



6.5.1 Introduction

This chapter discusses monitoring programs that help ensure that benefits are paid in the correct amounts and to the correct individuals. The types of monitoring programs and procedure sections that describe each program are:

Subject	Begins With Section
Annual Earnings & LPE Monitoring Program	6.5.5
EDP Monitoring Program	6.5.47
Representative Payee Monitoring Program	6.5.70
Aged Monitoring Program	6.5.82
Foreign	6.5.85
Uncashed Check Investigation	6.5.101

6.5.5 Annual Earnings & Last Pre-Retirement Non-Railroad Employment (LPE) Monitoring Program (APOLO)

The vast majority of employee and spouse annuitants requiring work deductions have maximum withholding in place. Annual monitoring of these beneficiaries uses Form RL-19L and RL-19L.1 questionnaires that are only to be returned by the beneficiary if his or her earnings are below a posted threshold amount. The threshold amount is the amount of annual earnings that requires maximum benefit withholding to remain in place for the current year. Individuals in this category whose earnings fall below the threshold amount may be due refunds of work deductions withheld.

A small number of annuitants whose withholding is less than the maximum are required to complete and return Form G-19L questionnaires.

Earnings questionnaires are released to beneficiaries who live within the U.S., U.S. possessions and Canada and who fall into one of the following categories:

A. Employee and spouse annuitants who:

Are under full retirement age and;



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- Based on reported earnings which exceed the applicable exempt amount, have temporary work deductions in place or were in place at the time the annual earnings monitoring program was run; and
 - Are subject to work deductions under the 1974 RR Act; or
 - Are being paid under the O/M and reported earnings exceed the annual earnings exempt amount.
2. Are any age and indicate last pre-retirement employment earnings after the ABD.

B. Non-disabled survivor annuitants who:

1. Are under full retirement age, and
2. Have reported estimated earnings which exceed the applicable exempt amount.

NOTE: The RRB does not monitor annuitants, who live in foreign countries for earnings.

6.5.6 Annual Earnings Monitoring Forms

Annual earnings and LPE monitoring forms are released annually, generally during the month of April.

- Annuitants having both tier 1 and tier 2 work deductions receive Form **RL-19L.1**.
- Annuitants having only LPE work deductions in force receive Form **RL-19L** as a reminder to contact the RRB if a change occurs in LPE work patterns or if LPE earnings drop below an amount that would allow payment of additional benefits.
- Annuitants having LPE work deduction withholding that is less than 50% of their tier 2 receive Form **G-19L** for mandatory completion.

NOTE: RRB uses the SSA earnings information as the official report of earnings to validate and adjust annuity withholding amounts. See EDP Policing in RCM 6.5.47.

6.5.7 Handling of Earnings Monitoring Forms

- A. Field Office Handling - Monitoring forms are returned to field offices and the information is entered into SPEED. Field offices retain the earnings reports until September 30 each year, at which time they are sent to



Operations – Program Support Division (PSD). Completed forms are entered into the Imaging system. Refer to FOM I-15125 for detailed information on SPEED.

- B. Headquarters Handling** - When earnings information is entered into SPEED, action is taken by SPEED or, if SPEED cannot yet complete action on the earnings report, a USTAR (Universal System Tracking and Reporting) referral will be made to RPS-A in retirement cases and SPS in survivor cases. USTAR is an on-line system used to assign and track work and provide information that is necessary in the payment of the claim. Refer to FOM1-1105 for detailed work deduction information and FOM1-15125.40 for actions taken on a completed SPEED report.

Batched earnings reports are submitted in a large plain brown envelope to Operations – Program Support Division (PSD). The front of the envelope will show “Earnings Reports.” NOTE: This action is not required if reports are entered into the Imaging system by field offices.

6.5.47 EDP Policing

The Railroad Retirement Board (RRB) conducts a computer match with the Social Security Administration (SSA) to monitor compliance of the Railroad Retirement Act (RRA) earnings restrictions. The Electronic Data Processing (EDP) program captures earnings obtained through a computer match with SSA. EDP policing is performed twice a year on all retirement and survivor annuitants. Disability annuitants are also monitored to determine their continuing eligibility to receive benefits. Retired employee and spouse annuitants are assessed component work deductions, while disability and survivor annuities are liable for full annuity withholding.

EDP 1st Run - The first earnings request to SSA is generally made in May following the year the earnings are attributed. For example, 2007 earnings are requested in May 2008. The run is conducted when SSA has processed and posted approximately two-thirds of the prior year’s earnings reports. The results are used to assess permanent work deductions.

EDP 2nd Run - The second request for earnings is made during the first few months of the second year after the earnings year, and is made to secure the earnings that had not been reported at the time the first run took place, and to obtain information about corrections that were made to the previous earnings reports. For example, the second run for 2007 earnings is made in early 2009. The results are used to assess further permanent work deductions for the prior year and to project annuitant earnings for the subsequent year. (In prior years this second run was performed in November. Effective



in 2005, RRB began performing the second run in the second year following the earnings year in order to obtain more complete earnings information.)

6.5.47.1 SSA Validation Process

The RRB bases the computer match with SSA on a memorandum of understanding (MOU) that includes strict matching requirements to verify RRB records with those on the SSA database. If matching requirements are not met, the records are identified as “unverified” and the SSA program does not check for earnings.

Each request file sent to SSA results in two returned files: a validation file and an earnings file.

6.5.47.2 SSA Validation File

The SSN validation file is the initial output of the RRB request file being matched against SSA’s database, and verifies the social security numbers of the annuitants prior to running the job that provides the earnings information. The returned validation files are reviewed and analyzed and the records which are unverified or indicate the annuitants are deceased are loaded to the Universal System Tracking and Reporting application (USTAR) for Operations handling. Refer to RCM 6.5.58 for handling instructions. Very few employee records are not validated. The spouse and survivor files generate more non-validated records because of the much higher volume of inconsistent beneficiary names. Since there are no names on the PREH database associated with the IPI social security numbers and, therefore not on the request files sent to SSA, all IPIs are returned as not validated.

6.5.47.3 SSA Earnings and Employer Information File

The second file received from SSA contains the actual earnings information for the annuitants whose social security numbers have been verified. For these validated cases, SSA initiates a request to generate the earnings and employer information file through their VAEARN program. This program automatically takes the **validated** output and queries the earnings file.

Returned earnings files are analyzed and categorized in Policy and Systems and the results are loaded to USTAR.

6.5.48 Categories of Annuitants Selected for EDP Policing

The EDP program was originally established to identify potential Tier 1 work deductions. Elements were later added and the program revised, which resulted in the improvement of RRB detection of LPE employment. Employee and spouse annuitants meeting



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specific criteria are now selected in the EDP program to identify potential LPE (Tier 2 and/or Supplemental annuity) work deductions.

Type of Annuity	Age as of Policing Year
RETIREMENT	
Employee	60+ *
Spouse	60+ *
IPI	15-22**
SURVIVOR	
Survivor children	0-22
All other survivor annuitants	Any age
DISABILITY	
Disabled employee	Any age
Disabled IPI	Any age**
Disabled survivor annuitants	Any age
Disabled widows	Any age

* Employees/Spouses over full retirement age are selected for EDP policing only if their ABD is within 3 years of the policing year for purposes of identifying potential LPE earnings. See RCM 6.5.56 for additional criteria.

**SSA does not provide earnings data for individuals where certain RRB identifying information does not match their records. Currently RRB does not house the names of IPIs on the files transmitted to SSA; therefore, earnings information for IPIs is not obtained through the EDP program.

An evaluation of all "unverified" IPI cases out of the 2004 run for 2003 earnings revealed that **no IPI under age 15 had earnings that exceeded the statutory limit. Based on the results of this review, we revised our policy and IPIs under age 15 are excluded from the monitoring process, effective with EDP policing of 2003 earnings.



6.5.49 SSA Earnings Report Types

SSA earnings files contain detailed information on each earnings report linked to an individual. The report information includes a code which describes the type of earnings. The following chart lists the report type codes and the type of earnings reported.

Code	Represents
A	Current W-2 FICA “Current” means that the W-2 or W-2C was reported and processed in the year it was due EXAMPLE: A W-2 or W-2C for tax year 2007 reported and processed in 2008, would be current
C	Current W-2P (Pension)
D	Current Non-FICA W-2
E	Current Corrected W-2 FICA (W-2C)
F	Current Corrected Non-FICA W-2
G	Current Corrected W-2P (Pension)
H	Informational detail signifying that either no earnings were found in scouting, or there was a change in the railroad segment earnings
I	Delinquent W-2 FICA
L	Delinquent corrected W-2 FICA (W-2C) “Delinquent” means that the W-2 or W-2C was processed in a year subsequent to the year when it was due. EXAMPLES: <ul style="list-style-type: none">• A W-2 or W-2C for tax year 2004 submitted for processing after 2005 is delinquent.• A W-2 or W-2C for tax year 2003 submitted January 15, 2005, is delinquent.
M	Pre-Annual Reporting Quarterly reinstated from Suspense



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Code	Represents
N	Pre-Annual Reporting Self-Employment reinstated from Suspense
O	Tape "SE"
P	Annual Wage Determination transactions processed through the "annual" system are based on a Form SSA 7010-U5, Notice of Determination of FICA Wages or ITEM CORRECTION (ICOR) transaction.
Q	Quarterly Wage Determination Adjustment Wage determination transactions processed through the "quarterly" system are based on a Form SSA 7010-U5, Notice of Determination of FICA Wages or ITEM CORRECTION (ICOR) transaction.
R	Unreported Tips Quarterly "Unreported tips" transactions are based on tip reports filed by an employee through IRS or based on an IRS audit of an employee's tax return.
S	External Adjustment Quarterly "External" means the transaction resulted from an adjustment filed by an employer through IRS or from an IRS audit
T	Unreported Tips Annual
U	IRS Tape Adjustment
W	Quarterly Current
X	Quarterly Delinquent NOTE: "Quarterly" transactions are based on quarterly reports of earnings submitted by private employers on Form 941A prior to 1978 and from quarterly reports of earnings submitted by State and local employers prior to 1981. "Current" means the report was submitted timely. "Delinquent" means the report was submitted after the due date.
Y	Internal Wage Adjustment This is a non-determination wage adjustment processed through the "quarterly" wage system based either on an OEO paper transaction or ITEM CORRECTION (ICOR) transaction.



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Code	Represents
Z	Internal Adjustment Annual This may be either a non-determination wage adjustment processed through the “annual” wage system or an SE adjustment (either determination or non-determination). SE adjustments have an EET field of I or C.
1	Posting Adjustment “Posting adjustment” offset details are created by exact duplicates or W-2Cs processing to offset a previously posted detail.

Earnings reported to SSA are further broken down by the type of employment. Files received from SSA in the EDP program do not include this employment type code. For purposes of applying work deductions to railroad retirement annuities, the employment type is not needed when the earnings report represents FICA earnings.

Many of the earnings report types, particularly for railroad employees, represent non-FICA earnings. For these cases, the employment type code must be secured in order to determine if the earnings should be considered for work deduction purposes. Cases where the total of the FICA earnings do not exceed the yearly exempt amount plus the appropriate tolerance amount, are removed from the earnings files that are loaded to USTAR. These files are downloaded from the mainframe program and Excel spreadsheet listings are provided to Operations for manual handling. The employment type code can be secured by querying DEQY from the SSA database. Refer to RCM 19.2.15 for detailed instructions for accessing a DEQY query.

6.5.50 Universal STAR Referrals (USTAR)

EDP files are compared to output from the previous Annual Earnings Monitoring (APOLO) project and output from queries of the ROC database to identify earnings cases that may have already been handled. The EDP primary files, ROC QMF files and APOLO files are imported into D-Base tables where the data comparison is performed.

Earnings records are loaded to a test environment in USTAR and Operations analysts preview the load and determine the records that are ultimately loaded to production USTAR for examiner handling.



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6.5.50.1 Retirement Referrals

Examiners access USTAR to secure the EDP earnings information. The employee and spouse earnings records are loaded as referrals in one of 6 categories. The categories, descriptions of the cases in each category, and the methodology used to select cases in the category are shown below.

Category	Description	Methodology
EA	Annuitant was part of the Annual Policing Operation (APOLO) file. Tier 1/VDB temporary work deductions were being withheld when the APOLO file was created. EDP earnings amount is less than the calculated APOLO amount. Possible underpayment.	Compare file from annual earnings program with calculated earnings ceiling against EDP file.
EB	Annuitant was part of the APOLO file. Tier 1/VDB temporary work deductions were being withheld when the APOLO file was created. EDP earnings amount is greater than the threshold amount. Possible overpayment. NOTE: The current threshold amounts are \$30,000 (EE) and \$20,640 (MA), and are determined by RBD.	Compare file from annual earnings program with calculated earnings ceiling against EDP file. Comparison amounts are based on "average" monthly work deduction amounts of \$780 (EE) and \$390 (MA). NOTE: Comparison amounts are determined by RBD.
EC	The ABD and the work deduction end date are in the policing year.	Review actual monthly payment data to validate the accuracy of work deductions applied during the policing year. Cases derived through comparing APOLO category of work deduction end date in policing year with EDP file.



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EF	SS earnings on EDP file are greater than the exempt amount by greater than \$300 if FRA or \$200 if less than FRA and no work deductions applied.	Compare EDP file with all other files. This category represents new hits – cases where RRB was unaware of the work and earnings.
EP	SS earnings on EDP file are greater than earnings amount entered in ROC by greater than \$200. Possible overpayment.	Compare the EDP against a query drawn from the ROC database. Since ROC data is retained for only 150 days, the query is processed three times a year to assure all adjustments are included. This category represents rework of earnings activity.

6.5.50.2 Survivor Referrals

EDP monitoring of survivor annuitants is performed to assess permanent work deductions for the reporting year, and to estimate temporary work deductions required for the current and subsequent years. The estimated work deduction withholding is calculated using the annuitant's earnings estimate or projected earnings, based on the previous year's EDP data. EDP earnings reports for Survivor annuitants are loaded to USTAR as category **SPS L**. Some cases on USTAR may include earnings from the two prior years. There is a separate USTAR category (SPS L) for each year.

SPEED processes monthly reinstatements after temporary work deductions have been applied based on the yearly earnings amount entered in SPEED. Referrals are generated to USTAR by SPEED if the system is unable to process a reinstatement. These referrals are loaded to USTAR as category **SPS-S1**.

6.5.50.3 Disability Referrals

EDP disability referrals are made to assist in determining the continuing eligibility of retirement and survivor disability annuitants to benefits. The determination is based on whether the employment is reconcilable with the beneficiary's disability. In addition, the disability annuity of an employee is not payable for any month in which the annuitant earns more than the earnings limit amount, after deducting disability related expenses. Earnings limit amounts can be found in DCM 10.5.4 E2.

The annual earnings test does not apply to a disabled widow(er) under age 60. However, any work performed before age 60 must be considered in determining whether the widow(er) has recovered from the disability. The work and earnings may



demonstrate that the widow(er) is able to perform regular and gainful employment and therefore, is no longer disabled for purposes of receiving a DWIA and/or early Medicare coverage. Refer to DCM 10.4 for more information on substantial gainful employment.

A widow(er) age 60 and over, who was receiving a DWIA prior to age 60, will continue to receive an annuity after age 60. But, the DWIA will be converted to an age annuity. Regular survivor earnings restrictions will apply beginning with the month the widow(er) attains age 60 and ending with the month before attainment of full retirement age (effective January 1, 1983 or later).

Disability earnings reports are loaded to USTAR in the same basic format as earnings reports for retirement cases. However, a link is provided to the employer name and address information obtained from SSA. This information is used in conducting investigations on the employment. Disability earnings cases are loaded with the following USTAR categories:

- EO - occupational disability (2a4) with earnings greater than the yearly exempt amount
- ET - total and permanent disability (2a5) with earnings greater than the yearly exempt amount
- ES - survivor disability with earnings greater than the substantial gainful employment amount
- EB – ABD year equals earnings year

6.5.51 Handling of Referrals

Operations' units (RBD, SBD, and DBD) determine the handling of earnings monitoring cases that have been loaded to USTAR. The following are guidelines for examiners to assist in handling EDP referrals.

6.5.51.1 Survivor Cases

Some portion of the earnings amounts reported by SSA and found on USTAR may include deferred compensation, which may or may not be considered earnings for work deduction purposes. To determine the correct amount of earnings that should be used to assess work deductions, it must first be determined if there is any portion of the earnings which may be attributable to deferred compensation and if so, how much. For detailed information on deferred compensation, refer to FOM1-1110.10.



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Earnings files received from SSA do not provide enough details to determine the type of earnings reported. If the type of earnings shown on USTAR is other than "A", (regular FICA earnings) a DEQY must be requested. Refer to RCM 6.5.49 for the different earnings and employment types.

Examiners should enter the claim number and earnings amount for the annuitant with excess earnings into the SPEED database. Review the SPEED procedure in FOM1-15125 for any questions regarding processing.

6.5.51.2 Retirement Cases

<u>Temporary Work Deductions (TWDs) in force in the earnings year</u>	
Step	Action
<u>1</u>	<p>Determine if annuitant attains FRA in the earnings year. If yes, only the earnings before FRA are used for WD purposes. Review Imaging and USTAR to determine if a final monthly earnings report was submitted and final work deductions were assessed. If yes, notate remarks in USTAR and close the referral. If no, trace on final monthly earnings report and process final work deductions upon receipt.</p> <p>If annuitant is less than FRA, go to step two.</p>
<u>2</u>	<p>Determine if the appropriate TWD(s) for the earnings year were applied based on the EDP earnings shown on STAR.</p> <p>If TWD(s) = PWD(s) notate the remarks section of USTAR.</p> <p>If TWD(s) are not equal to PWD, determine if adjustment is necessary and process accordingly.</p> <p>NOTE: All earnings through the current calendar year must be considered. It may be necessary to secure a DEQY.</p>



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<u>3</u>	Determine if the appropriate TWD(s) is in effect for the current year. If TWD(s) are appropriate, close USTAR. If not, process an award to adjust TWD(s) accordingly.
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<u>Temporary Work Deductions (TWD's) were not in force in the earnings year</u>	
Step	Action
1	<p>Determine if annuitant attains FRA in the earnings year. If yes, only the earnings before FRA are used for WD purposes. Review Imaging and USTAR to determine if a final monthly earnings report was submitted and final work deductions were assessed. If yes, notate remarks in USTAR and close the referral. If no, trace on final monthly earnings report and process final work deductions upon receipt.</p> <p>If annuitant is less than FRA, go to step two.</p>
2	<p>Check for SSA/VDB entitlement.</p> <p>If Tier 1 is reduced for social the entire earnings year and there is no VDB, WD does not apply. Notate the remarks section of USTAR and close out the referral. Otherwise, go to step 3.</p>
3	<p>Release standard EDP email to the Field Office to secure information on the annuitants work status.</p>
4	<p>Upon receipt of earnings information from the Field, adjust the annuity according to standard procedure. See FOM1-1105.</p>



6.5.52 Development Of Excess Earnings For Years Other Than The Calendar Year Being Policed

Check SPEED and/or USTAR for years previous and subsequent to the calendar year being policed to determine if there are additional years for which an overpayment exists. Develop for excess earnings in those years and take action to recover any overpayments for those additional years.

6.5.53 Discrepant Earnings Report

Refer to FOM1-1115.20.4.

6.5.54 Substantial Earnings Reported For Disabled Or Incompetent Annuitant Who Has Representative Payee

Handle any case in which little or no earnings are reported for an annuitant with a representative payee but substantial wages or SEI from SSA are shown on the referral, as follows:

- In a disability case, DBD will make a determination about the beneficiary's recovery from disability and request field determination as to whether or not a new payee is needed.
- In a non-disability case, examiner should request field determination as to whether a new payee is needed.

6.5.55 Referrals For Disability Cases

For any disabled employee under full retirement age, refer the case to the Disability Benefits Division (DBD) to reconcile work/earnings before taking adjudicative action. Refer to DCM 8.2 for earnings monitoring procedure of disability annuities.

6.5.56 Potential LPE Earnings

Another function of the EDP monitoring process includes analyzing the earnings files to identify cases where it appears an employee, spouse or disabled employee may be working in last person employment (LPE).

Criteria for potential LPE earnings for Employees or Spouses:

- The date last worked (DLW) for the non-railroad employer is within 5 years prior to the annuity beginning date (ABD); and



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- The ABD is in the earnings year or in the 2 years prior to the earnings year. For example, for the 2007 earnings year, the ABD should be between 1/1/2005 and 12/31/2007; and
- Total annual earnings must be greater than \$200 if the annuitant is less than full retirement age (FRA)/\$300 if the annuitant is FRA or older; and
- Total annual earnings must be less than the exempt amount applicable to the earnings year.

Criteria for potential LPE earnings for **Disabled Employees**:

- The date last worked (DLW) for the non-railroad employer is within 5 years prior to the annuity beginning date (ABD); and
- The ABD is in the earnings year or in the 2 years prior to the earnings year. For example, for the 2007 earnings year, the ABD should be between 1/1/2005 and 12/31/2007; and
- Total annual earnings must be greater than \$200; and
- Total annual earnings must be less than \$5,000.

The employee and spouse referrals are loaded to USTAR as **RBD LP** and the disability referrals are loaded as **RBD LD**.

6.5.57 Unverified Case Processing

SSN Verification Process - The State Verification and Exchange System (SVES) used by the Social Security Administration (SSA) verifies social security numbers (SSNs) prior to providing earnings information of railroad retirement beneficiaries. SSA utilizes the NUMIDENT, MBR, and SSR databases to determine identity, permitting verification against any of the three to mean positive verification.

Following is an explanation of the SVES SSN Verification Process:

Step 1: The SSN submitted by the RRB is first matched against the NUMIDENT. The record is considered matched if:

- a) The SSN matches, *and*
- b) The surname matches exactly, or the surname submitted by the RRB has either one missing letter, one extra letter, or one transposition of letters; *and*



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- c) The first and middle initial (if provided) match; and
- d) The year of birth on the request is within 1 year prior or 1 year after the year on SSA's records.

Step 2: If the criteria in Step 1 are not met, SVES tries all combinations of the numbers in the SSN. If any of these combinations match the NUMIDENT SVES checks the surname (per the criteria in Step 1.b) and the year of birth, +/- 1 year.

Step 3: If the criteria in Steps 1 or 2 are not met, SVES drops the surname and if the following are an exact match, SVES will return a verified SSN:

- a) The first initial must be an exact match, and
- b) The middle initial must be an exact match, and
- c) There must be an exact match on the month and year of birth.

NOTE: The SSN will be returned as unverified if there is no middle initial on the input, the NUMIDENT, or both the NUMIDENT and the input, and the month and year of birth is not an exact match.

SVES looks for an exact match on the SSN, but does not try the 99 combinations as in Step 2. This feature helps to match female records since it does not require a match on the current surname; i.e., avoids problems with maiden surname and various married surnames. This feature also allows more matches for males and females who have been adopted.

If the record fails all attempts at NUMIDENT verification, the same actions as in Steps 1 and 2 are attempted against the MBR and SSR.

After attempting to match the RRB's SSN against SSAs records per steps 1 through 3, SVES assigns a Verification Code. The following section lists the SSN verification codes, the data element definitions for the codes and the appropriate action needed.

6.5.58 Handling Of Unverified Cases

Records that are not verified from the EDP runs require manual review and must be reconciled. The records are loaded to Universal STAR for handling by Operations' Retirement and Survivor units. Retirement and Survivor cases are loaded under category codes RBD-US and SPS-US, respectively.

The following actions should be taken by Operations when handling cases involving unverified social security numbers:



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VERIFICATION CODE	DEFINITION	ACTION
X	SSN is verified, NUMIDENT indicates individual is deceased.	Verify that RRB has terminated the benefits of the annuitant by checking APPLE that a FNOD has been entered and, if so, that the effective date matches the SSA DOD shown on USTAR. If the annuitant is in current pay status, contact the appropriate field office to investigate the annuitant's death.
1	SSN is an invalid number or not in file.	<p>1. Check the following systems to search for a correct SSN:</p> <ul style="list-style-type: none">• PREH - to determine if the invalid SSN belongs to another RRA annuitant. See if the person with the invalid number might be receiving benefits under one of the other accounts.• APPLE - to check whether one of the applications on record may have the correct SSN.• IMAGING - for correspondence, form letters, applications, medical evidence, award forms, or other documentation that might have a correct SSN.• SSA MBR - on other family members' SSNs obtained from PREH. If they are receiving benefits on any other account number, the BOAN will be shown. <p>2. Request the claim folder, if one was</p>



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		<p>established, to see if there is a different SSN in file than what is on the database.</p> <p>If the correct SSN cannot be determined, send an assignment to the field office to contact the annuitant to request the correct SSN.</p> <p>3. Once the SSN has been reconciled, obtain a NUMIDENT from the SSA database on this number, and, correct the SSN on RRB records as appropriate.</p> <ul style="list-style-type: none"> • Complete a PREH record correction to correct the annuitant's SSN in PREH. • Complete a PC G-607 transaction (RCM 9.4) to correct the Checkwriting Master (DATAQ) and tax accounting system. • Send an e-mail to the Program Support Division-Medicare (PSD-MS) Group Mailbox to complete a MEDCOR transaction to correct the Medicare records.
<p>3</p>	<p>Surname matched, but DOB did not match NUMIDENT. The DOB on the NUMIDENT will be displayed in the SSN Data field.</p>	<p>The SSA DOB will be displayed in USTAR, if it was provided by SSA. The difference in the dates may be due to transposing of numbers and can be easily resolved by reviewing the proof of age on RRB systems or in the file. If the difference cannot be resolved:</p> <ul style="list-style-type: none"> • Compare the probative values (RCM 4.2.60) of the proof(s) on record. RRB records cannot be



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		<p>changed based on SSA records alone. Follow instructions in RCM 4.2.70 for reconciling RRB date of birth with SSA.</p> <ul style="list-style-type: none">• Verify the DOB by notifying the appropriate field office and requesting a corrected proof.• Once the proof is received, review RCM 4.2.67 regarding the finality of the DOB previously established before making any changes to RRB records.• If the DOB needs to be corrected:<ol style="list-style-type: none">1. Enter the new proof on APPLE if it had not been entered by the field office.2. Correct PREH record by doing a PREH record correction.3. Complete a PC G-607 (RCM 9.4) to correct the Checkwriting Master (DATAQ) and tax accounting system.4. An incorrect DOB can also effect Medicare entitlement. Send an e-mail to the Medicare Group Mailbox providing the correct DOB and they will determine whether action should be taken to correct Medicare records. <p>NOTE: If only the DAY of birth is different but the month and year are the same, no action is necessary.</p>
5	Name does not match, e.g. Pam Smith on RRB records/Pam	When the name does not match consider taking the following action(s):



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	<p>Jones on SSA records. DOB was checked.</p>	<ul style="list-style-type: none">• Secure a NUMIDENT from the SSA database. Compare the RRB annuitant's name with the name on the SSA database. The name may have been misspelled, a middle name may have been used instead of a first name, there may be multiple names on the records, or the annuitant married and neglected to notify both agencies of a name change.• Review RRB documents (e.g. application, proofs, etc., to reconcile the difference).• Compare the probative value of the proof(s) on record at RRB and SSA. Consider the proof with the higher weight to be accurate; however, RRB records cannot be changed based on SSA records. Unless it is apparent that the difference is due to a misspelling and can be resolved by reviewing file documentation, investigate the discrepancy by requesting that the field office contact the beneficiary to inquire whether the spouse or survivor annuitant married, remarried, or divorced. If the annuitant chooses to go by a different name, inform him or her of the problems that may occur with agencies having conflicting information. No further action can be taken unless the annuitant requests the name on record be changed.• If it is determined that RRB's records show an incorrect name and the correct name is proven, take the following actions:
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		<ol style="list-style-type: none"> 1. Enter any corrected proofs received on APPLE if not already entered by the field office. 2. If the employee's name needs to be changed perform a record correction on PREH (the 3000 record). If any other beneficiary's name needs to be changed, complete a G-59 (RCM 9.4). 3. Complete a PC G-607 (RCM 9.4) to correct the Checkwriting Master (DATAQ) and the tax accounting system 4. Send an e-mail to the Medicare Group Mailbox, who will determine if action is needed to correct Medicare records
Blank	Records failing initial edit checks and not making it as far as the verification process.	The majority of cases that fail initial edit checks and do not make it as far as the verification process involve railroad beneficiaries whose names are not listed in the PREH database. Check PREH to see if the applicant's name is on the Family Group Menu screen. If the name is missing no action is needed to correct the record. If it does not involve a missing name, request a NUMIDENT on the SSN and compare the SSN, DOB, and NAME with the same information on RRB records. Take appropriate action as indicated above if there is a discrepancy.

After reviewing and reconciling the unverified record, request a DEQY to secure earnings for the earnings year or earlier, beginning with the annuitant's ABD/OBD year. Retirement examiners should always consider LPE earnings as well as excess earnings over the exempt amounts.



6.5.70 Representative Payee Monitoring

The Board is responsible not only for selecting a representative payee but also for monitoring the payee to determine if the annuitant's rights are being protected.

Upon selection by the Board, the representative payee assumes a continuing responsibility to keep informed of the annuitant's current and future needs, to spend benefits in a reasonable and prudent manner and to periodically account for the use of railroad retirement benefits. The payee also agrees to inform the Board of any changes in the annuitant's status, including any custody changes.

6.5.71 Program Prior To 1973

Questionnaires G-99, G-99a (white) and G-99a (yellow) were released to court appointed payees every three years and Board selected payees every two years. Returned questionnaires were handled by the disability rating section.

6.5.72 1973 Program

The field sampled 500 court appointed and 500 Board appointed representative payees. Contact representatives completed form T-99 recommending retention or replacement of the representative payee. The T-99's were forwarded to the regional offices for review and reviewed forms were then sent to Methods and Procedures.

6.5.73 1975 Program

Methods and Procedures provided the field offices with identification labels, control cards, and list of all Board and court appointed representative payees in their territory with claim number digits ending in 00 through 32.

Contact representatives completed form G-99a recommending retention or replacement of the representative payee and forwarded the G-99a to the regional office for review.

6.5.74 1976 Program

Beginning in 1976, full responsibility for representative payee monitoring was transferred to the field. The field offices created representative payee files and monitored all cases not selected during the 1975 program.



6.5.75 1977 Through 1980 Programs

The field selected and monitored representative payees throughout these years, monitoring one third of the Board and court appointed payees each year.

6.5.76 1981 Through 1984 Programs

Representative payee monitoring was suspended for these years pending the results of a study conducted by the Social Security Administration (SSA) of its monitoring program and a court decision concerning SSA's program.

Field offices requested representative payee accounting during these years only when complaints were received.

6.5.77 1985 Program

During the 1985 monitoring program 25,540 Representative Payee Reports, form G-99a, were released from headquarters to all representative payees in current pay status.

Completed forms were returned to field offices for review. In suspect cases, the field office personnel conducted personal interviews with annuitants, representative payees and custodians (if any) in order to obtain more detailed information for completion of the Representative Payee Evaluation Report, form G-99c.

Headquarters reviewed a random sample of 1500 G-99a's both to evaluate the representative payee's performance and to determine if any single category of payee demonstrated "defects" involving waste, fraud or abuse.

The sample indicated that the field's representative payee selections showed good judgment and no particular group of payees warranted special future monitoring.

6.5.78 1987 Program

The 1987 program initiated the first year of a triennial monitoring program for all Board selected and court appointed representative payees.

Each year one third of these representative payees would be selected according to the last two digits of the claim number.

In 1987, 5,898 board and court appointed representative payees for account numbers ending with digits 01-33 were selected. Only 1.5% of the representative payees were changed as a result of the monitoring.



In 1988 6,058 board and court appointed representative payees for account numbers ending with digits 34-66 were selected for monitoring.

In 1989 6,077 board and court appointed representative payees for account numbers ending with digits 67-00 were selected for monitoring.

In 1990, the cycle will begin again with digits 01-33.

6.5.79 Parental Custody Verification

During Social Security's 1981 study of their representative payee monitoring program, they identified parent for child(ren) representative payees as a category of payees with a high incidence of waste, fraud and abuse.

This monitoring program does not require a full accounting of benefits - only verification that the child remains in the parents custody.

We will conduct a monitoring of all parent for child(ren) representative payees once every three years, beginning in 1989.

6.5.80 Form G-99d

The Parental Custody Verification Report, form G-99d, asks if the child lives with the parent. If the answer is "YES", the parent signs and returns the form. If the answer is "NO", additional questions of where the child lives, how often the parent visits, and who is responsible for making decisions concerning the child, are asked.

Custody is assumed if the child lives with the parent. Custody can be deemed if the child lives elsewhere AND the parent retains responsibility for making decisions concerning the child.

The most common reason for the child to live elsewhere is when the child is institutionalized in a school or hospital.

6.5.81 1989 Program

In October 1989, approximately 6,000 G-99d's will be released from headquarters and returned to the appropriate field office for review. Field offices will be provided with control lists of annuitants in their territory. Field personnel will review returned reports, conduct any necessary investigations, trace outstanding forms and prepare reports.



6.5.82 Aged Monitoring

Aged Monitoring is conducted to ensure that a "high risk" population is alive and able to handle their own benefits.

