Request for Records Disposition Authority

Records Schedule Number	DAA-0474-2018-0006
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 Subdivsion
Major Subdivision	Office of the Executive Director
Schedule Subject	Executive Director Records
Internal agency concurrences will be provided	No
Background Information	The Thrift Savings Plan (TSP) is a retirement savings and investment plan for Federal employees established in the Federal Employees' Retirement System Act of 1986, which has been codified as amended largely at 5 U.S.C. §§ 8401-8479 (1994). It is managed by the Federal Retirement Thrift Investment Board (FRTIB). This disposition schedule relates to the records maintained by the FRTIB's Office of the Executive Director (OED). OED provides executive level supervision of all Board activities and is responsible for accomplishing the total mission of the Board with a goal of achieving effective, efficient, and economical administration.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	6	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0474-2018-0006

Sequence Number	
1	Delegations of Authority from the Executive Director Disposition Authority Number: DAA-0474-2018-0006-0001
2	Executive Director Policy Decision File Disposition Authority Number: DAA-0474-2018-0006-0002
3	Consultant Report Files Disposition Authority Number: DAA-0474-2018-0006-0003
4	Internal Work Reports Disposition Authority Number: DAA-0474-2018-0006-0004
5	Executive Director Correspondence Records Disposition Authority Number: DAA-0474-2018-0006-0005
6	Board Meeting Files Disposition Authority Number: DAA-0474-2018-0006-0006
7	Board Meeting Transcripts Disposition Authority Number: DAA-0474-2018-0006-0007
8	Board Member Contact Records Disposition Authority Number: DAA-0474-2018-0006-0008
9	Executive Leadership Council Meeting Minutes and Meeting Notes Disposition Authority Number: DAA-0474-2018-0006-0009
10	All-Hands Meeting Material Disposition Authority Number: DAA-0474-2018-0006-0010
11	Board Biographies and Official Portraits Disposition Authority Number: DAA-0474-2018-0006-0011

Records Schedule Items

Sequence Number	
1	**Delegations of Authority from the Executive Director**
	Disposition Authority Number: DAA-0474-2018-0006-0001
	Memoranda from the Executive Director to FRTIB staff documenting the functions and responsibilities that were delegated to a particular organization and/or staff member.
	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: N1-474-97-004 / 1
	Disposition Instruction
	Cutoff Instruction: Cutoff at the end of the calendar year in which delegation is no longer valid.
	Retention Period: Destroy 3 year(s) after cutoff.
	Additional Information
	GAO Approval: Not Required
2	**Executive Director Policy Decision File**
	Disposition Authority Number: DAA-0474-2018-0006-0002
	Policy memoranda from FRTIB program offices to the Executive Director recommending approval of FRTIB policy and the Executive Director's decision.
	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: N1-474-97-004 / 2

Disposition Instruction

Cutoff Instruction: Cut off 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: 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		

3

Consultant Report Files

Disposition Authority Number: DAA-0474-2018-0006-0003

Records containing pre/post contract materials, contract deliverables and vendor status report. Examples of these files include, but are not limited to, Source Selection evaluation material, Independent Government Cost Estimates (IGCEs), various draft and final deliverable documents and periodic activity/contract management reporting that can contain staffing, financial and activity progress data. In cases where a contract is let from OED, and the ED is the Source Selection Authority (SSA), material containing his decision as SSA is deposited here. Contract deliverables and/or status reports reviewed by the Executive Officer, when serving as OED's Contracting Officer's Representative (COR), are stored here from Draft through Final as part of the contract deliverable acceptance process. These records are not covered by GRS 1.1.

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	N1-474-97-004 / 3
	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
4	**Internal Work Reports**	
	Disposition Authority Number	DAA-0474-2018-0006-0004
	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.	
	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	N1-474-97-004 / 7/A N1-474-97-004 / 7/B
	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
5	**Executive Director Correspondence Records**	
	Disposition Authority Number	DAA-0474-2018-0006-0005

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.

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	N1-474-11-002 / 1

Disposition Instruction

Cutoff Instruction	Cut off at the end of the Executive Director's tenure.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 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 1 Years

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

6

Board Meeting Files

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

Records that document the events of each monthly Board meeting. Official Record of Board Meetings Contains official minutes; Federal register notice announcing the meeting to the public; and original copy of the "Monthly Memoranda to Board Members" from the Executive Director announcing the meeting and providing the agenda.

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 thane-mail and word processing?	No
GRS or Superseded Authority Citation	N1-474-96-001 / 1/A N1-474-96-001 / 1/C/1

Disposition Instruction

Cutoff Instruction	Cut off 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	1986
What will be the date span of the initial transfer of records to the National Archives?	From 1986 To 2003
How frequently will your agency transfer these records to the National Archives?	Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2.36 GB	2 GB
Paper	22 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

7 Board Meeting Transcripts

Disposition Authority Number DAA-0474-2018-0006-0007

Official transcripts of each monthly Board meeting, both public and closed sessions, prepared by a court reporter.

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: N1-474-96-001 / 1/B/1

Disposition Instruction

Cutoff Instruction: Cut off 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: 1986

What will be the date span of the initial transfer of records to the National Archives? From 1986 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	22 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

8 Board Member Contact Records

Disposition Authority Number DAA-0474-2018-0006-0008

Contains correspondence on Board members' appointments, such as Board members' names, addresses, appointment dates, and appointment affidavits.

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	N1-474-96-001 / 2

Disposition Instruction

Cutoff Instruction	Cut off at the end of each calendar year.
Retention Period	Destroy 20 year(s) after cutoff

Additional Information

GAO Approval	Not Required

9 Executive Leadership Council Meeting Minutes and Meeting Notes

Disposition Authority Number	DAA-0474-2018-0006-0009

ELC Meeting Minutes and ELC Meeting Notes are first-hand accounts captured by the Executive Officer of ELC discussions. This information also capture tasks that may have resulted from these meetings.

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 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	2015

What will be the date span of the initial transfer of records to the National Archives? From 2015 To 2020

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		
Microform		
Hardcopy or Analog Special Media		

10 All-Hands Meeting Material

Disposition Authority Number DAA-0474-2018-0006-0010

PowerPoint slides of various mission-related information and administrative announcements, compiled and shared by Office of the Executive Director (OED) for quarterly All-Hands meetings. The presentations include an agenda, mission-related and administrative announcements, program overviews, and project updates for staff awareness. OED receives the content from program Offices, compiles into one document, and adds an agenda for each presentation.

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 the calendar year.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

11 Board Biographies and Official Portraits

Disposition Authority Number	DAA-0474-2018-0006-0016

Biographies and official photographs of the Thrift Savings Plan Senior Executive Service Officials and Deputy Directors to be used for professional purposes such as posting to Agency internal and external websites, and external news articles.

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 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

What will be the date span of the initial transfer of records to the National Archives?	From 2016 To 2021
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		
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
12/20/2017	Return to Submitter	Diana Avery	Records and Information Manager	Resource Management - Resource Management
12/20/2017	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
09/26/2018	Return for Revision	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/08/2018	Submit For Certification	Angela Tucker	Records and Information Management Specialist	Administration Services Division - Records Management Branch
11/15/2018	Certify	Diana Avery	Records and Information Manager	Resource Management - Resource Management
05/15/2019	Submit for Concurrence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/16/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/16/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/18/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist