

7.2.1 Introduction

This section describes the process for handling Transfers. Included are descriptions of the mechanical processes involved, preparing the Transfer material and releasing it.

7.2.2 Mechanical Processes

A. Mechanical Transmittal of Jurisdiction Determinations

In April 2000, RRB transmitted a file to SSA containing all the jurisdiction determinations that were in our records at that time. Since then, a file has been transmitted weekly that updates SSA's records with current RR earnings information (see FOM1 230.155.2) and current jurisdiction determinations.

RRB transmits three jurisdiction codes to SSA, which are based on the jurisdiction indicators in PREH. SSA stores the mechanically transmitted jurisdiction information in their Disability, Railroad, Alien, and Military System (DRAMS)

"R" (RRB Jurisdiction) - SSA sends RRB certified SSA earnings and any claims material, and notifies the claimant of RRB jurisdiction.

"S" (SSA Jurisdiction) - SSA verifies insured status using both SSA and RR earnings, then processes the claim.

"U" (Jurisdiction unknown or not determined) - A request is transmitted to the Office of Earnings Operations (OEO) in Baltimore to obtain jurisdiction information from RRB.

B. Initial APPLE First Notice of Death (FNOD) Processing

Once RRB receives notice of an employee's death, the information is entered on the Application Express (APPLE) system. This automatically triggers reclamation of outstanding last payments, the release of the G-60s (Tric Request for Wage and MBR Information – Survivor/Spouse), and RR-3 (RRB Report or events Affecting SSA Payments), when necessary. For a full description of the APPLE system refer to FOM1 1581.

C. RRB Jurisdiction

If a spouse is on the rolls, APPLE will continue its mechanical processing and pay the spouse to widow(er) conversion. If the payment cannot be processed mechanically, APPLE will refer the case to the Survivor Tracking and Reporting (STAR) system for examiner handling. If there is no spouse on the rolls, take necessary action to develop and pay any eligible survivors.

D. SSA jurisdiction

If a spouse is on the rolls and there is no current connection, APPLE refers the case to STAR for RRB credits to be transferred to SSA. If there is no spouse on the rolls, but there is a widow, claims material, a survivor inquiry, or an inquiry from SSA transfer the claim.

E. "D" Cases

Upon the entry of the FNOD, the case will be referred to headquarters for handling. If RRB has jurisdiction, the case will be referred to the Survivor Benefits Division (SBD) for further action. If SSA has jurisdiction and the case meets the criteria for transfer of credits, SBD will transfer the credits to SSA according to procedure.

F. Annuity Activity Pending – SSA Jurisdiction

Annuities Due but Unpaid - For cases in which claims material is to be transferred to SSA and a claim for unpaid employee annuities is ready for authorization, prepare both the transfer package and SURPASS award for authorization. If a claim for unpaid annuities is not ready for payment, or has not been filed, prepare the transfer package for authorization and request the RRB field office to develop, as necessary.

G. Payments

Employee Payments - If the employee's last payment(s) are outstanding, they will be reclaimed by the Automated Receivables, Reclamations, and Credits (ARRC). No examiner action is necessary. However, if the employee was receiving LAF E SSA benefits, notify SSA on the RR-3T which SSA benefits are outstanding and that RRB is taking recovery action.

Spouse Annuity Payments - When spouse type annuity payment(s) are outstanding and SSA has jurisdiction of survivor benefits, complete Forms G-205 and G-205a and forward them to the Debt Recovery Division (DRD). They will take appropriate action to recover the outstanding RR payments.

Auxiliary SSA Payments - If the spouse's or other auxiliary beneficiary's last payments included LAF E SSA benefits, advise SSA of the paid through date of those benefits on form RR-3T.

7.2.3 Preparing and Releasing the Transfer Package

Since a file is being transmitted weekly that updates SSA's records with current RR earnings information (see FOM1 230.155.2) and current jurisdiction determinations, material for the transfer package does not include an RR-90. The procedure below will describe what is included in transfer packages for life and death cases.

7.2.3.1 Life Cases

Attach copies of the application(s), proofs, and any other claims material to the RL-64 denial letter. Forward the material to the appropriate SSA location using the following guidelines:

- If the employee is on the SSA MBR, forward the package to the SSA PSC that has jurisdiction of his claim number.
- If the employee is not on the SSA MBR, forward the package to the SSA field office that services the area in which he lives. (SSA field office addresses can be obtained by accessing SSA's on-line Telecommunications Routing Indicator Directory (TRID). Follow your unit's procedure for requesting information from those with access to SSA's database.)

7.2.3.2 Death Cases

In most cases, the Transfer PC program will be used to generate the necessary material needed for the package. The program is linked to the G-60/G-60s program, and the necessary earmarkings will be automatically deleted. If the Transfer PC program is not used, each form must be completed individually on RRAILS (refer to individual forms instructions for item completion), and the G-60/60s program accessed separately to delete earmarkings.

The following forms are required to transfer claims:

- Fully completed RR-3T. One copy forwarded to SSA, one **copy released to the Medicare Section, if Medicare is involved**, one copy forwarded imaged.
- Forward a copy of RL-71 or denial letter to SSA, release original to annuitant, and forward one copy imaged.
- Fax sheet if information is being faxed to SSA.

