

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY

Action Date:

For Information Only

DEPARTMENTAL PERSONNEL MANUAL

DPM BULLETIN NO. 843-1

DATE: JAN 26 1980

SUBJECT: Checklist for Federal Employee Retirement System
Refund Claim

Attached is a copy of the November 1988 edition of "Agency Checklist for a FERS Refund Claim". This form was provided to us by the Office of Personnel Management as a way of improving the quality of our refund submissions so our employees may receive refunds quickly.

At this time, use of the checklist is voluntary although we encourage making it a part of your organization's processing procedures. Keep in mind our current procedures for processing retirement actions include a checklist as an important part of ensuring timely and accurate submissions. We believe similar results can be seen with the consistent use of this refund checklist.

If there are any questions, contact Terry Smith in the Labor and Employee Relations Division (M-17). Terry can be reached on 366-4140.

Attachment


Director of Personnel

Filing Instructions: File after DPM Chapter 843 Bulletins

Bulletin Expires: Upon Notification

Distribution: Personnel Council Member, Retirement Officers,
M-80, AAA-100, and AAC-25

OPI: M-17/SMITH/69440

AGENCY CHECKLIST FOR A FERS REFUND CLAIM

NOVEMBER 1988
(Page 1 of 3)

A. Name of Applicant: _____

Date of Birth: _____

Social Security Number: _____

B. **Personnel and Payroll Offices:** This checklist identifies the forms that must be submitted to the Office of Personnel Management (OPM) with a FERS "Application for Refund of Retirement Deductions," SF 3106. The current version of the SF 3106 is dated September 1988; previous editions are **not** usable. The checklist also incorporates questions that will improve timeliness of processing applications for FERS refunds.

FORM NUMBER [BLOCK NUMBER]	DOCUMENT TITLE	REQUIREMENT
		YES N.A.
SF 3106: Block 6: Do all civilian and military service for the United States Government listed?	Application for Refund of Retirement Deductions	REQUIRED in all cases. []
Block 7: Are questions concerning further employment answered? If answer is "yes" to Block 7, then complete Blocks 13, 14, 15 and 16.		REQUIRED in all cases. []
Block 8: Is the tax election completed?		REQUIRED in all cases. []
Blocks 9 & 10: Are the questions concerning marriage and divorce answered?		REQUIRED in all cases. []

FERS REFUND CHECKLIST

FERS REFUND CHECKLIST

FORM NUMBER
[BLOCK NUMBER]

DOCUMENT TITLE

REQUIREMENT

YES N.A.

SF 3106A:

If the applicant answers "yes" to questions 9 or 9 or 10 on SF 3106 about having a current or former spouse, is a signed 3106A attached?

Current/Former Spouse's Notification of Application for Refund of Retirement Deductions

REQUIRED in all cases [] [] in which employee has: "a current spouse; and/or former spouse who was married to the employee for a total of at least 9 months and the employee has a total of at least 18 months of creditable civilian service."

If applicant is divorced or legally separated, is the information concerning court orders on the reverse of SF 3106A completed?

If applicable. [] []

SF 3106:

Block marked For Agency Use Only: Has the appropriate agency official signed the SF 3106 and indicated the Agency Payroll Office Number?

Application for Refund of Retirement Deductions

REQUIRED in all cases. []

Block 11:

Has applicant signed and dated the application in ink?

REQUIRED in all cases. []

Block 12:

Is the address complete, clear and without alteration?

REQUIRED in all cases. []

FERS REFUND CHECKLIST

FERS REFUND CHECKLIST

FORM NUMBER [BLOCK NUMBER]	DOCUMENT TITLE	REQUIREMENT	YES	N.A.
Is OPM Form 1552 (and/or a government claim, SF 2805) attached? Current version is dated 1/87, no prior version)	Recertification of Request of Recovery of Debt Due the U.S.	If applicable.	[]	[]

SF 3100 and Redesignated 2806's	Individual Retirement Record(s)	REQUIRED in all cases; MUST be certified by appropriate agency payroll official.	[]	
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SF 3103 Current version is dated 1/87; Do NOT submit previous versions) Do the entries agree with the calendar year and cumulative deductions on the SF 3100 or redesignated SF 2806?	Register of Separations and Transfers (FERS)	REQUIRED in all cases.	[]	
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NOTE: Make sure the correct deduction percentages are utilized: 1.3% to 12/31/87 (.94% in 1988) for offset cases, 1.8% to 12/31/87 (1.44% in 1988) for qualified House/Senate/firefighter/law enforcement employees.

****PERSONNEL OFFICE CERTIFICATION****

Personnel Specialist: _____

Telephone Number: () _____

****PAYROLL OFFICE CERTIFICATION****

Payroll Office Contact: _____

Telephone Number: () _____