

Request for Records Disposition Authority

Records Schedule Number DAA-0474-2018-0004
 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 Enterprise Planning
 Schedule Subject Projects and Enterprise Planning Records
 Internal agency concurrences will be provided No

Background Information

This group of records consists of documents maintained by and relating to the responsibilities and activities of the Office of Enterprise Planning (OEP). The Office of Enterprise Planning is responsible for functions related to the Agency’s strategic goal life cycle from vision to implementation. It facilitates the development, documentation, and evaluation of Agency strategic goals. It proposes and codifies changes to cross-functional policies in support of Agency and Plan goals. It promotes project success through the development and application of a project management discipline. It provides project management concierge service for other functional teams within the Agency. It maintains knowledge and awareness of defined contribution industry best practices and trends in order to continuously benchmark the TSP’s plan design and operational practices. It identifies and reports on trends in participant behavior and satisfaction with the TSP.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	3	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0474-2018-0004

Sequence Number	
1	Performance Management Records Disposition Authority Number: DAA-0474-2018-0004-0001
2	Participant Satisfaction Survey Disposition Authority Number: DAA-0474-2018-0004-0002
3	Policies and Initiatives Disposition Authority Number: DAA-0474-2018-0004-0003
4	Project Idea Forms Disposition Authority Number: DAA-0474-2018-0004-0004
5	Participation Management Report Disposition Authority Number: DAA-0474-2018-0004-0005
6	Project Charters Disposition Authority Number: DAA-0474-2018-0004-0006
7	Project Management Administrative Records Disposition Authority Number: DAA-0474-2018-0004-0007
8	Strategic Planning Records Disposition Authority Number: DAA-0474-2018-0004-0008

Records Schedule Items

Sequence Number	
1	<p>Performance Management Records</p> <p>Disposition Authority Number DAA-0474-2018-0004-0001</p> <p>Agency Performance Management records relate to the activities associated with the assessment of internal agency performance across multiple disciplinary areas. These records include information on the annual performance management plan, the tools used for data collection, the metrics data itself, and the management reports generated by this data.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at end of calendar year of assessment/report completion.</p> <p>Retention Period Destroy 3 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Participant Satisfaction Survey</p> <p>Disposition Authority Number DAA-0474-2018-0004-0002</p> <p>Participant Satisfaction surveys conducted biannually and annually and survey data. Administered to TSP participants to gain a clear understanding of participant satisfaction with TSP plan features, perceptions of service, participant behaviors and preferences.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p>

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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? **Yes**

Disposition Instruction

Cutoff Instruction **Cutoff at end of calendar year of survey completion.**

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

Additional Information

GAO Approval **Not Required**

Policies and Initiatives

Disposition Authority Number **DAA-0474-2018-0004-0003**

Memoranda to the Executive Director or Board Members of new or enhanced Plan benefits, features, or services. Memoranda will include the rationale for the recommended change along with some or all of the following: required legislative and regulatory changes, preliminary cost and schedule estimates. IT and human capital implications, intended outcome of change or enhancement.

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**

Disposition Instruction

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 **1988**

What will be the date span of the initial transfer of records to the National Archives? **From 1988 To 2003**

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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Project Idea Forms

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

Form for all project ideas, including onboarding projects. Outlines business case, link to strategic plan, potential project risks, and resource impact.

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

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year.

Retention Period Destroy 3 year(s) after Cut Off.

Additional Information

GAO Approval Not Required

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Participation Management Report

Disposition Authority Number DAA-0474-2018-0004-0005

Monitoring of FERS participation in the TSP via rate, participant contributions, agency contributions, active and separated participants and accounts with no activity includes all results and final report.

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**

Disposition Instruction

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 **1988**

What will be the date span of the initial transfer of records to the National Archives? **From 1988 To 2003**

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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Project Charters

Disposition Authority Number **DAA-0474-2018-0004-0006**

Document that defines project business case, scope, goals/objectives, Integrated Project Team (IPT), milestone schedule, and Project Manager authority.

Final Disposition **Temporary**

Item Status **Active**

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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
Disposition Instruction
Cutoff Instruction Cut off at end of calendar year.
Retention Period Destroy 7 year(s) after Cut off

Additional Information

GAO Approval Not Required

Project Management Administrative Records

Disposition Authority Number DAA-0474-2018-0004-0007

Project procurement information, staff information (e.g., training, annual reviews, PMO budget information).

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

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year.
Retention Period Destroy 7 year(s) after Cut off

Additional Information

GAO Approval Not Required

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Strategic Planning Records

Disposition Authority Number DAA-0474-2018-0004-0008

The Service wide strategic planning process includes: 1) the development of a strategic plan reflecting the business priorities set by top management, 2) the implementation of this plan via business review performance measures, and 3) the assessment of how organizational segments, as well as the agency as a whole, achieved a strategic plan. Records in this series include, papers describing emerging issues affecting tax administration, strategic initiatives, graphs, charts, preliminary reports with change notes, internal correspondence, text materials

which document the entire planning and review process, and the final strategic plan report.

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

Disposition Instruction

Cutoff Instruction Cut off 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 cut off.

Additional Information

First year of records accumulation 1988

What will be the date span of the initial transfer of records to the National Archives? From 1988 To 2003

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 MB	10 MB
Paper	6 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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
06/22/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/16/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
10/17/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
07/03/2019	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/10/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/10/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/11/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist