

Request for Records Disposition Authority

Records Schedule Number DAA-0474-2018-0005
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 Risk Management
Schedule Subject Enterprise Risk Management Records
Internal agency concurrences will be provided No

Background Information This records schedule covers records and documents maintained by the Office of Enterprise Risk Management (OERM) of the Federal Retirement Thrift Investment Board. This group of records consists of documents relating to the responsibilities and activities of OERM, including external audits, internal control analysis, risk management analysis, and anti-fraud assessment and investigation.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	0	11	0

GAO Approval

Outline of Records Schedule Items for DAA-0474-2018-0005

Sequence Number	
1	External Audit Reports Disposition Authority Number: DAA-0474-2018-0005-0001
2	Preliminary Inquiry Anti-Fraud Assessment Records Disposition Authority Number: DAA-0474-2018-0005-0002
3	Preliminary Inquiry Anti-Fraud Investigation Records Disposition Authority Number: DAA-0474-2018-0005-0003
4	Fraud Risk Assessment Records Disposition Authority Number: DAA-0474-2018-0005-0004
5	Routine Anti-Fraud Analysis Records Disposition Authority Number: DAA-0474-2018-0005-0005
6	Internal Control Documentation Disposition Authority Number: DAA-0474-2018-0005-0006
7	Enterprise Risk Assessment Records Disposition Authority Number: DAA-0474-2018-0005-0007
8	Vendor Assessment Records Disposition Authority Number: DAA-0474-2018-0005-0008
9	Insurance Gap Assessment Records Disposition Authority Number: DAA-0474-2018-0005-0009
10	Enterprise Risk Management Accounting Audit Records Disposition Authority Number: DAA-0474-2018-0005-0010
11	Annual Inspector General Act Report Disposition Authority Number: DAA-0474-2018-0005-0011

Records Schedule Items

Sequence Number	
1	<p>External Audit Reports</p> <p>Disposition Authority Number DAA-0474-2018-0005-0001</p> <p>Data base extract reports produced from audits by the Department of Labor to determine fiduciary compliance of pension plans, such as the TSP and 401(k) plans. The Department of Labor is responsible for conducting audits to determine potentially erroneous transactions in participants' TSP accounts, including incorrect Social Security numbers, dates of birth, large contributions, matching contributions greater than four times the basic contributions, and several others. These audits may be conducted by a contractor.</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? Yes</p> <p>GRS or Superseded Authority Citation N1-0474-98-003 / 1/A N1-0474-98-003 / 1/B</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of each calendar year.</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Preliminary Inquiry Anti-Fraud Assessment Records</p> <p>Disposition Authority Number DAA-0474-2018-0005-0002</p> <p>Preliminary inquiry assessment forms and supporting materials used to document Agency's preliminary inquiry assessment activities on anti-fraud to include, but not limited to, misconduct, unethical actions, or forgery.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

3	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 the end of fiscal year that inquiry is completed.
	Retention Period	Destroy 7 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Preliminary Inquiry Anti-Fraud Investigation Records	
	Disposition Authority Number	DAA-0474-2018-0005-0003
	Reports, correspondence, memorandum of interview, transmittals, action copies of investigation findings, and other relevant records relating to allegations of spouse/ misconduct, fraud/forgery cases, and other anti-fraud investigation activities.	
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 fiscal year that investigation is completed or case is closed.	
Retention Period	Destroy 7 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
4	Fraud Risk Assessment Records	
	Disposition Authority Number	DAA-0474-2018-0005-0004
	Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.	
	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 the end of fiscal year that assessment is completed.
Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Routine Anti-Fraud Analysis Records

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

Reports, internal memoranda, correspondence, and supporting materials relating to Agency's routine anti-fraud research activities that measure the performance of the anti-fraud program, such as workflow/production metrics, program strengths and weaknesses, and initiatives/lessons learned, and are not part of other existing assessment functions.

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 the end of calendar year.

Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Internal Control Documentation

Disposition Authority Number DAA-0474-2018-0005-0006

Official copies maintained by the agency's Internal Control Division Flow charts, narratives, diagrams, risk and control matrices, and other background materials,

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relating to control gap analysis of business and IT processes, conducted by the agency's internal control division.

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 Cutoff at the end of fiscal year.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

Enterprise Risk Assessment Records

Disposition Authority Number DAA-0474-2018-0005-0007

Annual risk assessment reports, quarterly presentations, correspondence, and background materials relating to Agency's risk assessment activities.

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 the end of fiscal year that assessment is completed.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

Vendor Assessment Records

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Disposition Authority Number **DAA-0474-2018-0005-0008**

Quarterly vendor assessment reports, presentations, correspondence, and background materials relating to Agency's TSP vendor assessment activities.

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 the end of fiscal year.**

Retention Period **Destroy 7 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Insurance Gap Assessment Records

Disposition Authority Number **DAA-0474-2018-0005-0009**

Reports, correspondence, internal memoranda, and background materials relating to Agency's insurance gap assessment activities.

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 the end of fiscal year.**

Retention Period **Destroy 7 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

Enterprise Risk Management Accounting Audit Records

Disposition Authority Number **DAA-0474-2018-0005-0010**

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All Enterprise Risk Management records related to the Board's midyear and annual financial statements. They include documents on the review and audit of the statements conducted by an independent public accounting firm, but does not cover the original financial statements.

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 N1-474-96-005 / 5

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year.

Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Annual Inspector General Act Report

Disposition Authority Number DAA-0474-2018-0005-0011

FRTIB's Annual Inspector General Act Report that is submitted to the Office of Management and Budget and Congress. This is a routine report created by the OERM Audit Management Division because the FRTIB has no Inspector General. The Agency is not required by the IGA to establish an Office of Inspector General. However, the Agency is required to engage annually an independent qualified public accountant to conduct a financial audit of the Thrift Savings Fund. 5 U.S.C. § 8439(b) (1994 & Supp. III 1997). Also, FERSA requires the Secretary of Labor to establish a program to carry out audits of compliance with fiduciary responsibilities relating to the TSP. 5 U.S.C. § 8477(g). The Agency has been advised by the Department of Labor that its program has been designed to comply with the audit standards issued by the Comptroller General of the United States. A program to follow up on audit recommendations is carried out by the Agency.

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	N1-474-12-012 / 1
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year.
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
01/29/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/15/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/17/2018	Submit For Certification	Trenny Foster	Records and Information Management Specialist	Administration Service Division - Records Management Branch
11/15/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
07/25/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/07/2019	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/07/2019	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
10/21/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services

10/21/2019	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
10/21/2019	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
11/19/2019	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/17/2020	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
01/17/2020	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
04/30/2020	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
05/11/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/19/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist