#### Records Schedule: DAA-0474-2018-0004

# **Request for Records Disposition Authority**

Records Schedule Number DAA-0474-2018-0004

**Schedule Status** Approved

Agency or Establishment Federal Retirement Thrift Investment Board

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

Records Schedule applies to **Major Subdivsion** 

**Major Subdivision** Office of Enterprise Planning

Schedule Subject Projects and Enterprise Planning Records

Internal agency concurrences will

be provided

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Number of Total Disposition Items		Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

#### **GAO Approval**





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

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#### Sequence Number

1 Performance Management Records

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

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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered Yes by this item currently exist in

electronic format(s) other than email and word processing?

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 of assessment/report

completion.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Participant Satisfaction Survey

2

Disposition Authority Number DAA-0474-2018-0004-0002

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.

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 thancemail and word processing?

Yes

Do any of the records covered by this item exist as structured Yes

electronic data?

**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

3

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 email 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

From 1988 To 2003

**Every 5 Years** 

**National Archives?** 

How frequently will your agency transfer these records to the

**National Archives?** 

**Electronic Records Archives** 

Т

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

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 email and word processing?

Yes

Do any of the records covered by this item exist as structured

electronic data?

5

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** 

**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

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Records Schedule: DAA-0474-2018-0004

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 thanœmail and word processing?

Yes

Do any of the records covered by this item exist as structured

No

electronic data?

**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

From 1988 To 2003

National Archives?

National Archives?

**Every 5 Years** 

How frequently will your agency transfer these records to the

**National Archives?** 

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

Project Charters

6

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

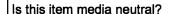
Document that defines project business case, scope, goals/objectives, Integrated Project Team (IPT), milestone schedule, and Project Manager authority.

Final Disposition Temporary

Item Status Active

7

8



Yes

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

**Disposition 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 thanœmail and word processing?

No

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year.

Retention Period Destroy 7 year(s) after Cut off

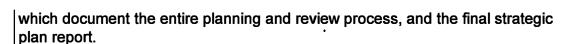
Additional Information

GAO Approval Not Required

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



**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 thancemail 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 From 1988 To 2003

initial transfer of records to the

**National Archives?** 

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		





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	Ву	Title	Organization
12/19/2017	Certify	Diana Avery	Records and Informa tion Manager	Resource Management - Resource Management
06/22/2018	Return for Revisio n	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/16/2018	Submit For Certific ation	Trenny Foster	Records and Informa tion Management Sp ecialist	Administration Service Division - Records Management Branch
10/17/2018	Certify	Diana Avery	Records and Informa tion Manager	Resource Management - Resource Management
07/03/2019	Submit for Concur rence	Rania Mahmoud	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/10/2019	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
07/10/2019	Concur	Laurence Brewer	Chief Records Office r	National Records and Archives Administration - National Records and Archives Administration
07/11/2019	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist