

## Request for Records Disposition Authority

Records Schedule Number           DAA-0474-2018-0001

Schedule Status                    Approved

  

Agency or Establishment           Federal Retirement Thrift Investment Board

Record Group / Scheduling Group   Records of the Federal Retirement Thrift Investment Board

Records Schedule applies to       Major Subdivision

Major Subdivision                  Office of Communications and Education

Schedule Subject                    Communications and Education Records

Internal agency concurrences will be provided   Yes

Background Information            This office oversees the development, planning, and management of the Federal Retirement Thrift Investment Board’s participant communications and education outreach program. Responsibilities include conceptualizing, writing, and designing electronic and print informational materials, including but not limited to brochures, booklets, forms, training courses, social media content, accompanying videos, and the tsp.gov website. An additional responsibility is organizing the mailing of participant notices and statements. This office coordinates all communications-related program efforts to enhance understanding of the Thrift Savings Plan, which includes using surveys and other empirical research studies to monitor the understanding, effectiveness, and acceptance of FRTIB communications.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>9</b>	<b>3</b>	<b>6</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0474-2018-0001

Sequence Number	
1	TSP Forms Disposition Authority Number: DAA-0474-2018-0001-0001
2	TSP Publications Disposition Authority Number: DAA-0474-2018-0001-0002
3	Research Project Final Reports Disposition Authority Number: DAA-0474-2018-0001-0004
4	Agency Representative Meeting Agendas Disposition Authority Number: DAA-0474-2018-0001-0006
5	Training Masters Manuals Disposition Authority Number: DAA-0474-2018-0001-0007
6	Training Course Files Disposition Authority Number: DAA-0474-2018-0001-0008
7	Training Course Presentations Disposition Authority Number: DAA-0474-2018-0001-0009
8	Training Subject-Matter File Disposition Authority Number: DAA-0474-2018-0001-0010
9	TSP Notice Records Disposition Authority Number: DAA-0474-2018-0001-0011

## Records Schedule Items

Sequence Number	
1	<p><b>TSP Forms</b></p> <p>Disposition Authority Number      <b>DAA-0474-2018-0001-0001</b></p> <p>The records are each final form template that is made available to the public. Each form is created to allow participants to perform a specific activity with their TSP account. Some examples of forms include, but are not limited to, Interfund Transfer Request, Acknowledgement of Risk for Thriftline and Interfund Transfers, and Validation of Retirement Information.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-474-97-003 / 1/A N1-474-97-003 / 1/B N1-474-97-003 / 1/C N1-474-97-003 / 1/D/1 N1-474-97-003 / 1/D/2</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at the end of the calendar year.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>1987</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 1987 To 2004</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 5 Years</b></p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	2 GB
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**TSP Publications**

Disposition Authority Number **DAA-0474-2018-0001-0002**

This record series consists of the final version of each publication or communication product that is created by the TSP and made available to the public. This includes but is not limited to booklets, leaflets, postcards, factsheets, tax notices, social media content, graphics, and accompanying videos.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-474-97-003 / 2/A  
N1-474-97-003 / 2/B  
N1-474-97-003 / 2/C  
N1-474-97-003 / 2/D/1  
N1-474-97-003 / 2/D/2**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.**

**Additional Information**

First year of records accumulation **1987**

What will be the date span of the initial transfer of records to the National Archives? **From 1987 To 2004**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	2 GB
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**Research Project Final Reports**

Disposition Authority Number **DAA-0474-2018-0001-0004**

These files are the final reports of research projects concerning TSP participation at individual agencies; employee surveys on various TSP services, programs, and communications; studies on unmailable participant statements; etc.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-474-97-003 / 5/B**

**Disposition Instruction**

Cutoff Instruction **Cutoff upon completion of final project report.**

Retention Period **Destroy 10 year(s) after cutoff**

4	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Agency Representative Meeting Agendas</b>	
	Disposition Authority Number	DAA-0474-2018-0001-0006
	<b>Agendas for meetings with agency TSP representatives from Federal personnel and payroll offices. The records include the meeting agenda, handouts, and presenter's notes.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-474-96-003 / 15/A
<b>Disposition Instruction</b>		
Cutoff Instruction	Cutoff at end of calendar year.	
Retention Period	Destroy 20 year(s) after cutoff.	
<b>Additional Information</b>		
GAO Approval	Not Required	
5	<b>Training Masters Manuals</b>	
	Disposition Authority Number	DAA-0474-2018-0001-0007
	<b>One record copy of every syllabus/manual created and used by the TSP for training Federal personnel lists, payroll officials, and employees in all aspects of the TSP.</b>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-474-96-003 / 17/A
	<b>Disposition Instruction</b>	

Cutoff Instruction **Cutoff at end of calendar year.**  
 Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.**

**Additional Information**

First year of records accumulation **1998**  
 What will be the date span of the initial transfer of records to the National Archives? **From 1998 To 2004**  
 How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>2 GB</b>	<b>2 GB</b>
<b>Paper</b>	<b>1 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

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**Training Course Files**

Disposition Authority Number **DAA-0474-2018-0001-0008**

Records containing information on every training course given by the FRTIB, both onsite and at other Federal agencies, concerning the TSP. They include the contact sheet, nominations, confirmations, cancellations, sign-in sheets, and evaluations.

Final Disposition **Temporary**  
 Item Status **Active**  
 Is this item media neutral? **Yes**  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**  
 GRS or Superseded Authority Citation **N1-474-96-003 / 18/A**

**Disposition Instruction**

7	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Destroy 3 year(s) after Cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Training Course Presentations</b>	
	Disposition Authority Number	DAA-0474-2018-0001-0009
	<b>Records containing background information and handouts used for training presentations given by the FTRIB concerning the TSP.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	N1-474-96-003 / 18/B
8	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Training Subject-Matter File</b>	
	Disposition Authority Number	DAA-0474-2018-0001-0010
	<b>Subject-matter files on current TSP/FRTIB topics - files such as internal/external correspondence, memoranda, background papers, etc. used to develop training.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No



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GRS or Superseded Authority Citation N1-474-96-003 / 19

Disposition Instruction

Cutoff Instruction Cutoff upon supersession or when obsolete.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

TSP Notice Records

Disposition Authority Number DAA-0474-2018-0001-0011

Electronically generated correspondence sent to provide information to participants about their TSP account. Notices generated may be in response to an inquiry or activity on the participant's account. Some correspondence is sent to vested third parties in response to an inquiry or legal action pertaining to the participant. Notices may include informative inserts such as forms, leaflets, and/or booklets.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-474-96-003 / 12

Disposition Instruction

Cutoff Instruction Cut off every quarter (3/31, 6/30, 9/30, an 12/31)

Retention Period Destroy 3 year(s) after Cutoff.

Additional Information

GAO Approval Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
12/19/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
05/30/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/06/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/24/2018	Return to Submitter	Diana Avery	Records and Information Manager	Resource Management - Resource Management
11/27/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
12/03/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
12/13/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/05/2019	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
04/10/2019	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
09/11/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services

11/25/2019	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
11/25/2019	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
04/29/2020	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/20/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/03/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist