8.1.1 Introduction

This chapter provides information and guidelines for the adjudication of retirement, disability and survivor claims to award or deny benefits. Any subjects with additional material in other RCM chapters have been cross referenced.

The appendices at the end of this chapter contain instructions for showing names and addresses on award forms, descriptions of forms G-90a, G-90b and the tracing schedule.

8.1.5 Duplicate Files and Files With Incorrect Claim Numbers

Occasionally, two files will unintentionally be made with the same claim number. If both files are for the same applicant, consolidate the material into one file and give the second file to the supervisor. The initial folder preparation and identification unit (IFP&I) will destroy the second file.

Likewise, any file with an incorrect claim number should be given to the supervisor. However, verify the correct claim number first. The supervisor will walk the file to IFP&I and request a file with the correct claim number. Since these errors are usually confined to new files, initial examiners should be particularly alert when screening the dormant and active file cabinets.

8.1.6 Identifying Dual Annuitants

Certain retirement and survivor annuities must be offset for receipt of "other railroad retirement annuities". To alleviate any potential overpayment, always check the application carefully for additional annuities.

A. Retirement - Check the section of the employee and the spouse application titled "Information about other railroad retirement annuity."

B. Survivor - Check the section of the widow's and the child's application titled "Information about other railroad retirement annuity." Also check the aux. spouse and widow(er) G-90 for 120 railroad service months.

If receipt of another annuity is indicated, secure the other file. Both files should be clearly tagged as dual files. Refer to RCM 8.1 Appendix H for instructions on folder movement and jurisdiction.

8.1.7 Potential Beneficiaries (Including IPI'S)

Depending upon the status and the type of award, initiate all development that may be required for other potential beneficiaries.

A. Retirement Initial Cases - Test for the overall minimum (O/M) after the regular annuity is paid final. The test will be based upon the information currently in file. If the test indicates the O/M could apply, forward the file to the retirement post section (RPS) for development action.

B. Retirement Post Cases - Do not delay a rate correction for possible increase under the O/M. However, it may be possible to initiate development while processing of the regular annuity adjustment continues.

NOTE: If the employee indicates that he has a disabled child, an application for the disabled child should be developed even if the annuity rate would not be increased under the O/M. After the material is received, forward the file to the bureau of disability and Medicare operations.

C. Survivor Recurring Award Cases - When not all of the potential claimants for survivor recurring benefits have filed, initiate development action for those individuals before submitting for payment, the claims of beneficiaries who have filed. However, it may be necessary to withhold the shares of potential beneficiaries to avoid possible overpayment to entitled beneficiaries.

D. Survivor One-Payment Award Cases - Annuities due but unpaid at death or Residual Lump Sum may be paid to multiple beneficiaries. If no discrepancies are found on the applications or proofs, pay the beneficiaries who have filed and withhold the shares of those who have not filed.

8.1.8 Application Not In File

If the application has not been matched to the file, check the unmatched correspondence or contact the person handling the applications (supervisor, development clerk). In the retirement and disability sections, a duplicate application can be printed from the Initial Claims system (IC) by the designated individual with RRAPL access. In addition, examiners have access to screen print individual RRIC screens. Soliciting a signature on these (duplicate) applications is not needed. Also print a set of the proofs if necessary. If you are unable to secure the original or a duplicate application, contact the field office for a second application. Never delay the processing of the claim pending an application. Do as much adjudication of the claim as possible.

8.1.9 Correspondence In File

Never leave loose or unanswered correspondence in the file. Inquiries should be answered promptly. Refer to RCM 10.2 (Processing Correspondence) for detailed instructions on handling correspondence.

8.1.10 Securing New Social Security Account Number

The Social Security Administration now requires proof of age and citizenship before new social security numbers (SSN's) can be assigned. In addition, applicants age 18 or older

alleging no prior SSN must undergo an in person interview. Previously, the RRB field office would secure a completed Form SS-5 from beneficiaries who had never obtained an SSN. This form was then sent directly to the appropriate SSA district office for processing. Effective March, 1979, any RRB beneficiary, between the ages of 16 and 70, without an SSN will be referred to the nearest SSA district office to apply for his SSN.

When the field office advises that the applicant will obtain a new SSN from SSA, examiners should not control the case or enter a tracing call-up for receipt of the SSN. Field offices will pend their files for 6 months to trace for the SSN from the individual. Enter zeroes on any award form that is completed before the new SSN is received. If the case is already in pay status, complete Form G-59/59R for the BIS-DMG showing "000-00-0000" as the social security account number. When the field office supplies the new account number, release a second G-59/59R to notify DMG of this SSN. Also, release form G-60 to earmark SSA's master benefit record in all cases except those involving students or minor children. Finally, update the CHICO record with a G-607.

NOTE: If no SSN will be developed e.g., spouse lives in Mexico, does not have a SSN and will not obtain one, enter nines on the award form. If zeroes were originally entered on the award form, enter nines on the G-59/59R.

8.1.11 Securing Social Security Benefit Data

Generally, social security wage and benefit data must be requested for all applicants and O/M IPI's (ineligible person included) filing for a recurring annuity. Information is requested on the annuitant's own social security account number and any other account number the applicant indicates he/she is receiving SS benefits under. For specific conditions under which to request social security wage and benefit data, refer to RCM 7.4.4 and 7.4.5.

8.1.12 Railroad Retirement Earnings Under Multiple Social Security Numbers

There are railroad employees who worked and earned compensation (SS wages may also have been earned) under two or more different social security account numbers (SSN). In these cases, the earnings must be consolidated under one SSN. The Compensation and Employer Services section in Assessment and Training has the responsibility for combining earnings. Forward any file with this problem to A&T-CES on a G-26A through the section supervisor. Since these cases may take time to correct, initiate as much development action as possible before sending the file to A&T-CES.

8.1.13 Jurisdiction In Retirement/Disability Cases

In order to ensure efficient claims processing, the Retirement Benefits Division (RBD) and the Office of Disability, Sickness & Unemployment Benfits Division (DSUBD)have defined the areas of responsibility for each bureau. Employees are expected to be

flexible in following the guidelines outlined below and to always act in the best interest of service and efficiency.

A. Initial Award of Employee Disability Applications

DSUBD

Complete adjudication of employee disability applications.

B. Initial Award of Spouse Applications

DSUBD

Spouse applications where the employee has filed for or is receiving a disability annuity and the spouse's filing date is prior to the disabled employee's "paid final" date.

Spouse applications filed based on a disabled child.

RBD

All spouse applications where the employee is receiving an age and service annuity.

Spouse applications where the employee has filed for or is receiving a disability annuity and the spouse's filing date is later than the disabled employee's "paid final" date.Spouse applications filed while the case is under DSUBD control for disability freeze (DF) determination and coordination with SSA. The Retirment Initial Section (RIS) will prepare a listing requesting cases and deliver it to the DSUBD expediter. Tracers from the listing go to the support section supervisor in DSUBD. RIS should process the spouse application on RASI and return the case to BDMO when current action is completed. RIS can re-request the case if additional RASI input is required (i.e., RIS receives referrals or reject messages).

C. Initial Award of Supplemental Annuities

DSUBD

All disability applicants who meet the requirements for a supplemental annuity at the time the initial disability application is processed.

RBD

All others.

D. Electronic Data Processing (EDP) Review

RBD/ DSUBD

Each bureau is responsible for the review of mechanical awards which it has processed. This includes testing for the applicability of the overall minimum (O/M), but not O/M development which is done in the retirement post section (RPS). All adjustments found during this process are the responsibility of the bureau conducting the EDP review. If the annuity is overpaid, DSUBD and RIS are to correct the erroneous recurring rate and forward the case to the RPS of DRB for recovery of the overpayment. "O/P P - F" (partial to final) should be shown on the route slip to help identify such cases when they get to RPS.

NOTE: O/M testing after DF is granted is the responsibility of DRB.

E. Hearings and Appeals (H&A) and Board Appeal Reversals

DSUBD

All reversals of initial disability entitlement (employee and spouse with child).

RBD

All reversals involving age and service, spouse and supplemental annuity actions, and disability annuity decisions not involving the disability rating.

F. Tax Refunds

RBD/ DSUBD

Each bureau is responsible for the payment of excess tax refunds as part of the EDP review process, subject to the following restrictions:

If the DF is granted or denied at the time of the initial rating, DSUBD will pay the tax refund as part of the EDP review.

During DF only processing, if the freeze is denied and a tax refund is payable, the case should be routed to RIS to pay tax refund.

Tax refunds payable when the DF is granted will be handled when the DF G-90 review is done in RBD.

G. Quality Assurance (QA) Corrections

RBD/ DSUBD

Each bureau will be responsible for the correction of errors it produced when detected by QA.

H. Other Issues

SS Awards

DSUBD is to promptly release cases pending an initial or reinstate social security award action. The RPS-B1 will prepare a listing requesting cases and deliver it to the DSUBD expediter. Tracers from the listing go to the support section supervisor in DSUBD. RPS-B will process awards and return cases to DSUBD rather than hold in dormant while waiting for voucher clearance. CBS must provide immediate turn around time on such cases to avoid delay of medical decisions.

SSA award adjustments (recertification) and mechanical output referral (MORs) will be held in CBS for 90 days, pending availability of the case. After 90 days, if the folder does not become available, RPS-B1 will send a listing to the DSUBD clerical supervisor requesting the cases.

Disability Annuity Adjustments

RBD will process all adjustments on disability claims not specifically excluded by sections A-H above.

8.1.14 Legal Process Cases

Send all retirement, disability and survivor cases requesting reconsideration or legal processes i.e., garnishments, partitions, to the RPS-B2.

8.1.15 Verification Of Address And Direct Deposit Data

Verification of an annuitant's address and/or direct deposit information is necessary if a payment has not been issued 6 months or more from the date the information was submitted. Two examples that illustrate this are initial disability applications, which may pend more than six months due to medical evidence development and the reinstatement of a case after being in suspense for a period greater than 5 months. Verification may be initiated sooner if there is evidence an address or direct deposit information may have changed.

To verify the address or direct deposit information, send an assignment to the F/O via electronic mail (HSL). Remember to allow time for this when setting a reinstatement call-up (tickler code sheet) on cases that will be in suspense for 6 or more months. For initial applications, information in file must be in accord with the provisions of mandatory EFT. Refer to FOM Field Instructional Memorandum 04-96 for more information.

8.1.16 Identity Theft

Refer to FOM1 136

8.1.20 Retirement Mechanical Award Processing

This section provides an overview of the Initial Claims/Advance Evidence Collection system and RASI processing of age and service and disability awards. Also included is a checklist that examiners can follow when doing EDP review. Detailed information on these systems is contained in RCM Part 9.

8.1.21 Initial Claims System (IC)/Advance Evidence Collection (AEC)

The IC system accepts retirement annuity applications, Medicare applications and applicable evidence via CRT terminal. AEC records proofs that a beneficiary files before or after an application.

Detailed information on IC and AEC is found in RCM Part 9.

8.1.22 Retirement Adjudication System Initial (RASI)

The Retirement Adjudication System Initial (RASI) handles most applications and certifies most initial payments. The retirement/disability initial (RI) examiner works closely with this mechanical system, continually monitoring the progress of each claim to insure timely and accurate certifications.

Employee and spouse applications are entered into the RASI system by the field offices (F/O) via the Initial Claims (IC) system. The RASI record is established from the information shown on the application (AA-1/AA-3), the proofs and the cover sheet used by the F/O to summarize the information in the application (G-230). The data from these forms allows RASI to begin processing the claim for benefits even before a folder is established at headquarters. RASI will mechanically request the railroad and social security earnings, the primary insurance amount used to calculate the final rate, and mechanically process clearance from the bureau of unemployment and sickness insurance. Upon completion of all required actions, RASI will pay the claim and release an award letter.

In certain rare instances, RASI may reject an application entered into it. If this occurs, the program evaluation section (PES) oversees correction and reentry.

8.1.23 Monitoring RASI

RASI provides a picture of its processing in two ways:

- a bi-weekly status list of cases which have not yet been paid partial (available to supervisors only);
- RASI Examiner Query Electronic System Terminals (REQUEST), viewable on CRT's or pc's.

In addition, listings of RASI referral and reject messages are loaded to HSL on a daily basis.

The examiner should use REQUEST and HSL to monitor RASI and determine the input required for RASI to continue timely processing of awards. Detailed information and instructions on these sources is found in RCM Part 9. In RCM 9, you will also find information on when lag development is required, when the field offices may input a partial award (IMPACT, SPAR) payment and other material vital to the processing of mechanical awards.

8.1.24 RASI "Compute Only" Awards

RASI will produce a "compute only" award if it is unable to certify the final award. The examiner must first determine why RASI was unable to pay the final award and then take the necessary action to manually pay the final award. Check the remarks section of the RASI award form (G-354R, G-355R) for the "compute only" message. Refer to RCM 9.3 for explanations of the various messages.

8.1.25 RASI "Compute Only" Awards, Partial Exceeds Final

Pay particular attention to this situation. Since last pre-retirement non-railroad employer (LPE) deductions must be considered, there may be multiple reasons why the partial rate exceeds the final rate. Check the file carefully for work and earnings and determine if tier 1 and tier 2 and/or vested dual benefit work deductions must be assessed. Check for social security entitlement. Refer to RCM 9.3 for additional information on this subject.

8.1.26 RASI Award Review

The process of checking RASI final award activity is referred to as "EDP Review." EDP Review is necessary to:

insure that the annuitant is paid correctly; and,

promptly identify systems errors; and,

insure that all necessary adjudicative action has been completed prior to the release of the folder to Claim Files or other appropriate unit.

All RASI final award activity is designated either "Review" or "No EDP Review Message."

The "Review" designation denotes that additional development and/or adjudicative action is required, or the existence of particular elements vulnerable to error. Review messages are displayed in the Remarks section of the RASI award identifying the additional adjudication required to finalize the initial award activity, or the specific error-

prone area to review. These review messages and the examiner action required are described in detail in RCM 9.3.13.

The "No EDP Review Message" designation is an indication that no additional development is required to finalize the initial award, and that no error-prone element is present. The award (G-354R or G-355R) should be matched to the file, along with the employee G-90. If no additional action is designated on the G-227 (see RCM 9.1.20) attached to the outside of the folder, the file should be released to Claim Files.

While awards designated "No EDP Review Message" do not require total review, some review may be required or requested, subject to the current instructions in P&S-RAC. For instance, review of all RASI awards in December and January may be required to verify routines from the annual cost-of-living job.

In addition to reacting to the specific review messages, examiners should check RASI final awards for the accuracy considering:

Name and Address

Direct Deposit Status

Claim Number

Individual's SSA Account Number

Status of SSA Entitlement - Possible Pending SOLAR Award

Correct ABD and Type of Annuity

Payment Summary

Code Paragraphs

Temporary Work Deductions

Regular and LPE, Rate Changes, PIA 2, DRC's, Earnings Estimate, Continuing LPE

NOTE: When checking work deductions (W/D) during EDP review, examiners are to follow certain guidelines.

Calculate the correct W/D amount and enter in remarks.

Compare the calculated amount to the amount RASI withheld.

If the calculated amount is higher by more than $1.00 than the amount RASI calculated OR more than $10.00 lower than the calculated RASI amount write “recertify” on the award and give to the senior examiner. Otherwise, notate the award “NAN tolerance” and forward to imaging.

For cases in which the RASI temporary W/D is too low (over-payment), the examiner will recertify the annuity from the current month to correct the W/D. Cases in which the RASI temporary W/D is too high (underpayment), will be recertified from the ABD.

Examiner will receive a copy of the RASI award marked “copy”. The original award will be sent to imaging. The award marked copy will be discarded after the annuity is adjusted.

Spouse Only

EE Data from PREH (Tier 1 and Tier 2, TWD's on EE)

RRA Maximum

EE Only, EE and Sp or Sp-Only

G-230

Protected Filing Date, Deterred from Filing, S/E

EE G-90

DOB, ABD, Annuity Type, Eligibility Year, Vesting, Duplicate Earnings, UI-87 Stop Notice Referral (see RCM 7.4)

M/S

Multiple Periods, Overlapping Months, Reserve Duty

Other Pending Award Actions

Spouse, Supplemental Annuity, Tax Refund, SALSA, SOLAR Award

Miscellaneous Earmarks and Rejects

COL, AERO, RAIL

G-227

Pending Development, Correspondence

When the EDP Review of a "Review" or a special-situation "No EDP Review Message" award is complete, date and initial the award form. Route the folder to claim files or to the next appropriate destination.

8.1.35 Survivor Mechanical Award Processing

This section provides an overview of the Survivor Calculation System (SURCAL) and most importantly, a checklist to follow when authorizing SURCAL input forms. Use this list during authorization to ensure the forms are complete and correct.

8.1.36 The Survivor Calculation System (SURCAL)

SURCAL processes most initial survivor awards, spouse-to-widow conversions and partial to final awards. SURCAL will compute the annuity rate and the accrual amount, if any, and prepare a G-360, G-360a award form for a folder record. The system will also prepare an award letter with appropriate code paragraphs. There are some types of cases which SURCAL cannot process that must be handled manually. For a full description of the conditions under which the program cannot handle a particular case and for instructions on preparing input, refer to RCM 9.1.

8.1.37 Authorizing SURCAL Input Forms

The SURCAL input forms must be reviewed for accuracy. During the authorization process, check the forms carefully to ensure that the items listed below are correct.

Does the RRB claim number on Forms G-359a and G-359b agree?

A. <u>G-359a Completion</u>

Is the type of payment correct?

Lump Sum Death Payment (LSDP)/Residual Lump-Sum (RLS) awards - Is Date of Birth (DOB) and Date of Death (DOD) correct?

Is marital status code correct?

Is military service (M/S) code correct?

Is widow(er)'s SSA number entered if paying widow(er)?

LSDP's - Is potential LSDP less than or equal to (reimbursable burial expense) on G-359b.

If RLS information required, is correct code entered?

If LSDP/RLS award and widow(er) survives, is the DOB entered?

Are all applicable items completed?

B. <u>G-359b Completion</u>

LSDP's - If two people are being paid, are two amounts shown?

Is the group mark shown in the address block?

Does the payee symbol number agree with item 2 of G-359a? Is address continuation code correct? If address continuation is yes, is payee symbol number code in column 80 correct?

Does RRB claim number on G-360 and G-360a agree?

Are all applicable items completed?

C. G-360 Completion

If six-digit claim number, are boxes zero filled?

Is original beginning date (OBD) correct?

If 6 digit claim number, is EE's SSA number entered?

Is DOB and DOD correct?

Is year of eligibility correct?

Is PIA code correct?

Is PIA on OBD entered?

If "Gotches" case, is date of 2nd deduction correct?

Are all applicable items completed?

D. G-360a

If representative payee, is the correct representative payee code entered?

Is beneficiary's correct SSA number entered?

Is beneficiary's correct DOB entered?

Does family code apply?

If two date breaks, are two Public Service Pension (PSP)/Social Security (SS)/EE offset amounts entered, if applicable?

If SS benefits, is SSA claim number suffix code correct?

If an EE offset applies, has this item been completed?

8.1.45Are all applicable items completed?

8.1.45 Manual Award Processing

This section provides information on examiner processing of retirement and survivor awards. A checklist is provided for use in preparing and authorizing awards. For easy reference, this section is divided into a retirement and a survivor subsection. Any subjects with information in other RCM chapters have been cross-referenced.

8.1.46 Dual Railroad Retirement Annuities

There are individuals entitled to more than one railroad retirement annuity. Generally, dual annuity combinations consist of:

A. Employee Annuity and Spouse

1. Either annuity is based on some RR service before 1975:

   The spouse annuity tier 1 is reduced by the employee annuity tier 1 as follows:

Tier 1 after WC/PDB, if the reduction for the spouse's own EE annuity was first applied on an award voucher before 10/1/1988.

Net tier 1, if the reduction was first applied on an award voucher or reopening on or after 10/1/1988.

   The reduced amount is usually restored in the spouse annuity tier 2.

2. Neither annuity is based on any RR service before 1975:

   The entire spouse annuity is reduced by the entire employee annuity (tier 1 and tier 2).

B. Employee Annuity and Survivor Annuity

1. Either annuity is based on some RR service before 1975:

   The survivor annuity tier 1 is reduced by the net amount of the employee annuity tier 1. A portion of the reduced amount is restored in the widow(er)'s annuity tier 2 if:

either the widow(er) or the deceased employee completed 10 years of railroad service before January 1, 1975, and

the widow(er) proves 1/2 support.

2. Neither annuity is based on any RR service before 1975:

The entire survivor annuity is reduced by the entire employee annuity (tier 1 and tier 2).

C. Survivor Annuity and Spouse Annuity

Only the higher annuity is payable.

D. Survivor/Survivor Annuity

Only the higher annuity is payable.

The restoration and reduction amounts can vary depending upon certain factors. Therefore, refer to the forms instructions in RCM 8.8 and 8.9, and eligibility and entitlement procedure in RCM 1.3 and 2.2, for additional information on dual annuities.

8.1.47 Social Security Benefit Entitlement Indicated

If the applicant indicates social security benefit entitlement, determine whether or not payments are in force. SS entitlement information is needed to pay the SS benefit and to reduce the railroad retirement annuity.

Use sources such as the PAM ON-LINE OPERATION (POLO), SOLAR, JADE, the Master Benefit Record (MBR), and the on-site representative (OSR), to secure social security benefit information.

Before awarding an initial survivor benefit, check DATAQ for a terminated social security benefit. Use FAST-S/T to delete the terminated record before making annuity payments.

8.1.48 Identifying Overpayments

Always examine the folder and check the Programs Accounts Receivable (PAR) system to determine if there are any outstanding erroneous payments made either by SSA or RRB that must be recovered from any accrued annuity or through the overpayment recovery process. This includes 4% death benefit awards paid under the RR Act of 1937 and 1935 Act death benefits.

Overpayments are usually reflected on forms G-205 (PAR Worksheet), G-205a, or G-363, or the PAR Upload Factsheet, or the Annuity Activity Summary. Any evidence of an open accounts receivable record should be confirmed by checking (viewing) the Program Accounts Receivable (PAR) system screens. Examiners must also check for RUIA debts on the Field Service Inquiry System (FSIS), MACRO (Master and Clearance Records On-Line), and UI-87 notices, as explained in RCM 5.9.

It is MOST IMPORTANT to take or consider taking recovery action on any active account with an open balance (outstanding item) AND on any inactive account where

an item was closed out as uncollectible before sending an award through for payment. Always post the recovery action to the PAR system.

Information on "Erroneous Payments" is contained in RCM 6.6. Information on the PAR system is found in RCM 9.10.

8.1.49 Preparing The File For Certification

Examine the claim folder carefully to determine whether the claim is ready to be certified. Important points to check for while adjudicating the claim are whether:

- The correct application has been filed.
- The application is properly completed.
- All proofs and related evidence necessary to adjudicate the claim have been received.
- Further development action is required.
- There is a "Certified Record of Compensation and Service (G-90)" in file.
- No unhandled mass adjustment rejects or referrals on PREH's 3250 (RHMADJ) screen.

If there is not sufficient information in the folder to process the claim to completion, take action to secure the required data.

8.1.50 Folder Organization

Refer to RCM 5.12.10 for folder organization.

8.1.51 Notice Of Delayed Decisions

In any case in which a decision may be delayed, notify the applicant of the delay either through the Field Office or by letter directly to the applicant. Explain to the applicant that there will be a delay but he/she will be notified as soon as we have reached a decision.

When a decision on a survivor's claim (one-pay only case) may be delayed because of a possible erroneous payment to the employee, notify the applicant of the reason for the delay but do not indicate that an erroneous payment may have been made to the deceased employee.

A decision may be withheld on an application for a lump-sum payment because the applicant for an insurance annuity was denied for failure to prosecute his/her claim. Tell the applicant for the lump-sum payment that his/her claim cannot be processed for a period of one year. Explain that a person who filed a claim for an insurance annuity may

establish his/her right to that annuity. Inform him that at the end of the year we will consider his/her claim further. Be particularly careful to not commit the Railroad Retirement Board to payment at the end of that period; only to a CONSIDERATION OF PAYMENT at the end of one year. Code a tickler for these cases to call them up on the first of the month following the expiration of a one-year period from the date on which the insurance annuity applicant was formally denied.

8.1.52 Determining The Type Of Certification

A. Certification Types - The type of certification, or activity code, falls into two categories:

recurring - used to establish, change, or resume payment of the current monthly payment amount; or,

one payment only - used to issue a payment or correct data for a closed period, or to transfer funds.

Certification types are as follows:

CODE	TRANSLATION	WHEN TO USE	NOTES
0	Final	To make an initial recurring award to a payee with 1. full annuity calculations, or 2. an assignment or garnishment payable to a third party.	Some awards are considered “initial” but require other certification codes: • Use recert for: 1. conversions of a spouse-to-widow(er) or a young mother/father to widow(er), or 2. a partial-to-final award. • Use reinstate-recert for cases in which a constructive award was previously processed.
1	Recertification	To adjust an annuity in current pay status:	

2	Reinstatement	1. to change the recurring rate, or 2. to pay an initial supplemental annuity as a “sup only”, or 3. to update PREH with a correction that does not change the rate on CHICO. To resume suspended or terminated payments at the same rate.	
3	Reinstatement - Recertification	• To resume suspended or terminated payments:	
		1. at a different rate; or 2. after an erroneous report of death, if reinstating in the same month as the termination accounting date. • To put an annuity into current pay status after it was processed as a constructive award.	When the EE’s regular annuity is a reinstate-recert, a SUP ANN may be included even if it represents an initial or reinstated award.
6	OPO General	• To pay an amount not based on taxable tier components (e.g., SALSA, RR tax refund, nontaxable amount, etc.)	• If a SALSA or RR Tax Refund is payable on an OPO general award, do not include other award actions.

		• To process a funds transfer (e.g., RR to Sup) • To adjust previous payments if: 1. the case is in current pay status, and the current monthly check rate is correct, or 2. payments are terminated or suspended, and the last rate paid before termination or suspension is correct. • To pay an accrued annuity to subsequent payees, when the first payee's certification is OPO initial or OPO general.	The award systems change code values in the file for rate history to identify a SALSA or RR tax refund. If you include other actions, such as tier calculations, PREH will not update any data except the SALSA or tax refund. • An OPO general award does not change any entitlement data in PREH's RHRRID (3200), RHEE (3300), or RHHSKP (3270) records. Use the on-line correction system or form G-59 to make required changes.
7	OPO Initial	To make an initial award to an annuitant who is suspended or terminated during the accrual period. (This certification may be used if a "compute only - one payment only" award had been made.)	Do not use OPO initial when preparing a one payment only award in partial to final cases: 1. Use OPO recert if the final rate changes from the partial rate. 2. Use OPO general if the partial to final rate is unchanged.

8	Partial	To pay a temporary rate to an employee, spouse, or divorced spouse.	
9	OPO Recert	For a one-payment-only award when: 1. the case is terminated or suspended, and 2. the rate paid immediately prior to termination or suspension is changing.	• Examples: 1. A spouse's annuity terminated in April 1999 when her youngest child attained age 18. The spouse had rejected from the 12/98 COL and is due an OPO for 12/98 through 3/99. 2. An employee's annuity was suspended in 5-89 when he returned to railroad service. He was due a recomp effective 1-1-89. Use cert code 9 when paying the accrual • When preparing a one payment only award in partial to final cases, use OPO recert if the final rate changes from the partial rate.

B. <u>OPO's and Rate History Considerations</u> - PREH is a key source for RRA annuity and entitlement information. To provide accurate rate history, examiners have a responsibility to provide complete information for the accrual period of an OPO award. If rate history is not properly maintained, subsequent users are likely to make mistakes in payments to annuitants or information provided to the public.

PREH was loaded with records from the Master Benefit File of May 1995, which included only the latest award activity on record. If an OPO award is to be updated to PREH, examiners should keep the following points in mind:

Avoid gaps: If the accrual period precedes the earliest effective date on PREH, the examiner must supply complete tier and annuity rate history up to the earliest effective date on PREH. Otherwise, a subsequent examiner might assume a tier component was unchanged for several years; a future award could have an erroneous accrual for the period for which PREH has a gap in rate history.

> EXAMPLE: PREH has data beginning in December 1994, and the OPO award begins with January 1992. To maintain rate history without gaps, the examiner should extend the accrual period through 11/94 or later.

Include adjustments to the monthly rate: If tiers are calculated for a period preceding the earliest effective date on PREH, the examiner must include all adjustments to the monthly rate up to that effective date. Adjustment amounts include work deductions, actuarial adjustments, garnishments, etc. Otherwise, a subsequent examiner might overlook the missing tier component in a payment summary; a future award could issue an erroneous accrual for the period for which PREH has no history.

> EXAMPLE: PREH has data beginning in May 1995; the OPO award begins with the ABD in August 1993. After reviewing the claim folder, the examiner finds work deductions previously applied from January 1994 through June 1994. To maintain an accurate rate history, the examiner should include work deduction components for 1/94 through 6/94, and should extend the accrual period from 8/93 through 4/95.

Select the correct OPO type of certification: Programs updating PREH use the type of certification to determine what information to change. An incorrect cert type may result in errors or omissions in PREH entitlement records, as well as tier and payment history.

> EXAMPLE: A spouse applicant dies before receiving payments. The examiner calculates the spouse annuity and considers using an OPO general to pay the EE. To ensure the award updates the DOB, ABD, initial award accounting date, etc., the examiner should certify the award as an OPO initial.

8.1.53 Determining Whether To Process An Award Through CHICO

Award systems include codes in their rate history files that indicate whether CHICO (the master checkwriting file) should process or bypass the activity. Examiners decide how activity should be processed and submit their work as awards, corrections, or print-only requests.

A. Awards.- Process an activity as an award through CHICO when:

Establishing, changing, or reinstating a recurring rate, or

Paying an accrued amount, or

Transferring funds between accounts (e.g., RR to RUIA).

B. Corrections - Process an activity as a correction, PREH update, or constructive award when:

Creating or correcting rate history for a prior period, and

The current rate is correct, or no rate is currently payable, and

no accrued amount is due, or an accrual is due but the payee has not yet been determined.

Some examples of corrections include the following:

An employee's annuity is unpaid at death, and a spouse was not living at the same address.

Tier data must be updated for an employees or spouses who are paid at a higher rate under the overall minimum formula.

Net tier 1 is zero, but the annuitant is entitled to an increased social security benefit. (If the appropriate tier 1 effective date is already on PREH, examiners do not have to process an award. Instead, they should use PREH's on-line correction system to update the SS offset.)

The current rate is correct, but permanent work deductions result in an overpayment.

A beneficiary is entitled to an annuity rate of zero.

Taxation note: TAS does not update activity that bypasses CHICO. To ensure proper tax accounting, prepare form G-59 after updating PREH, or refer the case to BTRS.

COL note: The COLA mass adjustment rejects any annuity having a December voucher on ROC, SURPASS, or PC awards, unless the certification is OPO general or the type of payment is Supp-Only. Therefore, a recertification on a December voucher must be an award processed through CHICO, and the award must include the cost-of-living in the computation of all tier components. Also, please note that all types of award actions, including 'OPO General' and 'Supp-Only' awards will clear the mass adjustment earmark as long as the examiner enters the 'All COLA's and AERO's considered' clearance code on SURPASS and PC awards or the 'Earmarks Considered' clearance code on ROC awards.

C. Print-only Requests - Request an informational, compute-only printout when:

No award or correction is necessary, and

Some record of a calculation should be maintained (e.g., an alternative calculation such as military service accounting, which does not affect the annuity rate paid).

8.1.60 Partial Rate Equals Final Rate

When the partial rate equals the final rate, examiners must voucher the recertification with a zero accrual with fully completed award forms even though the final rate does not change. This is done to update the PREH and CHICO records.

8.1.61 Zero Annuity Rate

In some instances, a beneficiary can be eligible for an annuity. However, due to other reductions, the annuity rate computes to zero. In other instances, a beneficiary can be entitled to an annuity that is not payable. Situations where this can occur are:

- Employee and spouse cases with a zero tier II, no vested dual benefit entitlement, an SS benefit, and/or a public service pension that exceeds the tier 1 amount.
- Spouse cases in which the annuitant is entitled to an employee annuity that reduces the divorced spouse tier one to zero;
- Divorced spouse cases in which the annuitant is entitled to an employee annuity that reduces the divorced spouse tier one to zero;
- Divorced spouse cases where the annuitant receives SS benefits other than or in addition to a RIB/DIB, or a public service pension which exceeds the tier 1 amount.

Zero annuity rate awards cannot be vouchered through CHICO, but the rate computation information must be entered into PREH. The examiner must use a ROC or PC award to prepare the PREH update. An award letter explaining that the annuity rate is zero or not payable must also be prepared.

A. <u>No Initial Payment Can Be Made</u> - If the annuity rate is zero at the time of filing and there is nothing on PREH, the following actions need to be taken:

1. Complete the ROC or PC OPO-Initial PREH update. The termination/suspension date would be the ABD and the termination/suspension cause code would be 54. Explain the update in remarks.

2. Prepare a RL20/RL20e zero annuity award letter.

3. Prepare Form G-183 and send the file to authorization to have the application closed without award.

4. If applicable, close out the case on STAR.

5. Send any claim material for imaging

If the annuitant is within 6 months of attaining age 65, or has a disability freeze, and is eligible for Medicare, check MOLI for Medicare enrollment. If the annuitant is not enrolled, notify PSD-MS via HSL.

B. Annuity is Reduced to Zero After Award - If the annuity rate is reduced to zero after the initial award because the annuitant becomes entitled to a social security benefit, public service pension or another annuity, take the following actions:

1. Suspend the annuity with a cause code of 54 on FAST. The suspension date is the date the rate is reduced to zero.

2. Prepare a ROC or PC OPO-Recert PREH update award. Explain the update in remarks.

3. Certify the SS benefit if the RRB has certification jurisdiction. Refer to sections 100 and 104 of Social Security Certification procedure for further information.

4. Coordinate recovery of the overpayment by preparing a zero annuity rate overpayment letter via ORCS. If the adjustment did not result in an overpayment, prepare an RL-483 letter via RRAILS to explain why the annuity has been reduced to zero. Prepare an ALTA letter for the SS benefit.

5. Send the case to authorization.

6. If applicable, close out the case on STAR.

7. Send any claim material for imaging.

8. Send an e-mail to OPNS-BTRS advising them that the annuitant is receiving a zero annuity benefit or entitled to an annuity no longer payable.

If the annuitant had Medicare premiums deducted from the annuity, the premium will mechanically float to the SS benefit if the RRB has jurisdiction over SS benefits. If the RRB does not have jurisdiction over the SS benefits, or if the annuitant has a PSP which reduced the annuity to zero, notify PSD-MS to establish direct billing via HSL.

NOTE: If the annuitant needs to be adjusted and is already in suspense for another reason, you should still follow all steps outlined above. This includes processing a code 54 FAST suspension transaction to get the correct code on record.

OPNS-BTRS should be advised if a record that was previously suspended with a cause code 35, 36, 66, 69, 95, or 98 is now suspended with a cause code of 54. In these situations, provide BTRS with the correct affective date of the code 54 suspension (the date that the annuity rate was reduced to zero). Forward the folder to BTRS with this information. If there is no claim folder, send this information to BTRS on Outlook, advising that there is no claim folder. Provide the annuitant's beneficiary symbol, prefix, claim number and payee code.

8.1.62 Zero Accrual Recertifications

A zero accrual recertification award is used in place of a suspension and reinstatement action when adjusting the next monthly check rate. This type of recertification is most often used in overpayment situations where no retroactive payment is due. The zero accrual recertification corrects the next monthly check rate, creating a "static" overpayment. A zero accrual recertification is also used when a timely adjustment of the rate is possible. An example would be timely removal of a partial withholding amount. The following list furnishes situations where a zero accrual recertification can be used.

A. Use Zero Accrual Recertifications for the Following Situations

Adjustment of the railroad retirement annuity and social security benefit for situations where the System to Automate Zero Accruals (STAZA) cannot be used. For a full description of the situations where STAZA cannot be used, refer to RCM 11, G-304 instructions; or

Adjustment of the Railroad Retirement actuarial amount; or

Adjustment of the partial withholding amount; or

Adjustment of the RR annuity to add or to remove partial withholding; or

RR retirement annuities where the computation formula switches from the O/M to the RR formula; or

Adjustment of RR retirement annuities for temporary work deductions; or

Adjustment of RR annuities for cases where a notice of reduced annuity payment (CL1857) was released.

B. How to Process Zero Accrual Recertification - Use ROC or PC awards to process a zero accrual recertification. Depending upon the type of adjustment, the award may or may not have accompanying tier calculations. For instance, removal or changing of the partial withholding amount requires only net tier amounts.

However, remember that all December vouchers must have updated cost-of-living information. Therefore, any zero accrual recertification to be vouchered in December must include tier calculations considering the latest cost-of-living increase. This ensures that PREH will be updated with the cost-of-living rate.

NOTE: If you are doing a zero accrual award to correct the rate and there is a net overpayment, i.e., a partial exceeds final "compute only" award, always take the following actions:

Include a G-363 showing the total annuity rate overpayment (O/P).

Set up the rate change/overpayment letter on ORCS.

On your G-26L show: 1)AUTH, 2)VOUCH, 3)EXAM

C. When a Zero Accrual Recertification Cannot Be Used - In some types of cases, such as representative payee (rep-payee) changes, a suspension action may be necessary to change the record. Since the field offices process the majority of rep-payee cases, action by the adjudication section is limited. However, if it is necessary to process a change involving a representative payee, refer to the following list of situations where a zero accrual recertification CANNOT be used:

Cases involving a check inscription change from annuitant to representative payee; or

Cases involving a check inscription change from representative payee to annuitant; or

Cases involving a change from one representative payee to another if the type of representative change is different, i.e., court appointed vs. Board appointed.

If recertification cutoff for a given month is past but Suspension/Termination cutoff is not, suspend and reinstate the case in the usual manner to effect the earliest possible rate change. DO NOT delay an award action simply to process a zero accrual recertification.

8.1.63 Separation Allowance Lump-Sum Amount (SALSA)

The 1988 Amendments to the Railroad Retirement Act (Public Law 100-647) provided for a lump-sum payment to retired employees with at least ten years of service who did not receive additional service months from tier II taxes deducted from a separation allowance or severance payment received after 1984.

The SALSA may be paid by a mass adjustment or it may require manual payment. Check the file carefully to determine whether or not a SALSA is payable and if the required action has been taken. SALSA amounts are indicated on the G-90 or SALSA memo form from the compensation and certification unit (CCU). Use the SALSA

Calculation Payment Form to manually compute the payable SALSA amount. The form is self-explanatory and is filed on the right side of the folder.

8.1.64 Divorced Spouse Applications

The only applications not entered directly into RASI by the field offices are divorced spouse applications. These claims must be paid manually by the initial examiners. Before adjudicating a divorced spouse claim, code the application into the section pending load using KOR forms.

Remember that there is no entitlement to a divorced spouse annuity if the divorced spouse is entitled to his/her own retirement or disability social security benefit based on a PIA which is equal to or greater than one-half of the employee's PIA 1.

8.1.65 Supplemental Annuity

When paying an initial award, during electronic data processing (EDP) review, or when taking corrective action on an award, check the file for possible entitlement to a supplemental annuity (SUP ANN).

Indicators of possible SUP ANN entitlement are:

- RASI referrals
- G-805's
- RAIL special handling code 26
- a claim of eligibility on employee application AA-1
- Changes in eligibility factors:
    1. change from no current connection to current connection.
    2. change in service months from less than 300 to 300 or more.
    3. change in service months from less than 360 to 360 or more.

If entitlement exists, secure the G-88p and take the necessary action.

NOTE: Always trace outstanding G-88p's though the field office nearest the railroad.

Also, when changing the ABD of the regular annuity, remember to change the ABD of the supplemental annuity.

8.1.66 G-88p With A Future Railroad Pension Effective Date

Occasionally, a railroad will forward a G-88p containing a future railroad pension effective date. Use the following instructions for handling these cases.

A. Pension Effective Within 3 Months

If a G-88p is received with a pension effective date in the future and that date is within 3 months, hold the supplemental annuity (SUP ANN) for payment in the month in which the railroad pension is payable.

B. Pension Effective In More Than 3 Months

If a G-88p is received with a pension effective date more than 3 months in the future, pay the SUP ANN without a reduction for the private pension. Set a call up code for RIS on the PC tickler program, for the first date of the second month prior to the SUP ANN effective date. RIS should then process the SUP ANN adjustment timely.

When the railroad completes a G-88p with a railroad pension date in the future, they will usually provide an estimated pension amount. If the estimated pension amount will result in a zero SUP ANN rate, process the SUP ANN adjustment using plugged figures (07777). It will not be necessary to release another G-88p.

When a SUP ANN is adjusted, it may be necessary for the new rate data to be released to the railroad. Therefore, when the SUP ANN is adjusted, use ALTA to send a letter to the annuitant, and send an HSL message to P&S-RAC with the BA number of the railroad and the new SUP rate data. (This information was formerly supplied via Form RL-5a, obsoleted on June, 1997.)

8.1.67 RUIA Clearance

Any payments made under the Railroad Unemployment Insurance Act (RUIA), which were not payable, are recoverable from benefits payable under the Railroad Retirement Act. See Chapter 5.9 for instructions on clearing cases with the sickness and unemployment benefits division insurance (SUBD) before making payment.

8.1.75 Authorization Of Awards - General

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Many types of adjudicative actions must be reviewed and authorized by a second claims examiner before being finalized. When preparing cases for authorization, screen prints of information that is verifiable and accessible to the authorizer on-line are not required. Until ALTA is revised, include a screen print of the ALTA screen so an authorizer can browse the letter.

RCM 8.1.76 through 8.1.79 contain general guidelines for preparing cases for authorization as well as steps to follow when authorizing awards.

8.1.76 Preparing Awards For Authorization

Use these guidelines as a checklist when preparing an award for authorization. The checklist will aid in producing quality work and make it easier for the authorizer to authorize the award.

- Adjudicate the case thoroughly based on the current action. Take all needed action at the same time, if possible. Having a case unnecessarily returned results in additional folder movement and increases the examiner workload.
- Use the remarks screen or sections to clearly explain what action you are taking.
- Check for Initial Direct Deposit Application (IDDA) data.
- Verify address on cases that have not been in pay status for 6 or more months.
- Review military service use. Has it been used correctly?
- Check for attainments in the accrual period or the next few months. Set appropriate TICKLER call ups if necessary.
- Check for mass adjustment reject and special handling review codes.
- Handle all APPLE referrals located in the Source Details on USTAR to completion.
- File all proofs, applications, etc., on the proper side of the folder according to RCM 8.1.50.
- If a case is returned to you with a G-383 for correction, keep the G-383 on the claims folder or folder-less jacket when you return it to the authorizer. Cases should be corrected and returned to the authorizer promptly.
- Include all necessary cost-of-living (COL) and automated earnings reappraisal operation (AERO) tapes for mass adjustments that are not available on PREH or MAIS. Keep them in the correct date break sequence and underscore the entire claim line for the case you are awarding. Be sure the date, heading and type of adjustment of the tape is clearly identifiable.
- Double check entries that were not prefilled by PREH to be sure that all required items have been completed. Check any prefilled PREH data that you have been alerted may be suspect.

- Before certifying a partial or final payment to a second spouse, check DATAQ for a record of the first spouse. To avoid payments to the wrong payee or financial institution, delete the old record with FAST S/T code 62.

- Look for continuity of railroad and social security rates between COL date breaks. A change in rate should tip you off to an intervening mass adjustment or manual award activity.

- Check the accuracy of the ABD/OBD PIA when calculating from the employee's ABD. Use the correction system to update the ABD/OBD PIA in PREH, if the PIA change requires only an OPO general award or correction.

- Check the accuracy of the ABD/OBD, look for protected filing dates, and make sure the correct PIA corresponds to the ABD/OBD.

- Be alert for inconsistencies with expected results. For example, an unusually large accrual could indicate an examiner input error, a system calculation error, or incorrect data previously posted to PREH.

- Clearly check the correct "type of award" box on your G-26L. Also, use the remarks section to provide additional information to the authorizer.

8.1.77 Awards With Large Accruals

All awards with accruals of $10,000 or more to employees, and $6,000 or more to spouses and survivors, must undergo a **second authorization** in the operational section. This applies to all beneficiaries, including foreign cases.

Award accruals over $10,000 paid by a paper check, must be preceded by advance notice. We do not send advance notice in direct deposit/EFT, mechanical award or residual lump sum payments situations even if the accrual is over $10,000. When sending the case to authorization, the EXAMINER should release an Outlook advance notice Form e-G-115 Large Accrual Notification (LAN). Advance notification allows the field office to assist the beneficiary in making arrangements to negotiate or deposit the check. If authorization results in a substantial change to the accrual amount, the award should be returned to the examiner and a modified Form e-G-115 LAN should be sent.

<u>For domestic residents (including residents of Canada and Mexico)</u> Secure the Outlook Form e-G-115 LAN from the Office of Programs Public Folder under the "Actions" tab. Most entries on the form are self-explanatory. The "To" and "Prepared By (Examiner/Unit)" entries are required. Other items should be completed as needed.

The Canadian provinces and Mexican states in areas serviced by an RRB field office can be found in RCM 10.3 Appendices B and C.

<u>Exception for foreign residents (including all U.S. possessions)</u> Prepare a letter to the annuitant. A sample letter for foreign release is shown below. Include the address of the

American Embassy or RRB headquarters office in the letter, and instruct the annuitant to contact the consular section in the embassy if assistance is required.

The U.S. Embassy or Consulate office addresses can be found on the U.S. Department of State web site, www.usembassy.state.gov. Release a copy of the letter to the appropriate American Embassy AFTER the case has cleared vouchering. If the annuitant resides in a Commonwealth of the United States, e.g., Puerto Rico, furnish the RRB Headquarters address and the name of the office and section that originated the letter.

Example:

Mr./Mrs./Ms. (name of annuitant)

Address of annuitant

In reply refer to

R.R.B. No. --- -- ----

Dear _____:

A large accrual has been prepared in this case because your annuity (brief explanation for the accrual, i.e. reinstatement). Shortly, you should receive a payment for the amount of (accrual amount), which is before any applicable Federal tax withholding. You will also receive an award notice with additional important information. Please contact your financial organization to make arrangements for negotiating or depositing the payment. If you need assistance, please contact the Consular Section of the American Embassy (or the office of the Railroad Retirement Board) located at the address shown below. A copy of this letter has been released to that office.

Sincerely,

(Name of Director)

American Embassy (location e.g. Athens)

Address

8.1.78 Authorization Of Awards

During the authorization of an award action, use the questions listed below as a checklist to help determine the correctness, accuracy, and completeness of the adjudicative actions taken.

- Authorize the case thoroughly and promptly.
- Has the examiner taken the correct adjudicative action?
- Is the adjudication complete? Is the case being controlled for future action, if needed.
- Is the data entered by the examiner correct?
- Are the addresses and claim numbers correct?
- Are the social security numbers correct?
- Are all date breaks considered? (Remember COLs, January recomputations, January changes in delayed retirement credits, VDB cutbacks, etc.)
- Are there any mass adjustment reject or special handling review codes, or relational edits indicated on PREH?
- Is partial withholding or actuarial adjustment in force? Is there a previous PAR overpayment that needs recovery action?
- Is RUIA clearance needed?

<u>Retirement</u>

- Has the case been dumped from RASI?
- Is the correct PIA 1 shown for each date break? Has the correct G-90 been used?
- Is the correct PIA 9 shown for each date break (if applicable)?
- Is the basic tier 2 correct?
- Is the use of military service (M/S) correct? Double-check M/S in the 6-1948 to 12-1950 period.
- Is the annuity beginning date correct?
- Is the age reduction factor correct? Double-check when the date of birth (DOB) is the first day of the month.

- Is a public service pension (PSP) or worker's compensation (WC) offset needed in tier 1? (Check for G-204, G-207, G-208, G-209 or G-214.)

- Has the ABD PIA changed? If the award is an OPO general, make sure the examiner uses the correction system to update the ABD PIA in PREH.

- Does a NCSP apply for the employee? (Check for G-207 or G-209.) If so, should PIA's be reduced for the NCSP? See RCM 1.1.15-19.

- Is the DOB correct? Does it agree with SSA's?

- Is a RR pension offset required in the supplemental annuity?

- Is the rate summary correct?

- Is the correct G-90 date entered or has PREH been corrected with the PIA data?

- Is continuing self-employment (S/E) or last pre-retirement nonrailroad employer (LPE) and are temporary work deductions (TWDs) involved? Does S/E decision make sense?

- Has a disability freeze rating been made?

- Will there be automatic Medicare enrollment? If not release an Outlook message to MS.

- Does the ALTA award letter or ORCS letter provide a proper and complete explanation of the award action taken? Are all pertinent date breaks related to the case shown?

<u>Survivor</u>

- Is the application coded in correctly?

- Has the employee's annuity been terminated?

- Have all outstanding payments been accounted for?

    1. If payments are outstanding, have the amounts been entered to PAR system?

    2. If payments have been returned (per Payback), has the file been documented?

- Does the employee have a current connection?

- Is the wage record correct?

- Was military service included on the survivor G-90?

- Has a G-37e or RR-3 been released to SSA?
- Is a tax refund payable?
- Are all required proofs in file or on-line?
- Do delayed retirement credits (DRC), retirement insurance benefit (RIB) limitation, public service pension (PSP)/social security (SS)/employee annuity offset, work deductions or, the alternative PIA apply? Has all needed information been requested?
- Is the data entered correct?
- Has the IDDA data been entered?
- Are the names spelled correctly?
- Is the original beginning date (OBD) correct?
- Are all date breaks considered? (Check for COL's, VDB - cutbacks, changes in social security or PSP amount, etc.)
- Was the employee's disability freeze considered on recurring awards?
- Have all applicable G-90s been requested?
- Is the correct PIA used?
- If the survivor G-90 is dated prior to 12-20-88, do years of service rounding apply?
- Are the 1981 EE basic tier 2, takeback, and the tier 2 after the COL increase correct?
- Should the VDB reduction be applied to the survivor tier 2?
- Is the date of birth correct?
- Are the age reduction months correct?
- If paying a 1974 amendment LSDP, are the reimbursable burial expenses correct? Should they be reduced for VA benefits?
- Is the spouse minimum or restored amount payable?
- Does the ALTA Award letter or ORCS letter provide a proper and complete explanation of the award action taken? Are all pertinent date breaks related to the case shown?

If all of the questions are correct, proceed as outlined in 8.1.79.

8.1.79 Authorization Process, Disposition, and Routing

General instructions in this section for handling authorization apply to all Retirement and Survivor sections. (See RCM 3.2.200 for Medicare section authorization information.) All current procedural guidelines should be followed when preparing and authorizing case work.

A. Case Must Be Returned to the Examiner

If the case must be returned to the examiner, write-up all adjudicative issues and/or errors requiring an examiner's attention on RRAILS Form G-383, Authorization Return Form. See RCM 11 G383 for detailed instructions how to access and complete RRAILS Form G-383.

B. Retirement Section Authorization Process, Disposition, and Routing Instructions

1. Authorizer Action

- Document all issues and errors regarding corrective action in the "Authorizer Comments" section of the G-383;
- Print 3 copies of the form and attach them to the claims folder or folder-less jacket;
- Return the case to the examiner on the payment systems, PC programs, ORCS, USTAR, and AFCS, if applicable; and
- Walk the claims folder or folder-less jacket back to the examiner.

2. Examiner Action If He/She Agrees With the Authorizer

- Make all necessary changes stated on the G-383;
- Review the entire case to determine if the changes made affect any other data;
- Write "done" in the "Examiner Comments" section of the G-383 once all changes have been made;
- Change the status on all applicable payment systems, PC programs, ORCS, and USTAR to pending auth (**NOTE:** Update the AFCS charge accordingly, when required); and
- Walk the claims folder or folder-less jacket back to the authorizer.

3. Examiner Action If He/She Disagrees With the Authorizer

- Provide a written explanation in the “Examiner Comments” section of the G-383; and

- Walk the claims folder or folder-less jacket back to the authorizer.

If the authorizer and examiner cannot resolve the discrepancy, the claims folder or folder-less jacket and all 3 copies of the G-383 should be referred to the examiner’s senior/lead examiner for a final decision. The senior/lead examiner will complete the “Supervisor or Senior Examiner Comments” section on one of the G-383’s to document the decision. The claims folder or folder-less jacket will then be returned to the examiner or authorizer to take the necessary action.

4. Disposition of Form G-383

A copy of the G-383 should always be kept by the examiner/authorizer. Once the case has been completed, the authorizer will place the remaining two copies of the G-383 in the designated unit tray (based on what unit the examiner is in).

The section supervisor will review the forms and add any additional information that would be helpful to the Operations - Training Section in determining training issues. The supervisor will keep a copy of the G-383 for their records and place the other copy in the Training Section tray located in each unit.

C. Survivor Section Authorization Process, Disposition, and Routing Instructions

1. Authorizer Action

The authorizer will:

- Document all issues and errors regarding corrective action in the “Authorizer Comments” section of the G-383;

- Print 3 copies of the form and attach 2 copies to the claims folder or folderless jacket (NOTE: The authorizer will retain 1 copy for their records);

- Return the case to the examiner on the payment systems, ORCS, USTAR, SURPASS, and AFCS, if applicable; and;

- Walk the claims folder or folderless jacket back to the examiner.

2. Examiner Action If He/She Agrees With the Authorizer

The examiner will:

- Make all necessary changes stated on the G-383;

- Review the entire case to determine if the changes made affect any other data;

- Write “done” in the “Examiner Comments” section of the G-383 once all changes have been made;

- Change the status on all applicable payment systems, ORCS, SURPASS, and USTAR to pending auth (**NOTE:** Update the AFCS charge accordingly, when required); and

- Walk the claims folder or folder-less jacket back to the authorizer.

NOTE: The 2 remaining G-383 forms should be retained in the claims folder or folder-less jacket with the other folder documentation while it is in the folder or folder-less clearance area.

3. Examiner Action If He/She Disagrees With the Authorizer

The examiner will:

- Provide a written explanation in the “Examiner Comments” section of the G-383 citing any RCM or procedural references in support of their actions and return the case to the authorizer; and

- Walk the claims folder or folder-less jacket back to the authorizer.

If the authorizer and examiner cannot resolve the discrepancy, the claim folder or folder-less jacket and both copies of the G-383 should be referred to the examiner’s senior/lead examiner for a final decision. In this situation, the senior/lead examiner will:

- Complete either the “Supervisor or Senior (Initial) Examiner Comments” section (if the G-383 was initiated in the Initial Section) or the “Supervisor or Senior (Post) Examiner Comments or Other Section Comments” section (if the G-383 was initiated in the Post Section) of the G-383 documenting their decision; and

- Return the case to the examiner or authorizer (with the updated copy of the G-383) to take the necessary action.

4. Disposition of Form G-383

A copy of the G-383 with the supervisor or senior/lead examiner remarks should always be kept by the examiner/authorizer. Once the case has been completed, the authorizer will place the remaining copy of the G-383 in the designated unit tray (based on what unit the examiner is in).

The supervisor will review the forms and add any additional information that would be helpful into the “Supervisor or Senior (Initial) Examiner Comments” section (if the G-383 was initiated in an Initial Section) or the “Supervisor or Senior (Post) Examiner Comments or Other Section Comments” section (if the G-383 was initiated in a Post Section) to determine training issues. The supervisor will place the G-383 copy in Operations Analyst tray located outside the SBD Director’s office.

D. Case Ready For Vouchering

If the case is ready for vouchering, take the following actions:

- Release the award per system instructions.
- Close out the case on USTAR.

The examiner or authorizer is responsible that the following is labeled correctly in the folderless (slash) jacket for imaging:

- Forms;
- Letters;
- Documents;
- Correspondence.

The authorizer will forward RRAILS forms or letters to imaging as appropriate. Authorizers shall ensure that forms or letters which are not sent to imaging and are no longer needed are deleted from the appropriate authorization folder.

Check that the routing on the folder-less (slash) jacket is correct.

8.1.85 Securing The Survivor G-90

In most cases, a request for a survivor G-90 is automatically generated when the field office completes a TRACK First Notice of Death (FNOD) for a deceased employee. However, if a request for a G-90 must be generated by a claims examiner or development clerk, use the Survivor G-90 Expeditor (SURGE) system. Refer to RCM 9.11 for instructions on using SURGE.

8.1.86 Securing The Auxiliary (AUX.) Widow G-90

Use the Form G-60s to request the Aux. Widow G-90. Refer to RCM 9.1, Appendix C, for instructions on completing the G-60s. Refer to Appendix D of this chapter for the tracing schedule.

8.1.87 Recovering Not-Due Payments

When a notice of death is received, the development clerk or survivor claims examiner should take specific actions, as outlined in RCM 6.6. to reclaim any outstanding payments. Refer to RCM 6.6 for information on recovering not-due payments.

8.1.88 Conflicting Claimants

Occasionally, conflicting claims are received in a case. For example: Two or more women claim to be the widow of an employee; or a woman claims to be the common-law widow, but a child or parent files for the RLS asserting that the employee was not survived by a widow. Any such conflicts must be resolved before anyone's claim can be paid. A determination of the properly entitled person, in some cases, can be made from precedent legal opinions; in others, the case must be submitted to the Attorney Advisor for a determination. Always complete a "Conflicting Marriage Summary" worksheet for cases where two or more women claim to be the widow of an employee.

A. Precedent Legal Opinion - If an unquestionable determination of the proper payee can be made on the basis of precedent legal opinions, deny the non-entitled claimant's application at the time that the proper payee's claim is submitted for approval. In the denial letter, incorporate the applicable portion of the precedent opinion and tell the applicant the name, but not the address of the person found to be entitled to the benefit.

   If there is any possibility that the bureau of survivor benefits' decision could be reversed because of new material evidence, deny the adverse claimant and inform him/her that payment will not be made for 30 days from the date the notice is released. This 30 day period allows the adverse claimant time to submit new or additional evidence to support his/her claim. Code the case for dormant call-up 30 days after the date the denial letter is released. If the adverse claimant submits new evidence in support of his/her claim, submit the case to the attorney advisor. If no new evidence or information is received within the 30-day period, submit the case to the attorney advisor asking if payment can be made before the end of the appellate (appeals) period.

B. Submission to General Counsel (GC) - When there is no precedent legal opinion by which to determine the proper beneficiary, refer the case to the GC through the section supervisor. (See RCM 5.11.) On receipt of the GC's opinion, deny the unsuccessful claimant (sending him/her a copy of the legal opinion) and certify payment to the person found to be entitled. If the GC indicates in his/her opinion that a decision should be withheld for a period to give the unsuccessful claimant further opportunity to submit more evidence, notify the claimant of this. Give him/her the name, but not the address of the person found entitled and inform him/her that payment will not be made for 30 days (unless a longer period is suggested by the GC) so that if he/she wishes, he/she may submit new or

additional evidence to support his claim. Enclose a copy of the legal opinion with the letter. Code the case for dormant call-up at the end of the specified period.

If the adverse claimant submits additional evidence or cites a state law or other authorities in support of his/her claim, resubmit the case to the GC. However, if at the end of the call-up period the claimant has not submitted any new additional evidence, deny his/her claim and certify payment to the person found entitled.

8.1.89 Constructive Survivor Award

A constructive award is used to transmit information to the bureau of research and employment accounts (BREA) when a beneficiary is entitled to an annuity but, payment cannot be made. Generally, this situation occurs when payments are withheld due to work deductions or withholding to recover an overpayment. Follow the instructions below for single or multiple beneficiaries.

A. Single Beneficiary - If a single beneficiary is entitled to an annuity but, because of work deductions or withholding to recover an overpayment, no initial payment can be certified, fully complete the G-364 and G-364.1. Item 9, "Cert. Code," on the G-364 should be coded 8 for constructive award. Item 36, "SUSP/TERM CD" on the G-364 must also be completed in these cases. Show either suspension code 12 or 66, whichever is applicable, in the space labeled "SUSP/TERM CD". Also enter the effective date of the suspension, i.e., the beneficiary's OBD, in item 37 on the G-364. Enter your examining unit's acronym (SIS, SPS, etc.) after your signature on Form G-364.

   Address a G-26 to BREA and attach it to the top copy only of the G-364.1 and G-364. Send the G-364 and G-364.1 with the appropriate notice of decision through authorization channels. When the award is approved, the authorizer will separate the original forms from the file copies, send the pre-addressed G-364.1 and G-364 to BREA, and file the copies in the file folder.

B. Multiple Beneficiaries - In multiple beneficiary cases where one (or more) beneficiary cannot be certified because of work deductions, or withholding to recover an overpayment, fully complete G-364.1's for all entitled beneficiaries. Complete items 9 and 36 of the G-364 for the withheld beneficiary in the manner described above for single beneficiary cases. For the beneficiaries whose payments are not being withheld, send G-364 and G-364.1 through normal vouchering channels.

8.1.90 Clearance With RUIA

Any payments made under the Railroad Unemployment Insurance Act (RUIA) which were not payable, are recoverable from benefits payable under the Railroad Retirement Act. Therefore, RUIA clearance is required for insurance annuities, Lump Sum Death Payments or Residual Lump Sums that fall into the categories listed below.

CLEAR WITH RUIA WHEN:

- The folder contains a current Form G-90 with "X" in the UI-87 block and does NOT contain a notice from RUIA that the erroneous payment has been recovered; or,

- An inquiry requesting RUIA clearance has been made either by a RUIA folder notice, memorandum or a G-259; or,

- A survivor benefit is payable in a case in which the employee could have worked in the railroad industry within the last three years. This would be a "D" case, an "A" case because of Medicare or SSA entitlement or an "A" case in which the employee was retired less than three years; or,

- A widow(er)'s annuity is payable to a widow(er) who worked in the railroad industry within the last three years; or

- Other evidence in the folder indicates RUIA benefits may be recovered.

Release the Form G-259 for clearance to RUIA and complete form G-24. Form G-24 is to be filed on the right side of the folder indicating that the G-259 was released to RUIA. If a RUIA overpayment is to be recovered the G-259 will be matched with the folder.

8.1.105 Form Letters, Code Letters And Code Paragraphs

A listing of the form letters available for use when awarding or denying any type of annuity is in RCM 10.4. The texts of the ALTA code paragraphs and manual code letters are in RCM 10.5. Examiner and typist instructions for the preparation of typing are in RCM 10.7.