NOTE: An RR-3T is needed for each auxiliary beneficiary; in the remarks section include the type of application filed, date filed and the types of proofs that are submitted. Applications and proofs are not submitted to SSA.

A. Routing SSA Transfer Material

Route all material to be transferred to SSA using the following guidelines (refer to RCM.11, RR-3T instructions, for more detailed guidelines on how the transfer package should be sent to SSA):

- If there is a survivor not receiving SSA benefits, or credits are being transferred based on an application or inquiry, forward the transfer package to the SSA field office servicing the area in which the survivor or applicant or inquirer lives. (SSA

field office addresses can be obtained by accessing SSA's on-line Telecommunications Routing Indicator Directory (TRID). Follow your unit's procedure for obtaining information from those with access to SSA's database.)

- If both the survivor and employee were receiving SS benefits, forward the transfer package to the SSA processing center which corresponds to the survivor's SSA account number. If the survivor's SSA benefit was LAF Code E, FAX the transfer package.
- If the survivor was receiving SS benefits, but the employee was not, forward the transfer package to the SSA processing center which corresponds to the SSA claim number on which the survivor is receiving SS benefits. If the benefits were LAF Code E, FAX the transfer package.
- Forward all foreign applications and inquiries to SSA's Office of Disability and International Operations (DIO).

If SSA may have jurisdiction of the claim in the future and an application for a widow's, widower's, or parent's insurance annuity is filed with RRB more than 3 months before the month in which the survivor attains eligibility, do not transfer the application and/or other pertinent claims material unless an SS earnings record request is being processed. In such cases, inform the applicant that SSA will have jurisdiction of his claim, that an application filed more than 3 months before the first month of eligibility is not valid, and that a new application should be filed with the SSA office in his locality after the requirements for eligibility are met.

In most instances, the transfer of claims to SSA in survivor cases will occur without the claims folder. The initial survivor examiner completes the initial transfer package and releases all required documentation to SSA and imaging.

7.2.3.3 Cases with Foreign Address

When handling cases with foreign address, advise the annuitant to contact the American Embassy or Consulate, which is nearest to them in the Form Letter RL-71.

7.2.4 Record of Transfer

To verify that a Transfer has been completed, access STAR. Generally, the transfer categories on STAR will be SIS AT or SIS 73. View the closed work activity. If either STAR category shows that the action has been completed, there will be a DATE HANDLED. This will be confirmation that the transfer has been processed. Assume all appropriate action has been taken.

In addition, Transfer materials are imaged. The imaged documents should be accessible in approximately 15 minutes after being imaged.

7.2.5 Disposition of Material Received After the Transfer Has Been Completed

7.2.5.1 Application or New Evidence

If an application (other than an AA-1 or application for RLS) or new evidence is received pertaining to SSA's claim, and it does not affect the jurisdiction determination, forward the application or new evidence to the SSA office that received the previous transfer material. Inform the sender of the action taken.

7.2.5.2 Inquiries

Acknowledge any inquiry received in a case which has been transferred to SSA. Handle correspondence as follows:

- If a general inquiry is received answer the inquiry and advise that the case has been transferred to SSA and give the reason for the transfer.
- If the inquiry consists of a protest against the decision of transfer, handle it in the usual manner as described in RCM 6.1, Protest and Appeals.
- If the inquiry contains information pertinent to the claim being processed by SSA, forward the inquiry to that agency and inform the sender of the action taken.
- In survivor cases, treat a second general inquiry from the same individual as a specific RLS inquiry and handle the inquiry as described in RCM 2.9.

7.2.6 Reversal of Jurisdiction Determination

7.2.6.1 AA-1 Received After Certification to SSA for Less Than 120 Months of Service or Less Than 60 Months of Service After 1995

If an application has been filed and at least 120 service months or at least 60 service months after 1995 are claimed for the RR employee, the following action must be taken;

- Verify the service months
- If the service months cannot be verified, deny the application
- Notify SSA program service center through the SSA off-site representative using form RR-25.
- Use SSA's filing date to compute RR annuity if possible (See RCM 5.1.4 for additional procedure.)

- If criteria in RCM 5.1.4 are not met, secure statement from employee explaining why the annuitant filed for benefits at SSA instead of RRB.
- If it is evident from EE's statement that he knew he was eligible for benefits at RRB but chose to file at SSA, pay the annuity based on the filing date of the RR application.

7.2.6.2 Jurisdiction of Case Transferred to SSA Reverts to RRB

A. Claims Material Transferred

When an application is received and jurisdiction of the case reverts back to RRB take the following action:

- Verify Service months
- Notify SSA program service center via RR-3 explaining the facts in the case and request the return of any claims material.
- G-37e to reverse jurisdiction from SSA to RRB.
- G-60S to re-earmark SSA records
- If the e-file or EDMA has no indication of transfer of RR compensation request and review a full MBR. If SS benefits were payable to the EE, the account line on the MBR will include "INV" or "RCU". This indicates that RR credits were transferred.

B. Processing an Award at RRB

An award can be completed at RRB before a reply is received from the OSR. However, the award letter should include a special paragraph advising the applicant that a potential overpayment may exist at SSA. Advise the annuitant that the RRB accrual may be helpful in repaying the possible overpayment.

7.2.7 Certification of SS Benefits when Remarried Widow (RW)/Surviving Divorced Spouse (KW) Loses Entitlement

Refer to RCM SSC 1100 for instructions.

