



The Director

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT  
Washington, DC 20415

December 14, 2007

MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES  
CHIEF HUMAN CAPITAL OFFICERS  
CHIEF FINANCIAL OFFICERS

FROM: LINDA M. SPRINGER  
Director

A handwritten signature in black ink, appearing to be "LMS", is placed to the right of the name Linda M. Springer.

SUBJECT: Data Cleansing for Retirement Systems Modernization

OPM is implementing the Retirement Systems Modernization (RSM) Program to provide timely, accurate retirement benefit payments and more efficient processes using proven technology rather than manual, paper-based processes. RSM's objectives include high quality customer service to annuitants, enhanced services to active Federal employees through modeling and planning tools, and prompt, complete payment of annuity on the day it is due.

In order for these objectives to be achieved according to OPM's deployment schedule, it is necessary that agencies participating in RSM provide OPM with timely and complete payroll and HR data. Agencies are reminded that they are required by 5 CFR Sections 831.102 and 841.106 to establish and maintain retirement records. This requirement extends to provision of complete and accurate historic and bi-weekly HR and payroll data to OPM for use in the modernized environment. To achieve the required level of accuracy, agencies are asked to work with the OPM to resolve data gaps and edits in the historic data prior to "going live" and in the recurring feeds once the agency is "live." Full participation in data cleansing is necessary for successful implementation of RSM.

Attached to this memo is a draft Memorandum of Understanding (MOU) which describes agency and OPM roles and responsibilities in the data cleansing process. I recognize that many agencies have unique employee groups and security concerns that will require unique language in the MOU's. Therefore, I am asking that you review the MOU and provide input that addresses your specific needs and concerns. We request your input by January 31, 2008.

Please submit your responses by e-mail to Vic Karcher, [Victor.Karcher@opm.gov](mailto:Victor.Karcher@opm.gov). If you have any questions regarding this request please contact him via e-mail or on 724-794-2005, ext 3209.

**MEMORANDUM OF UNDERSTANDING (MOU)**  
**FOR DATA CLEANSING**  
**FOR THE RETIREMENT SYSTEM MODERNIZATION**  
**BETWEEN THE**  
**U.S. OFFICE OF PERSONNEL MANAGEMENT**  
**AND**  
**PARTNER SHARED SERVICE CENTER/AGENCY**

**I. PARTIES**

The parties to this Memorandum of Understanding (MOU) are the U.S. Office of Personnel Management (OPM), Retirement System Modernization initiative (hereinafter referred to as RSM) and the Shared Service Centers (hereinafter referred to as SSC or the Partner SSC) and Agencies.

**II. PURPOSE**

OPM is actively engaged in a transition from paper based to digital transmission approach focusing on RSM program to implement a Defined Benefit Technology Solution (DBTS) that will administer and pay all civilian federal government retirements. RSM's objectives include high quality customer service to annuitants, enhanced services to active Federal employees through modeling and planning tools, and prompt, complete payment of annuity on the day it is due. In order for these objectives to be achieved according to OPM's deployment schedule, it is necessary for agencies to provide OPM with timely and complete payroll and HR data. To achieve the required level of accuracy, agencies are asked to work with the OPM to resolve data gaps and edits in the historic data prior to "going live" and in the recurring feeds once the agency is "live".

The purpose of this MOU is to describe the roles and responsibilities of RSM and of the Partner SSC regarding data cleansing preparations and activities, and to obtain commitment from the parties to complete the described activities according to the agreed upon schedule.

**III. AUTHORITIES**

Federal agencies are required by 5 CFR Secs. 831.102 and 841.106 to establish and maintain retirement records. This requirement extends to provision of complete and accurate historic and bi-weekly HR and payroll data to OPM for use in the modernized environment.

**IV. BACKGROUND**

RSM is converting personnel and fiscal history data for federal employees currently maintained on source systems at the Partner SSC; maintained on OPM-owned systems; maintained by the Enterprise Human Resources Integration (EHRI) initiative; and converted from certified retirement records sent by federal agencies to the Office of Personnel Management Retirement



Operations Center (ROC). Data from the aforementioned sources is consolidated in order to build a complete personnel history for the federal employee. Data edit checks are applied to the complete personnel history in order to identify errors, inconsistencies, and/or gaps in the data history. Edits identified in the conversion process must be resolved in the data cleansing process.

Data edits will be communicated to the SSC and agencies with a data edit report and through the Data Portal, an internet-accessible database that enables users to view and edit historical data. There are two available mechanisms to correct and resolve data edits—refresh files and the RSM Data Portal. Edits and errors identified on “dynamic<sup>1</sup>” data sources must be corrected on the source system by the data owner at the SSC and/or the agency and will be resubmitted to OPM in a refresh file. Edits and errors identified on “static<sup>2</sup>” data sources can be corrected directly on the Data Portal.

While transitioning to the RSM solution, agencies will participate in at least two cleansing cycles and will be provided a data edit report at the start of each cycle. Defined timeframes will be established for agencies to access the Data Portal to view edits and make corrections to static data. Agencies are required to send a refresh file to OPM following the conclusion of each cleansing cycle. Provisions regarding the transfer of historical data from the Partner Agency to OPM are outlined in a separated Memorandum of Understanding.

## **V. ROLES AND RESPONSIBILITIES**

The Partner SSC is expected to participate in data cleansing activities for this retirement transformation process by performing the following key activities:

1. SSC will participate in informational and training sessions with OPM’s Benefits Officers’ Training and Development Group prior to beginning data cleansing activities.
2. SSC will identify appropriate employees to access and use the Data Portal and will provide OPM with the required OPM IT Access Request Form in accordance with the guidance provided by OPM.
3. SSC will review the edit reports provided by OPM at the start of each cleansing wave and make recommendations to improving the edit logic applied by OPM.
4. SSC will correct and resolve all “critical<sup>3</sup>” data edits identified by OPM by correcting data on their source systems (dynamic data edits) and via the Data Portal (static data edits).