The selected population for the 1987, 1990 and 1991 monitoring programs consisted of annuitants who were in current pay, did not have a representative payee, did not attain age 100 within 6 months of a certain date, were at least age 90 in the previous calendar year and either were not covered by or did not use Medicare during the previous calendar year.

The selected population for the 1992 monitoring program remained the same except that the monitoring age was lowered from age 90 to 89. For the 1993 monitoring program, the age was lowered from 89 to 85.

For the 1994 monitoring program, the age was lowered from 85 to 78. Also, for the first time, the 1994 monitoring program did not monitor any annuitant that was selected for monitoring in the previous year.

In August 1994, a study group was established to conduct a comprehensive review of the aged monitoring program to determine its current effectiveness and future direction. As a result of this study, some significant changes were made in the 1995 monitoring program as shown below. Further analysis will be done once the results of the 1995 program are received.

- The monitoring age was lowered from 78 to 75;
- Annuitants selected for monitoring in the 1994 program were not selected for the 1995 program;
- Annuitants with social security benefit entitlement were excluded;
- If more than one annuitant in pay status was living in the same household, they were excluded;
- A random five percent of the selected annuitants were monitored by personal visit or telephone rather than by the monitoring questionnaire, Form G-19c; and
- A test of the feasibility of assigning individuals with addresses in Mexico to the West Covina, California field office will be done.



Based on the analysis of the results of the 1995 aged monitoring program, it was determined that no changes in the 1996 program will be made. The selection criteria will be comparable, the monitoring age will continue to be age 75, and those annuitants monitored in 1995 will not be included in the 1996 program. The results of the 1996 program will again be reviewed to determine the continuing effectiveness of the aged monitoring program.

Those annuitants age 105 and older are personally visited by field office representatives instead of receiving a monitoring questionnaire. The age 105 and older annuitants are visited each year.

6.5.83 Form G-19c

Form G-19c has been designed to identify annuitants whose death has not been reported to the Board or who require a representative payee. General questions are asked whose answers should be known to the annuitant and be easily verified on DATA-Q.

6.5.84 Annual Programs

Because of the success of the 1987 monitoring program in discovering unreported deaths and the need for representative payees, beginning in 1990 an annual monitoring program was initiated. The annual aged monitoring program results in unreported deaths being discovered earlier thereby reducing the amount of erroneous payments made. This monitoring program is conducted by the Office of Programs, Assessment and Training, Program Evaluation Section.

6.5.85 Foreign Monitoring

Periodically, SSA invites the RRB to submit a listing of beneficiaries living in a specific foreign country where they are performing an itinerant service trip. If the RRB has beneficiaries in pay status residing in that country, the RRB provides SSA with their names and addresses. The SSA representative visits the addresses on record to determine if the beneficiaries are alive and provides RRB with the result of their visits. There is no other monitoring of beneficiaries living in foreign countries.

6.5.86 Disability Monitoring Section 2(e) 4 Refunds

At the end of the current calendar year, P&S - PAS requests a listing for employee disability cases in the following categories:

1. Cases which



- were in suspense in December of the preceding year, and
 - the suspension code was "09", and
 - the annuitant was under full retirement age in some months of the current calendar year.
2. Cases which were suspended with code "09" in the current calendar year.
 3. Cases which were coded "09" for call-up on the first of the year following the current year.

6.5.87 Release Of G-19's (Annual Earnings Monitoring Questionnaire)

Policy & Systems releases all Forms G-19 and field offices receive and trace on the return of the forms. Refer to FOM-I-1115.35 for details regarding this program.

6.5.95 CMS Death Match

The Railroad Retirement Board (RRB) receives a weekly file containing reports of death from the Centers for Medicare & Medicaid Services (CMS). The file is compared to RRB's active beneficiary rolls. A referral is produced when a match is found. Per our data exchange agreement, RRB must independently verify the date of death (DOD) before we take action to terminate Railroad Retirement benefits.

6.5.100 SSA Death Match

The SSA Death Match is a monthly computer match between SSA's Volume Death Master File (VDMAS) and RRB's master benefit payment file (CHICO). The death master file is received from Social Security Administration via Connect: Direct to RRB's mainframe. When a match is found, the system then identifies the status of the payments. Approximately 350 death reports are matched to RRB beneficiaries each month. The primary purpose of this match is to identify cases where benefits are being paid after an annuitant's death. The secondary purpose is the detection of fraud and abuse in the RRB's benefit payment system.

6.5.100.1 Background

The SSA Death Match operation has been in existence for many years, however, the process was first automated in July 2003. The automated system requires much less human intervention and reduces the amount of overpayments made to deceased



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employees. The Death Match system consists of three programs, and a small database.

- Program R26525 – Matching
- Program R26526 – Creation of RL-75 Letters
- Program R26527 – Suspension/Tracking
- DEDU001 –On-Line Deletion

6.5.100.2 Processing

A. Matching Program (R26525) – There are 3 steps involved in this program:

Step	Action
1	RRB receives the Volume Death Master File (OLBG.NDI.RRB.VDMAS.R255.RYYMMDD) from SSA on or about the 3 rd business day of the month.
2	The file does nothing for approximately 2 weeks. In most cases the RRB is notified of death at or about the same time as SSA. Waiting to run the program for a couple weeks allows our cases to be suspended or terminated in already established manners. It also minimizes the chances of sending death notifications out to families that have already informed the RRB of the annuitant's death.
3	The matching program is run around the 18 th of every month. This program reads the death match file from SSA and matches it to PREH using Social Security numbers, dates of birth and, in some cases, names. In 90% of the cases a match to PREH will <u>not</u> be found. In the cases that a match <u>is</u> found, the program will determine which cases are still in current pay status (CPS) and which are in suspended or terminated status. Claim numbers of the terminated and suspended cases will be listed on a report. In CPS cases, the program checks to see if there was a prior erroneous notification of death. In most cases, none are detected. For those that are detected, the program will list their claim numbers on a report. For the CPS cases with no prior erroneous notification of death, a record is written to the SSA/RRB Death Match tracking database called



DEREC. The database record is linked to a database index based on the date of the notification letter. This index is referenced in program R26527. A flat file (P.RSP.R2525DD2.Y2K) is created and passed to program R26526.
--

B. Letter Creation Program (R26526)

This program runs directly after R26525. It creates the RL-75 letters that are sent to “The Family, or Friends of Family” of the alleged deceased annuitant. It also creates an image of the letter for future reference and for viewing by field offices. Approximately 150 letters are released each month.

C. Suspension/Tracking Program (R26527)

This program is run each month just prior to the final DAISY run. The main purpose of this program is to search for records that indicate an RL-75 letter was sent over 30 days prior. When a record is found that is 30 days old with no response received indicating the annuitant is alive, the program refers to the PREH database. For cases where the annuitant is still in CPS, a termination/suspension record is created and run through DAISY to suspend the record on CHICO/PREH/TAX using FAST S/T processing. The case is then removed from the date of notification index and placed on the date of suspension index. The date of notification index is searched to identify records that have been in suspense for more than 60 days. A termination referral is created for these records. Every 30 days thereafter, a referral is released and the investigation continues until a record is in the index for 150 days (180 days after letter released). One final notice is issued and the record is then deleted from the index.

D. On-Line Deletion Program (DEDU001)

This program creates a database screen that allows a user to access the SSA Death Match record through RRAPID by entering an annuitant’s RRB claim number. The purpose of this on-line program is to remove records from the index used to suspend records. By choosing “**17 DTHMATCH**” on the RRAPID main menu a user can report an erroneous death report and prevent an annuitant from being erroneously suspended.

6.5.100.3 On-Line Outputs – Matching Program

1. File that is sent to the letter printing program.
2. P.RSP.R2525DD2 – Letter File listing – a listing of all the annuitants for whom letters are prepared.
3. P.RSP.R2525DD4 – Dual RR Cases / Suspected Erroneous Death / Code 93 Suspension Cases listing:



- a. Cases that have been identified as being dual annuitants.
 - b. Cases that have been identified as being possible erroneous reports of death. This involves a payment action after the date of death reported by SSA, such as a previous termination and subsequent termination.
 - c. Cases that are suspension 93 situations. These involve cases that are suspended due to the death of a representative-payee. The case is treated as any other suspension.
4. P.RSP.R2525DD5 – Records SSA has deleted– Cases that are identified on SSA’s file with an indication that they should be deleted from lists they had previously sent.
 5. P.RSP.R2525DD7 – Terminated Cases listing – As a precaution, a listing of all matched cases that were already terminated on PREH are listed on a referral. If desired, these can be checked against PREH or DATAQ.
 6. P.RSP.R2525.DD8 – Letter Creation File listing – This is a list of all records for which RL-75 letters are prepared.

