

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-478-11- 5	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 5/26/11	
1 FROM (Agency or establishment) Office of Personnel Management		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of the Chief Information Officer			
3 MINOR SUBDIVISION Retirement and Benefits- Services Online (SOL)			
4 NAME OF PERSON WITH WHOM TO CONFER Patsy Bruton	5 TELEPHONE NUMBER 202-606-4558	DATE	ARCHIVIST OF THE UNITED STATES <b>WITHDRAWN</b>
6 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 on the attached <u>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 5-20-11	SIGNATURE OF AGENCY REPRESENTATIVE <i>Patricia Capers</i> Patricia Capers		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Services Online is used to support the mission of Retirement Services SOL provides civil service retirees and survivor annuitants the ability to access their annuity payment information and can make request and or changes listed below</p> <p>Approximately two and a half million customers have access to Services Online It receives approximately 150,000 visits per day The system processes over 10,000 transactions per month Annuitants also use SOL to view their annuity statements Services Online provides the following retirement services on demand to authorized users</p> <ul style="list-style-type: none"> <li>• change Federal income tax withholdings,</li> <li>• change state income tax withholdings,</li> <li>• view/print/request duplicate Form 1099-R's,</li> </ul>		<b>WITHDRAWN</b>

- establish allotment to an organizations,
- change mailing addresses,
- sign up for direct deposit of annuity payments,
- set up checking or savings allotments,
- view annuity statements
- view history

Since it resides on the same server as SOL, the Student Self-Certification System (SSCS) is included in this system. SSCS is a self-certification tool. Using a secure web-based service delivery system, students receiving recurring annuity benefits can certify whether they are eligible for continuing benefits based full-time school attendance. The SSCS is used instead of completing the paper form Retirement & Insurance (RI) Form 25-14, "Self-Certification of Full-Time School Attendance for the School Year." Note to be eligible, an applicant must be a surviving child of a former Federal employee or annuitant and an unmarried, full-time student between the ages of 18 and 22.

Student submissions are compiled on a daily basis and transferred to change legacy retirement system's in batch processing. Information displayed on the website is updated on a daily basis with batch file transfers reflecting current school certification records.

The legal authority is 5 United States Code (USC), Chapters 83 and 84. The authority for maintenance of the system includes the following with any revisions or amendments: Section 3301 and chapters 83, 84, 87, 89 and 90 of title 5, United States Code, Pub L 83-598, 84-356, 86-724, 94-455, and 106-265, and Executive Order 9397.

WITW DRAWN

ITEM #	TITLE/DESCRIPTION	RETENTION & DISPOSITION
1	<p><b>INPUTS.</b></p> <p>Civil service retirees and survivor annuitants using the SOL system can make changes to their withholdings from annuity payments. These changes are used to update OPM's legacy retirement systems for benefit payments.</p> <p>Student survivor annuitants use SSCS to submit their school enrollment information which is needed to determine their continuing eligibility for benefits. Forms used for the collection of information include the following:</p> <ul style="list-style-type: none"> <li>RI 16-28 Authorization for Direct Payments</li> <li>RI 25-14 Self-Certification of Full-Time School Attendance for the School Year – Read More at RI 25-27, RI 90-12, Get Instructions RI 25-14A, OMB No 3206-0032</li> <li>RI 25-15 Notice of Change in Student's Status – Read More at RI 25-27, RI 90-12, OMB No 3206-0032</li> <li>RI 25-49 Verification of Full-Time School Attendance – Read More at RI 25-27, RI 90-12, OMB No 3206-0215</li> <li>RI 38-128 It's Time to Sign-up for Direct Deposit, OMB 3206-0226</li> </ul>	<p><b>System TEMPORARY</b></p> <p>20 yrs</p> <p><b>Records TEMPORARY</b></p> <p>as referred in GRS 1 items 4-7</p> <p style="text-align: center; font-size: 2em; font-weight: bold;">WITHDRAWN</p>
2	<p><b>MASTER FILES.</b></p> <p>Information collected in the SOL system includes Name, Claim Number, Date of Birth,</p>	<p><b>System TEMPORARY.</b></p>

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	<p>Social Security Number, mailing and email addresses, tax and allotment information, and financial information Information collected for SSCS includes School Attendance information, Name, Claim Number, Date of Birth, Social Security Number, and Mailing Address</p> <p>SOL and SSCS information is shared with the following</p> <p>Retirement Services</p> <ul style="list-style-type: none"> <li>• Chief Information Officer (CIO) (specifically TRB Data Center and Benefits Systems)</li> <li>• Human Resource, HR Management Solutions, HR Tools &amp; Technology (HRTT)</li> </ul> <p>The purpose for sharing the information</p> <p>The information is provided to Retirement Services since it for benefit management purposes in accordance to the legal authority of Title 5 These operational needs include updating the payment address, starting/stopping allotments, requesting duplicate 1099R's, continuation of student benefits, and other customer service related activities</p> <ul style="list-style-type: none"> <li>• The information is provided to the CIO and HRTT for the purpose of automated technology solutions to process annuity updates</li> </ul> <p>The SOL and SSCS information is stored within the OPM domain Using a secure OPM internal file transmission transactions are sent in bulk to the OPM's legacy retirement processing systems for benefits management activities This internal OPM transmission is between the TRB Washington Data Center and Human Resource Solutions, HR Management Solutions, HR Tools &amp;</p>	<p>Destroy or delete when superseded or obsolete or 20 yrs whichever comes first</p> <p style="text-align: right; font-size: 2em; font-family: cursive;">WITHDRAWN</p>

ITEM #	TITLE/DESCRIPTION	RETENTION & DISPOSITION
	Technology	
3	<p><b>OUTPUTS.</b></p> <p>The information system outputs requested from SOL include individual's monthly annuity statements and duplicate Internal Revenue Form (IRS)1099R's There are no outputs generated from SSCS</p>	<p><b>Records TEMPORARY.</b></p> <p>Destroy or delete when superseded or obsolete or 5 yrs whichever comes first</p>
4	<p><b>SYSTEM DOCUMENTATION.</b></p> <p>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.</p>	<p><b>TEMPORARY.</b></p> <p>Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database (GRS 20, 11a[1])</p>
5	<p><b>BACKUP TAPES.</b></p> <p>Backups of SOL system data are performed at two levels a backup of all the files on each server and SQL backups using Backup Exec's SQL Backup agent Full file backups are performed on all servers every Friday Differential file backups are performed Saturday through Thursday Full backups of all the SQL databases are performed seven nights a week In addition, the SQL database containing SOL system user transactions has its transaction log backed up every thirty minutes and the SQL database containing the user audit trail logging has its transaction log backed up every two hours, which allows for incremental recovery if the production server fails between back-ups After each backup, the tapes are stored in an environmentally safe vault Each Tuesday, the backup tapes are retrieved by an offsite storage provider from the facility and stored at a geographically removed facility for one month. Tapes that are a month old are</p>	<p><b>TEMPORARY.</b></p> <p>(A) Destroy or delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later GRS 20, 8b</p> <p>(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 20, 8b</p>

WITHDRAWN

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	<p>returned to the facility on the same Tuesday for re-use</p> <p>Retirement Services approves changes to the system TSG controls the changes to the SOL system code and documents these changes using Microsoft Visual SourceSafe, 6.0</p> <p>Appropriate organizational officials approve information system changes in accordance with organizational policies and procedures</p> <p>Configuration change control involves the systematic proposal, justification, test/evaluation, review, and disposition of proposed changes</p>	<p style="text-align: center; vertical-align: middle;">WITHDRAWN</p>