

Request for Records Disposition Authority

Records Schedule Number DAA-0478-2012-0009

Schedule Status Returned Without Action

Agency or Establishment Office of Personnel Management

Record Group / Scheduling Group Records of the Office of Personnel Management

Records Schedule applies to Major Subdivision

Major Subdivision Chief Financial Officer

Schedule Subject Benefit Financial Management System (BFMS) is owned and operated by the Chief Financial Officer (CFO) and provides the overall financial management and accounting support for the CFO/ Trust Fund. The BFMS has a number of applications that contain "sensitive" financial data.

Internal agency concurrences will be provided No

Background Information

WITHDRAWN

BFMS manages and administers the Civil Service Retirement and Disability Fund, the Federal Employees Group Life Insurance (FEGLI) program, the Federal Employees Retirement System (FERS), and the Federal Employees Health Benefits (FEHB) program. The Civil Service Retirement System (CSRS) was implemented in 1921 by the Civil Service Retirement Act. The Federal Employee Health Benefit Plan was originally established in 1960 by Congressional action. The Federal Employees Group Life Insurance Plan was originally established by Congressional action in 1955. Program security has evolved over the years and now encompasses both Information Technology and internal agency accounting controls. BFMS provides the management and accounting support for the above activities

1. Automated Voucher Control Log (AVCL) The Automated Voucher Control Log (AVCL) is used by Division for Management & Chief Financial Officer, Deputy Associate Director, Center for Financial Services & deputy Chief Financial Officer, Business Units & Financial Services Group, Trust Funds – Financial to support preparation of new benefit payment vouchers for transmittal to the Treasury Department and, additionally, for tracking and controlling these payment vouchers between OPM and Treasury. Vouchers are created manually and then entered into the AVCL. The system allows on-line entry, update and cancellation, and on-line inquiries. At entry, the system automatically generates the voucher number and date. After the voucher is received and processed by Treasury, AVCL is updated on-line by the user to reflect the status change.

2. Retirement Head Count (BRHC) The Semiannual Headcount provides a snapshot as of a given point in time of the number of enrollees in the Federal Employees Health Benefits Program, The Federal Employees Life Insurance Program and the Retirement Systems (CSRS and FERS). The Headcount is performed twice yearly and is based on 2812 monies reported by each payroll office for the first payroll paid during the months of March and September.

3. Federal Financial System (FFS) FFS is a commercial-off-the-shelf (COTS) accounting application, which is used by the Business Units and Financial Services Group (BUFSG). They use FFS to support Retirement Services (RS) Trust Fund activities and interfaces with CFO financial systems. FFS applications include general ledger, investments subsidiary ledger, financial accounting, and financial reporting modules. The system provides audit trails, transaction processing, archiving, accruals, closings, consolidations, and general ledger analysis and reconciliation functions. This is a financial package written and maintained by American Management Services (AMS).

4. 2812 System (FMCD) The Financial Management Collection Deposit 2812 (FMCD2812) is a system that processes collections made by all agencies from their employees who participate in the Government-wide life insurance, Health Benefits, or Retirement programs and transfer to the Retirement Insurance Service. FMCD2812 is used by all agencies, cross-services, retirement payroll offices (and non-Federal organizations with employees entitled to Federal benefits) to report FERS, CSRS, FEGLI, and FEHB withholdings and contributions. Each payroll date, reports are made electronically through RITS, via SF-2812, or through OPM's lock-box via the FMCD2812 Initial Entry (FMCD2812IE). FMCD2812 is a batch/on-line system that process collections made by all agencies from their employees and transferred to the Retirement Insurance Service. Includes 7% CSRS, 1.3% FERS, health benefits and life insurance premiums.

4a. Initial Entry Standard Form (IE2812) Sub-app: FMIE provides the entry functions, including controls, for FMCD. FMIE interfaces to the RIS Boyers operation, Treasury, the OPM Lock-Box, certain agencies, and other entities to capture and control data for the SF-2812 (FMCD) process.

4b. Standard Form 2812 (SF2812) Sub-app: FMCD2812SF loads verified collections made by all Federal agencies from their employees who participate in the Government-wide life insurance, Health Benefits, or retirement programs into two data structure files (M2812 and HB2812). It generates daily batch payment vouchers and reports, provides on-line inquiry and miscellaneous display.

4c. Experience Rated Health Benefit Carriers (EHB 2812) Sub-app: 2812EHB is an accounting procedure that records credit and debit

WITHDRAWN

revenue transactions of all Experience Rated Health Benefit (HB) Carriers and Community Rated Health Benefit (HB) Carriers into four data structured files (HBSL2812-P, HBSL2812-C, HBSL2812-A, and HBSL2812-PYA). It provides on-line inquiry and update activities to carrier's premium payments, contingency reserve, administrative reserve payments and prior year adjustment.

4d. Premium Allocation (2812PA) Sub-app: FMCD2812PA provides automated batch posting and accounting controls for health benefit carriers' premium payments, contingency reserve, administrative reserve payments, and prior year adjustment into four data structure files (HBSL2812-A, HBSL2812-C, HBSL2812-P and HBSL2812-PYA). It generates semi-monthly batch. This subsystem provides the controls for 2812EHB sub-ledger subsystem.

4e. Letter of Credit (LOC) Sub-app: FMCD2812LOC is an accounting procedure that records credit and debit money transactions of all Experience Rated Health Benefit (HB) Carriers in LOC2812 File, and maintains their available balances. It provides automated posting and accounting controls for Experience Rated Health Benefit Carriers' payment of Premium Account, payment of Contingency Reserve Account, Monthly Interest Distribution, Miscellaneous Premium Adjustments, Clearing House Expense Distribution and the Drawdown.

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5. Non-Periodic Payment System (NPPA) Retirement Services processes refunds and lump sum death cases for both CSRS (Civil Service Retirement System) and FERS (Federal Employees Retirement System). The Non-Periodic Payment System (NPPA) is used to load, edit, record, maintain and report these contributions/refunds and lump sum payments, which are not processed through the monthly cycle payment process. This is done on a daily, monthly and yearly basis.

6. Payroll Office Master File (POMF) The Payroll Office Master File System contains a master list of agency payroll and health benefit reporting office numbers, names, addresses, phone numbers, and contacts. It is used to identify valid payroll offices, provide contacts for claims adjudication and reconciliation purposes, and generate files used to create address labels for payroll office mailings.

7. United States Postal System (USPS) USPS creates billing data to identify their share of the cost for life insurance and health benefits. The Postal Service is required to pay the government share of benefits for annuitants and survivors.

8. Voluntary Contributions (VC) VC supports the Federal voluntary contribution benefits program. If an employee wishes to obtain a larger retirement annuity than otherwise provided, they can make voluntary contributions to purchase an additional annuity. VC is the financial management system that tracks employee voluntary contributions to the Civil Service Retirement System. In addition to

tracking contributions, the system provides reports to all levels of RS management. Data from the system is used in reporting production timelines and work levels to upper level OPM management and to the Office of Management and Budget (OMB). VC functions include periodic (daily, monthly, and year end) processing. VC programs compute interest; performs edits; complete calculations; execute updates; perform searches; and generates outputs.

Item Count

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

GAO Approval

WITHDDRAWN

Outline of Records Schedule Items for DAA-0478-2012-0009

Sequence Number	
1	Inputs
1.1	Inputs Disposition Authority Number: DAA-0478-2012-0009-0001
2	Master Files Disposition Authority Number: DAA-0478-2012-0009-0002
3	Outputs Disposition Authority Number: DAA-0478-2012-0009-0003
4	System Documentation Disposition Authority Number: DAA-0478-2012-0009-0004
5	Backup Tapes
5.1	Full Backups Disposition Authority Number: DAA-0478-2012-0009-0005
5.2	Differential backups Disposition Authority Number: DAA-0478-2012-0009-0006

WITHDRAWN

Records Schedule Items

Sequence Number	
1	Inputs
1.1	Inputs
	Disposition Authority Number DAA-0478-2012-0009-0001
	Information is provided directly from the annuitants and the Federal employees via Retirement and Insurance forms. General Ledger information is received electronically from the Voluntary Contribution, Service Credit, Account Control File System, and the 2812 (FMCD).
	Final Disposition Temporary
	Item Status Withdrawn
	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
	WITHDRAWN
	Retention Period For manually entered data delete when data has been entered into master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, master file or database, whichever is later. Real-time data are automatically over written as instrumentation data is updated. (GRS 20, item 2b) Delete when data has been imported into master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, master file or database, whichever is later. (GRS 20, 2c)
	Additional Information
	GAO Approval Not Required
2	Master Files
	Disposition Authority Number DAA-0478-2012-0009-0002
	Application Information collected, used, disseminated, or maintained 1. Automated Voucher Control Log (AVCL) Non-sensitive Financial Data. Information on all payments made through Trust Funds office, which are made using vouchers. 2. Retirement Head Count (BRHC) Non-sensitive Financial Data. Payroll office number and dollar amount. 3. Federal Financial System (FFS) Sensitive Financial

Data. The system provides audit trails, transaction processing, archiving, accruals, closings, consolidations, and general ledger analysis and reconciliation functions. 4. 2812 System (FMCD) Sensitive Financial Data. ABA Routing numbers, banking information, Tax ID# of organizations to obtain and disseminate payments. 5. Non-Periodic Payment System (NPPA) Non-sensitive Financial Data. Extracts information from Retirement Services to make payments. 6. Payroll Office Master File (POMF) Non-sensitive Financial Data. 7. United States Postal System (USPS) Privacy Data. Last name, First name, Middle name, SSN, DOB, Address 8. Voluntary Contributions (VC) Privacy Data. Last name, First name, Middle name, SSN, DOB, Address

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period GENERAL RECORDS SCHEDULE 2, Payroll and Pay Administration Records

WITHDRAWN

Additional Information

GAO Approval Not Required

Outputs

Disposition Authority Number DAA-0478-2012-0009-0003

Data in BFMS is manually analyzed using excel spreadsheets and system generated reports. As a result of the analysis, Trial Balance, Cash receipt and Cash Disbursement reports are generated.

Final Disposition Temporary

Item Status Withdrawn

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

Retention Period Destroy or delete when superseded or obsolete or 5 yrs whichever comes first.

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Additional Information

GAO Approval **Not Required**

System Documentation

Disposition Authority Number **DAA-0478-2012-0009-0004**

Certification and Accreditation documents, individual user manuals, model descriptors and system data requirements. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports.

Final Disposition **Temporary**

Item Status **Withdrawn**

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

Retention Period **Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. (GFS 20, 11a, 11)**

WITHDRAWN

Additional Information

GAO Approval **Not Required**

Backup Tapes

Full Backups

Disposition Authority Number **DAA-0478-2012-0009-0005**

Final Disposition **Temporary**

Item Status **Withdrawn**

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

Retention Period **Destroy or delete when second back up is verified as successful or when no longer needed for system**

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5.1

5.2

	restoration, administrative, legal, or other audit purposes, whichever is later. GRS 24, 4a1.
Additional Information	
GAO Approval	Not Required
Differential backups	
Disposition Authority Number	DAA-0478-2012-0009-0006
Final Disposition	Temporary
Item Status	Withdrawn
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	
Retention Period	Destroy or delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later. GRS 24, 4a1.
WITHDRAWN	
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
07/30/2012	Certify	Tanya Bennett	Chief of Records Management and Data Policy	Office of the Chief Information Officer - Records Management and Data Policy
07/08/2014	Return Without Action	David Weber	for	National Archives and Records Administration - Records Management Services

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