8.1.106 O/M Not Applicable

Whenever Forms G-319 and/or G-320 were developed and it is determined, based on all information, that the O/M does not apply, release Form Letter RL-300 to the employee. This letter is available on RRAILS. Follow regular RRAILS procedure to send the completed letter to IMAGING. It is the responsibility of the unit performing the O/M test to release this letter.

8.1.107 Special Actions In Survivor Benefit Decisions

A. Disallowing Application - Employee Not Insured - When an application for insurance annuity is filed by a widow, widower, or parent and it is determined that the employee did not have an insured status with the RRB, deny the application and transfer the claims material to SSA. Use RL-71 series denial letters. Refer to RCM 7.2 for instructions on transferring material to SSA.

B. Notify Applicant of Present Ineligibility When Temporary Deductions Imposed - When an applicant cannot be paid a monthly annuity because he/she is working

and temporary deductions must be applied, notify him/her that the annuity is not currently payable. Refer to RCM 5.7 for more information on work deductions.

C. Notifying Payee of Share(s) Assigned to Him/Her by Eligible Person(s) - A person eligible to receive a share of unpaid annuities, LSDP or RLS, may assign his/her share to any other eligible person who has filed an application.

However, the share cannot exceed $500.00 and Form G-131 must be submitted. Include the following special paragraphs on the ALTA award letter.

1. Applicant's Share(s) and Assigned Share(s) Being Paid

"This payment represents your share and the shares assigned to you by (name(s) of assigner(s))."

2. Assigned Share(s) Being Paid (Applicant's Share Previously Paid)

"This covers (number of shares assigned) shares of the payment due in this case which were assigned by (Name(s) of assigner(s))."

D. Election of Another Person to Receive Award - There are a few cases in which a survivor may make any election in favor of another person. When this occurs, include the following paragraph in the award letter:

"The residual lump sum has been awarded to you because (name of person who signed election form) elected to give up his/her rights to future monthly payments so that you could be paid this amount."

8.1.115 Notifying SSA In Survivor (RLS) Awards

Notify SSA of a RLS award and return Form SS-5 or OA-702 to SSA, if the form is in the file, in any case in which:

- The surviving widow, widower, or parent ELECTED the RLS and either
- SSA has jurisdiction (G-80 cases), or
- RRB has jurisdiction but the employee has some wage credits.

To notify SSA, prepare Form RR-24, in duplicate, at the time the RLS award is prepared. - Address the form to the appropriate SSA payment center - . Refer to RCM 10.6 for the SSA office address. If the SS-5 or OA-702 is in file, staple it to the original RR-24 for release to SSA when the claim is authorized. File the RR-24 copy on the right side of the folder.

8.1.116 Person Authorizing Payment Of LSDP To Funeral Director

Notify the person who authorized all or part of the LSDP to a funeral home when the award is made, as follows:

A. Entire LSDP Payable to Funeral Home - Neatly handwrite or have the typist prepare a RL-24a to the applicant who authorized the payment to the funeral home only if he is:

A government agency, e.g., Department of Public Welfare; or

The representative of the employee's estate; or

An applicant who specifically asks to be notified.

The RL-24a should be released by the authorizer when the case is approved for payment.

B. Part of LSDP Payable to Funeral Home

1. Equitably Entitled Person Authorized Payment to Funeral Home - When an equitably entitled person authorized payment to a funeral home and payment is also being made to that person; include Code Paragraph 537 in the notice of award to the equitably entitled person.

2. Person Not Equitably Entitled Authorized Payment to Funeral Home

When a person not equitably entitled authorized payment to a funeral home, neatly handwrite or have the typist prepare an RL-24a to the applicant who authorized the payment only if he/she is one of the persons listed in "A" above.

8.1.117 Notifying Legal Representative That Payment Made To Payer Of Burial Expenses (B/E)

The following subsections explain how to handle cases in which either the payer of B/E expects to be reimbursed in the future or a legal representative has been appointed but payer of B/E does not expect to be reimbursed.

A. Person Expects Reimbursement From Funds of Estate - If the person who files as payer of B/E is not the legal representative of the employee's estate but expects to be reimbursed by the representative from estate funds, pay the applicant (if otherwise in order) and release Form Letter RL-59 to the legal representative of the estate.

B. Payer of B/E Does Not Expect Reimbursement From Estate Funds - If the applicant (payer of B/E) is NOT the legal representative of the estate and does

NOT expect to be reimbursed by the legal representative, pay the applicant (if otherwise in order) and release Form Letter RL-59 to the legal representative of the estate.

C. Payer of B/E Expects Reimbursement From Other Sources - If reimbursement is expected from a source other than estate funds (e.g., from a relative of the deceased employee), pay the applicant and release Form Letter RL-59 to the person who is expected to reimburse the payer of B/E.

In all three situations, complete the RL-59 using RRRAILS. The letter is released by the authorizer upon approval for payment.

8.1.125 The Payment Process

This section provides an overview of the payment process, from vouchering to methods of payment.

8.1.126 Vouchering

All mechanical (RASI, SURCAL) and manual (initial, recertification, reinstatement, one-payment only) awards require vouchering in order for payment to be released. However, manual and mechanical awards are vouchered differently. "Vouchered" means that an award has been stamped with a particular number verifying that certification for payment was made on a given date. Manual awards are vouchered in the adjudication sections by voucher clerks. Once the clerks have completed vouchering awards, the vouchers are forwarded to the payment services group for keypunching. Eventually, a payment tape is produced and sent to the Treasury Department to create the annuity payments (checks and direct deposit payments).

Information on vouchering is in RCM 12.2.

8.1.127 Award Cutoff Calendar

Award cutoff means that effective with a given date, payments can no longer be vouchered through the previous month. After the cutoff date, the payments must be extended through the current month and vouchered beginning with the first work day of the following month. Each month a calendar furnishing the cutoff dates and numerous mechanical run dates, is produced by the division of adjudicative services. Usually, the adjudication sections select earlier cutoff dates to help the voucher clerks meet the official cutoff dates.

The calendar month is divided into two periods; during each period only certain types of activity can be processed in the Daily Input System/Checkwriting Integrated Computer Operations (DAISY/CHICO) system. The beginning and ending dates of the two periods are based on the check issue run date which produces the monthly recurring annuity payment. The check issue run date is usually the eighth work day from the end of the

calendar month. The two periods are the pre-period and the post-period. Following is an explanation of each period.

Pre-period - The pre-period processing usually begins in the previous calendar month, and continues until the ninth business day from the end of the current calendar month.

EXAMPLE: The November 1, 1991 pre-period began October 30, 1991 and ended on November 15, 1991.

Any DAISY/CHICO activity that is processed before the check issue run is defined as pre-period activity, and will affect the payment that is dated the first of the following month.

Post-period - The post-period processing begins two days after the check issue run and usually ends the third work day from the end of the month.

Any DAISY/CHICO activity that is processed after the check issue run is defined as post-period activity, and will not affect the payment for that month but will affect the following month's payment. The processing of a manual or mechanical initial, reinstatement, or reinstatement/recertification award during this period will release a one payment only payment instead of a regular payment for the first of the month payment.

The check issue run output is the payment tape that is sent to the Treasury Department to create annuity payments (checks and direct deposit payments).

A. Pre-Period Processing

During the pre-period, all types of activity can be processed, including: change of address, suspension/termination, manual and mechanical recertification, initial, reinstatement, reinstatement/recertification, one-payment only awards, and cancelled checks.

Even though the pre-period begins in the prior month, the awards will have a voucher date in the current month. The ending date of the pre-period can be affected by mass adjustments and other operations. Therefore, it is important to refer to the monthly operations calendar each month in order to be aware of the cutoff dates for award activities.

B. Post-Period Processing

During the post-period, manual and mechanical recertification awards, suspension/terminations, cancelled checks, and change of address activity cannot be processed; however, manual and mechanical initial, reinstatement, reinstatement/recertification and one payment only awards can usually be processed.

There are three types of post-periods. Following is a description of each type, and the types of award activity that can be processed within each period:

Regular post-period: All RR and SS manual and mechanical initial, reinstatement, and one-payment only (OPO) awards.

Restricted post-period: RR OPO (certification code 6 only - no attached forms), SS only initial, reinstatement, and OPO awards. This type of post-period generally occurs the month before a mass adjustment such as the annual cost-of-living (COL).

No post-period: No DAISY/CHICO activity is processed. This type of post-period generally occurs the month of December, and is due to the change in the tax year.

Generally, it is a good idea to highlight those cutoff dates which affect your work. For instance, you may want to highlight the section and actual cutoff dates, the COA and S/T cutoff dates.

Additional information on award cutoffs and types of monthly cutoffs is found in RCM 12.2.

8.1.128 DAISY/CHICO

The Daily Activity Input System (DAISY) and Checkwriting Integrated Computer Operation (CHICO) are usually the last steps in the vouchering process. Basically, DAISY is responsible for daily payments such as accruals or one-payment onlys and CHICO is responsible for recurring monthly payments. From these systems, payment tapes are created and forwarded to Treasury. Information from these systems is also used in other records such as DATA-Q and TAX.

8.1.129 Methods Of Payment

Treasury issues payments in the form of paper checks mailed directly to annuitants or Electronic Funds Transfer (EFT) to financial institutions (FI). Enrollment in the Direct Deposit (DD) program will be processed based upon a written request, a verbal request (telephone or in-person), or submission of a SF-1199A. A separate request is necessary for each payee. A representative payee who chooses to enroll in DD is restricted to submitting a SF-1199A. Information on processing Direct Deposit (DD) forms is found in RCM 10.2.

Note: "Formless enrollment" is permitted in field offices only. Enrollment requests without the SF-1199A received at headquarters will be referred to the appropriate field office for processing.

8.1.130 Combined Retirement Annuity Checks

Regular employee annuity (RR), supplemental annuity (SUP ANN), spouse annuity and social security benefit (SS) accrual payments are issued as separate payments.

Recurring monthly annuity payments are combined in one check or EFT payment. For instance, an employee entitled to a RR annuity, SUP ANN and SS benefit (paid by the RRB) will receive one recurring payment representing all three annuities.

When initially awarding, recertifying or reinstating benefits, include the code paragraphs (CP) specified below in the award letter.

A. If paying a regular RR annuity without a SUP ANN, and a SS benefit is in pay status, include CP 1510.

B. If paying a regular RR annuity with SUP ANN, and a SS benefit is in pay status, include CP 1511.

C. If paying a SS benefit, and a regular RR annuity with or without a SUP ANN is in pay status, include CP 1512.

D. If paying a SUP ANN, and a regular RR annuity and SS benefit are in pay status, include CP 1513.

8.1.131 Combined Survivor Annuity Checks

A. Combined RR Annuity Only Checks to Survivor Family Groups - Prior to October 1983, annuities due to certain survivor beneficiaries could be combined and issued as a single payment. Effective with awards made October 1, 1983 and later, each survivor beneficiary is issued a separate payment.

B. Combined RR/SS Benefit Payments - RR survivor annuity and SS benefit (paid by the RRB) accrual payments are issued as separate payments.

Recurring monthly RR annuity and SS benefit payments are combined in one payment and issued to each beneficiary.

When initially awarding, recertifying or reinstating benefits, include the code paragraphs (CP) specified below in the award letter.

If paying a RR survivor award, and a SS benefit is in pay status, include CP 1510.

If paying a SS benefit, and a RR survivor annuity is in pay status, include CP 1512.

8.1.132 Correcting Voucher Rejects

Examiners should expedite the vouchering of rejected awards and keep the annuitant informed of any delays using (RL-121d). If there is field office, congressional or Board member interest, these parties should also be kept informed. When an award rejects and there seems to be no explanation, the examiner should refer the case to the supervisor. Multiple rejects for the same reason should not be reprocessed without investigation of the cause of the rejects.

Refer to RCM 9.12 for instructions on using the On-Line Correction System (ONCORR).

8.1.140 Correction Of Payment Records

Claims examiners are responsible for correcting incorrect claim numbers and payee codes.

8.1.141 Correction Of Claim Number Or Prefix

When you find that payments are being made under an incorrect claim number or prefix (A, D, or H), terminate the payments with code "62". Notify the payee that there may be a delay in the next payment. If the award had never been processed under the correct claim number and prefix, prepare an initial award withholding all payments made under the incorrect claim number and prefix. If payments had previously been made under the correct claim number and prefix, process a "reinstate-recert" award under the correct claim number and prefix. Send the folder to TAX-IAS after all action in complete.

8.1.142 Correction Of Payee Code

When a payee code must be changed, terminate payments using code "62". Notify the payee of your action and prepare an award form coded final under the correct payee code.

When payee code 2 has been assigned to an insurance annuity and a "JA" annuity is payable, refer the case to P&S-RAC. In either case, send the folder to TAX-IAS after all action is complete.

8.1.143 Change, Correction Or Deletion Of Representative Payee's Name Or Policing Code

Information on the representative payee and representative payee policing program is in RCM 5.10 and RCM 6.5. Refer to those sections for instructions on maintaining representative payee information.

8.1.150 Denials And Closeouts

In removing cases from the active load, be certain that all development action has been taken for each potential and actual claimant involved in the case. ALWAYS deny claims for monthly annuities when removing the claim from active status because of the applicant's failure to prosecute his claim.

NOTE: When denying a disability annuity due to a rating of not disabled, check to make sure the employee did not request and is not eligible for an age and service annuity.

8.1.151 Failure To Furnish Evidence

When an applicant fails to furnish evidence necessary to process his/her claim, take action as follows:

A. Application for LSDP, RLS or Annuities Accrued But Unpaid at Death - Usually a claim for any of these benefits can be abandoned if the applicant fails to furnish essential evidence. However, when the applicant for the LSDP is a living with widow(er) who fails to submit proof of marriage (POM), and has failed to provide necessary evidence as payer of burial expenses, deny the claim. If there are multiple claimants in a case and one fails to submit the evidence requested from him/her, give the other claimants an opportunity to furnish the evidence before removing the case from the active load.

To abandon a claim without formal notice, route the folder to the coding clerk with a route slip marked "CWOA" (close without award). No production credit is given for such a case. If formal notice is appropriate, such as for an RLS applicant in a G-80 case who cannot qualify until the eligibility of a survivor at SSA is established or denied, also prepare a G-183 and route the case to "Auth-Coding" by a route slip noted "CWOA." Production credit is given in such a case.

B. Application For Employee, Spouse, Divorced Spouse, Or Survivor Annuity - When an applicant does not furnish evidence or data within 45 days from the date of the last request, release a notice of denial unless there is a field office (F/O) interim status report in the folder. If there is a report or an indication that the F/O is still developing the case, do not deny the claim until the F/O has sent notice that the case has been abandoned.

If during the prescribed 45-day period the applicant requests additional time to secure the information, grant the additional time. Have the F/O tell the applicant the period of extension. The length of extension period is governed by the facts in each case. Give every consideration to any reasonable period of time the applicant specifically requests. Continue to grant extensions as long as an applicant requests them if he shows that he is making a sincere effort to prosecute his claim. If an extended period ends without a further extension being granted, release a formal notice of denial.

Since production credit is given for closing out abandoned claims for annuities, prepare a G-183 and route the case to "Auth-Coding" by a G-26 noted "CWOA."

Exercise particular care in denying (for failure to establish eligibility) cases involving incompetents and minor children in the custody of someone other than a parent. When an insurance annuity applicant is denied for failure to prosecute his claim, withhold a decision on any LSDP or RLS claim in the case for one year from the date of the formal denial.

8.1.152 Failure To Qualify On Basis Of Statements In Application

A. Employee, Spouse and Divorced Spouse Applicants - Deny the application when:

The applicant will not attain the required age within 3 months of the date the application is filed; or

The employee will not attain the required age within 3 months of the date the application is filed; or

The employee does not meet the service requirements; or

The spouse or divorced spouse does not meet the marriage requirements; or

The spouse does not meet the living with requirement; or

The divorced spouse was not finally divorced from the employee; or

The divorced spouse is entitled to a retirement or disability SS benefit based on a PIA which equals or exceeds 50% of the employee's PIA 1; or

The applicant does not meet any of the other eligibility requirements in RCM 1.1.1, 1.2.1, 1.3.2 or 1.3.81. For example, the divorced spouse files an application more than 3 months before the employee files; or

The applicant specifies a beginning date more than 3 months after the filing date of the application.

EXCEPTION: An application for a disability annuity may be filed more than three months in advance of the annuity beginning date.

In addition, the spouse of a disabled employee may file an application more than three months before the date on which the spouse's annuity can begin if the application is filed on the same day that the employee's disability application is filed. For further information, see RCM 5.1.41B.

B. Survivor Applicants - Deny the application when the applicant:

Indicates he/she did not pay any of the burial expenses (B/E); or

Did pay the B/E but has been reimbursed from funds in the estate; or

Will not attain age 60 within 3 months of the date the application is filed and does not claim disability; or

NOTE: If the widow(er) attains age 60 before the case is adjudicated, a new application is not required.

Is between the ages of 18 and 22, is not attending school full time and does not claim disability.

C. Applicant Still on Railroad Payroll but is Otherwise Entitled - A Railroad Retirement Act annuity cannot begin until the day after the last day of railroad employment. Deny the applicant when:

Age and Service Employee Applicant - The age and service employee applicant is still working for a railroad or is receiving "pay for time lost" that will continue more than 3 months after the application filing date.

Disability Employee Applicant - The disability employee applicant is still in compensated service to an employer under the Railroad Retirement Act on the date the application is filed.

Spouse/Divorce Spouse Applicant - The spouse or divorced spouse applicant is still working for a railroad or receiving "pay for time lost" from the railroad on his or her own earnings record that will continue more than 3 months after the application filing date.

Survivor Applicant - The survivor applicant is still working for a railroad or receiving "pay for time lost" from the railroad on his or her own earnings record that will continue more than 3 months after the application filing date.

8.1.153 Application Activated In Error

Occasionally as a result of an inquiry, an application will be activated for a person whose claim for the same benefit has already been awarded or denied. When this occurs, do not release a formal notice of denial. Write to the person and tell him that his benefits were previously awarded or denied and provide the date of the original notification letter, the application number and filing date. Route the folder to "Coding - Claim Files." Enter "Coded Active in Error - CWOA" under "Remarks" on the route slip. Production credit is not given.

8.1.154 Authorization Of Denials

During the authorization of a denial, use the questions listed below as a checklist to help determine the correctness, completeness and accuracy of the adjudicative actions taken.

- Is the reason for the denial correct?
- Is a copy of the denial letter being sent to the field office?
- If a form letter is available, has the examiner used the correct letter?

- If no form letter exists, has the examiner prepared an appropriate explanation for the application?
- Does the letter - Refer to the application? Explain the requirement of the law which the applicant fails to satisfy? Give a date the applicant will be eligible? Advise that a new application must be filed when eligibility is met?
- Is the language of the letter clear, concise, non-technical, and free from the use of "ABD," "DLW" or other Railroad Retirement Board terms?
- Does the letter have an AB-25 appeals backing?
- Has the case been dumped from RASI?
- Is the G-183 in file and properly completed?
- Is the RL-27 in file, when appropriate, for disability annuity denial (see DCM 11, RL-27 instructions)?
- Is the case routed to coding?

If all of the above questions are correct, sign and date the G-183. Also, date all copies of the denial letter, release the original and field office copies and initial the folder copy. If corrections are required, refer to 8.1.79.

8.1.160 Information Exchange

Ensuring that the proper information is relayed to the Statistical Services Section (SSS) for entering into PREH will aid in maintaining up-to-date records and help prevent mass adjustment award rejects. This section provides information on furnishing SSS with data. In addition, for easy reference we have included a list, which furnishes situations when a G-59 or G-59R is required.

8.1.161 Form G-59/59R

The G-59/59R is used by claims examiners in Operations to notify SSS and the Benefit Tax Reconciliation Section (BTRS) of changes or new information affecting retirement and survivor annuities on PREH or tax accounting systems. The G-59/59R is to be used when automatic updating of the record will not occur through a vouchered award action or when a vouchered award action is not necessary. SSS and BTRS will enter the furnished data using a manual correction action.

For information on completing the G-59/59R, refer to RCM 9.4.

8.1.162 Use Of Form G-59R

Because the G-59R is used to furnish large amounts of information to SSS and BTRS, a section discussing the use of the G-59R was developed. However, this list should not be interpreted as an exhaustive list. Since the G-59 is not used to the extent of the G-59R, a list was not included. Information on using the G-59 for special situations is furnished in RCM 9.4.

A. Information that can be corrected by either an award action or a G-59R

Change of employee (EE) or spouse (MA) annuity beginning date (ABD), day last worked (DLW) or EE ABD on the spouse record.

NOTE: An award will change the EE or MA ABD only if a G-357A is attached, even though the ABD is on the G-357.

Delayed retirement credits (DRCs)

change from a number of DRCs to no DRCs

change work deduction DRCs.

Date of birth (DOB). Form G-607 is required to correct CHICO if DOB changed by G-59R. Exception: The DOB on a spouse "data partially completed" reinstatement or reinst-recert award will be updated only if PREH has zeros.

SSA benefit offset amount in tier 1.

NOTE: The SS benefit offset amount will not be removed by an award action unless the cancellation/termination code is given.

B. Information Which Can Only Be Corrected by G-59R

SSA number developed after initial award

NOTE: Prepare a Form G-607 to update the DATA Q and taxation databases.

"Other" RR annuity information (RR claim number, prefix and amount of annuity), vouchered after employee annuity

Current connection determination

Delete erroneous supplemental annuity denial code

Delete actuarial adjustment or waiver amount

Change vested status from "vested" to "not vested" (if previous G-90 or award was coded vested)

Filing date

Manually computed PIAs (G-90a), service months, or average monthly compensation (AMC)

Delete RRA max. reduction

Marital status

Delete PL 94-547 indicator

Minor child attains 16 and rated as disabled child

To delete the spouse's own EE annuity claim number or tier 1 amount

Delete divorced wife code

Remove a tier 2 reduced to zero code

Remove a tier 1 terminated code

Delete spouse public service pension amount

Provide spouse age reduction months for 83 law year age 62 recomputation

Delete annuitant in last pre-retirement nonrailroad employer (LPE)

> NOTE: If an employee has a zero tier 2, was in LPE at the time of the initial award, and a spouse is not on the rolls, a G-59R is needed when the EE has ceased LPE. This prevents LPE work deductions from being applied to the spouse by RASI (the spouse could have a tier 2 if a restored amount is payable.)

Provide M/S accounting fields for cases paid on RASI (or anytime an award is not needed)

Change in type of annuity from age and service to disability (or vice versa). See G-59r instructions for more information.

C. <u>Information about the Supplemental Annuity which can be changed with a G-59R - See G-354 SUP ANN Instructions</u>

- Correct SUP ANN effective date #7

- Delete a collective bargaining pension code #8
- Delete a BA number (private pension not involved) #9
- Delete employer pension #19
- Delete reduction in employer pension #20
- Delete employee contribution amount #21
- Delete reduction in SUP ANN for employer pension #22

D. Information about RASI processing situations which requires a G-59R

G-805 Input Reject

"AIME/TRANS PIA in Research contains zeros"

"EE Research amt. - serv. contains zeros"

"T1 - PIA 1 in Research record not correct"

RASI Award Messages

"G-90 more than 9 months old"

"Possible WD"

"Review Dual Spouse" - submit own EE annuity ABD, own EE annuity claim number, own EE annuity PL 94-547 indicator

Refer to RCM 9.3.14 for additional information on the above referrals and messages.

8.1.163 Notifying SSS Of Data When Certification Is Not Required

A. Correcting or Adjusting Information on a Previously Certified Award

When data pertinent to the calculation of an annuity changes after a recurring award has been made, and it is not necessary to recertify the check rate, SSS and BTRS must be notified of the changes.

Handle corrections as follows:

1. If corrections can be shown on Form G-59 (survivor cases) or Form G-59R (retirement cases), prepare an original and 2 copies of the G-59/G-59R. Release the original copy of the G-59/G-59R to SSS. File one copy

on the left hand side of the folder as a permanent record of the action taken. Release the second copy of the G-59/G-59R to BTRS using a G-26 route slip. This can be done for information that was either incorrect or missing on the previous award. For future reference make appropriate corrections or additions in red on the latest award form in file in every place on the form where the changes affects the item.

For example, if a PIA is being changed, make appropriate changes in all items on the award form affected by the PIA change. However, for date of birth (DOB) change where administrative finality applies to previous payments, make the DOB change, but do not enter or alter any age reduction amount. In the "Remarks" section enter an appropriate explanation, such as: "PIA changed - additional earnings reported;" or "DOB changed - Administrative Finality applies to prior payments." Do not send the folder to SSS or BTRS.

NOTE: In survivor cases, see RCM 9.4, G-59 Instructions for specific entries required on that form. In retirement cases, see RCM 9.4 G-59R Instructions for specific entries required on that form.

2. If corrections are too numerous to be shown on a G-59/G-59R, or if the last completed award form in the file does not include entries for the item to be corrected, complete an informational award form, or an appropriate computation sheet, and use a G-59/G-59R as a transmittal form. Enter your examining unit's acronym (ICS, RPS, etc.) after your signature on Form G-357 or G-364. Prepare an original and 2 copies of the G-59/G-59R. Release the original copy of the G-59/G-59R to SSS and file a copy on the left hand side of the folder as a permanent record of the action taken. Release the second copy of the G-59/G-59R to BTRS using a G-26 route slip. Do not send the folder to SSS or BTRS. In this case it is not necessary to show corrections in red on earlier award forms.

3. If corrections are of a nature that it is deemed necessary for SSS to have the folder to process all required corrections, take all required action and send the folder on a G-26 to 1) SSS 2) BTRS.

   If SSS requests the folder individually or as part of a group request, send the folder to SSS on a G-26.

   Do not route the folder directly to SSS if:

The claim has open coding, in which case, route the folder to

(1) Code Clerk, (2) SSS; or

The claim is an initial partial which is being made final, in which case, route the folder to (1) Auth, (2) Vouchering, (3) SSS

B. Deleting Cancelled Awards From PREH

When an award has been made but the application has been cancelled, complete Form G-59 (survivor cases) or Form G-59R (retirement cases) and forward the form to SSS. (See RCM 9.4).

If the case will not be recertified, SSS must also be notified when a minor child, who is included as an IPI in an employee O/M case, will continue to be included after age 18 as an FTS or a disabled child. Similar notice is required for a survivor child if the case will not be recertified when the child attains age 18. Send these corrections to SSS on a G-59/G-59R. If recertification is required, SSS records will be corrected automatically as part of the award action.

8.1.164 Notifying SSS Of G-90 Data For Retirement Cases

A. G-90 Data Needed By SSS

In retirement cases, the PIAs, AIMEs/AMWs, and YOC's used in the annuity computations, other than EE PIA 21, are not updated from award forms. Instead, SSS picks up this information from a G-90 tape furnished by the bureau of data processing (BDP). In employee cases, PIAs 1-11 are obtained from the G-90 tape. PIA 21 is picked up from the award form. In spouse cases, PIA 21 is obtained from the G-90 tape, and PIAs 1-7 are obtained from the employee's record. Therefore, the following procedure does not apply to PIAs 1-7 in connection with a spouse award or employee PIA 21.

B. Mechanical Entry of G-90 Data

Final data from three sources is stored on a tape furnished SSS by BDP. The sources are:

RASI generated G-90's, and

G-60 generated G-90's, and

Mechanical DF G-90's.

The tape data is stored for 9 full months (for 6 months, prior to July, 1978) from the month the G-90 is printed. After 9 full months, the tape data is dropped.

1. If an award is vouchered within 9 full months of the date the latest final RASI, G-60, or mechanically generated DF G-90 was printed, and if the date of that latest G-90 is entered on the G-357, SSS updates it's records by matching against the data stored on the G-90 tape.

   NOTE: It is important that full months are considered. If the G-90 is printed on the first day of the month, the print month is counted in the 9

month period; if it is printed on other than the first day of the month, the print month is not counted in the 9 month period.

Complete the "G-90" date entry on the G-357 if:

a. The G-90 is a final RASI, G-60, or mechanically generated DF G-90; and

b. There is a change in one or more of the items e.g., PIAs, AMCs, AMWs, service months or SALSA amount payable, since the last adjustment; and

c. The G-90 will be no more than 9 full months old as of the voucher month; and

d. The G-90 is the latest G-90 in file.

NOTE: In certain circumstances, and as long as items a., b., and c. above are met, SSS may be able to match data on the G-90 tape when the G-90 date on the G-357 is not the date of the latest G-90 in file. Therefore, as long as items a., b., and c. above are met, it is acceptable for an examiner to enter the date of other than the latest G-90; however, the data would also have to be sent to SSS per B.2., or C., below, to insure proper updating.

If the G-90 has incorrect information and the G-90 date is entered on the G-357, all of the data (including any incorrect information) will be updated to PREH, even if the erroneous information was not used for payment.

Example: A G-90 with correct PIAs 4, 7, and 8 but incorrect PIA 1 is used for payment. Entering the G-90 date will cause PIA 1, the eligibility year, etc. to also be entered into PREH. Proper action in this situation is to follow-up with a G-59R providing corrected PIA 1 data or provide PIAs 4, 7, and 8 via G-59R instead of the G-90 date.

2. If an award is vouchered more than 9 months after a final RASI, G-60, or mechanically generated DF G-90 is printed, or if a temporary G-90 or special mass adjustment G-90 is used (regardless of the date), a "G-90 date" entry should not be made on the G-357. PREH can be mechanically updated if another G-90 is requested on Form G-60, and the new G-90 date is sent to SSS on Form G-59R. If a temporary G-90 was the basis of an award, forward the date of the final G-90 to SSS on Form G-59R. SSS can activate its system to force a match against data that is then available based on the new G-90 tape.

NOTE: If RASI vouchers a case more than 9 full months after the date the G-90 is printed, the referral message "G-90 more than 9 months old" will

be printed as a review message on the award form to alert the examiner to the fact that SSS has no G-90 data.

See C., below, for how to manually update the SSS record in the above situations.

C. Manual Entry of G-90 & G-90a Data

PIA, AMC, AMW, and service data that SSS cannot obtain mechanically must be manually entered into the record.

1. If one or two changes are involved, the examiner may either send the information on Form G-59R, or send the folder to SSS. If the folder is sent, notate in the "Remarks" section of Form G-26: "See G-90 (or G-90a) dated _____. Code necessary data into record."

   A copy of the G-90a may be attached to the G-59R. Note that SSS only records PIAs at the current level (unless it is the EE ABD PIA). Therefore, if a new PIA is effective Jan, '89' and a G-59R is sent in Jan '92', the PIA given must be updated for the Dec. '91' COL.

2. If extensive changes are involved, the examiner must send the folder to SSS. Notate in the "Remarks" section of Form G-26: "See G-90 (or G-90a) dated _____. Code necessary data into record."

3. Manual updating of PREH is required if:

   a. New or changed data was computed manually on Form G-90a; or

   b. New or changed data was obtained but voucher action will not be taken at this time; or

   c. The G-90 used to adjust an annuity is a temporary G-90 (also see B.2.); or

   d. The G-90 used to adjust an annuity is more than 9 full months old as of the month the award is vouchered (also see B.2.); or

   e. The G-90 used to adjust an annuity is not the latest G-90 in file (also see B.2.); or

   f. The G-90 used to adjust an annuity is the result of a special mass adjustment run (e.g., COL, AERO, RAIL, etc.; also see B.2.).

   SSS only updates data that is specifically pertinent to a mechanically processed COL, AERO, RAIL, or amendment increase. Any data not used in the mechanical update is not stored on the G-90 tape. Since SSS does not have mechanical access to data from this type of G-90, the date of

one of these G-90's should never be entered in the "G-90 date" item of the G-357.

EXAMPLE 1: A case rejects from a mechanical AERO run, and an examiner manually adjusts the annuity for a PIA 1 increase reflected on the AERO G-90. No entry is made in the "G-90 date" item of the G-357. The examiner notifies SSS of the updated PIA 1, the new AIME/AMW etc., by sending the information on Form G-59R, by sending the folder to SSS, or by requesting a new G-90 and sending the new G-90 date to SSS on Form G-59R.

EXAMPLE 2: A PIA 1 increase is processed on a mechanical AERO run. An examiner makes a subsequent annual adjustment of the windfall based on an updated PIA 4 reflected on the AERO G-90. No entry is made in the "G-90 date" item of the G-357. The examiner notifies SSS of the updated PIA 4 by sending the information on Form G-59R, by sending the folder to SSS, or by requesting a new G-90 and sending the new G-90 date to SSS on Form G-59R.

EXAMPLE 3: A case rejects from a mechanical RAIL run, and an examiner manually adjusts the annuity for a PIA 1 increase and a tier 2 increase reflected on the RAIL G-90. No entry is to be made in the "G-90 date" item of the G-357. The examiner must notify SSS of the updated PIA 1, the new AIME/AMW etc., by sending the information on Form G-59R, by sending the folder to SSS, or by requesting a new G-90 and sending the new G-90 date to SSS on Form G-59R. Tier 2 data need not be sent to SSS, as this information will be pulled from the fully complete tier 2 input sheet. Any updated FAMC amount, however, must be referred to SSS in the same manner as updated PIA 1 data as mentioned above.

8.1.165 Notifying Taxation Programs Of Records Changes

Refer the following types of cases to BTRS:

- Cases where a partition and a non-partition payment both apply to the annuity.
- Partition cases that have not been paid on award forms with a revision date of (10-89) or later.
- Cases involving the refund of a partition deduction amount.
- Cases where tier 1 was not payable to a railroad beneficiary due to a deportation, alien, or felony suspension and tier 1 is now being reinstated.
- Cases where an annuitant waives two or more components of his annuity.
- Erroneous reports of death.

- Retirement cases where the annuity formula changes from RR to O/M or O/M to RR during the award accrual period.
- Cases where the net tier rates are changing but no award action is necessary because the net annuity rate remains the same.
- Cases where partial withholding is in effect to recover an overpayment that is partially taxable and non-taxable. This would occur if an overpayment is a combination of the two categories listed below:

  Nontaxable Overpayments

- tier 2 or vested dual benefit overpaid for the period before 12-83; or
- tier 1 is overpaid because of a workers' compensation offset (retirement cases only); or
- SMI Arrearage; or
- Lump Sum Death Payment (survivor cases only).

  Taxable Overpayments

- Tier 1 overpayment not due to workers' compensation (retirement cases only); or
- tier 2 and/or the VDB overpaid for the period after 11-1983; and/or
- supplemental annuity.
- Code 98 suspension cases from which taxes were being withheld should be referred to TAX-TASA.
- Change in annuity type from reduced age to disability. See G-59 instructions for more information.

Also, refer to RCM 10.2.40 for types of correspondence that should be referred to BTRS.

8.1.185 Application For Disability Freeze Filed After Employee's Death

The October 1972 SS Act Amendments provide that a period of disability will be established and disability insurance benefits under the SS Act will be paid on the basis of an application filed within three months after the month of death of the disabled individual. Any application filed within this three month period will protect the filing date.

This provision is effective for deaths occurring after December 31, 1969. If death occurred after December 31, 1969 but before October 1972, an application filed within

three months after October 1972 will be deemed to have been filed in the month of death.

Benefit payments are limited to the usual 12 months prior to the month the application is filed or deemed to have been filed.

Since the RR Act provides that no annuity is payable unless the individual files an application before death, no employee disability annuity can be paid based on an application filed after the death of an employee.

A survivor can, however, file an application after the death of a disabled employee, as provided in this amendment, solely for the purpose of establishing a disability freeze. If established, the disability freeze can provide a higher survivor annuity.

NOTE: A disability freeze should not be established after the employee's death if the claimed onset date is in the year of death or in the year the employee attained age 62.

Prior to this amendment, a DF could not be established after an employee's death unless the employee was alive when the application was filed.

The field will initiate development of an application for a period of disability, under certain conditions, from survivors currently filing for a survivor annuity or LSDP. When an AA-1 is received for establishment of a DF after death (accompanying a regular survivor application) and RRB has survivor jurisdiction, award the survivor annuity and send the case to the disability programs section (DPS) on a G-26a after the award has been made. An application may also be filed in a case where a survivor was previously, or is currently, being paid an annuity. If the DF is denied, DPS will release the denial letter and return the file. If the DF is allowed, DPS will return the case with its rating. If a period of disability is established but the applicant is entitled to an annuity only in the future, release code letter 565 to that person.

If the DF is allowed, request a recalculation of the PIA through SURGE. If the DF increases the PIA, and the rules of tolerance do not apply, adjust the annuity rates and pay any accrual due from the OBD or 12 months prior to the month the DF application is filed. Include code paragraph 529 in the award letter advising the annuitant(s) of the reason for the adjustment. If the DF does not increase the PIA release code letter 567 to the applicant. Effective January 1, 1979, the employee's year of eligibility determines the type of PIA that will be used. The employee's year of eligibility is the earlier of:

the year he attained age 62, or

the year of his DF onset date; or

the year of death

The inclusion of a DF could change the year of eligibility and the PIA computation. Generally, examiners should only use the DF if a higher PIA results. However, the DF may always be considered for the purpose of establishing entitlement to Medicare

before age 65, even if it is not used in the PIA computation. In SSA jurisdiction cases, transfer the AA-1 with any other material being transferred.

NOTE: A DF cannot be used in the computation of a TRANS PIA. Therefore, if the survivor is receiving an annuity based on the TRANS PIA, BREA-DCC will only recompute the AIME PIA, considering the DF. Send the G-90 to BREA-DCC (division of compensation and certification) for such a recomputation. In "Remarks" of the route slip show "DF Established After Death, consider DF in AIME PIA." If the TRANS PIA without the DF is still the highest PIA when the G-90 is returned, release code letter 567. If the AIME PIA plus the DF is higher than the TRANS PIA being paid, include code paragraph 529 in the award letter advising the annuitant(s) of the reason for the adjustment.

8.1.186 Disability Freeze Established Before Employee's Death

A disability freeze (DF) established before the employee's death must be used in survivor calculations. If the DF lowers the death PIA, it should not be used to pay tier 1. However, the DF must be included in the computations of PIAs 4, 7, and 8 for the tier 2 vested dual benefit (VDB) offset amount.

8.1.187 Foreign Applications

A. INQUIRIES

Inquiries received from individuals residing in foreign countries regarding necessary forms to be completed for an annuity should be forwarded to the Chicago Field Office. Foreign countries are defined as other than Canada and Mexico. Applicants residing in Canada and Mexico will be serviced by the various field offices. Refer to RCM 10.3 Appendix B for a list of field offices respective to Canadian provinces and territories. Refer to RCM 10.3 Appendix C for a list of field offices respective to Mexican states and territories. All other foreign inquiries will be handled through the Chicago Field Office; this includes U.S. possessions such as Puerto Rico, Virgin Islands, etc. The contact representative is responsible for providing a letter of response with corresponding forms, if necessary. The following can be used to notify the applicant of action to be taken.

This is in response to your letter dated _____ in which you inquired about filing for an annuity under the Railroad Retirement Act. We have enclosed the required forms and general information about your annuity. Please read through all the material and then complete and return forms _____. The remaining material should be kept for your records.

Please be sure all forms are fully completed. Incomplete forms may delay processing of your claim. If you need assistance, you may contact the Consular Section of the American Embassy located at the address shown below. Be sure to bring proof of your identity, a copy of this letter and all enclosed material with you. A copy of this letter has been forwarded to that office.

Sincerely,

(Name of Director)

(American Embassy)

Enclosures:

Even if the person is not eligible, furnish the appropriate application. Also, release an appropriate form or letter to the person explaining why they are not eligible, but stating that they may complete and submit the application if a formal decision is desired.

In a survivor case when the employee died in the U.S., give foreign resident information on where to write for POD (see chapter 4.2, Appendix A).

B. ATTACHMENTS

Application for Employee's Annuity (Enclose AA-1, G-177, RB-1, RB-3, RB-9, RRB-1001 and TB-26)

Application for Determination of Employee Disability (Enclose AA-1, AA-1d, G-177, G-250, G-250a, G-251, (also include G-478 if mental incompetence involved) RB-1d, RB-3, RB-9, and RRB-1001)

Application for Spouse/Divorced Spouse Annuity (Enclose AA-3, G-177a, RB-3, RB-9, RB-30, RB-3, RB-30, G-45 except Canadians, and RRB-1001)

Application for Widow(er)'s Annuity (Enclose AA-17, RB-9s, RB-3, RB-17,G-45 except Canadians, and RRB-1001)

Application for Mother's/Father's & Child's Annuity (Enclose AA-18, RB-3, RB-9s, RB-17, G-45 except Canadians, and RRB-1001)

Application for Child's Annuity (Enclose AA-19, RB-3, RB-9s, RB-17, G-45 except Canadians, and RRB-1001)

Application for Full Time Student (Enclose AA-19, G-315, RB-3, RB-9s, RB-17, G-45 except Canadians, and RRB-1001)

Application for Parent's Annuity (Enclose AA-20, RB-3, RB-9s, RB-17, G-45 except Canadians, and RRB-1001)

Application for Lump-Sum Death Payment and Annuities Unpaid at Death (Enclose AA-21, RB-3, RB-21, G-45 except Canadians, and RRB-1001)

Application for Disabled Child (Enclose AA-19a, RB-3, RB-9s, RB-17, G-45 except Canadians, and RRB-1001)

Application for Disabled Widow (Enclose AA-17a, RB-9s, RB-3, RB-17, G-45 except Canadians, and RRB-1001)

Application for Employee Medicare only (Enclose AA-6, and RL-9)

Application for Spouse/Divorced Spouse Medicare only (Enclose AA-7, and RL-)

Application for Widow(er), Surviving Divorced Spouse, or Remarried Widow(er) Medicare only (Enclose AA-8, and RL-9)

To expedite the return of the completed correspondence to the proper section, the examiner will include a pre-addressed return envelope corresponding to the unit releasing the information. Also include the applicant's claim number.

C. RESTRICTED COUNTRIES

Correspondence is restricted, either by mail or through the U.S. Consular Office, with a person living in Democratic Kampuchea, formerly Cambodia.

The United States Treasury Foreign Assets Control Regulations and Cuban Assets Control Regulations (Treasury Circular 655) prohibit the delivery of all U.S. Governmental checks, including Railroad Retirement and Social Security benefit checks, to (or on behalf of) beneficiaries residing in restricted countries. The Railroad Retirement Board, as prescribed by the Treasury Department, restricts the issuance of payments to the following countries:

1) the Republic of Cuba (7/5/63)

2) Democratic Kampuchea, formerly Cambodia (4/17/75)

3) the Democratic People's Republic of Korea (12/17/50)

Benefit accrual, effective July 1, 1968, has also been restricted to any individual who is not a citizen or national of the United States for any month in which he/she resides in a country to which payment is withheld because of Treasury regulations.

Residence (not presence) in a restricted country is the cause for nonpayment. An individual is a resident if he/she is present in a restricted country for a significant length of time and makes, or intends to make, his/her home there.

If U.S. citizenship is the basis for claiming accrued benefits, no payment may be made before verifying U.S. citizenship.

No Lump Sum Death Payment (LSDP) is payable if a monthly benefit was not payable to the insured individual for the month preceding the month of death due to residence in a restricted country.

D. PREPARING AND RELEASING CORRESPONDENCE

Correspondence may be released directly to the applicant and/or to the American diplomatic and consular posts. Categories of mailing facilities to overseas posts include the Army Post Office/ Fleet Post Office (APO/FPO), diplomatic pouch facilities, regular mail facilities, or a combination of, such as APO and diplomatic pouch. Dispatch mail to foreign service posts (FSPs), embassies or consulates by airmail.

Consular sections and federal benefits units in FSPs represent RRB and other Federal agencies and should be furnished information and the status of claims on the same basis as our field office's.

Before October 16, 1990, the Railroad Retirement Board received cablegrams from FSPs over teletype lines of the Department of Veterans' Affairs. When that service was discontinued, RRB agreed with the Department of State that messages could be sent by telefax to either of two machines at (312) 751-4912 or (312) 751-7192. In emergencies, the foreign service posts may telephone the congressional inquiry section. Normally, a reply to either a telefax message or to a telephone inquiry will be made by airmail letter.

In order to insure safe and prompt delivery of correspondence and benefit checks, the U.S. Department of State has designated special addresses for many of its posts (see Appendix G in section 8.1).

When it is necessary for a Foreign Service post to deliver mail to a person in a foreign country or request assistance from the Department of State in contacting foreign residents, address correspondence to the person in the usual manner. Send all mail, including policing questionnaires, directly to the foreign service post as described in Appendix G. However, attach a G-26 to the material being sent to the correspondent. Address the G-26 to the Foreign Service post in the manner indicated below. In remarks show "For transmission to the addressee shown." Under "From" enter "U.S. Railroad Retirement Board, Chicago, IL". Prepare an envelope addressed to the Foreign Service post.

Due to special requirements on claims handling, mail for China, Hong Kong, Macao and Nicaragua must be sent through U.S. foreign posts.

Mail for mainland China (The People's Republic of China) requires an address in Chinese characters. If such an address is available, attach it to the envelope for the material being sent to the person and attach a G-26 with the comment, "For transmission to the addressee shown"; if a Chinese character is not available, add to the comment, "Chinese character address not available" and close with from "U.S. Railroad Retirement Board, Chicago, IL."

There are no special mail requirements for Taiwan (the Republic of China).

When a special address has been designated, it is to be used for mail by our agency. However, when giving directions to a resident of the country who is to write or report to the FSP, the street or building address should be furnished.

Examples of accepted forms for addressing mail are in Section 8.1, Appendix G.1, titled 'Format for Addressing Correspondence'.

E. PROCESSING APPLICATION

Note, once the necessary applications, forms and proofs have been submitted, including the RRB-1001, the examiner must code in the application. Then consider the applicants claim of a treaty exemption for tax purposes. If the annuitant claims exemption, you must hand-carry the form to a supervisor in OPNS-BTRS and ask that a record be set up. **This must be done prior to releasing the case for authorization and vouchering.** If the annuitant does not claim exemption, forward the form to the Taxation unit for processing via interoffice mail.

The examiners second consideration is the applicant's citizenship status and/or date of eligibility as described in section 4.9.20.

If the applicant is determined to be eligible, process the case as described in section 8.1.60, Retirement Manual Award Processing, for retirement and disability claims or as described in section 8.1.85, Survivor Award Manual Processing, for survivor claims.

If the applicant is determined not to be eligible, the claim should be denied according to current procedures. A copy of the denial letter should also be sent to any Consular section if they have been involved.

F. BENEFIT ISSUANCE BY TREASURY

The Philadelphia Financial Center of the U.S. Department of Treasury issues all benefit payments. Checks issued to recipients in foreign countries are forwarded to designated Foreign Service posts if available, usually the American Embassy or a Consulate General, for further distribution, with the exception of Canada and Mexico. The foreign service post decides whether to release the checks into the postal service of the host country or hold them for pickup if the postal service is disrupted, such as by a postal workers' strike, war, or civil disturbances. If a Foreign Service post does not exist, the checks are released through international mail. Canadian and Mexican beneficiaries, as well as all domestic beneficiaries, receive payments through an "open mail" system.

G. REIMBURSEMENT REQUESTS FROM EMBASSIES

Although the State Department does not ordinarily charge for their intervention, policy does permit billing the requesting agency for costs. If the embassy requests reimbursement for costs incurred, they should go through the State Department to secure payments from the RRB. The Bureau of Fiscal Operations (BFO) handles these

cases. The Embassy should be instructed to charge the prevailing rate in that area for reimbursement. If a request is submitted, send it to BFO, Accounting Department.

H. TRACING WITH STATE DEPARTMENT

If after 60 days from the release date the embassy has not responded, to the correspondence released by RRB representative, the appropriate field office will trace via e-mail with the State Department until a response is received. The e-mail address is @state.. Include as much information as possible concerning the original request in the e-mail.

8.1.195 Tracing

Claims examiners are responsible for taking any necessary tracing action for cases within their control. The tracing schedule in Appendix D is intended as a general guide for normal handling. In each case, flexibility should be used in deciding when to trace.

In RASI cases, applicable HSL referral messages are produced for examiners when tracing action is required for certain types of data. The G-227, G-230, and G-659a in the folders can also be used as a basis for determining what is outstanding and should be traced.

Material to be obtained from a railroad employer is traced through the field office in the railroad contact official's area as shown in the Contact Official List. Information requested from someone other than a railroad employee is traced to the field office which is developing the material or the field office in the area in which the person or organization from which the information was requested is located. In some cases, the tracing action must be made directly to the person or organization involved.

8.1.196 Development

Outstanding data is generally traced by using the following sources:

Electronic mail (HSL)-Original and one for the file

Memorandum - two for the field office, one for the file

tracing form - two for the field office, one for the file

teletype - original and one for the file.

If the outstanding material is not received after the action shown in the tracing schedule is taken, call the field office or send a letter to the person or organization from which the material is expected. If necessary, ask the field office to make a personal contact with the person or organization from which the material was requested.

8.1.197 Tracing For Data Controlled By The Computer

A. Retirement Cases - When a retirement application is keypunched into the RASI system, tracing call-up dates will be mechanically established for some of the outstanding data needed to pay the case. Depending on the item to be traced, RASI will usually establish a call-up date of either 10, 30, 60, or 90 days. Most items, however, will be traced on a 30-day basis.

The date for next tracing action will be shown on the G-425, "Weekly Status Report." Although RASI may have established different call-up dates for the various items in a case, only one (the most current tracing date) will be shown on the G-425. When that call-up date expires, the G-425 will show the next most current tracing date.

Some call-up dates are established for mechanical replies and will not require examiner handling. Generally, the 90 day call-up will be established for the SSA TRIC replies from BDP. No examiner action will be required when the SSA TRIC reply call-up expires. If the SSA TRIC reply has not been received when the call-up date expires, RASI will mechanically generate another SSA TRIC request.

When a tracing date that requires examiner handling expires and the outstanding data has not been received, an HSL referral will be produced. The referral message will indicate all call-up items that expired on the date the referral was generated. When the referral is read, the examiner must take the necessary tracing action to secure the required information.

However, examiners should not wait for HSL referrals before taking needed tracing action. When working a case, review the folder to see what data is still outstanding and take all necessary tracing action.

B. Survivor Cases - If a spouse has not been converted to a widow(er), an 805 referral is released. For information on responding to an 805, refer to RCM 9.3.21.c.

8.1.198 Tracing For Data Not Controlled By The Computer

When a case is not under the control of the computer, the examiner must establish any controls necessary to see that tracing action is initiated if the required data is not received in a certain period of time.

To control a case for tracing action, examiners must enter a call-up date for tracing on the folder and place the folder in the dormant file. Also, the G-662 can be used to establish a call-up date for tracing. The tracing schedule outlined in Appendix D can be used to determine what call-up dates to use. The tracing schedule, however, is only a general guide. Examiners are not restricted to the guidelines in the tracing schedule. Again, always review the folder to see what data is outstanding and take the necessary tracing action.

Appendices

Appendix A - Instructions For Showing Names And Addresses On Award Forms

A1. Basic Rules For Completing Name And Address Section Of Award Forms

- Use block letters for names (e.g., DORIS M JONES).
- Use no more than 20 characters (including spaces) to a line.
- Use no more than 5 lines for the entire name and address.
- Omit all punctuation (i.e., periods, commas, hyphens, apostrophes, etc.).
- Omit all titles, prefixes, and suffixes, as Mrs., Dr., Rev., Capt., etc. Jr. or Sr. may be shown after the payee's last name only if the field office has requested that designation or if the payee insists upon it.
- When "FOR" is used, make it the first entry on the applicable line.
- Leave one space between initials and names except segmented or prefixed last names like OBrien, McDonald, VanCamp, and LeGrand. The exception applies only to names of persons:

  SEE EXHIBIT 2

- Leave one space between a rural route or box designation and its corresponding number(s): SEE EXHIBIT 3
- Show only the name of the payee (person who is to cash check) on line 1 of the award forms. Where payment is being made directly to a beneficiary, show the address on lines 2 and 3. Two lines must be used for the address even though there is no street address.

EXAMPLE:

SEE EXHIBIT 4

A2. Names

Enter the first name, middle initial, and last name except when they exceed 20 characters; then change the first name to an initial. If the name is still too long, enter the first name and the middle initial on the first line and carry the last name to the second line. In other words, if the last name exceeds 16 characters, enter the last name on the second line. The name will appear on the check exactly as it is on the award form.

Enter the letters, beginning with the first block of the first line reserved from "NAME AND ADDRESS OF PAYEE." If the name requires less spaces than the number of blocks on any one line, leave the un-needed blocks blank, e.g.,

SEE EXHIBIT 5

When a person has more than one given name and one initial - e.g., JAMES ALLEN JONES - use only the first given name, the initial of the second given name and the surname, or only the first two initials and the surname if the use of the first given name results in the use of more than 20 characters.

EXAMPLE: Payee's name Marjorie Louise Buckingham (total blocks required, 26).

SEE EXHIBIT 6

Do not use abbreviated names, such as "Jno." for "John;" instead, use initials when necessary for saving space. Names which are usually known to be nicknames, as "Dick" or "Jim" may be used if they are shown as given names.

A. Servicemen as Payee - Include the service number of a payee in Armed Forces, if it is available in the file. Although it is considered part of the name, enter the serial number on the second line.

B. Married Women as Payee - When the payee is a married woman, use her own given name and middle initial, if any, even if she has signed her application incorrectly as "Mrs. John Jones." A woman's middle initial may represent a given name or her maiden name, whichever she prefers.

C. Widower or Widow - The widow's name, as payee on the award form, should agree with her signature on her application insofar as her signature does not conflict with the rules given above. However, if payment is to a widow who has remarried, show her married surname regardless of whether that name is on the application or is reported later.

D. Child - When making payment to a representative payee (including the child's parent) for the child/disabled child show the payee name on the first line, "FOR (name of child)" on the second.

When making payment directly to a child (including a disabled child or student), take the name of the child from the signature line of the application and enter it in the award form according to the rules above. Do not show a descriptive legend after the child's name.

When benefits are being paid to a widow for her child, show the widow's name on line 1 and the word "for," at the beginning of the next line, followed by the beneficiary's name.

EXAMPLE:

SEE EXHIBIT 7

E. Representative Payee (Whether or Not Legally Appointed - Show the representative payee's name on line 1 and, if necessary, line 2. On the next line show "FOR (name of beneficiary)."

EXAMPLE:

SEE EXHIBIT 8

F. Guardian or Ward Has An Alias - If the letters of appointment give aliases for the guardian or ward, show the name as it first appears on the letters of appointment unless that name differs greatly from the name on the application.

For example, if the beneficiary's name appears as "Theodore Brown," also known as "Ted Brown" on the evidence of appointment, and as "Ted Brown" on the application, show his name as "Theodore Brown" on the award form. But, if the evidence of appointment had given the name as "Theodore Brown," also known as "James Brown" and the application shows "James Brown," enter the name as "James Brown" on the award form.

G. Multiple Guardians - When two or more persons are named as guardians of the estate of a minor or an incompetent adult beneficiary, follow these instructions:

1. Guardians Other Than Joint Appointments - If a minor or incompetent adult has more than one legal guardian, e.g., a guardian has been appointed by more than one court, make the payment to the guardian who has assumed chief responsibility for the welfare of the ward.

2. Joint Guardianship - When two or more persons are named in the same court order, make the payment to them jointly unless both of them request in writing that payment be made to one. Show the name of the second guardian on the second line.

   In cases of guardians appointed by the courts of the State of New York, include in the designation any official or individual who is named in the appointment as a joint guardian, e.g., "John L Smith AND" on the first line and "Clk of Surrogate Crt" on the second line.

   EXAMPLE:

   SEE EXHIBIT 9

H. Statutory Guardian - Where the legal guardian of the estate has acquired this status by statute rather than by court appointment, show the official name of the guardian. Show the name of the ward as it appears on the evidence of authority submitted by the statutory guardian. For example, a State statute provides that the New Jersey State Board of Child Welfare shall be statutory guardian of the

person and estate of all children committed to its custody, care and control. The payee designation will be: NJ Child Wel Bd For John F Smith.

EXAMPLE:

SEE EXHIBIT 10

I. Indians - If an award is being made to the superintendent of an Indian Agency on behalf of an Indian ward, designate the payee as "Supt Indian Agcy For John J Jones," without showing the name of the superintendent.

EXAMPLE:

SEE EXHIBIT 11

J. Institution or Social Agency as Payee for Minor or Incompetent - Where payment is being made to an officer of an institution or agency on behalf of a minor or incompetent adult, show his title and the name of the agency or institution, followed by "For (name of beneficiary)".

Do not use more than 3 lines for the names of the institution and beneficiary. The word "For" must be at the beginning of the line.

NOTE: Descriptive legends such as "as unremarried widow," "as gdn, of," "as lgl. gdn. of," "as comm. of," "as cons. of," " as lgl. cust. of," etc., are not used.

EXAMPLE:

SEE EXHIBIT 12

K. Administrator, Executor, or Other Legal Representative of Estate

Where benefits are being awarded to an administrator (including a public administrator), executor, or other representative of an estate, show the name of the legal representative exactly as given in the court order. Omit the official capacity of such representative. If an alias is given for the representative, show the name as it first appears on the court order unless it varies materially from the name on the application. After the payee's name, enter the words "For estate of," e.g., "John Doaks for estate of Henry Doe."

Where the appointment papers give the names of two or more fiduciaries as co-administrators, co-executors, etc., show both names.

L. Payee for Estate not Legal Representative - When the payee for an estate is not the legal representative, show only his name; do not show that he represents the estate. (Persons under court order or a small estate statute are legal representatives.)

M. Multiple Beneficiaries - When there are several beneficiaries, show payment to each beneficiary separately.

N. Funeral Home - When the LSDP is being paid to the FH, show the name of the FH not the funeral director) on line 1. On line 2 enter "For Acct. of" and on line 3, the name of the deceased employee.

EXAMPLE:

SEE EXHIBIT 13

A3. Address Of Payee

Always indicate the beginning of the address by a group mark, SEE EXHIBIT 14. The first line of the address is limited to the group mark and 19 other characters. Do not leave a space after the group mark. The total number of characters (letters and spaces) for each other line cannot exceed 20 except that the fifth line cannot exceed 19 characters.

The address portion of the award form must never be less than 2 lines. As many as 4 lines may be used for the address, provided only 1 line is used for the name. When no descriptive legend (For estate of John Doe) or restrictive legend (For name) is present, the address will usually start on line 2. The number of lines of name and address can never be less than 3 (e.g., when the address consists only of the city and State, enter the city on one line and the State and ZIP code on the next).

Show the correct mailing address of the payee after his name, or where payment is made to a person on behalf of a beneficiary, after the name of the beneficiary. Where payment is being made jointly to two or more fiduciaries (co-guardians, etc.) show only the fiduciary's address; if such address is not given, use the address of the next fiduciary.

Use no punctuation. Omit periods, commas, apostrophes, etc.; however, hyphens may be used in the address. Do not close spaces between prefixed or segmented names or words in the address that refer to places; or between rural route or box designations and their corresponding number(s). Do close spaces between names of persons, e.g.

SEE EXHIBIT 15

The space after the % sign may be closed if line limitations require it. At least three spaces must be used to enter a fraction; in addition, a space must be left on each side of the fraction.

A. Address Criteria

Apply the following rules to the street address:

Omit unnecessary words, such as "corner of," "on the," etc.

Incorrect	Correct
John J. Smith	John J Smith
Ashland and Elm Street	Ashland & Elm Sts

Omit building (or apartment or hotel) name when street address is given.

Use standard street address abbreviation when necessary to keep it to one line, but never abbreviate street name to one letter. Include branch of service and organization in military addresses.

Incorrect	Correct
Cecilia F Sullivan	Cecilia F Sullivan
1423 New York Av NW	1423 N Y Av NW

Omit vowels when necessary to keep one line, along with standard abbreviations:

Incorrect	Correct
1018 North Springfield Drive	1018 N Springfld Dr

Use numbers for numbered street.

Incorrect	Correct
128 Fifty-Eight Street	128 58 St (omit "th" after 58)

Use ampersand "&" for "and" if necessary to meet limitations.

EXCEPTION: When "&" is the last character on the first line of a recurring award, it must be spelled out.

Change "apt" to "#" if necessary to meet limitations.

Use the % for "care of" and "in care of," or "at the residence of" and "at the office of." The % symbol goes on the address line and is preceded by the group mark. Follow the % symbol with the name of the person or facility where the material will be delivered. It is not necessary to close the space after "%" unless the line limitation requires it.

Abbreviate street designations, such as lane - LA; drive - DR; highway - HWY; avenue - AV; and use RR for RFD, or Rural Delivery.

B. City, State and ZIP Code - Apply the following rules to the city, state and ZIP code:

Do not abbreviate names of cities, except Saint is to be abbreviated St; Fort as Ft; etc. Show the city name in full with the exception of lengthy cities which make the line too long, and for which only acceptable abbreviations are to be used. These acceptable abbreviations are shown in the RRB ZIP Code Master Books.

Philadelphia Pennsylvania	Phila Pa
Cincinnati Ohio	Cinci Oh

The state must be abbreviated in accordance with the two letter abbreviation in Appendix B of RCM 10.2.

Include the ZIP code. Enter the code on the same line with but after the state unless it makes the line too long, in which case enter it on the next line.

If the ZIP code is not available from material in the claim folder, secure the ZIP code number from the National ZIP Code Directory.

Always show the "APO," "FPO," or "AFB" before the city and state for military addresses. The 5-digit APO number must follow the state name in the same manner as a ZIP code. The city may be abbreviated N Y for New York and S F for San Francisco (only for military addresses) See list of abbreviations in RCM 10.2.

C. Foreign Country Designation

Keep the names as they appear in the basic document if 20 characters or less.

Abbreviate street addresses only when you know positively that such abbreviations are acceptable.

Abbreviate town, city, country, or county only when you know positively that the abbreviations are acceptable.

A4. Name And Address Entries For One Payment Only And Recurring Award

The usual name and address entries are not required on an award form if the award action is one of the following:

- ONE-PAYMENT-ONLY, AND REINSTATEMENT, OR REINSTATEMENT-RECERT — The award is being made on a G-357 or a G-364, and the payee is in current pay status or in suspense; if the payee was terminated or does not appear on the MOMS tape or DATA-Q, enter the payee's name and address on the award form;

  NOTE: When reinstating an "erroneous report of death," always show the name and address on the payment input sheet; and

  The payee code has not been used for a different payee; and

  The payee's name and address is the same as shown on the most recently updated MOMS tape or DATA-Q.

- RECERTIFICATION AND — There is no change of address in file dated in the current month or last month, not reflected on the most recently updated MOMS tape or DATA-Q.

When the above conditions are met, draw a single diagonal line across the name and address item, as in this example of the G-357 for a recurring payment;

SEE EXHIBIT 16

It is important for purposes of consistent file documentation that the diagonal line code not be used for any other purpose, such as on an information award, constructive award or on an award processed to transfer funds from one account to another. It is also important to keep change-of-address notices filed on the left side of the claim folder as prescribed in RCM 8.1.50.

When the conditions for non-entry of the name and address are not met, or if there is any doubt about whether or not they are met, complete the name and address in the usual manner.

Appendix B - Form G-90a

MANUAL CERTIFICATION OF SERVICE AND COMPENSATION - BASIC AMOUNT AND PIA DETERMINATIONS

Form G-90a is manually prepared by the BIS-DMB in response to a G-563 request. The G-90a furnishes 1937, 1974 and 1981 Act computations such as PIAs, indexed tier 2 and basic amount.

When requesting a manual PIA computation solely for an annuity estimate, show on the G-26 requesting the PIA computations "ANNUITY ESTIMATE - NO PAYMENT INVOLVED." If it develops later that the annuity is to be awarded manually, a G-60 is required to get the PIAs into the DMG record and to get the proper PIAs to be used in the manual award. No additional action is required if the annuity is awarded by RASI.

Block	**Title and Explanation**
1 A.B.C.,	SELF-EXPLANATORY. Completed by the retirement or survivor examiner.
2 - 11	For each requested PIA, the BIS-DMG claims examiner will provide: • TYPE OF PIA (AMW, AIME, TRANS) • CLOSING DATES • WAGES AND/OR COMPENSATION • DIVISOR MONTHS (DIV.) • EFFECTIVE DATE • Point at which the PIA is payable by circling ABD, COL or RECOMP • Amount of PIA • Years of Coverage (YOC) • The special minimum PIA (SP.MIN)
11	MISCELLANEOUS CALCULATIONS - PIA # - This item will reflect data for miscellaneous PIAs such as PIA #2, PIA #21
13	RAILROAD RETIREMENT ACT - COMPUTATIONS - This item will reflect the basic amount data.

14	CERTIFICATION - The DCC examiner will sign and date the G-90a.

Appendix C - Form G-90b

DETAIL OF SERVICE MONTHS AND COMPENSATION

Form G-90b is used for manual certification of military service credits and recertification of months of employer service.

Block	Title and Explanation
1 - 2	Self-explanatory.
3A	Year - Years 1937-1950 are preprinted on the form.
3B	Mos. Serv - Months of service credited entered in this column.
3C	Inc. Years - The increment years 1937-1950.
3D	Compensation - The total compensation credited for each year 1937-1950. M/S credits are identified by an "M/S."
3E	Wages - Form SSA-794 all creditable wages.
3F	Wages and Compensation - The total wages and compensation.
4	Military Service - Months of M/S are entered and either the "Creditable" or "Not Creditable" box is checked.
5	Months Employed (R.R.B.) - Individual service months identified here when requested.
6	Remarks - Self-explanatory.

Appendix D - OPERATIONS TRACING SCHEDULE FOR OUTSTANDING ITEMS

A. Compensation And Wage Data From Claims Certification Unit (CCU)

1. Retirement G-90 (from G-60 or RASI)

1st Tracer - After 30 days, check the status list of pending retirement Search requests.

- If the type reply column shows "DPA MANUAL REENTRY" or "MANUAL PIA RELD," send Form G-60a to CCU.

- If the type reply column shows "SSA REPLY," verify that the SS claim number is correct. In manual cases, release another G-60. In RASI cases, RASI will submit a new request.

- If the case is not on the status list and no G-90 has been received, release another G-60 in manual cases. In RASI cases, if RASI did not receive the G-90 data, RASI will submit a new request.

2. Survivor G-90

An on-line SURGE FNOD request for spouse-to-widow cases will generate a SEARCH G-90 wage record request. A G-90 requiring re-entry for lag, military service or SSA reply, appears on the HSL SBD Survivor "A" Search Pending List. If a G-90 requires group "B" manual review or calculation by the CCU, it will appear on the B G-90 Database (PC) Program.

3. Tracing An Outstanding Re-Entry "A" G-90

a. 1st Tracer - Check the E-mail SBD Survivor A Pending List. If the case is on the pending list, pend for 2 weeks from the date into system. If not received within 2 weeks, determine the "Type Code" reason the G-90 is delayed and follow the procedure below.

If the G-90 is delayed due to SSA reply, the wage record cannot be traced. If there is no SSA reply furnishing the outstanding wages, the G-90 will drop off the pending list after 30 days with no calculation.

If the G-90 is delayed due to lag, refer the case to the Senior Claims Specialist or Section manager.

If the G-90 is delayed due to military service, trace directly to the CCU E-mail mailbox entitled "RE ENTRY A" using the "Survivor Wage Record Tracer" pattern.

CCU responses will be sent to the SURV INQUIRIES/ TRACERS mailbox. The messages will be distributed daily.

b. 2nd Tracer - If no response to the E-mail is received within one week, trace with the CCU through the Senior Claims Specialist or Section Manager.

If the case is not on the HSL Pending List, see procedure for tracing an outstanding manual "B" G-90 below.

4. Tracing An Outstanding Manual "B" G-90

To determine if a G-90 has been referred to CCU for manual review or calculation, access the B G-90 Database Program option #1, "Check On Survivor B G-90". Enter the terminal digit number without dashes or, if a six digit number, the prefix followed

by the six digits. If no record is found using a six digit number, also check under the terminal digit number.

If the G-90 has been referred to CCU for category B manual handling, the claim number will be displayed as an existing case with the date received in CCU. If CCU has completed their action and forwarded the paper G-90 to the Survivor Benefits Division, the date of that action will be indicated in the "Date Completed" box.

- 1st Tracer - Trace a category B G-90 not completed by CCU using the Database program. Select "S - Send Message To CCU For Special Handling". Type in the tracer message in the remarks section and enter "Y" to send the message. CCU can acknowledge the special handling request and respond using the Database program, if applicable.

- 2nd Tracer - If no response to the Database program message is received within one week and no G-90 is received, trace with CCU through the Senior Claims Specialist or Section Manager.

5. Tracing G-563

Release 1st Tracer 30 days after request was made. Release a 2nd Tracer G-563 marked "Second Request" 30 days after first tracer was released.

B. Compensation and Pension Data

1. Tracing G-88A.2, Notice of Retirement and Request for Verification of Service Needed for Eligibility.

This tracing procedure is in FOM-I-1720 G-88A.2.

2. Tracing Form G-88p, Employer's Supplemental Pension Report –

This tracing procedure is in RCM Part 11 Form G-88p Instructions.

C. Proofs Needed to Pay Case

1. Tracing Proof from Field Offices

a. 1st Tracer - After 30 days or when referral message is produced - E-mail message to field.

b. 2nd Tracer - 30 days after 1st tracer - E-mail message to field.

c. 3rd Tracer - 30 days after tracer - Phone call to field. Note - The field office will be abandoning the case if they have been unable to obtain the proof by this time.

2. Tracing Proof from Resources Management Center (RMC)

After 30 days from the date foreign language document was sent to RMC - Send a photocopy of the G-91a in file to RMC. Show "Foreign Language Document Outstanding 30 days," on the G-26 route slip.

D. Medical Evidence

The DSUBD will take all tracing action necessary for outstanding medical evidence.

E. Social Security Date

1. RLS - (Form G-80 is obsolete).

Refer to RCM 2.9.70.-73. for current G-80 RLS handling.

2. Tracing RR1a/RR1e

First Tracer - If the beneficiary or the field office reports that an application for SS benefits has been filed and no RR1a/RR1e is in file, check POLO. If not on POLO, send an RR-25 to the OSR

F. Military Service Data

1. Tracing G-431 or SF-180

1st Tracer - 30 days after form was released. Release another form.

2. Tracing for Reply to Code Letter 353

1st Tracer - 30 days from date form letter was released - Release a letter marked "Second Request".

2nd Tracer - 30 days after 1st tracer, release a second tracer letter.

3rd Tracer - 30 days after 2nd tracer, refer case to RAS.

G. All Data from Government Agencies not Mentioned Above

1st Tracer - 30 days from date form or letter was released - Release a letter marked "SECOND REQUEST".

2nd Tracer - 30 days after 1st tracer - Release a 2nd tracer letter.

3rd Tracer - 30 days after 2nd tracer - Refer case to PAS.

H. All Data Requested from Field not Previously Covered

1st Tracer - 30 days from date request was made - Send E-mail message to the field office manager.

2nd Tracer - 10 days from 1st tracer - Send E-mail message to appropriate regional office.

Appendix E – Railroad Retirement Voucher Number Assignments

001	FIRST PAYMENT (OPO) IN POST PERIOD
002	MECH. SMIB RECERT SINGLE MONTH DEDUCTION
003	MECH. SMIB RECERT SBI ACCRETION, DEDUCTIONS STOPPED, REFUND
004	MECH. SMIB REINST/RECERT MULTIPLE MONTH
005	OPEN
006	MECH SMIB RECERT SMIB WITHDRAWAL, DEDUCTIONS STOPPED, SMIB REFUSAL
007	MECH. SMIB REINST/RECERT SBI DELETION - MULTIPLE MONTH DEDUCTION
008	CODE 98 REINST OR OPO
009-010	MECH. - OPEN
011-067	RECON, BCS, BSU MANUAL AWARDS
068	RECON, CIS, BCS, SURPASS AWARDS
069	RECON, CIS, BCS, ROC AWARDS
070	RECON, CIS, BCS ONCORR AWDS
071-090	PSU (SF-1166'S)
091-093	OPEN
094-177	FIELD OFFICE SURPASS AWARDS
094	ATLANTA GA

095	SAVANNAH GA	Obsolete
096	BIRMINGHAM AL	
097	JACKSON MS	Obsolete
098	MOBILE AL	Obsolete
099	CHARLOTTE NC	
100	JACKSONVILLE FL	
101	FORT LAUDERDALE FL	Obsolete
102	TAMPA FL	
103	NASHVILLE TN	
104	KNOXVILLE TN	Obsolete
105	MEMPHIS TN	Obsolete
106	RICHMOND VA	
107	NORFOLK VA	Obsolete
108	ROANOKE VA	
109	HUNTINGTON WV	
110	LOUISVILLE KY	
111	LITTLE ROCK AR	
112	SHREVEPORT LA	Obsolete
113	NEW ORLEANS LA	
114	NEW YORK NY	
115	OPEN	
116	ALBANY NY	
117	SYRACUSE NY	Obsolete
118	BUFFALO NY	

119	BALTIMORE MD	
120	BOSTON MA	
121	PORTLAND ME	Obsolete
122	SPRINGFIELD MA	Obsolete
123	NEW HAVEN CT	Obsolete
124	HARRISBURG PA	
125	ALTOONA PA	
126	NEWARK NJ	
127	PHILADELPHIA PA	
128	SCRANTON PA	
129	WASHINGTON DC	Obsolete
130	CLEVELAND OH	
131	TOLEDO OH	Obsolete
132	CHICAGO IL	
133	JOLIET IL	
134	DECATUR IL	
135	MOLINE IL	Obsolete
136	GRAND RAPIDS MI	Obsolete
137	DETROIT MI	
138	CINCINNATI OH	
139	COLUMBUS OH	Obsolete
140	INDIANAPOLIS IN	
141	FORT WAYNE IN	Obsolete
142	PITTSBURGH PA	

143	YOUNGSTOWN OH	Obsolete
144	KANSAS CITY MO	
145	TOPEKA KS	Obsolete
146	DES MOINES IA	
147	WICHITA KS	
148	DULUTH MN	
149	ST. PAUL MN	
150	ST. LOUIS MO	
151	SPRINGFIELD MO	Obsolete
152	OMAHA NE	
153	FARGO ND	
154	OKLAHOMA CITY OK	Obsolete
155	MILWAUKEE WI	
156	TULSA OK	Obsolete
157	EAU CLAIRE WI	Obsolete
158	FORT WORTH TX	
159	HOUSTON TX	
160	SAN ANTONIO TX	Obsolete
161	DENVER CO	
162	OAKLAND CA	
163	WEST COVINA CA	
164	SAN BERNARDINO CA	Obsolete
165	EL PASO TX	Obsolete
166	PHOENIX AZ	

167	TUCSON AZ	Obsolete
168	SACRAMENTO CA	
169	FRESNO CA	Obsolete
170	KLAMATH FALLS OR	Obsolete
171	BILLINGS MT	
172	ALBUQUERQUE NM	
173	PORTLAND OR	
174	SALT LAKE CITY UT	
175	SPOKANE WA	
176	BOISE ID	Obsolete
177	BELLEVUE WA	
178-182	OPEN	
183	BIG SURPASS AWARDS	
184	SIS SURPASS AWARDS	
185	SIS ONCORR AWARDS	Obsolete
186-214 216-220	SURVIVOR INITIAL SECTION (SIS)-MANUAL AWARDS	Obsolete
215	RESCUE SURPASS award	
221-254	SURVIVOR POST SECTION (SPS) MANUAL AWARDS	Obsolete
255	SPS SURPASS AWARDS	
256-279	NANCY JOHNSON	
280	SPS ONCORR AWARDS	Obsolete
281	MARS SURPASS AWARDS	
282-289	OPEN	

290-309	RASI PRE-RUNS	
310-318	RASI POST AWARDS	
319-320	RASI COMPUTE ONLY AWARDS	
321-335	DPS MANUAL AWARDS	
336	DPS/MPS SURPASS AWARDS	
337	DPS/MPS ROC AWARDS	
338	DPS ONCORR AWARDS	
339-349	MPS MANUAL AWARDS	
350	MPS ONCORR AWARDS	
351-360	PC-AWARDS	
361-370	RESERVED FOR PC-DOS	
371-378	RETIREMENT BACKLOG TASK FORCE (RBT) MANUAL AWARDS	
379	BRB CSG AWARDS	
380	RBT ONCORR AWARDS	
381-382	ASTRO	
383	MARS ROC AWARDS	
384	OPEN	
385	APPLE SURPASS AWARDS	
386-399	OPEN	
400-429	RCA (POST WORK)	
430-449	SURCAL PRE-RUN	Obsolete
450-459	SURCAL POST RUNS	Obsolete
460	OPEN	
461	SURCAL RECERTS	Obsolete

462-469	OPEN
470	TAS RECERT
471-474	MASS MECHANICAL ADJUSTMENT
475	MECHANICAL SMIB RECERT SBI DELETION - NO ARREARAGE
476	MECHANICAL SMIB RECERT SBI ACCRETION - NO REFUND
477-479	OPEN
480-484	PAM (G-96'S ONLY, NO AWARDS)
485-495	OPEN
496	GOTCHES AWARDS
497	OPEN
498	DIB MECHANICAL SMIB RECERT
499	MECHANICAL SMIB REINST/RECERT MULTIPLE MONTH DIB DEDUCTION
500-573	INITIAL CLAIMS SECTION (ICS) MANUAL AWARDS
574	ICS ROC AWARDS
575	RESCUE ROC awards
576-596	RETIREMENT POST D (RPD) MANUAL AWARDS
597	RPD ROC AWARDS
598	RPD ONCORR AWARDS
599	ICS ONCORR AWARDS
600-696	RETIREMENT POST SECTION (RPS) MANUAL AWARDS
697	RPA ROC AWARDS
698	RPB ROC AWARDS
699	RPS ONCORR AWARDS
700-775	COMBINED BENEFIT SECTION (CBS) MANUAL AWARDS

776-797	NANCY JOHNSON
798	RPC ROC AWARDS
799	CBS ONCORR AWARDS
800-899	OPEN

Appendix F - Social Security Voucher Number Assignments

900	SSA - ICS MANUAL AWARDS
901	ICS SOLAR AWARDS
902	SSA - RCS MANUAL AWARDS
904	SSA - ICS ONCORR AWARDS
905	RPD SOLAR AWARDS
906	907 - SSA - RPS MANUAL AWARDS
908	RPS SOLAR AWARDS
909	SSA - RPS SOLAR AWARDS
910	929 - SSA - CBS MANUAL AWARDS
930	CBS SOLAR AWARDS
931	SSA - CBS ONCORR AWARDS
932	939 - SSA - SIS MANUAL AWARDS
940	SIS SOLAR AWARDS
941	SSA - SIS - ONCORR AWARDS
942	959 - SSA - SPS MANUAL AWARDS
960	SPS SOLAR AWARDS
961	SSA - SPS ONCORR AWARDS
962	971 - SSA - RECON, BCS, MANUAL AWARDS

972	DPS/MPS SOLAR AWARDS
973	RECON, CIS, BCS, SOLAR AWARDS
974	SSA - RECON, CIS, BCS, ONCORR AWARDS
975	MARS RETIREMENT SOLAR AWARDS
976	MARS SURVIVOR SOLAR AWARDS
977	OPEN
978	BRB - CSG AWARDS
979	SSA - RBT - ONCORR AWARDS
980	984 - PAM
985	SSA MECHANICAL COST-OF-LIVING
986	SSA CODE 98 REINST OR OPO
987	SSA MECHANICAL COST-OF-LIVING
988	SSA MECHANICAL COST-OF-LIVING
989	SMIB REINST/RECERT MULTIPLE MONTH DIB DEDUCTION
990	MECHANICAL SMIB RECERT SINGLE MONTH DEDUCTION
991	MECHANICAL SMIB RECERT SBI ACCRETION, DEDUCTIONS STOPPED SMIB
992	MECHANICAL SMIB REINST/RECERT MULTIPLE MONTH DEDUCTION
993	MECHANICAL SMIB RECERT SMIB WITHDRAWAL, DEDUCTIONS STOPPED
994	MECHANICAL SMIB REINST/RECERT SBI DELETION, MULTIPLE MONTH DEDUCTION
995	MECHANICAL SMIB RECERT SBI DELETION - NO ARREARAGE
996	MECHANICAL SMIB RECERT SBI ACCRETION - NO REFUND
997	MECHANICAL SMIB RECERT SINGLE MONTH DIB DEDUCTION
998	FIRST PAYMENT (OPO) IN THE POST PERIOD

999	RESERVED

Appendix G - Key Officers of Foreign Service Posts (March 1996)

G.1 Format For Addressing Correspondence (Foreign)

The RRB uses the Key Officers Guide to contact an embassy for assistance or to provide an annuitant the address of an embassy servicing their area. Information regarding embassies, consulates general, and consulates can be found in the following appendices. Addresses of Foreign Service posts are listed on the U.S. Department of State website.

Consular Officers extend to U.S. citizens and their property abroad the protection of the U.S. Government. They maintain lists of local attorneys, act as liaison with police and other officials, and have the authority to notarize documents.

Correspondence to a Foreign Service post must be addressed to a section or position rather than to an officer by name, e.g., Consular Section, John Doe. This will eliminate delays resulting from the forwarding of official mail to officers who have transferred. Use the APO/FPO address as provided. If one is not available, use the diplomatic pouch address. If neither is listed, use the local address. This address should also be provided to the applicant in case he/she may need to contact the embassy for assistance.

FORMAT OF ACCEPTED FORMS FOR ADDRESSING MAIL

Posts with APO/FPO Numbers:

APO/FPO Address*
Name of Section/Person
Organization
PSC or Unit number, Box number
APO AE/APO AA/APO AP number

International Address**:

Name of Section/Person
American Embassy
P.O. Box number***
Zip Code (if applicable), City
Country

Posts without APO/FPO Numbers:

Diplomatic Pouch Address*
Name of Section/Person
Name of Post
Department of State
Washington, D.C. 20521

International Address**

Name of Section/Person

American Embassy
Name of Street***
Zip Code (if applicable), City
Country

NOTE: Do not combine any of the above formats (e.g., international plus APO/FPO addresses). This will only result in confusion and possible delays in delivery. Mail sent to the Department of State for delivery through its pouch system for posts with APO/FPO addresses cannot be accepted and will be returned to the sender.

* Use domestic postage.

** Use international postage.

*** Use street address only when P.O. Box is not supplied.

G.2 Telephoning A Foreign Service Post

Correspondence with a post should be in writing. In rare instances when contact by phone is deemed necessary, either by the Customer Quality Service Group (CQSG) or the Congressional Inquiry Section (CIS), dial the RRB operator for assistance. Phone numbers are located on the U.S. Department of State website following the address of the post. Provide the operator with the name of the country you wish to reach. This should be followed by the country code, identified within brackets [ ], the city code, in parentheses ( ), then by the local number.

American Embassy Canberra (Australia) is used as an example.

Dial 0 + country code + city code + local number

Example: 0 + [61] + (2) + 6214-5600

G.3 Abbreviations And Symbols

Refer to the U.S. Department of State website for a list of abbreviations and symbols of various titles and commonly used words. You can also find an alphabetical list of the Geographical Index on the U.S. Department of State website.G.4 Key Officers Of Foreign Service Posts

To locate a current list of addresses and telephone numbers of the key officers of Foreign Service posts go to the U.S. Department of State website. Refer to Appendix G.1 for instructions on the appropriate format to use when addressing foreign correspondence and Appendix G.2 when telephoning a Foreign Service post. Country codes in parentheses ( ) and city codes in parentheses ( ) must be dialed with all telephone and fax numbers when calling from the United States.

Appendix H – Handling Dual Entitlement Cases

General

A dual entitlement (dual) case is any case in which a person applies for or may be entitled to an annuity on each of 2 different RRB account numbers. The applicant may simultaneously file for an annuity on 2 different claim numbers or may already be in pay status on one claim number and file for a different type of annuity on another. The annuities may be 2 retirement annuities, a retirement and a survivor annuity, or 2 survivor annuities.

Because the payment of one annuity in dual cases often requires the adjustment or denial of the other, it is important to coordinate their processing. This appendix provides general guidelines for Retirement and Survivor units for coordinating and handling these cases.

Retirement Dual Cases

In retirement dual cases, one examiner should handle the necessary processing on both claim numbers. The lead/supervisor uses his or her discretion in determining which examiner both claim numbers should be assigned to. The following may be used as guidelines.

- If both an employee and spouse simultaneously file initial applications for both employee and spouse benefits, the examiner that normally handles the male employee's claim number should handle the processing on both claim numbers.

- If an annuitant is in pay status on one claim number and files for an annuity on another, the examiner that normally handles the claim number of the annuity in pay status should handle the processing on both claim numbers.

Applicant Simultaneously Files For Both Employee And Spouse/Divorced Spouse Annuity

If ***a spouse and employee application are filed*** and

- **There is railroad service before 1975** – If either earnings record has railroad service before 1975, the RRB field office is instructed to enter an IMPACT rate and a SPAR rate (adjusted for the employee annuity).

- **There is no railroad service before 1975** – If neither earnings record has railroad service before 1975, the RRB field office is instructed to enter an IMPACT rate, but to not enter a SPAR rate.

If ***a divorced spouse and employee annuity application are filed***, the RRB field office is instructed to enter an IMPACT rate.

In either case, the retirement unit takes the following action.

1. Clears the RASI manual OP code “034” for the employee annuity and the 953 call-up #407 for the spouse annuity, as explained in RCM 9.3.13.

2. Computes the final employee annuity rate and the final spouse/divorced spouse annuity rate, adjusted for the own employee annuity, as explained in RCM 1.3.11 and RCM 1.3.91.

Spouse/Divorced Spouse Annuity In Pay Status

If the spouse/divorced spouse annuity on a different RRB claim number is in pay status when the applicant files for an employee annuity on his or her own earnings record, the RRB field office is instructed to not enter an IMPACT rate.

RBD takes the following action.

1. Computes the final employee annuity rate and the final spouse/divorced spouse annuity rate, adjusted for the employee annuity, as explained in RCM 1.3.11 and RCM 1.3.91.

2. Recovers any overpayment in the spouse/divorced spouse annuity from the accrual for the employee annuity according to current overpayment procedure in RCM 6.6 and RCM 9.10.

   If there is no spouse/divorced spouse annuity overpayment, clears the RASI manual OP code “034” for the employee annuity, as explained in RCM 9.3.13.

Retirement/Survivor Dual Cases

In retirement/survivor dual cases, RBD handles the necessary retirement action and SBD the survivor action. The leads/supervisors that handle the respective retirement and survivor claim numbers are responsible for coordinating the retirement and survivor actions.

Applicant Simultaneously Files For An Employee And Survivor Annuity

Do not pay the survivor award without an offset for the final employee annuity rate. When the retirement application is received, the retirement supervisor should immediately notify the survivor supervisor with an e-mail that an employee award is pending in a dual entitlement case, even if the field office has already entered that information on the APPLE survivor application. This is to make sure the survivor unit is fully aware of the retirement award before the survivor award is handled.

The employee annuity IMPACT rate should have been entered by the RRB field office and paid on RASI.

RBD takes the following action.

1. Clears the manual OP code “034” for the employee annuity, as explained in RCM 9.3.13.

2. Controls for RASI payment or processes a final award.

3. When the annuity is paid final, the retirement supervisor sends an e-mail to the survivor supervisor advising that retirement action is complete.

Once the SBD supervisor receives the e-mail from the RBD supervisor advising that the employee annuity has paid, SBD processes the survivor application and pays the survivor annuity. The employee annuity offset pre-fills from PREH.

Applicant’s Own Employee Annuity In Pay Status When (S)he Files For A Survivor Annuity

Entitlement continues on both claim numbers.

The survivor annuity processes mechanically from the APPLE application. The employee annuity offset amount pre-fills from PREH.

Applicant’s Survivor Annuity In Pay Status Whe (S)he Files For Own Employee Annuity

Entitlement continues on both numbers. However, the survivor annuity rate must be must be adjusted for the employee annuity.

The field office should not have entered an IMPACT rate for the employee annuity in these cases. RASI sets a manual OP “034”.

RBD takes the following action.

1. Drops the employee application from RASI.

2. Prepares the employee annuity final award on the Retirement On-line Calculation (ROC) system, but **does not pay the case**.

3. The RBD supervisor sends an e-mail to the SBD supervisor advising of the employee annuity and provides the rate information for the offset.

When the SBD supervisor receives notice from the RBD supervisor, SBD takes the following action.

1. Adjusts the survivor annuity rate.

2. Establishes any survivor annuity overpayment record on the survivor annuity claim number per RCM 6.6 and 9.10.

   NOTE: The RRB field office is instructed to advise the applicant that the survivor annuity will be adjusted for the entitlement to the employee annuity. This should meet the “due process” requirement.

3. Immediately after the survivor annuity rate correction, the SBD supervisor sends an e-mail to the RBD supervisor advising that the survivor annuity has been adjusted. The e-mail should also include the amount of the survivor overpayment, if any.

Once the RBD supervisor receives the e-mail from the SBD supervisor, RBD completes processing of the employee annuity. Any survivor annuity overpayment is recovered from the accrual.

Applicant's Spouse Annuity In Pay Status When (S)he Files For A Surviving Divorced Spouse Or Remarried Widow(er)'s Annuity

Entitlement continues on both the survivor and spouse annuity claim numbers, but only the higher of the 2 annuities is payable.

SBD takes the following action.

1. Computes the survivor annuity monthly rate.

2. Compares the survivor annuity monthly rate to the spouse annuity monthly rate in force.

3. If the survivor rate is higher than the spouse rate,

   - suspends the spouse annuity with code 56.

   - establishes and posts any spouse annuity overpayment ***under the spouse annuity claim number*** per RCM 6.6 and RCM 9.10.

   - pays the survivor annuity, recovering any spouse annuity overpayment from the accrual.

   NOTE: The RRB field office is instructed to advise the applicant that the spouse annuity will be adjusted for the entitlement to the survivor annuity. This should meet the "due process" requirement.

4. If the spouse annuity rate is higher than the survivor rate, deny the application.

If the survivor annuity is payable and it later terminates, a new application is not required to reinstate the spouse annuity.

Divorced Spouse Annuity In Pay Status And Survivor Files For Surviving Divorced Spouse Or Remarried Widow(er)'s Annuity

There is entitlement only on the claim number with the higher annuity.

SBD takes the following action.

1. Computes the survivor annuity monthly rate.

2. Compares the survivor annuity monthly rate to the spouse annuity monthly rate in force.

3. If the survivor rate is higher than the spouse rate, entitlement to the divorced spouse annuity ends. In these cases SBD

   - terminates the spouse annuity with code 55.

   - establishes and posts any spouse annuity overpayment ***under the spouse annuity claim number*** per RCM 6.6 and RCM 9.10.

   - pays the survivor, recovering any spouse annuity overpayment from the accrual.

   NOTE: The RRB field office is instructed to advise the applicant the spouse annuity will be adjusted for the entitlement to the survivor annuity. This should meet the "due process" requirement.

4. If the divorced spouse annuity rate is higher than the survivor annuity rate, deny the survivor application.

If the survivor annuity is payable and it later terminates, a new application <u>is</u> required to again pay the divorced spouse annuity.

<u>Applicant's Surviving Divorced Spouse Or Remarried Widow(er)'s Annuity In Pay Status When (S)he Files For A Spouse Annuity</u>

The RRB field office should not enter a SPAR payment. RASI will set a 953 call-up #407.

RBD takes the following action.

1. Drops the spouse annuity from RASI.

2. Computes the spouse annuity rate.

3. If the spouse annuity is higher than the surviving divorced spouse or remarried widow(er)'s annuity, entitlement to either of the 2 survivor annuities ends. In these cases, RBD

   - terminates the survivor annuity with code 46.

   - establishes and posts any overpayment ***under the survivor annuity claim number*** per RCM 6.6 and 9.10.

   - pays the spouse annuity, recovering any survivor annuity overpayment from the accrual.

NOTE: The RRB field office is instructed to advise the applicant that the survivor annuity may be terminated by the entitlement to the spouse annuity. This should meet the “due process” requirement.

4. If the survivor rate is higher than the spouse rate, the spouse annuity entitlement is established by the application, but it should be closed without award.

If the spouse annuity rate is the higher rate and it later terminates, a new application is required to pay the survivor annuity.

If the survivor annuity is the higher rate and it later terminates, a new application is not required to again pay the spouse annuity.

Applicant’s Surviving Divorced Spouse Or Remarried Widow(er)’s Annuity In Pay Status When She Files For A Divorced Spouse Annuity

RBD takes the following action.

1. Computes the spouse annuity rate.

2. If the divorced spouse annuity is higher than the surviving divorced spouse or remarried widow(er)’s annuity, entitlement to either of the 2 survivor annuities ends. In these cases RBD

   - terminates the survivor annuity with code 46.

   - establishes and posts any overpayment ***under the survivor annuity claim number*** per RCM 6.6 and RCM 9.10.

   - pays the divorced spouse annuity, recovering any survivor overpayment from the accrual.

   NOTE: The RRB field office is instructed to advise the applicant that the survivor annuity may be terminated by the entitlement to the divorced spouse annuity. This should meet the “due process” requirement.

3. If the divorced spouse annuity is lower than the surviving divorced spouse or remarried widow(er)’s annuity, the divorced spouse annuity is denied.

If the divorced spouse annuity is payable and it later terminates, a new application is required to again pay the survivor annuity.

If the divorced spouse annuity is not payable and the survivor annuity later terminates, a new application is required to pay a surviving spouse annuity.

Death Termination In Dual Entitlement Cases

If the dual annuitant dies, the survivor/lead coordinates the handling of all necessary dual adjustments.

Survivor/Survivor Dual Cases

Occasionally, an applicant is entitled to survivor benefits on 2 survivor claim numbers. Only the higher survivor annuity net monthly rate is payable.

Applicant's Survivor Annuity In Pay Status And (S)he Files For Another Survivor Annuity

If the survivor annuity in pay status is higher, the application for the other survivor annuity is denied. If lower, the annuity in pay status is terminated and any overpayment is recovered from the accrual of the new annuity.

If at a later date the annuity that was terminated or denied has a higher annuity rate, a new application is required to reestablish entitlement to that annuity.

Applicant Simultaneously Files For Two Survivor Annuities

In rare instances, a survivor applicant may simultaneously file for survivor benefits on 2 RRB claim numbers (i.e., a widow files for both a widow's and a parent's annuity). Only the higher of the two is payable and the application for the lower annuity must be denied.

The SIS examiner that would normally handle the claim number under which the annuity appears more than likely to be payable handles both claims. This is determined by the lead/supervisor.

Appendix I - Survivor Request For Retirement Handling

Before processing a survivor annuity award examiners should check to see if action is needed on any terminated retirement annuity. Survivor examiners must first verify what retirement action is needed. Check STAR to see if an APPLE referral was generated for an open employee or spouse COLA or there is an open RBD RESCUE referral. If a COLA or RESCUE referral indicates a potential overpayment in the retirement annuity, send the case to RBD per the following instructions before processing the survivor award(s). If the COLA or RESCUE referral indicates an underpayment exists in the retirement annuity, the survivor awards can be processed without delay; it is not necessary to send the case to RBD unless a spouse annuity calculation is required to determine if the spouse minimum guaranty will apply to the widow's annuity.

If the survivor application is pending, expedited retirement action should be requested. A survivor supervisor or senior lead examiner should send an email to the RBD Operations Analyst requesting expedited development of the retirement overpayment. If there is no survivor application pending, the SBD examiner should send the folder jacket to the appropriate unit in RBD requesting adjudication of the retirement overpayment.

Use the following guidelines to determine which retirement unit has jurisdiction of a particular case.

- COLA referrals: if the payee is subject to a legal process deduction, send the case to RPS-B. Send all other cases to RPS-A.
- RESCUE referrals: send the case to RPS-A.

If it is determined that the retirement annuity has been overpaid, the retirement examiner will process a PREH update award and establish the overpayment on PARS. The overpayment computations can be viewed by browsing the award on ROC, the PC awards program or the Imaging system. If the retirement examiner determines that no adjustment in the retirement annuity is required, he/she will prepare a FILE NOTE using RRAILS and upload the note to Imaging for immediate viewing.

Appendix J - Tier 2 - 3(g) and 4(d) COL Increases Effective 12/1/84

EMPLOYEE ABD	COL INCREASE PERCENTAGE	EFF. DATE	CUMULATIVE INCREASE FACTOR
12-1-86 or	0.4	12/86	.00400
earlier	0.4+1.4	12/87	.01806
	0.4+1.4+1.3	12/88	.03129
	0.4+1.4+1.3+1.5	12/89	.04676
	0.4+1.4+1.3+1.5+1.8	12/90	.06560
	0.4+1.4+1.3+1.5+1.8+1.2	12/91	.07839
	0.4+1.4+1.3+1.5+1.8+1.2+1	12/92	.08917
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8	12/93	.09788
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9	12/94	.10776
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8	12/95	.11662
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9	12/96	.12667
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.13456
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.13910

	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.14821
	0.4+1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.16084

12-2-86			
thru	1.4	12/87	.01400
12-1-87	1.4+1.3	12/88	.02718
	1.4+1.3+1.5	12/89	.04259
	1.4+1.3+1.5+1.8	12/90	.06136
	1.4+1.3+1.5+1.8+1.2	12/91	.07410
	1.4+1.3+1.5+1.8+1.2+1	12/92	.08484
	1.4+1.3+1.5+1.8+1.2+1+0.8	12/93	.09352
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9	12/94	.10336
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8	12/95	.11219
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9	12/96	.12220
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.13006
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.13458
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.14366
	1.4+1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.15624

12-2-87			
thru	1.3	12/88	.01300
12-1-88	1.3+1.5	12/89	.02820
	1.3+1.5+1.8	12/90	.04671

	1.3+1.5+1.8+1.2	12/91	.05927
	1.3+1.5+1.8+1.2+1	12/92	.06986
	1.3+1.5+1.8+1.2+1+0.8	12/93	.07842
	1.3+1.5+1.8+1.2+1+0.8+0.9	12/94	.08813
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8	12/95	.09684
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9	12/96	.10671
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.11446
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.11892
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.12787
	1.3+1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.14028

EMPLOYEE ABD	COL INCREASE PERCENTAGE	EFF. DATE	CUMULATIVE INCREASE FACTOR
12-2-88			
thru	1.5	12/89	.01500
12-1-89	1.5+1.8	12/90	.03327
	1.5+1.8+1.2	12/91	.04567
	1.5+1.8+1.2+1	12/92	.15613
	1.5+1.8+1.2+1+0.8	12/93	.06458
	1.5+1.8+1.2+1+0.8+0.9	12/94	.07416
	1.5+1.8+1.2+1+0.8+0.9+0.8	12/95	.08275
	1.5+1.8+1.2+1+0.8+0.9+0.8+0.9	12/96	.09249
	1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.10014
	1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.10454

	1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.11338
	1.5+1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.12563

12-2-89			
thru	1.8	12/90	.01800
12-1-90	1.8+1.2	12/91	.03022
	1.8+1.2+1	12/92	.04052
	1.8+1.2+1+0.8	12/93	.04884
	1.8+1.2+1+0.8+0.9	12/94	.05828
	1.8+1.2+1+0.8+0.9+0.8	12/95	.06675
	1.8+1.2+1+0.8+0.9+0.8+0.9	12/96	.07635
	1.8+1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.08388
	1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.08822
	1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.09692
	1.8+1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.10899

12-2-90			
thru	1.2	12/91	.01200
12-1-91	1.2+1	12/92	.02212
	1.2+1+0.8	12/93	.03030
	1.2+1+0.8+0.9	12/94	.03957
	1.2+1+0.8+0.9+0.8	12/95	.04789
	1.2+1+0.8+0.9+0.8+0.9	12/96	.05732
	1.2+1+0.8+0.9+0.8+0.9+0.7	12/97	.06472

	1.2+1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.06898
	1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.07753
	1.2+1+0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.08938

12-2-91			
thru	1	12/92	.01000
12-1-92	1+0.8	12/93	.01808
	1+0.8+0.9	12/94	.02724
	1+0.8+0.9+0.8	12/95	.03546
	1+0.8+0.9+0.8+0.9	12/96	.04478
	1+0.8+0.9+0.8+0.9+0.7	12/97	.05209
	1+0.8+0.9+0.8+0.9+0.7+0.4	12/98	.05630
	1+0.8+0.9+0.8+0.9+0.7+0.4+.08	12/99	.06475
	1+0.8+0.9+0.8+0.9+0.7+0.4+.08+1.1	12/00	.07646

EMPLOYEE ABD	COL INCREASE PERCENTAGE	EFF. DATE	CUMULATIVE INCREASE FACTOR
12-2-92			
thru	0.8	12/93	.00800
12-1-93	0.8+0.9	12/94	.01707
	0.8+0.9+0.8	12/95	.02521
	0.8+0.9+0.8+0.9	12/96	.03444
	0.8+0.9+0.8+0.9+0.7	12/97	.04168
	0.8+0.9+0.8+0.9+0.7+0.4	12/98	.04585

	0.8+0.9+0.8+0.9+0.7+0.4+0.8	12/99	.05422
	0.8+0.9+0.8+0.9+0.7+0.4+0.8+1.1	12/00	.06581

12-2-93			
thru	0.9	12/94	.00900
12-1-94	0.9+0.8	12/95	.01707
	0.9+0.8+0.9	12/96	.02622
	0.9+0.8+0.9+0.7	12/97	.03340
	0.9+0.8+0.9+0.7+0.4	12/98	.03753
	0.9+0.8+0.9+0.7+0.4+0/8	12/99	.04583
	0.9+0.8+0.9+0.7+0.4+0/8+1.1	12/00	.05733

12-2-94			
thru	0.8	12/95	.00800
12-1-95	0.8+0.9	12/96	.01707
	0.8+0.9+0.7	12/97	.02419
	0.8+0.9+0.7+0.4	12/98	.02829
	0.8+0.9+0.7+0.4+0.8	12/98	.03652
	0.8+0.9+0.7+0.4+0.8+1.1	12/00	.04792

12-2-95			
thru	0.9	12/96	.00900
12-1-96	0.9+0.7	12/97	.01606
	0.9+0.7+0.4	12/98	.02012

	0.9+0.7+0.4+0.8	12/99	.02828
	0.9+0.7+0.4+0.8+1.1	12/00	.03959

12-2-96			
thru	0.7	12/97	.00700
12-1-97	0.7+0.4	12/98	.01103
	0.7+0.4+0.8	12/99	.01912
	0.7+0.4+0.8+1.1	12/00	.03033

12-2-97			
thru	0.4	12/98	.00400
12-1-98	0.4+0.8	12/99	.01203
	0.4+0.8+1.1	12/00	.02316

12-2-98			
thru	0.8	12/99	.00800
12-1-99	0.8+1.1	12/00	.01909

12-2-99			
Thru	1.1	12/00	.011
12-1-00			

12-2-00			
or Later	None	---	---

Appendix K - Tier 2 3(g)/4(d) Cumulative COL's Prior to 12/1/84

EE ABD EFF DATE	6/1/77 or Before	6/2/77 to 6/1/78	6/2/78 to 6/1/79	6/2/79 to 6/1/80	6/2/80 to 6/1/81	6/2/81 to 6/1/82	6/2/82 to 6/1/83
6/1/77	1.019						
6/1/78	1.0404	1.021					
6/1/79	1.07369	1.05367	1.032				
6/1/80	1.12308	1.10214	1.07947	1.046			
6/1/81	1.16351	1.14182	1.11833	1.08366	1.036		
6/1/82	1.19143	1.16922	1.14517	1.10967	1.06086	1.024	
6/1/83	1.20454	1.18208	1.15777	1.12188	1.07253	1.03526	1.011

Tier 2 - 3(g) and 4(d) COL effective 12/1/84

EE ABD EFF DATE	12/1/84 or Before
12/1/84	1.011