

HEALTH AND RETIREMENT STUDY

Form 831 Disability Records Respondent and Deceased Spouse

Data Description and Usage

Version 4.0, August 2015

To the Restricted Data Investigator: This restricted data set is intended for exclusive use by you and the persons specified in the *Agreement for Use of Restricted Data from the Health and Retirement Study* and/or the *Supplemental Agreement with Research Staff for Use of Restricted Data from the Health and Retirement Study*. If there are any questions about this data set and its use, refer to the restricted data pages on the HRS Web site (<http://hrsonline.isr.umich.edu/rda>). You can also contact the HRS Help Desk via electronic mail (<mailto:hqsquestions@umich.edu>) or on the Web (<http://hrsonline.isr.umich.edu/help>).

This document may not be reproduced without the written consent of the staff of the Health and Retirement Study, the Institute for Social Research, the University of Michigan.

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1. Overview and Acknowledgments

The Health and Retirement Study (HRS) is a national longitudinal study of the economic, health, marital, and family status, as well as public and private support systems, of older Americans. The HRS is a rich source of longitudinal, cross-sectional data for researchers and policymakers who study aging. Funding for the Health and Retirement Study is provided by the National Institute on Aging at NIH (U01AG009740), with supplemental support from the Social Security Administration. The study is conducted by the Institute for Social Research (ISR) at the University of Michigan.

HRS gratefully acknowledges the special assistance of the Social Security Administration's Office of Research and Statistics for their assistance in retrieving the administrative records of HRS respondents who gave consent for those records to be used for research purposes.

2. Obtaining the Data

2a. Restricted Data Agreement

This restricted data set is intended for exclusive use by you and the persons specified in the *Agreement for Use of Restricted Data from the Health and Retirement Study* and/or the *Supplemental Agreement with Research Staff for Use of Restricted Data from the Health and Retirement Study*. If you have questions about the content and use of this data set, refer to the HRS Restricted Data Web site or contact the HRS Help Desk (hrsquestions@umich.edu) by email.

2b. Access to Restricted Data

Although most HRS data sets are available to the public without restriction, certain HRS data sets contain sensitive respondent information and are only available under terms of a formal agreement negotiated between the researcher and HRS. If you are a researcher who has found a restricted data file that is of interest, you should begin the application process by reviewing the application materials and procedures on the HRS Web site (<http://hrsonline.isr.umich.edu>). If you decide to go forward, you should submit a preliminary application package containing a research proposal and data protection plan to HRS. If problems are found with your application, the HRS staff members will contact you to provide assistance in resolving them. Otherwise, once you have been notified by HRS that your application is complete, you may submit your application to your local Institutional Review Board and/or Contracting Authority. After IRB approval is obtained, you should submit the signed originals of the institutional approval documents to the HRS. At this point the application is complete and it is forwarded to the HRS Data Confidentiality Committee (DCC) for review and approval. If approval is granted by the DCC, the Principal Investigator of the HRS will sign the restricted data agreement, and you will be sent the restricted data product(s) by the HRS. Note: access codes for your restricted data product(s) are sent separately.

If your institutional or physical circumstances change, (e.g., new persons added to the project, hardware/software changes, or office moves) you should contact the HRS in order to modify the underlying agreement. A yearly re-certification of your restricted data agreement is required; if you wish to continue with analysis of the data after the expiration of the initial agreement, you will need to submit a renewal request. Note: An HRS agent will periodically audit you in order to ensure that all conditions of the Restricted Data Agreement are being met.

2c. Publications Based on Restricted Data

Your restricted data agreement specifies that you will inform HRS of any papers, publications, or presentations based on this restricted data set. Please send a copy of such publications in PDF format via e-mail to hqsquestions@umich.edu with "Attn: Papers and Publications" in the subject line. If you wish, you may include a bibliographical reference.

As an alternative, you may transmit publications in paper format by postal mail:

Health and Retirement Study
Attn: Papers and Publications
The Institute for Social Research, Room 3410
P.O. Box 1248
Ann Arbor, Michigan 48106-1248

3. Setup

3a. Distribution Set

This data set is packaged for distribution in a .ZIP file, F831_2012.zip. In order to keep the contents secure, the .ZIP file has been encrypted using WinZIP 256 bit AES encryption. Extract the data file(s), the program statement file(s) matching your analysis environment, the data description (this file), and the codebook file. If you require a special file format or experience system problems, please contact the [HRS Help Desk](#). If all files are decompressed, they will require approximately 10 MB of free space on your storage device.

3a-1. Windows Environment

Copy the ZIP file to the Windows folder where you plan to do your work. Do not use the built-in Windows decompression utility; instead you should use a third-party tool such as **7-ZIP** or **WinZIP** to extract the ZIP folder contents. When you are prompted for the pass-phrase, respond with the character string that you received via e-mail. The output will be the files listed in Table 1.

3a-2. UNIX/Linux Environment

Copy the ZIP file to the folder where you plan to do your work. Use the ZIP file decompression software installed on your system, (e.g. **7-zip**, **gunzip**) to decrypt and decompress the ZIP folder contents. When you are prompted for the pass-phrase, respond with the character string that you received via e-mail. The output will be the files listed in Table 1.

3a-3. Macintosh OS X Environment (10.4.x and above)

Copy the ZIP file to the folder where you plan to do your work and use **stuffit** to decrypt and decompress the ZIP folder contents. When you are prompted for the pass-phrase, respond with the character string that you received via e-mail. The output will be the files listed in Table 1

| Directory¹ | File | Type |
|------------------------------|-----------------------|---------------------------------|
| c:\f831 | F831_2012.zip | distribution file |
| c:\f831\doc\ | F831_2012.txt | Codebook file (ASCII text) |
| c:\f831\data\ | F831_2012.da (n=6490) | Data file (ASCII text) |
| c:\f831\sas\ | F831_2012.sas | SAS program statements |
| c:\f831\spss\ | F831_2012.sps | SPSS program statements |
| c:\f831\stata\ | F831_2012.dct/.do | Stata dictionary and "do" files |

3d. Program Statements

Each data file comes with associated SPSS, SAS or Stata program statements to read the data. Files containing SPSS statements are named with an .sps extension, those with SAS statements with an .sas extension, and those with Stata statements with .do and .dct extensions.

3d-1. Using the Files with SAS

To create a SAS system file, two file types must be present: a program statement file (.sas) and an ASCII data file (.da). Create the system file by loading the statement file into the SAS Program Editor. If the statement file is located in "c:\f831\sas" and the data file is located in "c:\f831\data", you can run the file as is. A SAS system file will be saved to directory "c:\f831\sas". If the files are not located in the specified directories, you will need to edit the program statement file to reflect the proper path names.

3d-2. Using the Files with SPSS

To create an SPSS system file, two file types must be present: a syntax file (.sps) and an ASCII data file (.da). Create an SPSS system file by opening the syntax file in the SPSS editor window. If the syntax file is located in "c:\f831\spss" and the data file is located in "c:\f831\data", you can run the file as is. An SPSS system file will be saved to directory "c:\f831\spss". If the files are not located in the specified directories, you will need to edit the syntax file to reflect the proper path names.

3d-3. Using the Files with Stata

To create a Stata system file, three file types must be present: a variable definition file (.dct), a Stata.do file, and an ASCII data file (.da). Files with the suffix ".da" contain the raw data for Stata to read. Files with the suffix ".dct" are Stata dictionaries used by Stata to describe the data. Files with the suffix ".do" are short Stata programs ("do files") which you may use to read in the data. Load the .do file into Stata and then submit it. If the *.do and .dct files are located in "c:\f831\stata" and the data file is located in "c:\f831\data", you can run the .do file as is. If the files are not located in these directories, you must edit the *.do and *.dct files to reflect the proper path names.

4. Data Set Content

Version 4.0 of the *Form 831 Disability Records* data set contains information on the initial medical determination for HRS respondents and their deceased spouses who applied for disability benefits

¹ While a specific folder arrangement is not required for using HRS files, we have traditionally suggested a directory structure for the Windows environment. By using this directory structure, you will not have to change the path name references in your data descriptor files. If you do not use Windows, or if you use a different directory structure, just change the directory references in the program files.

under Title II (Social Security) and Title XVI (Supplemental Security Income-SSI). Information is available for 6044 respondents and 446 deceased spouses.

The primary keys for this table are HHID, PN, PERSON, BIC, RID, FLD_Y, FLD_M, DODEC_Y, DODEC_M and FLD_D (day) and DODEC_D day, the last two of which have been dropped. In an effort to help display individual records that may appear to be duplicates due to the drop of the day variables, the sequence variable SEQ - SEQUENCE NUMBER FOR PRIMARY KEY USE has been created. Note: Use PERSON to separate respondents from deceased spouses.

5. If You Need to Know More

This document is intended to serve as a brief overview and to provide guidelines for using the *Form 831 Disability Records* data set. If you have questions or concerns that are not adequately covered here or on our Web site, or if you have any comments, please contact us. We will do our best to provide answers.

5a. HRS Internet Site

The Health and Retirement Study maintains a Web site (<http://hrsonline.isr.umich.edu>) that provides access to public release data, questionnaires, codebooks, sample and response rate documentation, a bibliography, user guides, and extensive background information. If you want to find out more about restricted data products and procedures, visit the restricted data section of the HRS Web site (<http://hrsonline.isr.umich.edu/rda>).

5b. Contact Information

If you need to contact us, you may do so by one of the methods listed below.

Internet: Help Desk at our Web site (<http://hrsonline.isr.umich.edu/help>)

E-mail: hqsquest@isr.umich.edu

Postal service:

Health and Retirement Study
The Institute for Social Research, Room 3050
The University of Michigan
P.O. Box 1248
Ann Arbor, MI 48106-1248

Appendix: Cohort Permission Status

| Cohort | 2006: Asked If Face-to-face and... | 2008: Asked if Face-to-face and... | 2010: Asked if Face-to-face and... | 2012: Asked if Face-to-face and... |
|--|---------------------------------------|---|---|---|
| New spouses or never-interviewed R in any cohort | Asked all | Asked all | Asked all | Asked all |
| AHEAD (Born <=1923) | NO | NO | NO | NO |
| CODA (1924-1930) | R was not asked in 2004 | R refused, did not provide valid permission information, was not asked, or was non-response in 2004 or 2006 | R refused, did not provide valid permission information, was not asked, or was non-response in 2006 or 2008 | R refused, did not provide valid permission information, was not asked, or was non-response in 2006, 2008 or 2010 |
| HRS (1931-1941) | R was not asked in 2004 | | | |
| WAR BABY (1942-1947) | R was not asked in 2004 | | | |
| EARLY BOOMERS (1948-1953) | R refused or was non-response in 2004 | R refused, did not provide a valid permission form or was non-response in 2004 or 2006 | R refused, did not provide a valid permission form or was non-response in 2006 or 2008 | R refused, did not provide a valid permission form or was non-response in 2006, 2008 or 2010 |
| MID BOOMERS (1954-????) | NA | NA | | |

The *831 Disability Records* dataset is based on prospective permissions received:

- In 2006 for respondents interviewed face-to-face who were not asked previously (or in the case of Early Boomers, refused or non-response). These permissions are prospective and provide for biennial updates through 2030.
- In 2008, 2010 and 2012 for face-to-face interviews. These permissions are prospective and provide for biennial updates through 2030.

Each new record set obtained from SSA reflects the most recent information available; therefore the latest version of *Form 831 Disability Records* will always be the most accurate. Going forward, if current information for a given respondent is missing, the most recent data elements from past datasets are used.