

Request for Records Disposition Authority

Records Schedule Number: DAA-0478-2013-0004
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: Retirement Services
Minor Subdivision: Retirement and Benefits

Schedule Subject: The Federal Annuity Claims Expert System (FACES) is used to support the mission of Retirement and Benefits Legal Administrative Specialists in the Retirement and Benefits data from paper records in FACES to calculate retirement benefits under the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS). Information collected in the system includes Name, Claim Number, Date of Birth, Social Security Number, mailing and email addresses, employment history, financial information, marital status, health and life insurance information. Once a calculation of benefits is made and authorized, the data from the FACES is passed to OPM's legacy systems for payment and other appropriate actions needed for benefits management. Retirement Counselors use the Retirement Benefit Estimator (RBE) to calculate annuity estimates for employees prior to retirement. They enter information about the prospective retiree's employment history from the individual's personnel record into the application to obtain a calculation.

Internal agency conferences will be provided: No

Background Information:

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

Outline of Records Schedule Items for DAA-0478-2013-0004

Sequence Number	
1	Inputs Disposition Authority Number: DAA-0478-2013-0004-0001
2	Master Files Disposition Authority Number: DAA-0478-2013-0004-0002
3	outputs Disposition Authority Number: DAA-0478-2013-0004-0003
4	system documentation Disposition Authority Number: DAA-0478-2013-0004-0004
5	Backup Tapes
5.1	Daily Incremental (differential incremental') on a daily basis Monday through Thursday. Disposition Authority Number: DAA-0478-2013-0004-0005
5.2	Weekly Full back up Disposition Authority Number: DAA-0478-2013-0004-0006

Withdrawn

Records Schedule Items

Sequence Number

1

Inputs

Disposition Authority Number DAA-0478-2013-0004-0001

Legal Administrative Specialists in the Retirement and Benefits enter data from paper records to calculate retirement benefits under the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS). Retirement Counselors enter information about the prospective retiree's employment history from the individual's personnel records into the application. Information is also drawn by a web-based interface with OPM's Service Credit Redeposit and Deposit System. Forms used for the collection of information include the following: Note: Forms with an "*" indicates these forms are not subject to the Paper Reduction Act and have no OMB Control Number. Standard Forms: SF-2800, Application for Death Benefits (Civil Service Retirement System), OMB No. 3206-0156 SF-2800A, Documentation and Elections in Support of Application for Death Benefits When Deceased Was an Employee at the Time of Death, OMB No. 3206-0156 SF-2801, Application for Immediate Retirement (CSRS), * SF-2802, Application for Refund of Retirement Deductions (CSRS), OMB No. 3206-0128 SF-2803, Application to Make Deposit or Redeposit, OMB No. 3206-0134 SF-2804 and SF-2804-A, Application to Make Voluntary Contributions (CSRS), * SF-2805, Request for Recovery of Debt due the United States, * SF-2806, Individual Retirement Record, * SF-2807, Register of Separations and Transfers (CSRS), SF-2808, Employee Health Benefits Registration Form, OMB No. 3206-0160 SF-2810, Notice of Change in Health Benefits Enrollment, * SF-2817, Life Insurance Election: Federal Employees' Group Life Insurance Program, OMB No. 3206-0230 SF-2818, Continuation of Life Insurance Coverage as an Annuitant or Compensation, * SF-2821, Agency Certification of Insurance Status, * SF-2822, Request for Insurance, * SF-3101, Notice of Correction of Individual Retirement Record, * SF- 3100, Individual Retirement Record (FERS), * SF-3104 and SF-3114, Application for Death Benefit (FERS), OMB No. 3206-0172 SF-3104B, Documentation and Elections in Support of Application for Death Benefits when Deceased was an Employee at the Time of Death (FERS), OMB No. 3206-0172 SF-3106, Application for Refund of Retirement Deductions (Federal Employees Retirement System) (SF 3106A, Current/Former Spouse's Notification for Refund Retirement Deductions is included with this form.), OMB No.3206-0170, SF-3107 and SF 3113, Application for Immediate Retirement (Federal Employees Retirement System), * SF-3109, Election of Coverage (Federal Employees Retirement System), * SF 3110, Former Spouse's Consent to FERS Election, * SF-3111, Request for Waiver, Extension, or Search in Connection with Election of FERS Coverage, Federal Employees Retirement System, * OPM Forms: OPM 1482, Agency Certification of Status of Reemployed Annuitant - Federal Employees' Group Life Insurance Program, * OPM 1496A, Application for Deferred

Retirement, Civil Service Retirement System, (Separations on or after October 1, 1956), OMB No. 3206-0121 OPM 1510, Certification of Agency Officer of Position and Required Documentation for Discontinued Service Retirement under CSRS or FERS, * OPM 1514, Military Deposit Worksheet, * OPM 1515, Military Service Deposit Election, * OPM 1519, Survivor's Military Service Election - Deceased Employee Covered by Civil Service Retirement System (CSRS) or CSRS Offset, * OPM 1522, Request for Offset for Health Benefits Premiums from Monies Payable Under the Civil Service Retirement System or the Federal Employees Retirement System (in lieu of SF 2805), * Retirement and Benefits Forms: RI 20-7, Representative Payee Application, OMB No. 3206-0140 RI 20-120, Request for Change to Unreduced Annuity, OMB No. 32206-0245 RI 20-122, Certification of Physicians' Comparability Allowances (PCS), * RI 38-45, Do You Need the Social Security Number of the Person Named Below, OMB No. 3206-0144 RI 38-133, Certification of Title 38, Physicians and Dentists, * RI 76-1, Assignment if Federal Employees' Group Life Insurance, * RI-92-1, Application for Deferred or Postponed Retirement-Federal Employees Retirement System (FERS), OMB No. 3206-0190

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

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)

Additional Information

GAO Approval

Not Required

Master Files

Disposition Authority Number

DAA-0478-2013-0004-0002

Information collected in the FACES includes Name, Claim Number, Date of Birth, Social Security Number, mailing and email addresses, employment history, financial information, marital status, health and life insurance information. The RBE includes the same information as above, except for the Claim Number and email address.

Withdrawn

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 20 yrs whichever comes first.
Additional Information	
GAO Approval	Not Required
outputs	
Disposition Authority Number	DAA-0478-2013-0004-0003
Destroy or delete when superseded or obsolete or 20 yrs whichever comes first.	
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.
Additional Information	
GAO Approval	Not Required
system documentation	
Disposition Authority Number	DAA-0478-2013-0004-0004
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

Withdrawn

3

4

	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. (GRS 20, 11a[1])
	Additional Information	
	GAO Approval	Not Required
5	Backup Tapes	
5.1	Daily Incremental (differential incremental) on a daily basis, Monday through Thursday.	
	Disposition Authority Number	DAA-0478-2013-0004-0005
	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	(A) Destroy or delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later. GRS 24, 4a2.
	Additional Information	
	GAO Approval	Not Required
5.2	Weekly Full back up	
	Disposition Authority Number	DAA-0478-2013-0004-0006
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	No

Withdrawn

electronic format(s) other than e-mail and word processing?

Disposition Instruction

Retention Period

(B) Destroy or delete when second back up is verified as successful or when no longer needed for system restoration, administrative, legal or other audit purposes, whichever is later. GRS 24, 4a1.

Additional Information

GAO Approval

Not Required

Withdrawn

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
06/26/2013	Certify	Joel Westphal	Supervisory Records Officer	CIO - Records Management
05/07/2015	Return Without Action	David Weber	for	National Archives and Records Administration Records Management Services

Withdrawn