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1 Dynamic Data is defined as data sent via electronic sources with a system behind them, capable of processing corrections/changes to data, such as payroll and HR. The system thus actively uses and owns the data.

2 Static Data is defined as data that is not housed on another system that ‘owns’ the data element. Data converted from paper sources sent to the OPM ROC are considered to be static because updates cannot be made to this data (the actual paper form) without a paper correction form.

3 Critical edits, if not resolved, will prevent an employee from full-self service functionality on the RSM solution and the solution will not be able to calculate the employee’s benefits.

5. SSC will review “informational<sup>4</sup>” edits identified by OPM and resolve at their discretion by correcting data on their source systems (dynamic data edits) and via the Data Portal (static data edits).
6. SSC will provide regular status updates on data cleansing progress to OPM, as requested by OPM.
7. SSC will provide OPM a refresh file that reflects data cleansing of dynamic data edits at the conclusion of each cleansing cycle.
8. SSC will use the DocHarbor image storage and retrieval system to access data contained in images of paper retirement records, if required, to resolve edits to static data.
9. SSC will immediately notify OPM if an employee’s access to the Data Portal must be terminated for any reason.

To enable and support the Partner Agency in data cleansing activities, OPM and the RSM solution vendor will perform the following key activities:

1. OPM will facilitate meetings with the SSC to discuss the data cleansing process, schedule of activities, and expectations.
2. OPM’s Benefits Officers’ Training and Development Group will facilitate informational and training sessions to instruct the SSC on how to use the Data Portal and data edit reports.
3. OPM will provide a detailed data edit report at the start of each cleansing cycle to the SSC. The edit report will specify the specific edits identified for each employee.
4. OPM will provide Data Edit Guidance to the SSC to explain what each data edit means, why the edit may be triggered, and recommended steps to resolve the edit.
5. OPM will establish and maintain user accounts for the Data Portal for all individuals identified by the SSC who complete OPM IT User Access forms.
6. OPM will provide customer care and on-going operations support to Data Portal users including support for password resets; system lock outs; system technical issues and questions; and other help desk support.
7. OPM will support the SSC throughout the data cleansing process by answering questions on process, the Data Edit Guidance, data edit reports, and the data conversion process.

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<sup>4</sup> Informational edits identify situations in which data accuracy is in question. Data will be loaded to the RSM solution and the edit will not prevent full functionality however, OPM recommends review of informational edits and corrections if necessary.



8. OPM will provide the SSC access to DocHarbor, the image storage and retrieval system containing images of paper retirement records, as a information resource to enable static data cleansing.

#### **VI. DURATION OF AGREEMENT**

This is a one-time agreement and will remain in effect until the successful completion of historical data cleansing for RSM. If the parties wish to extend this agreement, they may do so by reviewing, updating, and reauthorizing this agreement. If one or both parties wish to terminate the agreement prematurely, it will be initiated by a written signed letter addressed to the program director.

#### **VII. DISPUTE RESOLUTION MECHANISM**

Partner Agency agrees that any complaints, issues or concerns regarding service through RSM that are not satisfactorily addressed by the RSM PMO staff will be communicated from the Partner Agency's Project Manager to the RSM Project Manager for resolution. In the event the problems persist, the issues or concerns will be communicated to the OPM Director of the Retirement System Modernization for resolution. In the event the problems still persist, a meeting shall be held between the RSM Director and Partner Agency's Program Director. At this meeting, the problems will be discussed, potential solutions identified, and a plan of action and resolution defined and agreed upon.

#### **VIII. COMMUNICATIONS**

Frequent formal communications are essential to ensure the successful management and execution of the data cleansing process. The parties agree to maintain open lines of communication between designated staff at both the managerial and technical levels.

#### **IX. POINTS OF CONTACT**

TO BE DETERMINED (See Attachment 1)

#### **X. SECURITY**

RSM will use management, operational and technical controls to enforce security and privacy requirements and management risk on RSM as detailed in the OPM IT Security Policy and NIST Special Publication 800-53.

**XI. SIGNATURES**

The undersigned agree to the terms and conditions of this Memorandum of Understanding:

**PARTNER AGENCY NAME**

Department/Agency CHCO  
Department/Agency

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Department/Agency CFO  
Department/Agency

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Retirement System Modernization (RSM)**

Kay Ely, Associate Director  
Human Resources Product & Services  
Office of Personnel Management

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Attachment 1**  
**Points of Contact**

**Partner Agency Name**

Department/Agency HR

Name:

Address:

Office #:

Fax #:

E-mail:

Department/Agency Payroll

Name:

Address:

Office #:

Fax #:

E-mail:

**OPM - Retirement Systems Modernization (RSM)**

Vic Karcher, Chief  
Retirement Services Modernization, Project Manager  
Office of Personnel Management  
1137 Branchton Road  
Boyers, PA 16017  
(724) 794-2005 ext 3209  
[Victor.Karcher@opm.gov](mailto:Victor.Karcher@opm.gov)

Terri Caroncino  
Retirement System Modernization  
Office of Personnel Management  
1900 E Street N.W.  
Washington, DC 20415  
(202) 606-2823  
[Terri.Caroncino@opm.gov](mailto:Terri.Caroncino@opm.gov)

Ray Kirk  
Benefit Officers Training and Development Group  
Office of Personnel Management  
1900 E Street N.W.  
Washington, DC 20415  
(202) 606-0792  
[Raymond.Kirk@opm.gov](mailto:Raymond.Kirk@opm.gov)