6.5.100.4 RL-75 Letters

All annuitants as identified and explained above will have the RL-75 letter printed to be sent to “The Family, or Friends of Family” of the reported deceased annuitant. The letters have the following business day’s date printed on the letter. A file of the letters is also sent to Imaging for placement in the Imaging database. The printed letters are delivered to the mailroom with the specially stamped return envelopes. The RL-75 letters can also be manually prepared through RRAILS. All the cases for which letters were mechanically prepared and released the previous month and are still in current pay status on PREH are suspended.

6.5.100.5 Suspension/Tracking Program

As described in RCM 6.5.100.2, the suspension program, like the match program, checks for cases that are on the FAST S/T database waiting for the actions to be run in that day’s processing. The suspension codes used are “miscellaneous” codes used for the particular type of annuitant:

Employee = 06

Spouse = 56



Survivor = 16

Suspension Program On-Line Outputs – There are numerous reports that are created in the suspension program. They are very useful and are an integral part of the automated death match program. The following list briefly describes these reports.

- P.RSP.2527DD1 – Suspension Report

This report lists all the cases for which the program has created a FAST suspension. An estimate of outstanding payments for each case is provided. Totals of amounts “saved” by the suspension action and totals of the amounts outstanding, however, are the amounts of the current monthly annuity rates multiplied by the number of months between the dates of death and the suspensions. If the annuity rate had changed at some point during this period of time, the outstanding payment amount may not be completely accurate.

- P.RSP.2527DD2 – On-FAST Report referral listing

This report lists the cases for which the program tried to create a FAST suspension, but found that another system had already placed one on the FAST database.

- P.RSP.2527DD3 – Already Suspended Report

This report lists all the cases that PREH indicates are already suspended. These cases remain on the SSA Death Match database for further tracking purposes.

- P.RSP.2527DD4 – 90 Day Suspension Report

This report lists all the death match cases that have been in suspension status for over 90 days.

- P.RSP.2527DD5 – Suspension Cases to be Purged in 30 Days

This report lists all the suspended death match cases that will be purged in 30 days.

- P.RSP.2527DD6 – Purge Report

This report lists the suspended cases that have been purged from the death match database.

- P.RSP.2527DD7 – Notice of Erroneous Report of Death

This report lists all the death match cases that have been suspended, but are now back in current pay status.



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- P.RSP.2527DD8–Termination Report

This report lists all the death match cases that were terminated by other systems within the initial, approximately 30-day period after a confirmation letter was released. All of these cases have been purged from the death match database.

- P.RSP.2527DD9 – 180 Day Suspension Report

This report lists the suspended death match cases that have been in suspense status for over 150 days.

- P.RSP.2527D10 – Bad FAST Action Report

This report lists the current pay cases that the suspension program failed to suspend.

- P.RSP.2527D11 – Cases Purged from Erroneous Notice of Death Index

After residing on the IX-ERRNOTIC for over 90 days the erroneous notice of death cases are purged from the database. This report lists these cases.

- P.RSP.2527D12 – No Match Report

This is the report that lists the cases for which the suspension program failed to find a matched record on PREH.

- P.RSP.2527D13 – Legal Process Cases

Whenever a legal process case is discovered it will be listed on this report for manual handling and tracking. The record is then purged from the SSA Death Match database.

- P.RSP.2527D14 – Late Terminations Report

This report lists cases from the suspension/termination index which are now terminated, but cannot be purged because the beneficiary was entitled to a benefit on another claim number that is not terminated (Dual cases).

6.5.100.6 SSA Death Match Responsibilities

A. Bureau of Information Services (BIS) is responsible for:

1. Making sure the VDMAS file is received every month from SSA via telephone lines;



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2. Making sure the SSA/RRB Death Match system is run on schedule every month;
 3. Notifying A&T-PES and P&S-PAS when there is a delay in the scheduled run;
 4. Assuring that the automated SSA/RRB Death Match program has successfully completed its monthly tasks:
 - a. RL-75 letters are printed correctly and have been delivered to PES;
 - b. Assuring that suspensions are correctly processed through FAST S/T;
 - c. Trouble shooting when a system failure occurs, taking corrective action to address the immediate problem and making changes, if necessary, to prevent the problem from reoccurring in future matches;
 5. Notifying P&S-PAS when a program change is needed.
- B. Assessment & Training (A&T)/Program Evaluation Section (PES) is responsible for:
1. Downloading the monthly Death Match letter file from TSO and converting it to a PC format report;
 2. Making sure that the RL-75 letters generated by the program are received and are properly delivered to the Mailroom for folding and delivery on a timely basis;
 3. Handling the responses to the RL-75 letters by recording them on tracking forms; this would involve terminations, developments with the field or the annuitant; taking appropriate action if the response indicates the report of death is erroneous;
 4. Preparing a monthly report of the automated suspensions as well as the cases that have been manually suspended or terminated as a result of the responses received;
 5. Verifying that bills received for the SSA Death Match service are appropriate and referring them to RMC for appropriate handling.
- C. Policy & Systems – Payment Analysis Section (P&S-PAS) is responsible for:
1. Developing, clarifying and revising procedures for SSA Death Match duties performed by PES;
 2. Contacting SSA in the event that the VDMAS is not received;



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3. Assisting PES in determining the cause and extent of any problems reported by PES;
4. Coordinating with BIS to determine the cause and solution to any problems reported by PES, and to determine whether program changes and re-runs are required; and
5. Revising procedure required by the solution to problems discovered, and handling changes required by any systems enhancements suggested by PES.

D. Supply and Service - Mailroom is responsible for:

1. Stuffing and mailing RL-75 letters that have been delivered by PES.

E. Field Offices are responsible for:

1. Referring telephone calls with references to the RL-75 letter to the PES personnel identified on the letter. Field office staff can view the letter in the Imaging system the day after it is released.
2. In the event an erroneous report of death is received, field offices are instructed to notify PES prior to any reinstatement action to reconcile the discrepant information.
3. NOTE: Field office involvement should be requested only as a last resort, when all attempts by PES to verify the information prove to be unsuccessful.

6.5.100.7 Screening SSA Death Match Referrals

Program Evaluation Section (PES) of Assessment & Training (A&T) creates monthly benchmark reports of the RL-75 letters released through the automated death match program. These reports are sent to the Death Match Section (DMS) in PES the middle of every month. The reports are in the form of spreadsheets and are e-mailed to the Investigation Technicians to begin the process of investigating and following up on the records that were found in the death match, and resulted in the release of the RL-75 letters.

The following sections explain the investigation process handled by the Death Match Section which can be used for training and reference purposes. While the material does not cover every situation that may be encountered, it does provide the user with basic instructions.

Step	Action
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1	About the middle of the month check your Outlook incoming mail for SSA Death Match Reports. Print a copy of the report.
2	<p>Complete Form G-609 for each case on the report that shows the RL-75 letter released. Form G-609's should be printed on color paper depending on the month the death match is processed:</p> <p style="padding-left: 40px;">January /July – Green</p> <p style="padding-left: 40px;">February/August – Pink</p> <p style="padding-left: 40px;">March/September – Blue</p> <p style="padding-left: 40px;">April/October – Orange</p> <p style="padding-left: 40px;">May/November – White</p> <p style="padding-left: 40px;">June/December – Yellow</p> <p>For “Type of Match” enter “SSA/CHICO Benchmark” and for “Date of Match” enter the current month.</p>

6.5.100.8 Handling Returned Death Match Letters

The actions that you should take in response to the returned RL-75 letter vary, depending on the response shown on the letter. The table below lists the most common type of responses you will receive. Refer to your supervisor if the returned RL-75 letter has a response that is NOT listed below.

RL-75 Response	Action
Letter Confirming	Check status on DataQ (see RCM 9.5.9 and RCM 9.5.10 for detailed instructions on the DataQ system).



DOD	<p>If status is:</p> <ul style="list-style-type: none">• <u>TERM w/EFF DT or NO APPL</u> – Match with tracking form. Place in tray labeled “Cases found Terminated during Investigation.”• <u>TERM w/o EFF DT</u> – Match with tracking form. Enter the date of death by doing the following:<ol style="list-style-type: none">1. Access the beneficiary’s DataQ record by entering the deceased annuitant’s claim number.2. Enter the DOD on the S/T screen by pressing the <u>F7</u> key; type the Unit ID <u>2372</u>; type the appropriate termination code*; and the effective date as shown on the letter; press <u>F2</u> key twice and print the screen.<p>* Term codes: 01-Employees, 51-Spouses, 41-Survivors. For a complete list of appropriate S/T codes you can also refer to RCM 9.7.14B.</p>• <u>IN FRC or SUSP</u> – Match with tracking form. Complete a First Notice of Death using APPLE which is #34 on your mainframe RRAPID menu (see FOM1-1581.12 for APPLE instructions). Print and attach all screen printouts. Calculate overpayment (O/P) by multiplying payments that should not have been released by the monthly check amount shown on DataQ. Fill in O/P amounts on tracking form. Place in tray labeled “Cases Terminated as a result of Our Investigation – O/P Calculated.”
Erroneous DOD (Annuitant is NOT Deceased)	<p>If the death match report is erroneous, check status on DataQ. If payment status is:</p> <ul style="list-style-type: none">• <u>IN FRC</u> – The case must be removed from the automated death match system by using the on-line deletion program. The on-line program is <i>DTHMATCH</i> (#17) on the TPX RRAPID menu. Type the prefix and claim number and use the tab key until you get to “Erroneous Notice of Death.”



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	<p>Type a “Y” in the space immediately following this then press F6 twice. Attach all screen prints to tracking form and place in tray labeled “Erroneous Report of Death.”</p> <ul style="list-style-type: none">• IN SUSP or TERM – Remove the case from the automated death match system by using the on-line deletion program exactly as explained above. Send an e-mail to Bertha Atwater in SBD to reverse the termination and/or suspension and reinstate benefits. Attach screen prints of all your actions to tracking form and place in tray labeled “Erroneous Report of Death.”
Discrepant DOD Letter (Annuity is Deceased but DOD Does Not Match)	<p>Match RL-75 letter to tracking form. If death certificate received terminate the benefits using the DOD shown on the death certificate. If no death certificate received contact the informant to confirm the DOD. If the DOD is still discrepant, suspend the benefits using the DOD from the death match list; e-mail the annuitant’s local field office to request follow-up investigation. Attach e-mail and DataQ to tracking form and place in tray labeled “Discrepant DOD pending.”</p>
Undeliverable Letter	<p>Match the returned RL-75 letter to the tracking form. Suspend benefit using the DOD from the death match list. Attach the DataQ print to the tracking form and place in tray labeled “Suspended Cases Pending 30 days.”</p>
RL-75 Enclosures	<p>Occasionally an informant will enclose a returned check and/or a death certificate with the RL-75 letter. All checks should be placed in the box labeled “Checks” on the 11th floor NW. All death certificates should be sent to SBD 10th floor – Attn: Valerie Allen.</p>
Claim # Not Found on DataQ	<p>Check PREH or FSIS (on RRAPID) to verify status and handle according to instructions above.</p>



6.5.100.9 Tracing Pending Cases

Several times per month cases that are pending further investigation should be reviewed by checking to see if the payment status has changed on DataQ. Although the RL-75 letters provide the telephone number to the PES Death Match Section (DMS) investigator responsible for the death match investigation, callers may call their local field offices instead. In the FOM 145.10.3, field office representatives are instructed to refer the calls to the DMS section. However, in the event that a notice of death or erroneous notice of death is not received in the death match section, periodically checking the status of an annuitant's benefits will prevent unnecessary follow-up work.

6.5.100.10 Handling "Pending Suspended Cases"

On or about the 21st of every month the cases that are pending suspension should be sorted according to the current status on DataQ.

A. 30-Day Suspended Cases – Check status of annuity on DataQ. If status is:

- TERM – Place case in tray labeled "Cases Found Terminated During Investigation"
- SUSP with DOD provided - terminate the monthly benefits on APPLE, calculate the overpayment, and complete the G 609 tracking form. Place the file in tray labeled "Cases Terminated as a Result of Investigation – O/P Calculated."
- SUSP without DOD provided - place the file in the tray labeled "Suspended Cases – Pending 60 Days."

B. 60-Day Suspended Cases – If no DOD received and no erroneous report of death indicated, terminate benefits by entering a First Notice of Death (FNOD) on APPLE; calculate the overpayment, and place in tray labeled "Cases Terminated as the Result of Investigation – O/P Calculated."

6.5.100.11 Preparing "SSA Death Match" Monthly Reports

There are 2 reports you will need to complete each month. The first one is the SSA Death Match Monthly Report and is for entering details of cases terminated in the course of the month. This report is not sent to anyone. It is for your own tracking purposes and filed away at the end of the month. This section explains how to complete this report. The second report is sent to your supervisor and is basically the totals from the first report and also includes totals from the CMS death matches. Instructions for completing this report can be found in RCM 6.5.100.12.



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Step	Action																								
1	Remove tracking forms and any attachments from tray labeled "Cases Terminated as the Result of Investigation – O/P Calculated"																								
2	From your PC double click on "My Computer"																								
3	Double click on "Atcommon on 'Share' (P)"																								
4	Double click Access File (KeyImage) "SSA Death Match 2000"																								
5	Click on "Tables" located in left bar																								
6	Double click on "SSA Death Match 2000"																								
7	Highlight the entire table and hit "Delete" key																								
8	<p data-bbox="323 1255 1393 1325">Enter information from G-609 tracking form as shown below. Use "Tab" key after all entries.</p> <table border="1" data-bbox="323 1461 1398 1856"> <thead> <tr> <th data-bbox="323 1461 427 1593">ID</th> <th data-bbox="427 1461 573 1593">ItemNo</th> <th data-bbox="573 1461 719 1593">Match Ind</th> <th data-bbox="719 1461 865 1593">Trans Date</th> <th data-bbox="865 1461 976 1593">Sym Pfx</th> <th data-bbox="976 1461 1102 1593">ClmNo</th> <th data-bbox="1102 1461 1252 1593">ChkAmt1</th> <th data-bbox="1252 1461 1398 1593">O/SChk1</th> </tr> </thead> <tbody> <tr> <td data-bbox="323 1593 427 1726">(tab)</td> <td data-bbox="427 1593 573 1726">1</td> <td data-bbox="573 1593 719 1726">S(SSA)</td> <td data-bbox="719 1593 865 1726">Last Day*</td> <td data-bbox="865 1593 976 1726">A,MA, etc</td> <td data-bbox="976 1593 1102 1726">000000</td> <td data-bbox="1102 1593 1252 1726">\$0.00</td> <td data-bbox="1252 1593 1398 1726"># of O/P</td> </tr> <tr> <td data-bbox="323 1726 427 1856">Chk Amt2</td> <td data-bbox="427 1726 573 1856">O/SChk2</td> <td data-bbox="573 1726 719 1856">ChkAmt3</td> <td data-bbox="719 1726 865 1856">O/SChk3</td> <td data-bbox="865 1726 976 1856">Tot Amt</td> <td data-bbox="976 1726 1102 1856">Ttl RcvrP</td> <td data-bbox="1102 1726 1252 1856">DO Term</td> <td data-bbox="1252 1726 1398 1856">DO Death</td> </tr> </tbody> </table>	ID	ItemNo	Match Ind	Trans Date	Sym Pfx	ClmNo	ChkAmt1	O/SChk1	(tab)	1	S(SSA)	Last Day*	A,MA, etc	000000	\$0.00	# of O/P	Chk Amt2	O/SChk2	ChkAmt3	O/SChk3	Tot Amt	Ttl RcvrP	DO Term	DO Death
ID	ItemNo	Match Ind	Trans Date	Sym Pfx	ClmNo	ChkAmt1	O/SChk1																		
(tab)	1	S(SSA)	Last Day*	A,MA, etc	000000	\$0.00	# of O/P																		
Chk Amt2	O/SChk2	ChkAmt3	O/SChk3	Tot Amt	Ttl RcvrP	DO Term	DO Death																		



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	\$0.00	# of O/P	\$0.00	# of O/P	\$0.00	\$0.00	1 st Day**	0/0/00
9	After all tracking forms have been entered click the "X" in the upper right corner on the "Death Match 2000: Table" bar (not the Microsoft access bar)							
10	Click "Reports" on the left bar							
11	Double click "SSA Death Match 2000"							
12	Click "Print"							
13	Attach copy of report to tracking forms							
14	Exit							

*Enter last day of current month

**Enter the 1st day of current month

After the table is completed go to "SSA Death Match FY-(current year) All New" and complete the SSA Death Match Counts report.

6.5.100.12 A&T Production Report from Death Match Cases (SSA & CMS)

As explained in the previous section, a report is prepared which combines the death match results from the SSA and CMS death matches. The following table explains the steps involved in preparing this report.

Step	Action
1	Double click on desktop icon "My Network Places".



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2	Double click on "Entire Network".
3	Click on "Entire Contents".
4	Double click on "Microsoft Windows Network".
5	Double click on "USRRB".
6	Scroll down and double click on "Share".
7	Scroll down and double click on "Workload Reporting".
8	Double click on "OP Production Reports FY04-07".
9	Double click on "A&T Report FY04-FY07.xls". If <i>update</i> box appears, select "Update". The Death Match table should open.
10	Enter data from G-609 tracking form.
11	Combine receipts from SSA and CMS Death Match Count Reports. Enter total in "Receipts" column.
12	Combine "Subtotal of Cases Completed (Dispositions)" from SSA and CMS Death Match Counts reports. Enter total in "Production" column.
13	Combine "On Hand Subtotal (Additional Handling Required)" from SSA and CMS Death Match Counts reports. Enter total in "Ending Balance" column.
14	Print 3 copies of completed table. File one with the SSA Tracking Forms, one with the CMS Tracking Forms, and deliver one to your supervisor.



6.5.100.13 Representative Payee Needed

An individual entitled to, or receiving, railroad retirement benefits, is presumed to be competent until information to the contrary is received. If, during the investigation, you are informed that the annuitant is not deceased and needs a representative payee DO NOT suspend or terminate benefits. Take the following actions:

1. Remove the case from the automated death match system by using the on-line deletion program (#17-DTHMATCH on RRAPID main menu). If benefits are already suspended follow the instructions in RCM 6.5.100.8.
2. Contact the appropriate field office by sending an E-mail to the Field Office's mailbox and request an investigation.
3. Provide the field office with the name and telephone number of the informant.
4. Document the information on the tracking form. No further action is necessary.

6.5.100.14 Fraud

If, during the investigation process, you run into a case where you suspect fraud, it is important that you refer the case to the Office of the Inspector General (OIG). If you are unsure of whether or not a case should be referred to the OIG, see your supervisor. Also, refer to RCM 6.6.190 for more detailed information on handling suspected cases of Fraud.

6.5.101 Uncashed Check Investigation

From 1964 to 1981, the Treasury Department furnished a punch card record of each uncashed check issued to RRB beneficiaries in the second year preceding the year in which the investigation was being conducted. The purpose in getting this record was to determine by folder examination, correspondence, or personal contact, the reason that the checks had not been cashed and to reimburse the Railroad Retirement Account when necessary.

The 1983 RR Amendments to the Railroad Retirement Act included a provision that called for the Treasury Department to identify and cancel railroad retirement benefit checks that were not presented for payment by the end of the sixth month after issue. Treasury's Administrative Cancellation program provides this funds transfer information to the bureau of fiscal operations each month. The monthly credits reimburse the railroad retirement accounts for uncashed checks (including interest) reduced by checks that have been cashed after credit was returned to the Railroad Retirement Board.



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In June 1990 uncashed check investigations were resumed with the implementation of the uncashed checks system (UCS). Each month, the latest administrative cancellation tape from Treasury is processed through UCS. The administrative cancellation tape contains notice of uncashed checks (checks which remain uncashed six months after issue) as well as reversal information for checks previously reported as uncashed. Reversals include reports that a check was subsequently cashed, reclaimed, returned to Treasury (cancelled) or reported as not received, lost or stolen. The uncashed checks system produces three types of output: RL-81 letters to annuitants, G-236 requests for field office investigations and G-608 folder referrals. Samples of these output forms are located in RCM 6.5 Exhibits 6, 7 and 8.

The purposes of the letters and field office investigations are:

- to advise annuitants that checks must be cashed within one year of the issue date or, if issued before October 1, 1989, by September 30, 1990;
- to encourage annuitants who regularly do not cash their checks to enroll in the direct deposit program; EFT payments are not subject to the limited payability provisions;
- to secure earlier notification of annuitant deaths, changes of address, or situations requiring representative payee development;
- to reduce the possibility of endorsement of checks by persons other than those to whom the checks are payable.

Appendices

Appendix A - Previous EDP Policing Program

I. Background - The previous EDP policing program was used for years before 1978. It served the following functions:

- Identifying annuitants who may not be complying with earnings and employment restrictions i.e. annual earnings test, disability earnings restrictions, and last person service.
- Identifying annuitants who had acquired an insured status at SSA after their ABD.
- Identifying annuitants entitled to an AERO recomp.



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The previous EDP policing program is no longer functional because SSA changed their reporting from a quarterly basis to a yearly basis. In addition, the last two functions are no longer needed because the Board now has other more reliable means of identifying these categories of annuitants.

NOTE: This program did not identify retirement annuitants subject to work deductions under the '74 Act.

II. Explanation of Referrals for Previous EDP Policing Program

A. Reason for referral - The following referral messages were produced for the previous EDP policing system:

1. Retirement

- EARNINGS REPORTED BY SSA INDICATES ADJUSTMENT NECESSARY FOR (year);
- ADJUSTMENT NECESSARY BECAUSE OF ELIGIBILITY FOR SS BENEFIT;
- INVESTIGATE, MAY HAVE SUFFICIENT QC FOR AN INSURED STATUS;
- CHECK FOR POSSIBLE LAST PERSON SERVICE.

2. Survivor

- EARNINGS REPORTED BY SSA INDICATE ADJUSTMENT NECESSARY FOR (year);
- ADJUSTMENT NECESSARY BECAUSE OF ELIGIBILITY FOR SS BENEFITS;
- INVESTIGATE, MAY HAVE SUFFICIENT QC FOR AN INSURED STATUS.

B. Interpreting the referral - Here is an explanation of other information printed on the referral:

1. Earnings Entries - Earnings entries for both retirement and survivor cases receive the same interpretation. A printout showing earnings as "950.00" means that the annuitant had earnings of \$950.00 for that particular year. All money amounts represent creditable



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earnings except those followed by "CR." Money amounts followed by "CR" represent a negative earnings figure.

2. QC Pattern - QC patterns were printed out in all cases. The meaning of the symbols used in these patterns is outlined in Section III below.
 - The First Four Positions - The first four positions in the pattern show whether earnings have been reported for, or allocated to, calendar quarters, with the entries in the first position pertaining to the first quarter the entries in the second position to the second quarter, etc.
 - The Fifth and Sixth Positions - The entries in the fifth position show the QC credited on the basis of SEI, while those in the sixth position indicate the earnings reported for agricultural work. In some cases QC's will have been allocated for SEI and agricultural work; in other cases, the allocation will not have been made. If the allocation has not been made, refer to the instructions in "Insured Status" chapter.
 - The Seventh Position - An "X" in the seventh position means that the total earnings printed out include a credit (CR or minus item), but the figure represents creditable earnings (a plus item). A "CR" in the seventh and eighth positions means that a credit item or items have resulted in a negative earnings figure.
3. Examples of QC Patterns - The following examples illustrate possible QC patterns:

Example 1 - 1968	<u>First Four Positions:</u> QC PAT CNNNOOX	A wage QC has been reported for the first quarter of 1968; no wages have been reported for the other quarters.
	<u>Fifth Position:</u>	No SEI has been reported.
	<u>Sixth Position:</u>	No AG earnings have



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	<u>Seventh Position:</u>	been reported. "X" in the seventh position means that the earnings total printed out includes a credit (CR or minus) item.
Example 2 - 1969	<u>First Four Positions:</u> QC PAT CNAAOB <u>Fifth Position:</u> <u>Sixth Position:</u>	A wage QC has been reported for the first quarter; no earnings have been reported for the second quarter. QC's have been allocated by SSA to the third and fourth quarters on the basis of AG earnings. No SEI has been reported. \$200 to \$299.99 to AG earnings; the last two quarters of year are QC.
Example 3 - 1970	<u>First Four Positions:</u> QC PAT SSSNCO <u>Fifth Position:</u> <u>Sixth Position:</u>	QC's have been allocated to three quarters of the year on the basis of SEI. Three QC's have been credited on the basis of SEI. No AG earnings have been reported.

4. Employer Identification Numbers - Our policing file contained SSA employer identification numbers recorded by claims examiners on Form G-322. There are three possible printouts for the "POL EIN":



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1. No number in a case in which an employer number has not yet been recorded in the policing file;
2. A number containing all "8's" in cases in which it has been determined that there is more than one LPS employer; or
3. An SSA employer identification number in cases in which there is one LPS employer.

NOTE: In those cases in which it is determined that there is no LPS employer, an identification number of all "9's" is recorded in the policing file; there should be no printouts for LPS with this number.