



a New Day for Federal Service

Building A Healthy Retirement Case File

CHCO ACADEMY SESSION

September 12, 2012

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Purpose and Definition

- The purpose of BAL 12-103 is to provide guidance on submitting “healthy” retirement application packages to OPM for adjudication
- A “healthy” retirement package is a complete and accurate package that does not have to be developed for missing, inaccurate or discrepant information

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OPM Strategic Plan

- Major goal in OPM's Strategic Plan for Retirement Services is to eliminate backlog of retirement claims and ultimately, to process 90 percent of all new claims within 60 days of receipt
- 2 of the 4 pillars to accomplish:
 - Productivity and Process Improvement
 - Partnering with Agencies

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Productivity and Process Improvement

- Reengineered adjudication process to screen incoming retirement cases upfront in new Retirement Development Section (RDS)
 - Healthy cases are sent to Annuity Processing Section (APS) for adjudication
 - Unhealthy cases are developed for missing and discrepant information and held in RDS until healthy

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Partnering with Agencies

- CHCO Council retirement application process working group established to improve the entire retirement application process
- Modified the audit process to occur at the time we initially screen and develop incoming cases
- Provide feedback to agencies
- Provide training based on audit results

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Process Improvement

- Based on Lean Six Sigma review, we reengineered our process to screen and develop application packages upon receipt in new Retirement Development Section (RDS)
- Audit is now performed in RDS at the time of screening

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CSRS and FERS Development Checklist and Log

- Developed the CSRS and FERS Development Checklists and Logs
 - Systematically screen incoming cases
 - Document healthy and unhealthy cases, and
 - Document development actions taken
- Data from checklists used for the Retirement Application Audit

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Retirement Application Audit

- Audit of agency retirement application packages started in 2008
 - Annual audits based on six week period
 - Cases first processed by LAS reviewed and results recorded in a database
 - Agencies were provided with their results
- Audit now performed monthly
 - Performed in RDS based on the development checklist
 - Agency results provided monthly

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Healthy Retirement Packages

- We will detail, form by form, what is required to be considered a healthy case.
- We will also highlight known problem areas with each form.

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Retirement Application: SF 2801 and SF 3107

- Complete, original form, signed and dated by the applicant
 - Photocopies may be accepted if all of the criteria listed in BAL 12-102 are met
- All questions must be answered, all applicable boxes checked and all areas requiring initials must be initialed

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Retirement Application SF 2801 and SF 3107

- Common Problems
 - Survivor election in Section F and D respectively, must be indicated, regardless of marital status
 - Spousal consent must be provided when married applicant elects less than full survivor annuity
 - Election on the application must agree with the spousal consent
 - Court Order question 2 in Section E and C, respectively, must be answered

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Certified Summary of Service: SF 2801-1 and SF 3107-1

- All periods of creditable civilian and military service must be listed
- Military service, indicate if deposit has been paid in full
- Non deduction service - all pay rates and effective dates must be listed on the back page

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Certified Summary of Service SF 2801-1 and SF 3107-1

- Part-time tours of duty and/or hours worked, intermittent and/or WAE time worked and any excess LWOP must be documented.
- All OWCP periods for FERS employees must be indicated, as described in BAL 04-105, must be indicated

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Spousal Consent Form SF 2801-2 and SF 3107-2

- Must be provided when married applicant elects less than full survivor and must match the election made
- Election must be notarized
- Common problems:
 - Must be an original form with ink signatures (photocopies may be accepted in accordance with BAL 12-102)
 - The date the spouse signs must match the date the notary signs

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Checklist: SF 2801 Schedule D and SF 3107 Schedule D

- VERA - OPM authority number must be listed on Schedule D **and/or** the SF 2806/3100
- DSR – letter of involuntary separation and OPM 1510 must be provided
- Special Retirement (LEO, FF, ATC, NMC or CBPO – certification letter must be provided
- SON/POI must be provided

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Federal Employees Health Benefits (FEHB) Forms

- Documentation of employee's FEHB status and eligibility to continue coverage must be included (along with a memo noting any circumstances that would help us determine employee's eligibility to continue coverage).
 - Memorandum can be used to detail continuous coverage of an employee for the 5 years prior to retirement when documentation is otherwise unavailable.

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Federal Employees Health Benefits (FEHB) Forms

- The single most common error found in retirement packages is failure to document the 5 years of coverage
- Would like documentation of coverage for employee's entire career, but must have documentation of 5 years required to continue coverage
- Acceptable proof of coverage includes:
 - SF 2809/2810

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Federal Employees Health Benefits (FEHB) Forms

- History reports and/or screen shots from on-line enrollment systems
 - Must show old plan, new plan and effective dates
- Evidence of coverage as family member under another's FEHB enrollment
 - Or TRICARE/CHAMPUS
- Signed memo from agency detailing 5 years continuous coverage
 - Documentation of 5 years of payroll deductions should also be submitted
- Evidence of TRICARE/CHAMPUS enrollment




Federal Employees Group Life Insurance (FEGLI) Forms

- Would like documentation of coverage for employee's entire career, but must have documentation of 5 years required to continue coverage
- Acceptable proof of coverage includes:
 - SF 2817 or SF 176
 - SF 50s showing any FEGLI changes in 5 years immediately prior to retirement
- As last resort, submit sufficient payroll records to establish 5 years of coverage

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SF 2821 – Agency Certification of Life Insurance Status

- SF 2821 must be submitted for all cases when the employee has FEGLI coverage.
- When the employee is eligible to continue coverage, the original form must be submitted.
- Common problem areas:
 - Retirement date and final salary must match the SF 2806/3100

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SF 2821 – Agency Certification of Life Insurance Status

- Coverage must match the most recent SF 2817 and/or SF 50
- Box 5 must be completed. If SF 2823 is indicated, it must be attached
- The date in Box 9 documenting the date the SF 2819 was sent must match Block 10 of the SF 2819
- Must be signed by two different certifying officials, one with access to HR records, and the other with access to payroll record

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SF 2818 – Continuation of Life Insurance Coverage

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Documenting 5 Years of FEHB Coverage

- Must document all coverage changes for 5 years prior to retirement
- History reports/screen shots from on-line enrollment systems **must** show old plan, new plan and effective date
- Job Aid on Documenting 5 years of FEHB on HRU:
http://www.hru.gov/resource_center.aspx
 - Specialty Areas, Employee Benefits, Retirement

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Next Steps

- Complete June Audit (May 28 – June 29)
- Provide reports to all agencies for comment in July
- “Healthy” Case BAL
- Additional Job Aids based on audit results
- Continued application package improvements

Questions

