

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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 data-bbox="362 393 852 436">Performance Management Records</p> <p data-bbox="362 446 1144 489">Disposition Authority Number DAA-0474-2018-0004-0001</p> <p data-bbox="362 500 1482 691">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 data-bbox="362 702 917 744">Final Disposition Temporary</p> <p data-bbox="362 755 852 798">Item Status Active</p> <p data-bbox="362 808 820 851">Is this item media neutral? Yes</p> <p data-bbox="362 861 820 989">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 data-bbox="362 1000 803 1095">Do any of the records covered by this item exist as structured electronic data? No</p> <p data-bbox="362 1127 665 1170">Disposition Instruction</p> <p data-bbox="362 1181 1469 1266">Cutoff Instruction Cutoff at end of calendar year of assessment/report completion.</p> <p data-bbox="362 1276 1161 1319">Retention Period Destroy 3 year(s) after cutoff.</p> <p data-bbox="362 1351 665 1393">Additional Information</p> <p data-bbox="362 1404 950 1447">GAO Approval Not Required</p> |
| 2 | <p data-bbox="362 1457 787 1500">Participant Satisfaction Survey</p> <p data-bbox="362 1510 1144 1553">Disposition Authority Number DAA-0474-2018-0004-0002</p> <p data-bbox="362 1564 1482 1713">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 data-bbox="362 1723 917 1766">Final Disposition Temporary</p> <p data-bbox="362 1776 852 1819">Item Status Active</p> <p data-bbox="362 1830 820 1872">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 |