confirmation that we received your e-Records survey submission. And yesterday, I provided you with a copy of your responses per your request. However, after further review of your responses, it's difficult for us to decipher your answers to the survey questions. Essentially, we **ONLY** need three numbers from you, not text descriptions.

Can you answer the questions below by providing us with three responses **in numerical format only**? For example: 1) 222, 2) 333 and 3) 444. We do not need to receive responses in paragraph format, three numbers will suffice for our purposes.

As a reminder, the three questions are provided below:

- 1) How many electronic records systems does your agency have not including those that do not contain records? **25**
- 2) How many of your agency's electronic systems or series are scheduled by NARA approved schedules? **25**
- 3) How many of your agency's electronic systems or series have schedules submitted to NARA and pending approval? **2**

Since the e-Records survey closed last week, we'll need these responses from you as soon as possible in order to include them in our survey results. If you have any questions, do not hesitate to contact me via email. Thanks in advance!

Angela

Angela Dorsey
National Records Management Program (ACN)
NARA/Agency Services
angela.dorsey@nara.gov

(301) 837-1754

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/30/2011 9:24 AM >>>
To: RM Communications Staff

Would someone please respond to my 9/29/2011 email to Angela Dorsey (below)? I have left several messages on her answer phone but have not had a response. As I do not know if she is in the office today, I am seeking your assistance.

Please read my email which explains that I was not able to print my submission – as the survey screen prompted that the submission was completed and the software function apparently ended the program. While I did see – at one point – that all my written paragraphs were entered into the program, I was not able to print a copy.

Please let me know if FRTIB's submission was received, and if so, please provide a confirmation that it was in fact received on 9/29/2011. Please also provide a copy of the submission which I need to distribute here to agency officials.

Your response to these messages would be most appreciated.

Vivian A. Scott, FRTIB
202/942-1629

From: Vivian Scott
Sent: Thursday, September 29, 2011 7:59 PM
To: 'angela.dorsey@nara.gov'
Cc: 'Rebekah Meservy'
Subject: Your Assistance Requested for Copy of Submitted QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Ref.: Telephone Message left on Your Answer Phone, this evening, 7:20 p.m. re. completed and submitted *QuestionPro* Survey for Semi-Annual Report

To: Ms. Angela Dorsey, RM Communications, NARA

Angela,

Per my referenced telephone message, would you please assist me in the following:

- 1) Please let me know if RM Communications received my completed responses within the *QuestionPro* Survey – which I completed this evening. Although I received a computer prompt that the survey had been submitted, I was not able to print a copy for FRTIB records or distribution to Agency principals.
- 2) If RM Communications received my submission today, please email me a copy (of my written paragraphs for each question) so I may distribute as required within FRTIB, and maintain a copy in file. As before with all other evaluations and reports, copies are to be distributed to agency officials with prepared attachments. Please note that the attachments included here are to be a part of FRTIB's responses for this Semi-Annual Report.

Your assistance to resolve the *QuestionPro* problems, difficulties, and resultant failure to receive our “guaranteed” copy will be greatly appreciated.

Sincerely,

Vivian Anne Scott
Records Management Specialist

Office of Finance
 Administration Group, Records Management
 Federal Retirement Thrift Investment Board
 Telephone: 202/942-1629
 Fax: 202/942-1674
 Email: vscott@fsp.gov

From: RM Communications [mailto:RM.Communications@nara.gov]
Sent: Wednesday, September 28, 2011 3:55 PM
To: Vivian Scott
Subject: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

Vivian,

Please see below. Hope this helps!

Angela

>>> RM Communications RM.Communications@NARA.GOV> 9/7/2011 3:08 PM >>

September 7, 2011

AC 10.2011

MEMORANDUM TO FEDERAL AGENCY RECORDS OFFICERS: QuestionPro Survey for the Semi-Annual Report on Scheduling Electronic Records

On Thursday, September 1, 2011, you should have received Memorandum *AC 08.2011 Semi-annual Report on Scheduling Electronic Records* concerning your agency's responsibility to report on the status of your electronic records scheduling activities. If you have not seen AC 08.2011, please visit: <http://www.archives.gov/records-mgmt/memos/ac08-2011.html>.

As mentioned in the memorandum, NARA has developed an online reporting utility for you to enter your agency's information on scheduling your existing electronic records. To access the online report, go to: <http://2011E-RecordsSemiAnnualSurvey.questionpro.com>.

Completion of this brief report is mandatory. It must be completed by September 30, 2011.

Once in the reporting utility, you will find more detailed instructions on how to complete your agency's report. Please be aware of the following information before you input your responses:

- If you must exit the report before completing it, press the "Save and Continue" button. Otherwise, your previous responses will be erased and you will have to start over. Also, when you return to complete the report, you will not be able to access your previous response.
- If you would like to review and/or print your survey responses, click the "print" icon at the end of the survey. If you are still unable to print your survey and would like a .pdf version of your survey responses, email angela.dorsey@nara.gov. Attached is a printable .pdf version of the questions asked in the survey.
- If you wish to change a response, you must submit your request via email to

angela.dorsey@nara.gov. State the question, your current response, and the change you're requesting. No change requests will be accepted after 11:59 pm EDT, October 15, 2011.

You will have until 11:59 pm EDT, September 30, 2011, to provide responses in the online survey. If you cannot complete the report by that time, contact your appraiser or the NARA records management contact you regularly work with in scheduling records.

Under 44 U.S.C 2904(c), the Archivist has the authority and responsibility to conduct research to improve records management practices and programs, to inspect agency records management programs and practices, and report the results of these activities to the Office of Management and Budget (OMB) and to Congress. This report is designed to help NARA fulfill its oversight responsibilities.

Please contact Angela Dorsey in the National Records Management Program (NRMP) if you have any questions about this survey. Angela may be reached at: **angela.dorsey@nara.gov** or on 301-837-1754.

PAUL M. WESTER, JR.

Chief Records Officer for the
U.S. Government

>>> "Vivian Scott" <Vivian.Scott@tsp.gov> 9/27/2011 4:28 PM >>>
Dear RM Communications,

Please reserve a place for me to attend NARA's October 4th Forum and BRIDG meetings. May I please have a confirmation if space is available?

Thank you.

Vivian Anne Scott
Program Analyst and Records Management Specialist
Office of Finance - Administration Group
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005

Telephone: 202/942-1629
Fax Number: 202/942-1674

Rebekah Meservy - 1) FW: NARA Offers Basic Records Operations Webinar in November 2011; and 2) Important NARA News and FY 2012 Training Schedule

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Angela Tucker" <Angela.Tucker@tsp.gov>, "David Toro" <David.Toro@tsp.go...
Date: 10/6/2011 11:58 AM
Subject: 1) FW: NARA Offers Basic Records Operations Webinar in November 2011; and 2) Important NARA News and FY 2012 Training Schedule
CC: "Amanda Haas" <Amanda.Haas@tsp.gov>, "Anne Beemer" <Anne.Beemer@tsp.gov>...
Attachments: Records Express_October 2011.mht; RM Staff Asgnmts_updated as of October 2011.doc; Program Manager [Supervisor] (NARA).doc; Records Custodian (NARA).doc

To: FRTIB's Records Management Custodians:

Angela Tucker, David Toro, JeNeen Spencer, Kathleen Dillard, Kelly Powell, Kristina Kim, Lorraine Terry, Megan Graziano-Grumbine, Sandra Durant, Veronica Mance, and William Jacobson

cc:

FRTIB's Records Management Unit Program Managers

Anne Beemer, Gisile Goethe, Lorraine Terry, Mark A. Hagerty, Penny Moran, Renee Wilder, Sophie Dmuchowski, Susan Crowder, Susan Peine, Thomas Emswiler, Thomas Trabucco, Tracey Ray, Waleska Pierantoni-Monge

Assistants and Related Personnel: Amanda Haas; Denise Clifton, Karrenthya Simmons; Ne-Toisha Bailey; Randy Berry; Rebekah Meservy-Appraisal Archivist

Office of Automated Systems - IT Specialists and Web-Team Support: Arthur Alba; Derk Sloane, Ryall Carden, Steffani Pounds, Tee Ramos



Important News Announcement : NARA's Records Management Training

Dear RM Staff,

Please read as soon as convenient; this training information requires registration and a requisition for payment, if you plan to participate. .

A Training Webinar Available On-Line

In addition to NARA's realm of training offered via its on-line *Learn Center* – internally accessible by clicking on FRTIB's *Agency Resources Page* specific line item to the external NARA weblink – NARA also offers basic operations webinars (see excerpt and NARA's October 6, 2011 email below).

NARA also offers basic and advanced courses on-line or taught by their expert instructors at Archives II in College Park, MD. Several of our RM staff have attended one or more of the comprehensive courses, in addition to fulfilling requirement, i.e., all FRTIB Custodians having individually reviewed NARA's DVD, *Records Management for Everyone* [and are therefore cognizant of assigned RM duties and responsibilities].

I recommend NARA's *Basic Operations Webinar* – as a new or refresher course. It is easily accessible, convenient, and at a low cost of \$125. Please read the following excerpt from NARA's *Learn Center* regarding this important course:

Basic Records Operations - Webinar

This course describes what to file, how to file it, and how to remove files no longer needed for current business. It covers the variety of activities involved in the maintenance and use, as well as the disposition, of Federal records. It presents practical how-to's in handling records of various types.

The webinar format will allow for participants to build their skills during the 90 minute sessions. We will use directed assignments to allow participants to apply these skills to their own workplace during the course. Participants will also have access to a scheduled chat room each week to discuss any issues that come up between sessions.

The target audience for this course is records liaisons, secretaries, files custodians, and others who maintain records as part of their jobs. It could be an introduction to records handling or a refresher course. The course is designed for those needing the task-oriented records management basics, but who are not planning to complete the Certificate courses of study or manage a records program.

Cost: \$125

_____ - End of Excerpt from NARA's Website

Training Courses at NARA/Archives II

If it is not possible to participate in the *Basic Operations Webinar*, I highly recommend that Records Custodians take at least one or more courses held at NARA/Archives II. Custodians who have already participated in this important training have said it was very helpful to visit the site and have direct interaction with the NARA instructors. As I completed all NARA's required courses to earn the RM *Certificate of Federal Records Management Training*, in addition to advanced courses taken, I personally recommend additional training, even though each of you has been diligent in carefully viewing *Records Management for Everyone*. As most Custodians viewed this distributed DVD in 2006 or 2007, a refresher course would be helpful as it contains current information. The enormous strides NARA has made in advancing e-record programs such as ERA (Electronic Records Archives); ERK (electronic-recordkeeping); ERM (Electronic Records Management); Social Media Tools (such as Archives website links to Toolkit, Blogs, *Records Express*, Twitter, Face Book, etc.) – accessible via www.archives.gov – in addition to implementation and deployment of systems such as ARCIS (*Archives & Records Centers Information System*) – demonstrate the need for agency awareness and understanding of the electronic technologies impacting traditional record policies and procedures.

Please Note: A copy of NARA's *Records Express* for October 2011 is attached. This newsletter reports current developments, e.g., NARA's reorganization and new directorial oversights for agency services, in addition to a super web-link to FY 2012 Training Schedule. Please read when convenient for your schedule.

Registering for the November 2011 Basic Operations Webinar

Registration for the above Webinar training can be facilitated by requisition after supervisory approval is received. Please note that supervisor's approval is required for this cost and use of staff time.

After reading the pertinent information in NARA's Course Announcement below, please let me know if you have any questions. I also reiterate that training for all RM staff – RM Program Managers, RM Custodians, and RM

Assistants is available via FRTIB's *Agency Resources Page* (either on-line at FRTIB, or on-line at NARA, via NARA's *Learn Center*).

Updated Records Management Staff List

Please see updated RM Staff list as of October 1, 2011, attached.

Thank you all for your continued diligence and careful maintenance, oversight, and protection of FRTIB's federal records.

Vivian

*Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board*
☎ 202/942-1629
Fax: 202/942-1674
vscott@tsp.gov

From: NARA's National Records Management Training Program [<mailto:workshop@nara.gov>]
Sent: Thursday, October 06, 2011 8:53 AM
To: Vivian Scott
Subject: NARA Offers Basic Records Operations Webinar in November

You've subscribed to [NARA's National Records Management Training Program](#) communications. For best delivery, please add workshop@nara.gov to your address book or safe sender list.
To view this email in your browser click [here](#).

Announcing the only comprehensive records management webinar

✕ Basic Records Operations Banner

Online Training that will have an
immediate impact on office
efficiency and economy

We are excited to offer
our next Basic Records

Online Training that will have an
immediate impact on office
efficiency and economy

> Trouble finding time to take a
class?

Operations webinar starting on Tuesday, November 1.

× Recordkeeping responsibilities are distributed in the modern office.

Basic Records

Operations covers the variety of activities involved in the creation, maintenance, use and disposition of Federal information.

All you need is an internet-connected computer and a phone to connect to the toll-free audio conference portion of the course. You can participate from your office, your conference room or from home.

Experience a NARA webinar for yourself. And, see how you can build your skills and apply what you learn in your workplace. Visit the [RM Learn Center](#) to register online.

\$125 • November 1, 8, 15 and 22 from 10:00 - 11:30 AM Eastern • Online

Remember – 4 Ninety Minute Sessions = 1 Basic Records Operations course

× × × × ×

The course begins November 1; Register online today!

Agency-Specific Webinars

Agency-specific training consists of modules or workshops that have been customized for your specific agency and is accessible to agency staff wherever they are located. We are often asked to develop specific training to support agency records management goals.

×

Agency-specific Training can be extremely valuable and effective. The training integrates elements of our standard webinars with information relevant to your agency's unique records management concerns and your time constraints. Working with you, we determine the training needs of your office and customize our training to meet your needs. We can explain your office's specific records

> Agency-Specific Webinars

>

>

> What you will Learn

Trouble finding time to take a class?

How easy is this? Four 90 minute sessions on four separate days and you come away with a lifetime of strategies, best practices and tips to take back to your office.

× Share the connection with a conference room of your staff.

What you will Learn

By the end of the course, participants will be able to

- Define Federal records and distinguish them from nonrecord materials and personal papers;
- Reduce unnecessary filing;
- Know basic files management principles to administer office records;
- Inventory records;
- Apply records disposition schedules; your agency's and the General Records Schedules; and
- Transfer non-current

management policies and resources and adapt materials to apply to your own situation.

records to records centers

Please contact us for more information if you are interested in tailored training for your office.

Who should attend?

Send us an Email to begin the discussion >

The target audience for this course is records liaisons, secretaries, files custodians, and others who maintain records as part of their jobs. It could be an introduction to records handling or a refresher course. The course is designed for those needing the task-oriented records management basics, but who are not planning to complete the Certificate courses of study or manage a records program.

Find Out More Here!

<hr size=2 width="100%" align=center>

Trouble viewing this email? Go to:

<http://maildogmanager.com/page.html?p=0000015Fu8vsH2sz0v0qWHiuEq2onn9g==&email=vivian.scott@tsp.gov>

You've subscribed to **NARA's National Records Management Training Program** communications. For best delivery, please add **workshop@nara.gov** to your address book or safe sender list.
8601 Adelphi Road, College Park, MD 20740-6001, U.S.A.
Review our [Privacy Policy](#) and [Acceptable Use Policy](#).
[Unsubscribe](#) or manage your [Subscription Preferences](#)

✕

Crafted and delivered by NARA's National Records Management Training Program's [Mail Dog!](#)



Federal Retirement Thrift Investment Board

Records Management Staff

FRTIB's Telephone: 202/942-1600

Records Management Officer:

FRTIB RM Officer: Barbara P. Torres *, Administrative Officer, Office of Finance

Records Management Liaison Officers:

Thomas K. Emswiler *, General Counsel, Office of the General Counsel

Mark A. Hagerty, CIO, Office of Automated Systems

Records Management Program Managers:

Lorraine D. Terry *, Executive Assistant for Gregory T. Long, Executive Director

Thomas K. Emswiler *, General Counsel, Office of General Counsel

Mark A. Hagerty, CIO, Office of Automated Systems

Barbara P. Torres *, Administrative Officer, Office of Finance

Thomas J. Trabucco, Director, Office of External Affairs

Pamela-Jeanne Moran *, Director, Office of Participant Services

Tracey Ray, Director, Office of Investments

Renee Wilder, Director, Office of Research and Strategic Planning

Anne M. Beemer, Controller, Control Group, Office of Finance

Susan C. Crowder *, Chief Accounting Officer, Accounting Group, Office of Finance

Gisile Goethe, Deputy Director, Agency Education & Training, Office of Participant Services

Sophie Dmuchowski, Deputy Director, Communications, Office of Participant Services

Susan Peine *, Deputy Director, Benefits Operations, Office of Participant Services

Waleska Pierantoni-Monge, Supervisory Contract Specialist, Procurement, Office of Finance

Records Management Specialist:

Vivian A. Scott *, Office of Finance, ☎(202) 942-1629

Records Management Custodians:

Lorraine D. Terry *, Office of the Executive Director

Saundra R. Durant, Office of Automated Systems

JeNeen C. Spencer, Office of Automated Systems

David Toro, Office of External Affairs and ETAC

Kristina Kim *, Office of Finance – Accounting Group

Kelly Powell *, Office of Finance – Administration Group

Kathleen D. Dillard, Office of Finance – Procurement Group

Megan Graziano Grumbine *, Office of the General Counsel

William H. Jacobson, Office of Investments

Angela M. Tucker *, Office of Participant Services

Veronica Mance, Office of Research and Strategic Planning

* Includes oversight for Vital Records of the Unit Group.

Records Management Program Managers:

Recordkeeping Roles and Responsibilities

Program Manager (Supervisor)

- Ensures that the office has a designated Records Custodian who coordinates the office's records management activities with the Records Liaison and others.
- Ensures that the staff receives basic records management training and guidance.
- Ensures that the staff creates and maintains records documenting the office's program and administrative activities.
- Works with the Records Custodian to make sure that all the office's records are listed in the office file plan and described accurately in the agency's records schedule.
- Reviews the office file plan annually.
- Reminds the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove records from the office without proper authorization.
- Implements procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody.
- Ensures that the Records Custodian follows the agency's records schedule in carrying out the disposition of the office's records.
- Cooperates with the Records Custodian, the Records Liaison, and Agency Records Officer in efforts to promote and evaluate the office's records management activities.

National Archives and Records Administration

Excerpt from Records Management Guide, December 2005

Recordkeeping Roles and Responsibilities

Records Custodian

- Has assigned responsibility within a particular office for records management matters and complies with guidance issued by the Records Liaison and the Agency Records Officer.
- Makes sure that all the office's records are listed in the office file plan and are described accurately in the agency's records schedule. Checks with the Records Liaison or the Agency Records Officer for assistance.
- Follows the agency's records schedule to ensure the proper disposition of the office's records , including:
 - Systematic file cutoffs (breaks)
 - The retirement of eligible records to a records center
 - The prompt disposal of temporary records when their retention periods expire
 - The timely transfer of permanent records to NARA
- Assists the Program Manager in reminding the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove records from the office without proper authorization.
- Assists the Program Manager in implementing procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody.
- Cooperates with the Records Liaison and the Agency Records Officer in periodic evaluations of the office's records.

National Archives and Records Administration

Excerpt from Records Management Guide, December 2005

Rebekah Meservy - Personal Thank You for Your Wonderful Gifts Yesterday at the FRTIB Gathering

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 6/29/2012 5:04 PM
Subject: Personal Thank You for Your Wonderful Gifts Yesterday at the FRTIB Gathering
Attachments: Official SF115 ERM Audit Monitor Recs 6_22_12.doc; Official SF115 ERM Int Audit Cont_New_6_22_12.doc; Official SF 115 ERM Audit Reports_6_22_2012.doc; Official SF115 OF_Ann Insp Gen Act Rpt_6_22_12.doc; Official SF115 OF_Budget Monthly Memo_6_22_12.doc; Official SF115_OF_Budget_Annl Budget Reqst_6_22_12.doc

Dear Rebekah,

This is just a brief note to say thank you – from the bottom of my heart – for your beautiful visit and presentation yesterday. I do plan to send proper thank you notes as soon as I have time to breathe (as I am closing out so many things today here and at home).

You made the retirement party so special yesterday, and I know you understand how greatly I appreciate the beautiful, wonderful letter of recognition from the Honorable David Ferriero. Thank you again for this wonderful, tremendous gift which I shall cherish all the days of my life.

*I shall miss seeing you and working with you.
May you be especially and greatly blessed for all the goodness you do within these needy federal agencies.*



Vivian

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

JOB NUMBER

DATE RECEIVED

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

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

7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cecile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR
Management and

10. ACTION
Acting RM Officer

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SUPERSEDED

JOB CITATION

TAKEN (NARA

USE ONLY)

Audit Monitoring Records

a. **Recordkeeping copy** of all audit monitoring paper records, including computer printouts, and monthly and semi-annual 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. **Executive Director's Copy.**

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

N1-474-97-2, item 3

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>				<small>LEAVE BLANK (NARA USE ONLY)</small>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408				JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD				DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF ENTERPRISE RISK MANAGEMENT				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.	
3. MINOR SUBDIVISION					
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist		5. TELEPHONE (202) 942-1629		DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION <p>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,</p> <p style="text-align: center;"> <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </p>					
DATE 7.	SIGNATURE OF AGENCY REPRESENTATIVE <i>Cisile Goethe</i>			TITLE Acting Director, Office of Resource Management and Acting RM Officer	
ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION			9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><u>Internal Audit Control Materials</u></p> <p>Recordkeeping copy of electronic data material that are created as internal audits are performed.</p> <p><u>Disposition:</u> Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.</p>				

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>				<small>LEAVE BLANK (NARA USE ONLY)</small>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408				JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD				DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF ENTERPRISE RISK MANAGEMENT				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.	
3. MINOR SUBDIVISION				DATE	
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist		5. TELEPHONE (202) 942-1629		ARCHIVIST OF THE UNITED STATES	
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, <div style="display: flex; justify-content: space-between; margin-top: 10px;"> X is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>					
DATE 7.		SIGNATURE OF AGENCY REPRESENTATIVE Gisela Goethe	TITLE Acting Director, Office of Resource Management and	9. GRS OR 10. ACTION	Management and Acting RM Officer
ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION			9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>Audit Report File</u> 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. <u>Disposition:</u> 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. <u>Disposition:</u> 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 4	

(See Instructions on Reverse)

1. FROM (Agency or Establishment)

~~FEDERAL RETIREMENT THRIFT INVESTMENT BOARD~~

2. MAJOR SUBDIVISION

OFFICE OF FINANCE

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

Vivian A. Scott, RM Specialist

(202) 942-1629

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 _____

7.

SIGNATURE OF AGENCY REPRESENTATIVE

Gisile Goetha

TITLE Acting Director, Office of Resource

9. GRS OR

Management and Acting RM Officer

SUPERSEDED

TAKEN (NARA

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

JOB CITATION

USE ONLY)

Annual Inspector General Act Report

FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

N1-474-97-4,
item 4

Attachment to Proposed SF-115 Request for Records Disposition Authority for
existing Schedule: Annual Inspector General Act Report

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

Annual Inspector General Act Report, N1-474-97-4, item 4

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

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>				<small>LEAVE BLANK (NARA USE ONLY)</small>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408				JOB NUMBER	
				DATE RECEIVED	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD 2. MAJOR SUBDIVISION OFFICE OF FINANCE 3. MINOR SUBDIVISION Budget Group				<small>NOTIFICATION TO AGENCY</small>	
				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
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist		5. TELEPHONE (202) 942-1629			
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; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.					
DATE 7.		SIGNATURE OF AGENCY REPRESENTATIVE Gisela Goethe	TITLE Acting Director, Office of Resource Management and Acting RM Officer		
ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION		9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)	
	<u>Monthly Memoranda on the Status of the Budget</u> a. Recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group. <u>Disposition:</u> Cut off files at the end of the fiscal year. Destroy 3 years after cutoff. b. Executive Director's Copy. <u>Disposition:</u> Cut off files at the end of the fiscal year. Destroy 1 year after cutoff.		N1-474-97-2, item 2		

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 FINANCE

3. MINOR SUBDIVISION

Budget Group

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

DATE RECEIVED

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

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

7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cicile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR
Management and Acting RM Officer

10. ACTION
TAKEN (NARA

USE ONLY)

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SUPERSEDED

JOB CITATION

1.

Annual Budget Request

a. Recordkeeping 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, 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 files at the end of the fiscal year. Destroy 3 years after cutoff.

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 Office of Finance. Disposition: Destroy 1 year after the close of the fiscal years

N1-474-97-2,
item 1

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

Annual Budget Request, N1-474-97-2, item 1

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.
2. In item b) the phrase "or when no longer needed, whichever is sooner" has been deleted.
3. In item c) the obsolete office "OBI" has been replaced with Office of Finance, and so states:

 . . . originating offices' copies of reports submitted to
 Office of Finance.

The proposed additions to the existing Schedule will enable electronic storage of a major record generated within the Office of Finance - Budget Group as part of the annual budget request process. The Office of Finance - Budget Group is responsible for budget activities of the Federal Retirement Thrift Investment Board (FRTIB), such as budget, and other fiduciary management in its financial oversight.

Rebekah Meservy - Official SF 115s (6) Forthcoming Via Priority Mail (revised for two new FRTIB office units -- from previous Control Group, Office of Finance)

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 6/29/2012 4:34 PM
Subject: Official SF 115s (6) Forthcoming Via Priority Mail (revised for two new FRTIB office units -- from previous Control Group, Office of Finance)
CC: Gisile Goethe <Gisile.Goethe@tsp.gov>, Angela Tucker <Angela.Tucker@tsp....>
Attachments: Official SF115 ERM Audit Monitor Recs 6_22_12.doc; Official SF115 ERM Int Audit Cont_New_6_22_12.doc; Official SF 115 ERM Audit Reports_6_22_2012.doc; Official SF115 OF_Ann Insp Gen Act Rpt_6_22_12.doc; Official SF115 OF_Budget Monthly Memo_6_22_12.doc; Official SF115_OF_Budget_Annl Budget Reqst_6_22_12.doc

Rebekah Meservy, Appraisal Archivist, NARA

As mentioned yesterday when you kindly visited FRTIB, the [previous Control Group] six *Request for Records Disposition Authority schedules* (for 5 revised and 1 new schedule) have been internally approved and are forthcoming (by priority mail). I understand that Gisile has signed all 6 Requests, which were dated as of June 26, 2012, with cover letter dated June 27. The attached copies of the SF115s are fyi; you should be receiving the originals shortly – contingent on mailing.

Please note that while all of these records were previously under the Office of Finance – Control Group – which you previously reviewed in draft form – the Control Group has recently been divided into two separate units (Office of Enterprise Risk Management and Office of Finance–Budget Group).

After you have received, and have had time to review at your convenience, please contact Angela, Gisile, and Anne to arrange an Appraisal Archivist meeting at FRTIB.

Thank you again for the outstanding, tremendous assistance you have provided – and continue to provide to FRTIB.

With all good wishes to you always,

Sincerely,

Vivian

*Vivian Anne Scott
 Records Management Specialist
 Federal Retirement Thrift Investment Board
 Telephone: 202/942-1629
 Email: vscott@tsp.gov*

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

JOB NUMBER

DATE RECEIVED

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

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
7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cicile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR
Management and
10. ACTION
Taken (NARA
USE ONLY)

ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION

10. ACTION
TAKEN (NARA
USE ONLY)

Audit Monitoring Records

a. **Recordkeeping copy** of all audit monitoring paper records, including computer printouts, and monthly and semi-annual 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. **Executive Director's Copy.**

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

N1-474-97-2, item 3

Attachment to Proposed SF-115 Request for Records Disposition Authority

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 Monitoring Records, N1-474-97-2, item 3

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), the duplicate and unspecific language, "copies maintained by other FRTIB program offices," has been deleted, i.e., the Office of Enterprise Risk Management will only maintain a file for the Executive Director's copy. Also, for the Executive Director's copy, deleted the phrase: "or when no longer needed, whichever is sooner."
3. See separately-submitted SF-115 Request to add another Schedule of Records to this series of Audit Monitoring Records, i.e., a new proposed Schedule titled: Internal Audit Control Materials.

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.

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

5. TELEPHONE

Vivian A. Scott, RM Specialist

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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
7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cecile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR
Management and Action RM Officer
10. ACTION
TAKEN (NARA
USE ONLY)

ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION

Internal Audit Control Materials

Recordkeeping copy of electronic data material that are created as internal audits are performed.

Disposition: Cut off at the end of the fiscal year. File onto electronic media (DVDs) for storage at FRTIB before transfer to FRC. Transfer to the Washington National Records Center [WNRC] 5 years after cutoff. Destroy 30 years after cutoff.

Attachment to Proposed SF-115 Request for Records Disposition Authority
for an Unscheduled Record: Internal Audit Control Materials

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

New proposed record as component to existing series (Audit Monitoring Records)

Internal Audit Control Materials

This proposed Schedule is being submitted to gain media neutral approval for the recordkeeping copy of a new, temporary electronic record to be maintained by the Office of Enterprise Risk Management.

This revised draft supersedes previously-submitted drafts for this same Record, previously proposed (4/29/2011) as a component for an existing Schedule. As it has been determined that this is a distinct record from other audit materials, i.e., electronic records generated, created, and produced during internal audits, this record requires a separate, distinct Schedule to enable storage of a major electronic record maintained 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.

(See Instructions on Reverse)

(202) 942-1629

JOB NUMBER

DATE RECEIVED

~~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

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
7.

SIGNATURE OF AGENCY REPRESENTATIVE

Gisela Goethe

TITLE Acting Director, Office of Resource

9. GRS OR Management and	10. ACTION Acting RM Officer
SUPERSEDED	TAKEN (NARA

ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SUPERSEDED
JOB CITATION

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 4

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.

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 FINANCE

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Vivian A. Scott, RM Specialist

5. TELEPHONE

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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

7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cisile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR
Management and Active RM Officer

10. ACTION
TAKEN (NARA

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

SUPERSEDED

JOB CITATION

USE ONLY)

Annual Inspector General Act Report

FRTIB's Annual Inspector General Act Report that is submitted on October 31 to the Office of Management and Budget and Congress. This is a routine report because the FRTIB has no Inspector General.

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

N1-474-97-4,
item 4

Attachment to Proposed SF-115 Request for Records Disposition Authority for
existing Schedule: Annual Inspector General Act Report

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

Annual Inspector General Act Report, N1-474-97-4, item 4

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

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 FINANCE

3. MINOR SUBDIVISION

Budget Group

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

Vivian A. Scott, RM Specialist

(202) 942-1629

JOB NUMBER

DATE RECEIVED

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

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

7.

SIGNATURE OF AGENCY REPRESENTATIVE

Cisile Goethe

TITLE Acting Director, Office of Resource

9. GRS OR Management and 10. ACTION
SUPERSEDED Management and Acting RM Officer

ITEM

NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

JOB CITATION

TAKEN (NARA

USE ONLY)

Monthly Memoranda on the Status of the Budget

- a. Recordkeeping copy of monthly memoranda to the Executive Director on the status of the budget based on monthly summary reports received from the Office of Finance – Accounting Group.

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.

N1-474-97-2,
item 2

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

Monthly Memoranda on the Status of the Budget, N1-474-97-2, item 2

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 a) the obsolete term of "Office of Accounting" has been replaced with Office of Finance, Accounting Group, and so states:

. . . monthly summary reports received from the Office of Finance, Accounting Group.

The proposed additions to the existing Schedule will enable electronic storage of a major record generated within the Office of Finance's Budget Group as part of the annual budget request process. The Office of Finance's Budget Group is responsible for control activities of the Federal Retirement Thrift Investment Board (FRTIB), such as budget, and other fiduciary management in its financial oversight.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on Reverse)</i>				<small>LEAVE BLANK (NARA USE ONLY)</small>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408				JOB NUMBER	
1. FROM (Agency or Establishment) FEDERAL RETIREMENT THRIFT INVESTMENT BOARD				DATE RECEIVED	
2. MAJOR SUBDIVISION OFFICE OF FINANCE				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.	
3. MINOR SUBDIVISION Budget Group					
4. NAME OF PERSON WITH WHOM TO CONFER Vivian A. Scott, RM Specialist		5. TELEPHONE (202) 942-1629			
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,				DATE	
X is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.				ARCHIVIST OF THE UNITED STATES	
DATE 7.		SIGNATURE OF AGENCY REPRESENTATIVE Gisela Goethe	TITLE Acting Director, Office of Resource Management and Acting RM Officer	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION			9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<u>Annual Budget Request</u> a. Recordkeeping 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, plus supporting justifications and budget estimates from major Board organizations. <u>Disposition:</u> 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. <u>Disposition:</u> Cut off files at the end of the fiscal year. Destroy 3 years after cutoff. 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 Office of Finance. <u>Disposition:</u> Destroy 1 year after the close of the fiscal years			N1-474-97-2, item 1	

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

Annual Budget Request, N1-474-97-2, item 1

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.
2. In item b) the phrase "or when no longer needed, whichever is sooner" has been deleted.
3. In item c) the obsolete office "OBI" has been replaced with Office of Finance, and so states:

. . . originating offices' copies of reports submitted to
Office of Finance.

The proposed additions to the existing Schedule will enable electronic storage of a major record generated within the Office of Finance - Budget Group as part of the annual budget request process. The Office of Finance - Budget Group is responsible for budget activities of the Federal Retirement Thrift Investment Board (FRTIB), such as budget, and other fiduciary management in its financial oversight.

Rebekah Meservy - Notification Letter Required for RM Officer Signature Acceptance at NARA

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 2/24/2012 7:49 PM
Subject: Notification Letter Required for RM Officer Signature Acceptance at NARA
CC: "Susan Crowder" <Susan.Crowder@tsp.gov>
Attachments: Notification Letter to RMeservy Re RMO Change_final_2_24_2012.doc; RM Staff Asgnmts_updated as of February 2012.pdf

To: Ms. Rebekah Meservy, Appraisal Archivist, NARA

Rebekah,

Per your request, FRTIB's official letter regarding Susan C. Crowder as Acting Records Management Officer has been prepared and sent to you today. I have attached a copy of the letter that was mailed via the U.S. Postal System.

Vivian

February 24, 2012

Mrs. Rebekah Meservy
Appraisal Archivist
National Archives and Records Administration
8601 Adelphi Road, NWML, Room 2100
College Park, MD 20740

Dear Mrs. Meservy,

This letter serves as official notification to the National Archives and Records Administration (NARA) that there has been a change in the Records Management Officer staff at the Federal Retirement Thrift Investment Board (FRTIB).

As Mrs. Barbara Torres is no longer with the FRTIB, please change the administrative and authorization records at NARA to show the following information reflecting my authority as the acting responsible officer, which includes approving and signing documents for transactions between FRTIB and NARA:

Mrs. Susan C. Crowder
Deputy Chief Financial Officer
and Acting Records Management Officer
Office of Finance
Federal Retirement Thrift Investment Board
1250 H Street, N.W., Washington, DC 20005
Telephone: 202-942-1615
Email: susan.crowder@tsp.gov

Further, the FRTIB's address will change on March 16, 2012, with our agency's move to its new location at:

77 K Street, N.E.
Washington, DC 20002

Please do not hesitate to contact me if you have any questions.

Sincerely,

Susan C. Crowder
Deputy Chief Financial Officer
Office of Finance

cc: James B. Petrick

Ms. Rebekah Meservy
Appraisal Archivist
NWML, Room 2100
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740

From: Vivian Scott <Vivian.Scott@tsp.gov>
To: Rebekah Meservy <Rebekah.Meservy@nara.gov>
CC: Susan Crowder <Susan.Crowder@tsp.gov>, Tracey Ray <Tracey.Ray@tsp.gov>, ...
Date: 4/24/2012 5:29 PM
Subject: Appraisal Archivist Meeting at FRTIB, April 27, 2012 - Proposed Agenda
Attachments: Proposed Agenda_April 27_2012 Appraisal Process Mtg.doc; Proposed Agenda_April 27_2012 Appraisal Process Mtg.pdf; RM Staff Asgnmts_updated as of March 1, 2012.pdf

Rebekah,

Attached is the first draft of proposed Agenda for our Friday, April 27, 2012 meeting. When convenient, please review and let me know if you wish any changes. Please note that the session times are estimated - it may perhaps take longer for the Investments' section as there are 5 proposed schedules for review.

With respect to providing directions for FRTIB's new location, will you be traveling by Metro? If so, I believe directions from Gallery Place Station to Union Station would be appropriate and I will plan on sending tomorrow, Wednesday, April 25. If you are traveling another way or accessing Metro from another direction, please let me know.

I will also try to reach you by telephone tomorrow afternoon (I will be in the former office building in the morning).

Looking forward to speaking with you tomorrow.

Vivian

Vivian Anne Scott

Records Management Specialist

Administration Group, Office of Finance

Federal Retirement Thrift Investment Board

Telephone: 202/942-1629

**PROPOSED AGENDA****Federal Retirement Thrift Investment Board (FRTIB) and the
National Archives & Records Administration (NARA)****FRTIB-NARA Meeting**

at

FRTIB, 77 K Street, N.E., Suite 1000, N.W., Washington, D.C.**Capitol Conference Room, 11th Floor****Date: April 27, 2012****Time: 9:30 a.m. – ~ 2:30 p.m.*****Attendees*****NARA:** Rebekah L. Meservy, Appraisal Archivist, Life Cycle Management Division
_____, Life Cycle Management Division**FRTIB:** Susan C. Crowder, Deputy Chief Financial Officer and Acting Records Officer (invited)
Tracey A. Ray, Chief Investments Officer (invited), Office of Investments
William H. Jacobson, CFA, Financial Analyst and Records Custodian, Office of Investments
Gisile Goethe, Deputy Director, HR/Admin. & RM Program Mgr. (invited), Office of Finance
Kelly Powell, Human Resources/Admin. Specialist and Records Custodian, Office of Finance
Angela Tucker, Records Custodian, Office of Participant Services
Vivian A. Scott, Program Analyst & Records Management Specialist, Office of Finance

9:30 a.m. – 9:45 a.m.

Welcome and Introduction

9:45 a.m. – 10:00 a.m.

Presentation of Meeting Materials**Office of Investments' Records
Meeting with NARA for Records
Appraisal Process****FRTIB Session**

10:00 a.m. – ~ 12:00 p.m.

**FRTIB Investment Schedules for
Review:*****SF-115 – Request for Records Disposition Authority***Agenda Item 1
Agenda Item 2
Agenda Item 3
Agenda Item 4**Existing Records Schedules (4)
Investment and Interfund Policy Records
Investment and Subject Matter Records
Investment Performance Reports
Fund Tracking Systems and Spreadsheets***Review and
discussion with
FRTIB Investments
Staff*

Agenda Item 5

**New Program Records Schedule (1)
Statistical Reports****Break for Lunch
11:55 – 12:55**

NARA Session

1:00 p.m. – 1:15 p.m.

FRTIB-NARA Meeting

April 27, 2012, Time: 9:30 a.m. – ~ 2:30 p.m.

Rebekah L.

Meservy

Appraisal Policy of the National Archives & Records Administration (continued):*

*Appraisal – the process of determining the value and thus the final disposition of Federal records, making them either temporary or permanent. (Distributed Source: NARA's *Appraisal Policy of the National Archives and Records Administration*, 2-page booklet.)

FRTIB: Staff from
Offices of
Investments;
Finance-
Administration
Group, and
Participant Services

NARA Session

1:15 p.m. – 2:00 p.m.

Review and discussion with FRTIB Staff

SF-115 – Request for Records Disposition Authority
New Program Records Schedule (1)

Review and
discussion with
FRTIB Staff
From Office of
Finance-Admin.-
Human Resources

Agenda Item 6

Unemployment Compensation**NARA Session**

1:15 p.m. – 2:15 p.m.

Consultation and Guidance from NARA
(Rebekah L. Meservy, Appraisal Archivist)

Discussion and Review of Actions Required for
Records Disposition Authority Process Completion
*for FRTIB's Records** Requests*

FRTIB's Cognizance for Appraisal Meeting (Preparedness):
(Cited Source Distributed:

NARA's *How to Prepare for An Appraisal Meeting* ***)

- ◆ Discuss and clarify specific SF115 appraisal issues.
- ◆ Identify for each specific issue:
 - all key program officials
 - technical information required for transfer
 - regulatory or statutory access concerns
 - locations where information is maintained
 - all formats of information
- ◆ Access to the records, in all formats, with appropriate staff available to answer questions.

2:15 p.m. – 2:30 p.m.

Recap: Actions Required and Concluding Remarks

**As established by *Directive 28A*, the FRTIB has a centralized RM system regulation. The records that can be inventoried are those at FRTIB and its known storage and contractor sites (e.g., NARA/WNRC, and SERCO). Records requiring inventory and entry in Records Storage Log are those records generated and maintained at FRTIB or contractor sites which are identified by approved schedules and in compliance with NARA regulations.

Compliant Storage for all holdings off site at WNRC: FRTIB has ensured all records stored on and off site meet requirements (i.e., as directed by NARA's Modern Records Program Office) – with additional Code Requirements under 36 CFR part 1228, Subpart K, and 36 CFR, part 1228.154 and 156 for Facility Certification.

***See NARA's *How to Prepare for An Appraisal Meeting* for detailed process.



TSP.gov

PROPOSED AGENDA
**Federal Retirement Thrift Investment Board (FRTIB) and the
National Archives & Records Administration (NARA)**
FRTIB-NARA Meeting

at

FRTIB, 77 K Street, N.E., Suite 1000, N.W., Washington, D.C.
Capitol Conference Room, 11th Floor
Date: April 27, 2012**Time:** 9:30 a.m. – ~ 2:30 p.m.
Attendees
NARA: Rebekah L. Meservy, Appraisal Archivist, Life Cycle Management Division

_____, Life Cycle Management Division

FRTIB: Susan C. Crowder, Deputy Chief Financial Officer and Acting Records Officer (invited)
 Tracey A. Ray, Chief Investments Officer (invited), Office of Investments
 William H. Jacobson, CFA, Financial Analyst and Records Custodian, Office of Investments
 Gisile Goethe, Deputy Director, HR/Admin. & RM Program Mgr. (invited), Office of Finance
 Kelly Powell, Human Resources/Admin. Specialist and Records Custodian, Office of Finance
 Angela Tucker, Records Custodian, Office of Participant Services
 Vivian A. Scott, Program Analyst & Records Management Specialist, Office of Finance

9:30 a.m. – 9:45 a.m.

Welcome and Introduction

9:45 a.m. – 10:00 a.m.

Presentation of Meeting Materials
**Office of Investments' Records Meeting with NARA
for Records Appraisal Process**
FRTIB Session
FRTIB Investment Schedules for Review:

10:00 a.m. – ~ 12:00 p.m.

SF-115 – Request for Records Disposition Authority

 Agenda Item 1
 Agenda Item 2
 Agenda Item 3
 Agenda Item 4

Existing Records Schedules (4)
Investment and Interfund Policy Records
Investment and Subject Matter Records
Investment Performance Reports
Fund Tracking Systems and Spreadsheets
*Review and
discussion with
FRTIB Investments
Staff*
New Program Records Schedule (1)

Agenda Item 5

Statistical Reports
Break for Lunch

11:55 – 12:55

FRTIB-NARA Meeting

Page 2

April 27, 2012. Time: 9:30 a.m. -- 2:30 p.m.

Rebekah L.
Meservy**NARA Session**

1:00 p.m. – 1:15 p.m.

Appraisal *Policy of the National Archives & Records Administration (continued):

* Appraisal – the process of determining the value and thus the final disposition of Federal records, making them either temporary or permanent. (Distributed Source: NARA's *Appraisal Policy of the National Archives and Records Administration*, 2-page booklet.)

FRTIB: Staff from
Offices of
Investments;
Finance-
Administration
Group, and
Participant Services

NARA Session

1:15 p.m. – 2:00 p.m.

Review and discussion with FRTIB Staff***SF-115 – Request for Records Disposition Authority
New Program Records Schedule (1)***

Agenda Item 6

Unemployment Compensation

Review and
discussion with
FRTIB Staff
From Office of
Finance-Admin.-
Human Resources

NARA Session

1:15 p.m. – 2:15 p.m.

***Consultation and Guidance from NARA
(Rebekah L. Meservy, Appraisal Archivist)******Discussion and Review of Actions Required for
Records Disposition Authority Process Completion
for FRTIB's Records** Requests*****FRTIB's Cognizance for Appraisal Meeting (Preparedness):
(Cited Source Distributed:*****NARA's How to Prepare for An Appraisal Meeting) ******

- Discuss and clarify specific SF115 appraisal issues.
- Identify for each specific issue:
 - all key program officials
 - technical information required for transfer
 - regulatory or statutory access concerns
 - locations where information is maintained
 - all formats of information
- Access to the records, in all formats, with appropriate staff available to answer questions.

2:15 p.m. – 2:30 p.m.

Recap: Actions Required and Concluding Remarks

All

**As established by Directive 28A, the FRTIB has a centralized RM system regulation. The records that can be inventoried are those at FRTIB and its known storage and contractor sites (e.g., NARA/WNRC, and SERCO). Records requiring inventory and entry in Records Storage Log are those records generated and maintained at FRTIB or contractor sites which are identified by approved schedules and in compliance with NARA regulations.

Compliant Storage for all holdings off site at WNRC: FRTIB has ensured all records stored on and off site meet requirements (i.e., as directed by NARA's Modern Records Program Office) – with additional Code Requirements under 36 CFR part 1228, Subpart K, and 36 CFR, part 1228.154 and 156 for Facility Certification.

***See NARA's *How to Prepare for An Appraisal Meeting* for detailed process.



Federal Retirement Thrift Investment Board
Records Management Staff
FRTIB's Telephone: 202/942-1600

Records Management Officer:

RM Officer (Acting): Susan C. Crowder, Deputy Chief Financial Officer *, Office of Finance

Records Management Liaison Officers:

Thomas K. Emswiler *, General Counsel, Office of the General Counsel

Records Management Program Managers:

Lorraine D. Terry *, Executive Assistant for Gregory T. Long, Executive Director
Thomas K. Emswiler *, General Counsel, Office of General Counsel
Mark Walther, Chief Information Officer, Office of Automated Systems
Kimberly Weaver, Director, Office of External Affairs and ETAC
Tracey Ray, Director, Office of Investments
Renee Wilder, Director, Office of Research and Strategic Planning
Anne M. Beemer, Controller, Control Group, Office of Finance
Susan C. Crowder *, Deputy Chief Financial Officer, Office of Finance
Gisile Goethe *, Deputy Director for Human Resources/Administration Group, and
Deputy Director, Education & Liaison/Training, Office of Participant Services
Sophie Dmuchowski, Deputy Director, Communications, Office of Participant Services
Susan Peine *, Deputy Director, Benefits Operations, Office of Participant Services
Waleska Pierantoni-Monge, Supervisory Contract Specialist, Procurement, Office of Finance

Records Management Specialist:

Vivian A. Scott *, Office of Finance, • (202) 942-1629

Records Management Custodians:

Lorraine D. Terry *, Office of the Executive Director
Saundra R. Durant, Office of Automated Systems
JeNeen C. Spencer, Office of Automated Systems
David T. Toro, Office of External Affairs and ETAC
Kristina Kim *, Office of Finance – Accounting Group
Kelly Powell *, Office of Finance – Administration Group
Kathleen D. Dillard, Office of Finance – Procurement Group
Megan Graziano Grumbine *, Office of the General Counsel
Laurissa Stokes, Custodial Delegatee *, Office of the General Counsel
William H. Jacobson, Office of Investments
Angela M. Tucker *, Office of Participant Services – Director's Office
Valerie Drakeford *, Office of Participant Services – Benefits Group
Margaret McFerren, Office of Participant Services – Communications Group
Tracy Rhymes, Office of Participant Services – Education and Liaison/Training Group
Veronica Mance, Office of Research and Strategic Planning

* Includes oversight for Vital Records of the Unit Group.

Update: March 1, 2012

Rebekah Meservy - FW: 1) Maintenance and Disposal of FRTIB's Records Per NARA Regulations and 2) Additions and Updates of Records Management Materials for Agency Resources Page

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "RebekahL Fairbank" <RebekahL.Fairbank@nara.gov>
Date: 8/26/2011 7:06 PM
Subject: FW: 1) Maintenance and Disposal of FRTIB's Records Per NARA Regulations and 2) Additions and Updates of Records Management Materials for Agency Resources Page
CC: "Barbara Torres" <Barbara.Torres@tsp.gov>
Attachments: FRC Unscheduled Records FAQs.mht; 36 CFR 1230_Unauthorized Destruction of Unscheduled Records.mht; Report of Vital Recds Holdings_Spring 2011 _as of June 30_2011 Rpt.pdf; RM Staff Asgnmts_updated as of July 2011.doc

Rebekah,

These items were communicated to FRTIB's RM staff today – and I am sending this information fyi too.

Thank you for your earlier email today regarding the obsolete records.

Best wishes for a pleasant weekend and for your time off in getting married. Congratulations again and all our good wishes to you always!

Vivian

From: Vivian Scott
Sent: Friday, August 26, 2011 6:59 PM
To: Angela Tucker; David Toro; JeNeen Spencer; Kathleen Dillard; Kelly Powell; Kristina Kim; Lorraine Terry; Megan Graziano Grumbine; Sandra Durant; Veronica Mance; William Jacobson
Cc: Barbara Torres; Mark Hagerty; Emswiler, Thomas K SES; Amanda Haas; Anne Beemer; Susan Crowder; Waleska Pierantoni-Monge; Penny Moran; Gisile Goethe; Sophie Dmuchowski; Susan Peine; Denise Clifton; Margaret McFerren; Renee Wilder; Toni Bush Neal; Thomas Trabucco; Tracey Ray; Randall Berry; Kevin Shaw; Ryall Carden; Roane Williams; Steffani Pounds; Arthur Alba; Derk Sloane; Thu-Thuy Ta
Subject: 1) Maintenance and Disposal of FRTIB's Records Per NARA Regulations and 2) Additions and Updates of Records Management Materials for Agency Resources Page

To: Records Management Custodians, RM Program Managers, and RM-related Staff

Re.: Scheduled and Unscheduled Records; RM Current Staff; and Vital Records Information and Holdings

-

When convenient, please review the attached NARA documents regarding maintaining and storing unscheduled records, in addition to unauthorized destruction (which is not permissible).

As our RM staff continues to carefully maintain, store, and have eligible records approved for destruction – according to current schedules – it is important to remember that no destruction of records can occur without the approval of the unit RM Program Manager and RM Officer Barbara Torres.

Updated RM Materials on Agency Resources Page

Also attached is an update of current RM Staff (as of July 2011), and the most recent Report of Vital Records Holdings (as of June 30, 2011) – which will be posted on FRTIB's *Agency Resources Page* (per today's request to webteam staff).

Additional Item to be Submitted for Posting on Agency Resources Page

An additional item – actually a new format for File Plans – to be entered under Records Management Program (Dir. 28A), under FRTIB Online Directives System Main Menu for current Unit Records Schedules, including Reconciliation Reports. The File Plans posted will reflect actual records maintained within each unit – until these same File Plans are implemented within RM Handbook (to replace existing Schedules in Appendices). The first submission is the approved File Plan for the Office of the Executive Director. As soon as this information is posted, I will send a supplemental note to let RM staff know – so you may see what is planned for each FRTIB unit.

If you have not had an opportunity already, please check out the RM materials on the *Agency Resources Page*, which are under:

1. FRTIB Employee Information Menu
2. FRTIB Online Directives System Main Menu; and
3. FRTIB Emergency Preparedness and Continuity of Operations

In fulfilling records management responsibilities, it is helpful to be well acquainted with available materials and training that are just a few clicks away.

I reiterate the importance of understanding NARA's regulations regarding unscheduled records.

Please let me know if you have any questions regarding these materials.

Thank you all.

Vivian
Ext. 1629

Vital Records – Semi-Annual Recycling Program: Report of Holdings as of June 30, 2011

Page 1.1 of 12 Pages

Federal Retirement Thrift Investment Board

In Compliance with: *Federal Regulations Re. Continuity of Business Operations – Emergency Planning & Disaster Recovery:*

References: 1) Title 36 CFR, Part 1226 on *Vital Records*; 2) FRTIB's Directive 28A, Chapter 5: *Vital Records Program*

FRTIB's Vital Records maintained at NARA's Washington National Records Center [WNRC]

4205 Suitland Road, Suitland, MD 10746-8001

Disposition Branch: 301/778-1600

In Re.: INTERAGENCY AGREEMENT - FY 2011 - Account Group/Accession No. 474-07-0001

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Paper Medium- Semiannual Recycling (and Additions)

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
1	Office of Finance – Administration Group Report Updated for Spring 2011 Semi-Annual Recycling Period Vital Records Report by V. Scott, June 30, 2011 continued on page 1.2	<p>Record(s): Insurance Coverage/Docs (Insurance policies for protecting physical assets of the Board; also providing fidelity bond, liability, and fiduciary coverage); Physical Assets; Memorandum of Understanding/Interagency Agreements; Space Records [See also FRTIB's Program Schedules NI-474-97-5 and NARA's GRS II, item 2].</p> <p>Responsible Records Management Staff Barbara P. Torres, Administrative Officer and Records Management Officer Kelly Powell, Program Manager, Records Custodian-Administration Group</p> <p>Contents</p> <ul style="list-style-type: none"> Building Plans for 2, 3, and 4 floors - 1250 H St., N.W., DC (3 folders) Historical Memos of Understanding and Interagency Agreements retained for reference (see previous reports), 1997-2004 (1 folder). REIT-FRTIB Building Lease - Ref. Letter dated 1/5/2007 (1 folder). Previous Spreadsheet Detail of Holdings also included in Box 1. <hr/> <ul style="list-style-type: none"> Office Lease Agreement for New Building, signed December 3, 2010, between 77K Street Tower, LLC and FRTIB. 	<p>Spring 2011 <u>as of June 30, 2011</u></p> <ul style="list-style-type: none"> Reviewed; no additions to building plans; old plan sheets removed from building pages noted; historical records, REIT lease and spreadsheet retained for reference. V. Scott, 6/30/2011. Added by Kelly Powell for Barbara Torres, 12/31/2010.

	<p>OF – ADMINISTRATION</p> <p>Note for the Spring 2011 Recycling Period:</p> <p>No additional records were added, nor were any records removed or deleted from this box of Administration Group records.</p> <p>V. Scott, 6/30/11.</p>	<p>Report of Vital Records maintained at WNRC-NARA as of June 30, 2011</p> <p><u>Contents Continued</u></p> <ul style="list-style-type: none"> ■ IAA's, FY 2005 through FY 2008 [GSA and NARA] (2 folders); these are historical records maintained for reference. <hr/> <ul style="list-style-type: none"> ■ IAA, FY 2011, FRTIB and Veterans Affairs, EEO Complaint & Intake (1 folder). ■ IAA, FY 2011, FRTIB and National Business Center (1 folder). ■ IAA, FY 2011, FRTIB and Office of Personnel Management : Delegated Examining Agreement (1 folder). <ul style="list-style-type: none"> ■ Insurance Policy from the Federal Insurance Company, Policy No. 3580-02-16, 10/01/10 to 10/01/11. <ul style="list-style-type: none"> ■ MOA – E-Verify: FY 2011, FRTIB, Homeland Security, and the Social Security Administration (1 folder). ■ MOA - IAA, FY 2011, FRTIB and Office of Personnel Management (1 folder). <hr/> <ul style="list-style-type: none"> ■ IAA, FY 2010, NARA and FRTIB, Records Storage & Services (1 folder). ■ IAA, FY 2011, NARA and FRTIB, Records Storage & Services (1 folder). 	<p>Page 1.2 of 12 Pages</p> <ul style="list-style-type: none"> ■ Reviewed previous IAAs for GSA & NARA; retained for reference. V. Scott, 6/30/2011. ■ Added by Kelly Powell for Barbara Torres, 12/31/2010. <ul style="list-style-type: none"> ■ Added by Kelly Powell for Barbara Torres, 12/31/2010. <ul style="list-style-type: none"> ■ Added by Kelly Powell for Barbara Torres, 12/31/2010. <ul style="list-style-type: none"> ■ IAAs for FY 10 & FY11 added by V. Scott for B. Torres, 12/31/2010. <p>Note:</p> <p>All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).</p>
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	OED	Report of Vital Records maintained at WNRC-NARA as of June 30, 2011	Page 2 of 12 Pages
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**Federal Retirement Thrift Investment Board's Interagency Agreement
with NARA for Storage at Washington National Records Center [WNRC]**

4205 Suitland Road, Suitland, MD 10746-8001

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Disposition Branch: 301/778-1600

Paper Medium- Semiannual Recycling (and Additions)

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
2	<p>Office of the Executive Director</p> <p><u>Last Update in December 2010</u> (see Binder and List) <u>No updates for Spring 2011</u></p>	<p><u>Record(s):</u> FRTIB's Delegations of Authority</p> <p>This Vital Record is also a [Program] Scheduled Temporary Record, N1-474-97-4, item 1.</p> <p>Responsible Records Management Staff Lorraine Terry, RM Program Manager and Records Custodian - the Executive Assistant to Executive Director, Gregory T. Long</p> <p align="center">Contents</p> <ul style="list-style-type: none"> Current Delegations of Authority (1 binder and folder) of holdings, as of April 15, 2010 [See Index in binder]. 	<p align="center">Spring 2011</p> <p><u>Last submission as of December 31, 2010</u></p> <p>Reviewed with L. Terry: no new Delegations of Authority were added. V. Scott, 6/30/2011.</p> <p>▪ Added binder with Index to V.R. holdings. V. Scott, 4/15/2010</p> <p>Note: All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).</p>

	DED	Report of Vital Records maintained at WNRC-NARA, as of June 30, 2011	Page 3 of 12 Pages
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**Federal Retirement Thrift Investment Board's Interagency Agreement
with NARA for Storage at Washington National Records Center [WNRC]**

4205 Suitland Road, Suitland, MD 10746-8001

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Disposition Branch: 301/778-1600

Paper Medium- Semiannual Recycling (and Additions)

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
3	<p>Office of the Executive Director</p> <p><u>Last Update in December 2010</u> (see Binder and List)</p> <p><u>No updates for Spring 2011</u></p>	<p><u>Record(s):</u> FRTIB's Policy Memoranda – The Office of the Executive Director's Internal Policy Decision Files</p> <p>This Vital Record is also a Scheduled <u>Permanent</u> Record, N1-474-97-4, item 2.</p> <p align="center">Responsible Records Management Staff Lorraine Terry, Executive Assistant to Executive Director, Gregory T. Long Program Manager and Records Custodian</p> <p align="center">Contents: Policy Memoranda -- (1 folder of holdings), as of 5/31/2010</p> <ul style="list-style-type: none"> ▪ Memo to FRTIB Employees Re. Physical Fitness Policy, dated 12/31/2009. ▪ Memo to Gregory T. Long, Re. FRTIB Procurement Policy, dated 1/28/2010. 	<p align="center">Spring 2011</p> <p><u>Last submission as of December 31, 2010</u></p> <p>Reviewed with L. Terry: no new Policy Memoranda were added. V. Scott, 6/30/2011.</p> <ul style="list-style-type: none"> ▪ Added binder with Index and Policy List for V.R. holdings. V. Scott, 4/15/2010 ▪ Added by Lorraine Terry, 5/31/2010. ▪ Added by Lorraine Terry, 5/31/2010. <p>Note: All Holdings are retained at NARA/WNRC, Suitland, MD (a certified facility).</p>

	OGC	Report of Vital Records maintained at WNRC-NARA, as of June 30, 2011	Page 4 of 12 Pages
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**Federal Retirement Thrift Investment Board's Interagency Agreement
with NARA for Storage at Washington National Records Center [WNRC]**

4205 Suitland Road, Suitland, MD 10746-8001

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Disposition Branch: 301/778-1600

Paper Medium- Semiannual Recycling (and Additions)

**Report of Vital Records maintained at WNRC-NARA, as of Dec. 2007-maintained through Spring 2011
(See Spring/Fall 2010 Notes added to this page for Current, June 2011 Report)
[Do Not Destroy these Records]**

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
4 <u>See Box 12</u> for the current OGC Board Meetings	Office of the General Counsel Updated for Fall/December 2010 <u>Note:</u> This box No. 4 contains files added in 2007: Board Meeting Minutes for January 2007 thru June 2007 received from Amanda Martz/S. Suetterlein. <i>Spring and Fall 2010 Notes added by V. Scott, June/December 2010</i> Printed for June 30, 2011 Recycling Report	<u>Record(s):</u> FRTIB's Official Record of Board Meetings * and ** This Vital Record is also Program Scheduled <u>Permanent</u> Record, N1-474-96-1, item 1a. (Maintained by Megan Graziano Grumbine for General Counsel, Thomas K. Emswiler) * Note: The records for Board Meetings during the period March 2003 through August 2004 that were removed from Vital Records storage during 2007 recycling are retained for OGC transfer project, i.e., to copy a complete set of same records for submission to the NARA Archives [per Records Schedule for Permanent records]. ** <u>See Box No. 12 for most current Board Meeting Records</u> Retained for Spring 2011 Semi-annual recycling. [Please maintain until transfer of eligible permanent Records to the NARA (Archives & WNRC.) <i>V. Scott, June 30, 2011</i>	Spring 2011 as of December 31, 2010 Spring & Fall 2010 Recycling Notes 1) Reviewed these records with Megan Graziano Grumbine and Amanda Haas – these records are retained for possible transfer use of records to NARA. 2) As NARA/ WNRC approved 3-box accretion for Vital Records, some of earlier Board Minutes and most current Minutes are stored in Box 12). Note: All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).

Federal Retirement Thrift Investment Board
INTERAGENCY AGREEMENT - FY 2011 - Account Group/Accession No. 474-07-0001

maintained at:

The Washington National Records Center [WNRC], NARA

4205 Suitland Road, Suitland, MD 10746-8001

Disposition Branch: 301/778-1600

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Paper Medium- Semiannual Recycling (and Additions)

Report of Vital Records maintained at WNRC-NARA, as of June 30, 2011

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
5	<p>Office of Finance OF – PROCUREMENT <u>No updates for Spring 2011</u> Previous Note: No updates during 2004 – 2006 per FRTIB's restructure. OAD, OA & Procurement Groups structured under the Office of Finance.</p> <ul style="list-style-type: none"> Contracts added to Vital Records Box No. 5 in 11/2006 through 4/2007 – see Index prepared by V. Scott, 9/12/2007. 	<p><u>Record(s):</u> FRTIB's CONTRACTS AND PROCUREMENT DOCUMENTS Responsible Records Management Staff Linda Bethke-Cyr, Contracting Officer and RM Program Manager Kathleen D. Dillard, Records Custodian</p> <p align="center">Contents</p> <ul style="list-style-type: none"> Current contracts and Purchase orders [See File List prepared by V. Scott, for Office of James B. Petrick, CFO, last update Sept. 12, 2007, and Spreadsheet Report for Box No. 5]. <p><i>Note on March 1, 2011 (email communication from Procurement Group):</i> "As of 1 March 2011, the Procurement Office will not be adding any additional hard copies of Vital Records to the existing boxes containing vital records for the Procurement Office. Vital Records that are historical in nature and actively relevant are being maintained in file cabinets and in a storage room for easy reference. New Vital Records and Contracts are currently stored in filing cabinets as well as electronically in OTIS and in the share drive, G:\Procurement Office. The Procurement Office is aggressively pursuing methods to streamline the maintenance of Vital Records and to eventually migrate to a paperless system."</p>	<p align="center">Spring 2011</p> <p><u>Last review or submission received as of December 31, 2010</u></p> <p>Reviewed by Procurement Staff; no additions made in December 2010 recycling period.</p> <p>See Note on March 1, 2011 from email communication received from Procurement Office.</p> <p>Note: All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).</p>

		Report of Vital Records maintained at WNRC-NARA, as of June 30, 2011	Page 6 of 12 Pages
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**Federal Retirement Thrift Investment Board's Interagency Agreement
with NARA for Storage at Washington National Records Center [WNRC]**

4205 Suitland Road, Suitland, MD 10746-8001

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Disposition Branch: 301/778-1600

Paper Medium- Semiannual Recycling (and Additions)

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
6	<p>Office of Finance – Procurement Group [including Investment-Fund Contract Documents]</p> <p><u>No updates for Spring 2011</u> (See notes in 2007 report).</p> <p>Vital Records Report by V.Scott, June 30, 2011</p>	<p>Record(s): Contracts and Procurement Documents [See also Scheduled Records and GSA files for NI-474-97-5 items and GRS 3, item 3] Responsible Records Management Staff Linda Bethke-Cyr, RM Program Manager, FRTIB's Contracting Officer Kathleen D. Dillard, Records Custodian for Procurement Group and re. Investments: William H. Jacobson, Records Custodian for the Office of Investments (re. Contracts with Investment Funds for the TSP)</p> <p align="center">Contents</p> <p>. Contracts and Investment Fund Documents *</p> <ul style="list-style-type: none"> ◇ Arthur Anderson proposal/contract files ◇ C&F Funds, Wells Fargo ◇ Metropolitan Insurance ◇ Sublease ◇ FRTIB's Current Insurance Purchase Orders ◇ AMS – Recordkeeping Contract files <p>* Note Re. holdings: Per the previous source list (by G. Butler), these are the cumulative Vital Records maintained beginning in 1998 through March 2004 (per G. Butler's final report).</p> <p align="center">(See also Procurement copies maintained in Box No. 5).</p>	<p align="center"><u>Spring 2011</u></p> <p>. Reviewed; no updates, no new contracts or documents were added during Spring 2011 recycling period.</p> <p>Note: All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).</p>

**Spring 2011 Recycling (as of June 30, 2011: Box 7 through Box 10 of the Vital Records
Vital Records of the Federal Retirement Thrift Investment Board
INTERAGENCY AGREEMENT - FY 2011] Account Group/Accession No. 474-07-0001
maintained at:**

The Washington National Records Center [WNRC], NARA

4205 Suitland Road, Suitland, MD 10746-8001

Disposition Branch: 301/778-1600

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Paper Medium- Semiannual Recycling (and Additions)

Report of Vital Records maintained at ~~WNRC-NARA~~ as of June 30, 2011

Box NO.	Organization	Contents, Responsible Persons(s)	Last Recycle Date
Boxes 7-10	<p>Office of Participant Services [formerly OBI for Annuity Reports]</p> <p>Updates made in June 2011 for Spring Recycling Period: Documents added to these Vital Records are Annuity Reports from <u>July 2010 through December 2010</u> by Angela Tucker, OPS.</p>	<p align="center">Annuity Vendor Reports [Met-Life]</p> <ul style="list-style-type: none"> • Met-Life Reports : for July thru December 2010: Angela Tucker for OPS • Met-Life Reports added for January through June 2010: Angela Tucker for OPS • Met-Life Reports added for January-December 2009: Angela Tucker for OPS • Met-Life Reports added for January-December 2008: Angela Tucker for OPS • Met-Life Reports added for January-June 2007: Reports – Inception through 2005: Vivian A. Scott, former Records Custodian for OBI <p align="center"><i>Note: DO NOT DESTROY THESE RECORDS –</i></p> <p align="center">PARTICIPANT ACCOUNT INFORMATION</p> <p>Box 7: FY 1988-89 through CY 1999 (Jan-Dec).</p> <p>Box 8: CY 2000 through CY 2005</p> <p>Box 9: CY 2006 through CY 2009</p> <p>Box 10: CY 2010 through _____</p>	<p align="center">Spring 2011 as of June 30, 2011</p> <p>*Note re.Contents: These are accumulated Vital Records from Inception (1988) through Current Recycling Period of Spring 2011.</p> <p>The reports are <u>not</u> to be destroyed but maintained from Inception up to current date.</p> <p><i>Note:</i> All Holdings are retained at NARA/WNRC, Suitland, MD (a certified facility).</p>

Boxes 11 and 12 for Pages 11-12 of 12 Pages

Federal Retirement Thrift Investment Board

INTERAGENCY AGREEMENT - FY 2011 - Account Group/Accession No. 474-07-0001

maintained at:

Paper Medium- Semiannual Recycling (and Additions)

Box NO.	Organization	Record ID, Responsible Persons(s), Contents	Last Recycle Date
11-12	<p>Office of the General Counsel</p> <p>Current update:</p> <p>Spring 2011</p> <hr/> <p>Files added during recycling period:</p> <p>Board Meeting Minutes & Attachments for July through December 2010 records received from</p> <p>Amanda Haas, OGC.</p>	<p><u>Record(s):</u> Official Record of Board Meetings</p> <p>[Board Meeting files are also Scheduled <u>Permanent</u> Records – N1-474-96-1,1a].</p> <p>Responsible Records Management Staff</p> <p>Thomas K. Emswiler, General Counsel, RM Program Liaison Officer Megan Graziano Grumbine, Assistant General Counsel, Records Custodian Amanda P. Martz-Haas, Ex. Sec. to General Counsel, Records Assistant</p> <p>Contents</p> <p>. Official Record of Board Meetings</p> <ul style="list-style-type: none"> ◆ July 2007 through December 2009 ◆ January 2010 through June 2010 ◆ July 2010 through December 31, 2010 <p>[also may be used to archive as Permanent Records, N1-474-96-1, 1a *]</p> <p><i>* Note:</i> The records for Board Meetings during the period March 2003 through August 2004 that were removed from Vital Records storage during 2007 recycling were saved for ongoing OGC project, i.e., to copy a complete set of same records for submission to the NARA Archives [per Records Schedule for Permanent records].</p> <p>These same records have been placed in the added Box 12 as NARA approved accretion of 3 boxes (added to previous 9) in April 2010. V. Scott , 6/1/2010</p>	<p>Spring 2011</p> <p><u>as of June 30, 2011</u></p> <p>◇ added, 5/31/2010</p> <p>◇ added, 12/31/2010</p> <p>◇ added, 6/30/2011</p> <p>Note:</p> <p>All Holdings are retained at NARA/WNRC. Suitland, MD (a certified facility).</p>

Addenda, Spring 2011 Report

Vital Records of the Federal Retirement Thrift Investment Board

Per INTERAGENCY AGREEMENT - FY 2011]

Ref.: Account Group/Accession No. 474-07-0001

maintained at:

The Washington National Records Center [WNRC], NARA

4205 Suitland Road, Suitland, MD 10746-8001

Disposition Branch: 301/778-1600

Contact: Ms. Krista L. Donnelly, Chief, Transfers and Disposition Branch/WNRC

Report of Scheduled Records (cf. as Vital Records) maintained at ~~WNRC-NARA~~ as of June 30, 2011

ADDENDA TO VITAL RECORDS HOLDINGS LIST

(Addenda = This Contents List and referenced SF-135 Accessions)

Box NO.	Organization	Contents, Responsible Persons(s)	Last Recycle Date
These Addenda reference Scheduled Records stored at NARA's WNRC which can be retrieved as Vital Records if needed. See SF-135 Accessions for metal box containers.	Office of Finance/ Accounting Group Note: Paper records converted to microfiche (inception through 2004); and, electronic records (starting with CY 2005) by NARA's Digital Imaging Scanning Process to DVDs). for storage at WNRC. If needed, the scheduled e-records on DVDs can be also retrieved as Vital Records; however they are not to be recycled or destroyed. Spring 2011 Report, by V. Scott, as of 6/30/2011.	<p><u>Accounting and Investment Documents</u></p> <p>Susan C. Crowder, Chief Accounting Officer and RM Program Manager Kristina Kim, Adm. Secretary and Records Custodian</p> <p>List of Contained Scheduled Records stored at WNRC:</p> <p>Office of Finance – Accounting Group's Microfiche & Electronic Records:</p> <p>> N1-474-96-5, item 1. General Ledger (and Work Papers) These records contain all accounting transactions for the FRTIB. Records include all internal transactions for operating the Board, as well as all transactions relating to the funds managed by the Board . . . funds.</p> <p>> N1-474-96-5, item 2. Investment Source Documents Reports that come from the Department of the Treasury confirming the purchase of Treasury securities and earned interest. These records document all . . . Fund transactions with Treasury.</p> <p>> N1-474-96-5, item 3. Status and Statistical Reports Reports that show all . . . Fund investment activity, i.e., contributions, withdrawals, administrative expenses, interfund transfers, loans, etc.</p> <p>> N1-474-96-5, item 4. Reconciliations These records consist of TSP reconciliation reports for all funds managed by the Board.</p>	<p>Spring 2011 (as of 6/30/11)</p> <p>The scheduled-records [microfiche and e-records] are accessible via: PT-474-10-0004 (CY 1987-2004 for microfiche, items 1b through 4b); and <u>for CY 2005 e-records:</u> PT-474-11-0001 for item 1c; PT-474-11-0002 for item 2c; PT-474-11-0012 for item 3c; and PT-474-11-0013 for item 4c.</p> <p>Note: All Holdings are retained at NARA/WNRC, Suitland, MD (a certified facility).</p>

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

2 AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (signature and title)
Barbara P. Torres, Administrative Officer, FRTIB
(approved by Barbara P. Torres)
Records Management Officer
DATE
5/27/2010

Barbara P. Torres, Administrative Officer and
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

3 AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)
Vivian Anne Scott, Records Management Specialist, Administrative Group,
Office of Finance, FRTIB (202) 942-1629

4 RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and Title)
DATE

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER S	SERIES DESCRIPTION (with inclusive dates of records) Vital Records of the FRTIB	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
474	07	0001	9+3= 12 Note: Accretion of 3 bxs approved by Krista Donnelly, 4/21/10.	1 of 12 boxes 2 of 12 3 of 12 4 of 12 5 of 12 6 of 12 7 of 12 8 of 12 9 of 12 10 of 12 11 of 12 12 of 12	Interagency Agreements – Office of Finance, Administration Group Current Agency Space Files, Lease, MOAs Delegations of Authority – Of. of Ex. Director Executive Director's Internal Policy Decision Files – Office of the Executive Director Official Record of Board Meetings – Office of the General Counsel [Board Records] Procurement Files (Contracts)—Of. of Finance Procurement Files (Contracts)—Of. of Finance Annuity Vendor Reports (1988-1999) – OPS Annuity Vendor Reports (2000-2004) Annuity Vendor Reports (2005-June 2007) Annuity Vendor Reports (July 2007-2009) Official Record of Board Mtgs – OGC Official Record of Board Mtgs – OGC *This Accession contains all Vital Records to be recycled semi-annually (every 6 mos.) DO NOT DESTROY!	W W W W W W W W W W	Copy: N1-474-97-5, 1a [Current Vital Records] Copy: GRS 11, item 2 [Current Vital Records] Copy: N1-474-97-4, 1 Current Vital Records] Copy: N1-474-97-4, 2 Current Vital Records] Copy: N1-474-96-1, 1a [Current Vital Records] Copy: GRS 3, 3A(1)(a) [Current Vital Records] copy: N1-474-97-2, 4f [Historical Vital Recds] N1-474-97-2, item 4f [Current Vital Records] Copy: N1-474-96-1, 1a [Current Vital Records]	N/A * N/A * N/A * N/A * N/A * N/A * N/A * NA * NA *	19/53-05-4.2 Approved for transfer. Put this copy in box 1 of the accession.			

VIVIAN.SCOTT@TSP.GOV

Electronic 135 7/18/07, Accretion as of 5/31/2010

Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Federal Records Center

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-10-003

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) Records Management Officer	DATE 5/26/2010
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott Office of Finance, FRTIB (202) 942-1629	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title) Krista L. Donnelly, Chief Transfer & Disposition Branch	DATE 3-14-11

Fold Line 11

RECORDS DATA										COMPLETED BY RECORDS CENTER			
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.	
RG	FY	NUMBER											
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	
PT-474	10	0004	3	1 of 3 through 3 of 3 Data-Link Fiche Steel Cases	Accounting Group (non-textual) microfiche* [Duplicate microfiche copies] Case 1: N1-474-96-5, 1b, Investment Source Documents-Inclusive Years = 1987 thru 2002. Case 2: N1-474-96-5, 2b, Investment Source Documents-Inclusive Years = 2003 thru 2004. Case 3: N1-474-96-5, items 1a, 2b, 3b, 4b: General Ledger Documents, Investment Source, Status/Statistical Reports, and Reconciliations - Inclusive Years: 1987 thru 2004 for General Ledger and Investment Documents; 1987 thru 2004 for Investment Documents; 1988 through 2004 for Status/Statistical Reports; and 1987 through 2004 for Reconciliations. STORE IN AN "ENVIRONMENTALLY-CONTROLLED AREA" <u>Details and Dimensions of Case Containers:</u> DataLink Fiche Steel Cases Measurements: 12-1/2" W x 4-1/2" H x 12" L, Weight: 7.5 lbs. * Note: These records also serve as Vital Records to be maintained accordingly.	W	N1-474-96-5, items 1b, 2b, 3b and 4b <u>Note Re. Schedule:</u> Disposition: Same Schedule for all of the above item numbers, i.e., 1b, 2b, 3b, 4b: b. Microfilm (microfiche) copies <u>Disposition:</u> 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.	Eligible: Case #1: 2032 Case #2: 2034 Case #3: 2034 1/1/2035	Shelved				

VIVIAN.SCOTT@TSP.GOV>

Electronic SF 135

June 7, 2010

Standard Form 135 (Rev. 7-85) Facs
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36 CFR 1228.152

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-10-031

2 AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (signature and title)
Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres)
Records Management Officer
DATE
12/20/2010

3 AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)
Vivian Anne Scott, Records Management Specialist
Office of Finance, Administration Group, FRTIB
Telephone: (202) 942-1629

4 RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and Title)
DATE

6 RECORDS DATA

ACCESSION NUMBER				AGENCY DVD NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER	VOLUME 11 DVDs						LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0001	11 Set 3 = 1 Metal Case of 11 DVDs	1 of 11 through 11 of 11 (Set No.3)	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 1c : General Ledger and Work Papers for CY 2005. These records contain all accounting transactions for the FRTIB. STORE DVDs in an "ENVIRONMENTALLY-CONTROLLED AREA" [VAULT] * Note: Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 1c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	Contingent Schedule, i.e., while 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner." 1/1/2036 Approved for transfer. Put this copy in the last box of the accession.				

VIVIAN.SCOTT@TSP.GOV

Electronic SF 135

1-12-11

Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

RECORDS TRANSMITTAL AND RECEIPT

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Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

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Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres)
Records Management Officer
DATE
12/20/2010

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

3 AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)
Vivian Anne Scott, Records Management Specialist
Office of Finance, Administration Group, FRTIB
Telephone: (202) 942-1629

Customer Reference No.: 474-10-032

4 RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and Title)
DATE

6 RECORDS DATA

ACCESSION NUMBER			VOLUME 11 DVDs	AGENCY DVD NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0002	11 Set 3 = 1 Case of 11 DVDs	1 of 11 through 11 of 11 (Set No.3)	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 2c : Investment Source Documents for CY 2005 – Reports from Dept of Treasury confirming purchase of Treasury securities and earned interest. These records document Fund transactions. STORE DVDs in an “ENVIRONMENTALLY- CONTROLLED AREA” [VAULT] * Note: Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board’s network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 2c Note Re. Schedule: Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	Contingent Schedule, i.e., while 30 years after cutoff, disposition also states “when no longer needed for administrative purposes, whichever is sooner.” 1/1/2036 Approved for transfer. Put this copy in the last box of the accession.				

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1
OF
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Federal Records Center
Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Barbara Torres, Administrative Officer
Records Management Officer
Federal Retirement Thrift Investment Board
1250 H Street, NW., Suite 200
Washington, DC 20005-5985

Customer Reference No.: 474-11-008

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) Records Management Officer	DATE July 12, 2011
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, FRTIB (202) 942-1629	DATE July 12, 2011
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0012	1 metal box storing 4 DVDs (Set 3 of 4 DVDs)	1 of 1 metal box thru 1 of 1 metal box	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 3c : Status and Statistical Reports for CY 2005. These records contain reports that show all fund investments activity, i.e., contributions, withdrawals, administrative expenses, interfund transfers, loans, etc. STORE WNRC-approved DataLink Metal Box containing the 4 DVDs in WNRC's "TEXTUAL ENVIRONMENTAL-CONTROLLED AREA" * Note: Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies - Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 3c Note Re. Schedule: Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	1/1/2036 Contingent Schedule, i.e., while eligible 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner."	Approved for transfer. Put this copy in the last box of the transfer.			

VIVIAN.SCOTT@TSP.GOV

Electronic SF 135
7-18-11

Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.) <div style="text-align: center;"> Federal Records Center Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001 </div>	5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.) <div style="text-align: center;"> Barbara Torres, Administrative Officer Records Management Officer Federal Retirement Thrift Investment Board 1250 H Street, NW., Suite 200 Washington, DC 20005-5985 Customer Reference No.: 474-11-009 </div>
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2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) Barbara Torres, Administrative Officer, FRTIB (approved by Barbara Torres) Records Management Officer	DATE July 13, 2011
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) Vivian Anne Scott, Records Management Specialist Office of Finance, FRTIB (202) 942-1629 July 13, 2011	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE

6

RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
PT-474	11	0013 Set 3 of 1 DVD	1 metal box storing 1 DVD	1 of 1 metal box thru 1 of 1 metal box	Accounting Electronically-Scanned Records Set No. 3 of Scheduled Accounting Electronic Records (all CY 2005) digitally-imaged copies for storage according to Records Schedule * N1-474-96-5, item 4c : Reconciliations for CY 2005. These records consist of TSP reconciliation reports for all funds managed by the Board. STORE WNRC-approved DataLink Metal Box containing the 1 DVD in WNRC's "TEXTUAL ENVIRONMENTAL-CONTROLLED AREA" * <u>Note:</u> Disposition Schedule for the digitally-scanned records filed onto DVDs is: c) Electronic copies – Cut off at the end of each calendar year. Archive from the Board's network 2 years after cutoff. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.	W	Record Schedule: N1-474-96-5, item 4c <u>Note Re. Schedule:</u> Disposition: While destruction date is 30 years after cutoff, these records are also Vital Records and destruction - when eligible - is to be approved by FRTIB. These electronic records were previously in paper format, and after scanning at FRC/ Atlanta, GA, they are now the electronic media format, item c.	1/1/2036 Contingent Schedule, i.e., while eligible 30 years after cutoff, disposition also states "when no longer needed for administrative purposes, whichever is sooner."	Approved for transfer. Put this copy in the last box of the transfer.			

