

Program Letter

United States
Railroad Retirement Board
Office of Programs



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Date: December 22, 2005

TO: Certification and Registration Contact
Officials with Internet Access

SUBJECT: Future Change in Service and Compensation Related Reports

Please share this information with the appropriate members of your staff who file the following reports, as well as programming staff who support these functions.

- **Form BA-3a/d, Annual Report of Creditable Compensation**
 - **Form BA-4, Report of Creditable Compensation Adjustments**
 - **Form BA-6a, Form BA-6 Address Report**
 - ***Form BA-9, Report of Separation Allowance or Severance Pay**
 - **Form BA-10, Report of Miscellaneous Compensation and Sick Pay**
 - ***Form BA-11, Report of Gross Earnings**
 - **Form GL-99, Deemed Service Month Questionnaire**
 - **Form UI-41a, Supplemental Report of Compensation**
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Purpose

The purpose of this letter is to provide information regarding the planned format and content changes for the forms/reports listed above and the date for implementing the changes. Our Program Letters No. 05-03 and No. 05-06, dated December 10, 2004 and March 29, 2005, respectively, provide details for revisions to most of the forms. This letter provides details for the forms highlighted with an asterisk (*).

Expanded Compensation Amounts

Form BA-9, Report of Separation Allowance or Severance Pay

Tier II earnings based elements are being expanded in all RRB programs and processes to be consistent with changes being made for Tier I based elements, which will require an additional digit within the next few years. The Tier II elements to be expanded on Form BA-9 are the Taxable Compensation and the Creditable Compensation amounts which are used to calculate a special benefit called the Separation Allowance Lump-Sum Amount (SALSA).

Name and Date Formats

Form BA-9, Report of Separation Allowance or Severance Pay

Form BA-11, Report of Gross Earnings

For consistency of RRB and employer report processes, all reported names are being expanded; and all date fields are being converted to use a four-digit year. The first and last names will allow for 15 and 20 characters, respectively. Years will be represented in the CCYY format; complete dates will be represented in the MMDDCCYY format. (See Attachments 1 and 2 for the new tape layouts for these reports.)

Obsolescence of Forms/Reports

Form BA-3a, Annual Report of Creditable Compensation

Form BA-3d, Annual Report of Creditable Compensation; Miscellaneous Compensation and Sick Pay

Form BA-10, Report of Miscellaneous Compensation and Sick Pay

Because the new Form BA-3, Annual Report of Creditable Compensation will be used to report regular service and compensation as well as miscellaneous compensation and sick pay (See Program Letter 05-03.), the forms now used for these purposes will no longer be needed. Forms BA-3a, BA-3d and BA-10 will become obsolete.

Scheduled Implementation

To allow employers ample time to make these changes, we released our previous letters prior to establishing a final implementation date. We have now set January 2008 for implementation of the changes. This means that earnings and address reports for the 2007 earnings year must be reported in the new formats or using revised forms, which will be made available by the fall of 2007. As previously noted, some of the changes are optional; others are mandatory. Please review our previous letters for these details. You may also use Attachment 3 as a reference.

Additional Information or Assistance

You may obtain copies of Program Letters 05-03 and 05-06 at the RRB website, www.rrb.gov. You may also contact the Quality Reporting Service Center for the letters or to ask questions about the new reports. The email address and telephone number are shown at the top of this letter. The RRB is planning a National Employer Training Seminar in Chicago in May 2006 and these changes will be presented at a breakout session.

Attachments

Attachment 1 provides the new BA-9 file layout.

Attachment 2 provides the new BA-11 file layout.

Attachment 3 lists the changes to forms/reports to be implemented in January 2008.

Form BA-9, Report of Separation Allowance and Severance Pay

<u>Data Position</u>		<u>Data Description and Format</u>
<u>OLD</u>	<u>NEW</u>	
1	1	Constant "L".
2-3	2-5	<u>Four digit</u> applicable tax year.
4	6	Code "4" for increase Code "M" for decrease
5-8	7-10	Four-digit employer number
9-17	11-19	Employee's social security number.
18-22	20-39	First <u>20 letters</u> of the employee's surname.
23-24	40-54	<u>First Name</u>
	55	Middle Initial
25	56	Blank.
26-32	57-64	An <u>eight-digit</u> separation allowance amount. Do not use a decimal place. The format is \$\$\$\$\$cc
33	65	Code 1 for an initial report. Code 2 for an adjustment report. Code 3 for a periodic payment - not the final payment. Code 4 for a periodic payment - final payment.
34-39	66-73	Date employee relinquished employment rights. Format is <u>MMDDCCYY</u> .
40	74	Blank.
41-47	75-82	<u>Eight-digit</u> compensation amount. Format is \$\$\$\$\$cc
48-49	83-86	<u>Four digit</u> applicable creditable year.
50-55	87-92	Total gross amount of separation allowance; in whole dollars, \$\$\$\$\$.
56	93	Blank
57-63	94-100	Last rate of pay; format includes a floating decimal place
64	101	pay rate codes: 1 = per hour; 2 = per day/100 (or 150) miles; 3 = per week; 4 = per month.
65	102	work week codes: 5 = five-day wk; 6 = six-day wk 7 = seven-day wk; 8 = T&E; 9 = dining car
66-80	103-120	Blank.

Form BA-11, Gross Earnings Annual Report of Annual Earnings

<u>Tape Position</u>		<u>Data and Instructions</u>
<u>OLD</u>	<u>NEW</u>	
1-2	1-2	"40"
3-4	3-6	<u>Year</u> being reported. Format is CCYY.
5-8	7-10	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	11-19	Employee's social security account number.
18-22	20-39	Employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ogrady, Delacross).
23-24	40-54 55	Employee's first name. Middle initial
25-33	56-64	Annual Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary.
34-80	65-120	Leave blank or zero-fill.

Form BA-11, Gross Earnings Annual Report of Quarterly Earnings

<u>Tape Position</u>		<u>Data and Instructions</u>
<u>OLD</u>	<u>NEW</u>	
1-2	1-2	"39"
3-4	3-6	<u>Year</u> being reported. Format is CCYY.
5-8	7-10	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	11-19	Employee's social security account number.
18-22	20-39	Employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ogrady, Delacross).
23-24	40-54 55	Employee's first name. Middle initial
25-33	56-64	First Quarter Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for first quarter, leave positions 56-64 blank or zero-fill.
34-42	65-73	Second Quarter Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for second quarter, leave positions 65-73 blank or zero-fill.
43-51	74-82	Third Quarter Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for third quarter, leave positions 74-82 blank or zero-fill.
52-60	83-91	Fourth Quarter Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for fourth quarter, leave positions 83-91 blank or zero-fill.
61-80	92-120	Leave blank or zero-fill.

Effective January 2008

Form BA-11, Gross Earnings Annual Report of Monthly Earnings

Two 120 position tape records must be keyed whether or not both records have earnings. (Where one record does not contain money fields, positions 1-55 must be keyed.)

Record No. 1 - January through June

<u>Tape Position</u>		<u>Data and Instructions</u>
<u>OLD</u>	<u>NEW</u>	
1-2	1-2	"28"
3-4	3-6	<u>Year</u> being reported. Format is CCYY.
5-8	7-10	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	11-19	Employee's social security account number.
18-22	20-39	Employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ogrady, Delacross).
23-24	40-54 55	Employee's first name. Middle initial
25-33	56-64	January Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for January, leave positions 56-64 blank or zero-fill.
34-42	65-73	February Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for February, leave positions 65-73 blank or zero-fill.
43-51	74-82	March Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for March, leave positions 74-82 blank or zero-fill.
52-60	83-91	April Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for April, leave positions 83-91 blank or zero-fill.
61-69	92-100	May Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for May, leave positions 92-100 blank or zero-fill.
70-78	101-109	June Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for June, leave positions 101-109 blank or zero-fill.
79-80	110-120	Leave blank or zero-fill.

Form BA-11, Gross Earnings Annual Report of Monthly Earnings (cont.)

Two 120 position tape records must be keyed whether or not both records have earnings. (Where one record does not contain money fields, positions 1-55 must be keyed.)

Record No. 2 - July through December

<u>Tape Position</u>		<u>Data and Instructions</u>
<u>OLD</u>	<u>NEW</u>	
1-2	1-2	"29"
3-4	3-6	<u>Year</u> being reported. Format is CCYY.
5-8	7-10	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	11-19	Employee's social security account number.
18-22	20-39	Employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ogrady, Delacross).
23-24	40-54 55	Employee's first name. Middle initial
25-33	56-64	July Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for January, leave positions 56-64 blank or zero-fill.
34-42	65-73	August Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for February, leave positions 65-73 blank or zero-fill.
43-51	74-82	September Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for March, leave positions 74-82 blank or zero-fill.
52-60	83-91	October Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for April, leave positions 83-91 blank or zero-fill.
61-69	92-100	November Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for May, leave positions 92-100 blank or zero-fill.
70-78	101-109	December Amount - 9 positions (\$\$\$\$\$\$cc), preceded by zero(s) if necessary. If there are no earnings for June, leave positions 101-109 blank or zero-fill.
79-80	110-120	Leave blank or zero-fill.

Reports to be changed

Form BA-3 Annual Report of Creditable Compensation (**no longer BA-3“a” or “d”**)
 Form BA-4 Report of Creditable Compensation Adjustments
 Form BA-6a Form BA-6 Address Report
 Form BA-9 Report of Separation Allowance or Severance Pay
 Form BA-10 Report of Miscellaneous Compensation and Sick Pay (**see item 7 below**)
 Form BA-11 Gross Earnings Report

Record, Form or ERS	Expand Name Fields	Expand Year to 4 digits	Expand Tier 1 Tier II	Append RUIA Maximum Benefit Compensation	Empl o y e e S t a t u s C o d e s	Expand/ Append Daily Pay Rate	Append Sick Pay & Miscellaneous Compensation	Append Effective Date of Address	Address Format Revisions
	1	2	3	4	5	6	7	8	9
BA-3	X	X	X	X	X	X	X	X	X
BA-4	X	X	X	X		X	X		
BA-6a								X	X
BA-9	X	X	X						
BA-11	X	X							

- The first and last names will be increased to 15 and 20 positions, respectively.
- To conform to Y2K standards, the year will be expanded to a CCYY, 4-digit representation.
- All tier related compensation items will be expanded to allow for amounts up to \$999,999.99.
- An item will be added to allow employers to report RUIA maximum benefit compensation amounts. Reporting this *optional item* will prevent manual follow-up and delay of benefits.
- The 12 creditable service month indicators will be expanded to include employment relationship status codes for months of unemployment. Using these *optional codes* will prevent the need for manual follow-up for deemed service determinations.
- The RUIA daily pay rate will be expanded to allow for amounts up to \$999.99 to be reported on Form BA-3. Form BA-4 will also be modified to allow up to this amount to be reported for items that were omitted from the annual report.
- These two items will allow sick pay and miscellaneous compensation amounts to be reported and adjusted on the regular Forms BA-3 and BA-4. **Form BA-10, Report of Miscellaneous Compensation and Sick Pay will be eliminated.**
- Addresses for new hires and relocated employees may be reported along with yearly earnings on magnetic Form BA-3 or on a separate paper or magnetic tape Form BA-6a.
- Field lengths have been modified and an effective date field has been added to the reports.