VIVIAN.SCOTT@TSP.GOV>

Electronic SF 135
7-18-11

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Federal Retirement Thrift Investment Board

Records Management Staff

FRTIB's Telephone: 202/942-1600

Records Management Officer:

FRTIB RM Officer: Barbara P. Torres *, Administrative Officer, Office of Finance

Records Management Liaison Officers:

FRTIB Liaison Officer: Thomas K. Emswiler *, General Counsel,
Office of the General Counsel

FRTIB and Contractor Liaison Officer: Mark A. Hagerty, CIO,
Office of Automated Systems

Records Management Program Managers:

Lorraine D. Terry *, Executive Assistant for Gregory T. Long, Executive Director
Thomas K. Emswiler *, General Counsel, Office of General Counsel
Mark A. Hagerty, CIO, Office of Automated Systems
Barbara P. Torres *, Administrative Officer, Office of Finance
Thomas J. Trabucco, Director, Office of External Affairs
Pamela-Jeanne Moran *, Director, Office of Participant Services
Tracey Ray, Director, Office of Investments
Renee Wilder, Director, Office of Research and Strategic Planning
Anne M. Beemer, Controller, Control Group, Office of Finance
Linda Bethke-Cyr, Contracts Officer, Procurement Group, Office of Finance
Susan C. Crowder *, Chief Accounting Officer, Accounting Group, Office of Finance
Gisile Goethe, Chief, Education and Training, Office of Participant Services
Sophie Dmuchowski, Chief, Communications, Office of Participant Services
Susan Peine *, Chief, Benefits Operations, Office of Participant Services

Records Management Specialist:

Vivian A. Scott *, Office of Finance, ☎(202) 942-1629

Records Management Custodians:

Lorraine D. Terry *, Office of the Executive Director
Saundra R. Durant, Office of Automated Systems
JeNeen C. Spencer, Office of Automated Systems
David Toro, Office of External Affairs and ETAC
Kristina Kim *, Office of Finance – Accounting Group
Kelly Powell *, Office of Finance – Administration Group
Kathleen D. Dillard, Office of Finance – Procurement Group
Megan Graziano Grumbine *, Office of the General Counsel
William H. Jacobson, Office of Investments
Angela M. Tucker *, Office of Participant Services
Veronica Mance, Office of Research and Strategic Planning

* Includes oversight for Vital Records of the Unit Group.

Update: July 2011

Rebekah Meservy - E-OPFs and Records Management Schedules (GRS and Program)

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 11/4/2011 11:44 AM
Subject: E-OPFs and Records Management Schedules (GRS and Program)
CC: "Susan Crowder" <Susan.Crowder@tsp.gov>, "Randall Berry" <Randall.Berry@...

Refs.: 1) NARA's Now-Required Electronic System for Agencies' Personnel Files Transmittal (E-OPF); 2) Previous GSA Retention of Original Personnel Records; 3) FRTIB's Current Program Records Schedule, N1-474-97-5, item 11 * ; and 4) Discussion between OF-Administrative Group Records Custodian Kelly Powell and Vivian Scott, 11/4/2011

To: Ms. Rebekah Meservy, Appraisal Archivist, NARA

Rebekah,

As you know, NARA implemented the E-OPF system whereby federal agencies now electronically transmit their Personnel records to NARA's National Personnel Records Center. Therefore, the previous General Service Administration's system (GSA retention of original personnel records) has been replaced by E-OPF. In view of these changes, FRTIB is inquiring (reiterating request by Administrative Group's Records Custodian) regarding the safekeeping and preservation of employee original documents.

Would you please advise if NARA plans to implement a GRS for agencies to retain original personnel documents? If not, would it be acceptable for FRTIB to revise its current program schedule to facilitate retention of original employee documents with other pertinent records for them, e.g., for 20 to 30 years or longer? Originals may be necessary in determining employee verifications, perhaps if circumstances emanated involving legal or security issues.

As FRTIB has an existing Personnel Folder File Schedule * which is among other Administrative Group records to be updated, it is timely to request your recommendation regarding agencies' retention of employee-document originals. Please advise whether NARA plans to issue a GRS to facilitate employee original documents, or whether agencies should develop or revise their program schedules.

Your guidance and recommendations – only when convenient for your schedule – will be greatly appreciated.

Vivian

Vivian Anne Scott
Records Management Specialist
Office of Finance
Administration Group, Records Management
Federal Retirement Thrift Investment Board
Telephone: 202/942-1629
Fax: 202/942-1674
Email: vscott@tsp.gov

* FRTIB Employee's Personnel Folder File, N1-474-97-5, item 11. This file contains a folder on each FRTIB employee and copies of all personnel actions on the employee since employed by the Board. (The employee's Official Personnel Folder is kept at the General Services Administration (GSA).)

Disposition: Cut off all folders of former employees at the end of the calendar year in which they separate. Destroy 1 year after cutoff.

Rebekah Meservy - FW: Re. Vital Records Training Webinar per FW: NARA E-mail: Business Continuity Requires Records: FEMA-Compliant Essential Records Training Online

From: "Vivian Scott" <Vivian.Scott@tsp.gov>
To: "Rebekah Meservy" <Rebekah.Meservy@nara.gov>
Date: 11/30/2011 12:24 PM
Subject: FW: Re. Vital Records Training Webinar per FW: NARA E-mail: Business Continuity Requires Records: FEMA-Compliant Essential Records Training Online
Attachments: RM Staff Asgnmts_updated as of October 2011.pdf

Rebekah,

Fyi – this is an example of my email communications to our Agency staff when I receive NARA's training course invites for federal staff.

Thank you also for your most-helpful email while I was away, and for answering my questions. I will respond to that directly if I have further questions.

Hope this finds you well and having enjoyed a pleasant Thanksgiving holiday.

Vivian

From: Vivian Scott
Sent: Wednesday, November 30, 2011 12:17 PM
To: Angela Tucker; David Toro; Kathleen Dillard; Kelly Powell; Kristina Kim; JeNeen Spencer; Lorraine Terry; Megan Graziano Grumbine; Sandra Durant; Veronica Mance; William Jacobson
Cc: Amanda Haas; Anne Beemer; Emswiler, Thomas K SES; Gisile Goethe; Mark Hagerty; Mark Walther; Penny Moran; Randall Berry; Renee Wilder; Sophie Dmuchowski; Susan Crowder; Susan Peine; Susan Smith; Thomas Trabucco; Tracey Ray; Waleska Pierantoni-Monge; Arthur Alba; Denise Clifton; Derk Sloane; Mark Allen; Ne-Toisha Bailey; Phuong-Ha Nguyen; Ryall Carden; Steffani Pounds; Tee Ramos; Thu-Thuy Ta
Subject: Re. Vital Records Training Webinar per FW: NARA E-mail: Business Continuity Requires Records: FEMA-Compliant Essential Records Training Online

To: FRTIB's Records Management Staff



In addition to the Vital Records Training CD*, Vital Records Federal Authorities (e.g., *Code of Regulations*), and other detailed material available to staff at no charge*, NARA is offering a COOP Training Webinar on line (please read NARA's 11/17/2011 email below). As there is a \$125 cost for this 90-minute Webinar, please have your supervisor approve the course before registering if you wish to participate. If you do participate and need computer assistance logging onto the Webinar (or accessing FRTIB's posted CD and other materials on FRTIB's *Agency Resources Page*), please contact designated OAS Support Staff.

The attached RM Staff Roster [as of October 2011] will be updated when requested information is received (e.g., additional Custodians identified for the Office of Participant Services). Please be aware of FRTIB's RM staff who maintain Vital Records as part of our Agency's COOP Program.

If anyone has questions concerning Vital Records, please do not hesitate to contact me.

Vivian
Ext. 1629

* Accessible on FRTIB's **Agency Resources Page** under:

-  [Records Management On-Line Intranet Training \(Download/View CD Content\)](#)
-  [Records Management Training Learn Center \(NARA website\)](#)
- FRTIB Continuity of Operations (COOP) - OF-ADM Group Menu
 - [Vital Records - Requirements and Responsibilities](#)
 - [Vital Records - Contents for FRTIB Materials and NARA Sources](#)

From: NARA's National Records Management Training Program [mailto:workshop@nara.gov]

Sent: Thursday, November 17, 2011 8:26 AM

To: Vivian Scott

Subject: Business Continuity Requires Records: FEMA-Compliant Essential Records Training Online

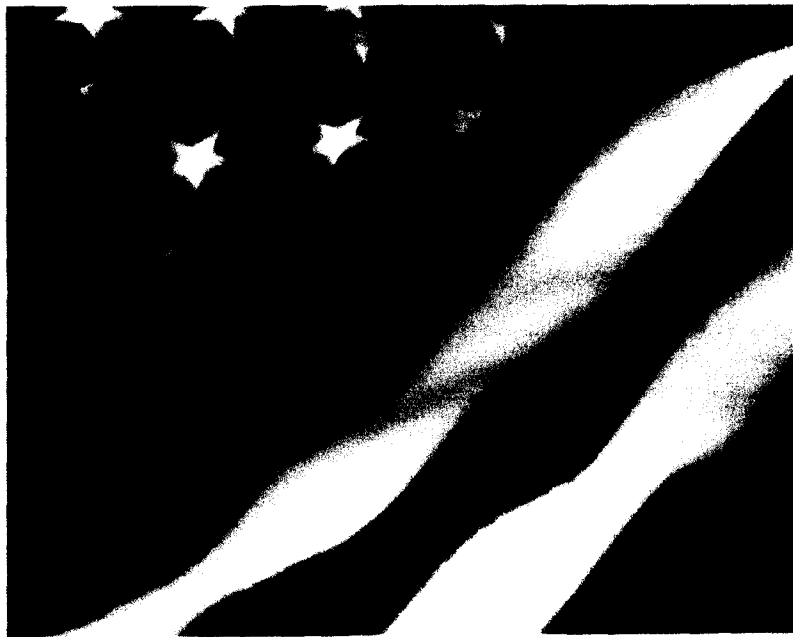
You've subscribed to [NARA's National Records Management Training Program](#) communications. For best delivery, please add workshop@nara.gov to your address book or safe sender list.

To view this email in your browser click [here](#).

National Archives offers vital records course online

Vital Business Information Webinar

Records and
Information make
the modern office
go--Are they
included in your
COOP?



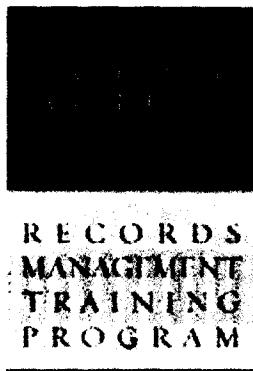
January 5, 12, 19, 26 at 10:00 am Eastern • \$125

The ability to quickly and easily access critical records and information is a major function of COOP. However, too often the COOP process emphasizes the physical infrastructure and systems, neglecting the identification and protection of vital records.

NARA's Vital Business Information Webinar addresses this need by presenting a step-by-step approach to developing a vital records program that is based on FEMA's Federal Continuity Directives.

In four, 90-minute sessions we will cover identification, protection, accessibility and implementation of a scalable vital records program. Using take-home assignments, participants will develop all the components necessary for a comprehensive vital records program.

This course targets Federal employees and/or contractors who are individuals with records responsibilities, COOP managers, line managers and staff, and information technology personnel.



<p



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<hr size=2 width="100%" align=center>

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<http://maildogmanager.com/page.html?p=0000015Fu8vsE0UTkr1gGDjuUu3o3j8g==&email=Vivian.Scott@tsp.gov>

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Crafted and delivered by NARA's National Records Management Training Program's [Mail Dog!](#)



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Sophie Dmuchowski, Deputy Director, Communications, Office of Participant Services
Susan Peine *, Deputy Director, Benefits Operations, Office of Participant Services
Waleska Pierantoni-Monge, Supervisory Contract Specialist, Procurement, Office of Finance

Records Management Specialist:

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* Includes oversight for Vital Records of the Unit Group.