

## Form BA-3a      Magnetic Tape, Cartridge, or Disk Format

This exhibit explains only magnetic media format. For information about the data to be entered, refer to Part V, Chapter 3 and Part IV.

Reports may be filed on magnetic tape, cartridge or disk records.

<b>Report Specifications</b>	
<b>Record Length</b>	80 Characters
<b>Money Fields</b>	All money fields include two cent positions and no decimal point. No fields should be signed. Fill out money fields with zeros.
<b>Numeric Fields</b>	Fill out all numeric fields with zeros to the left of the significant digits.
<b>Name</b>	This is the only field with alpha characters. Positions not used should be left blank.
<b>Service and Compensation</b>	There should be no record which contains neither service or compensation data. A record may contain only service months or only compensation, but must contain one or the other.
<b>Totals Record</b>	Every magnetic media report should include a grand-totals record at the end. The specific format is in the appendix. Optional subtotal records may be included.
<b>Header Labels</b>	Magnetic tape and cartridges must have header labels in IBM standard format.
<b>Block Size</b>	Recommended block size is 800 (factor 10).
<b>Code Language</b>	Magnetic tape and cartridges: EBCDIC encoded on 9 track 1/2 inch. CD ROM and floppy disk: ASCII

<b>Form BA-3a</b>	
<b>Tape Positions</b>	<b>Data and Instructions</b>
1	"0" (zero).
2-3	Last two digits of the year being reported.
4	"7"
5-8	Four-digit BA number assigned by the Railroad Retirement Board.
9-18	Entries in this field are optional. The payroll reference number shown here will be included on certain correspondence to the employer to assist the employer in locating the employee.

Tape Positions		Data and Instructions
19-27		Employee's social security number.
28-32		First five letters of the employee's surname. Eliminate the spaces in such names as McCarthy, St. Clair, De La Cross (Example: Mccar, Stcla, Delac).
33-34		Initials of the employee's first and middle names.
35-37		Blank
38-44		Total compensation which is creditable under the RUIA. (\$\$\$\$¢¢) This amount should not exceed the RUIA monthly maximum times 12.
45-56		45-Jan. 46-Feb. 47-March 48-April 49-May 50-June 51-July 52-August 53-Sept. 54-Oct. 55-Nov. 56-Dec.
57-58	Total months of service. The sum of the "1's" in positions 45-56. Enter zeroes if no months are reported.	Show a digit "1" in the appropriate position for each month of service. A month with no service may be coded "0" (zero). All 12 positions should be filled.
59-65		Creditable Tier I compensation, up to the annual maximum for the year. (\$\$\$\$¢¢)
66-72		Creditable Tier II compensation, up to the annual maximum for the year. (\$\$\$\$¢¢)
73		Blank.
74-77		Last daily pay rate. (¢¢) If pay rate exceeds \$99.99, enter 9999.
78-80		Leave blank. For RRB use only.

## Form BA-3a Sub-Total Record Format

Sub-total records are optional. Sub-totals of money amounts may be shown for every 2000 or fewer records.

Form BA-3a Sub-Total Record Format		
Field Length	Tape Positions	Data and Instructions
10	1-10	"5555555555" (10 fives-type of record code).
5	11-15	"SUBTO"
7	16-22	A sub-total item count for that particular sub-division of the report.
17	23-39	A sub-total of creditable RUIA compensation for that particular sub-division of the report.
17	40-56	A sub-total of creditable Tier I RRA compensation for that particular sub- division of the report.
17	57-73	A sub-total of creditable Tier II RRA compensation for that particular sub-division of the report.
7	74-80	Blank or zeros.

## Form BA-3a Grand Total Record Format

The grand total record is required and should be the last record on the tape. If sub-total records are used, the grand totals are the sum of the sub-totals.

Form BA-3a Grand Total Record Format		
Field Length	Tape Positions	Data and Instructions
10	1-10	"8888888888" (10 eights-type of record code).
5	11-15	"GRAND"
7	16-22	Item count-grand total for this report.
17	23-39	Creditable RUIA compensation-grand total for this report.
17	40-56	Creditable Tier I RRA compensation-grand total for this report.
17	57-73	Creditable Tier II RRA compensation-grand total for this report.

Field Length	Tape Positions	Data and Instructions
7	74-80	Blank or zeros.

### Form BA-3d Magnetic Tape, Cartridge, or Disk Format

BA-3d records must be 120 characters in length. The report specifications for Form BA-3a format also apply to the BA-3d format except that the recommended block size is 1200.

Form BA-3d Magnetic Tape, Cartridge, or Disk Format														
Tape Position	Data and Instructions													
1	"d"													
2-3	Last two digits of the year being reported.													
4	"4"													
5-8	Four-digit BA number assigned by the Railroad Retirement Board.													
9-18	Entries in this field are optional. The payroll reference number shown here will be included on certain correspondence to employers to assist the employer in locating the employee.													
19-27	Employee's social security number.													
28-32	First five letters of the employee's surname. Eliminate the spaces in such names as McCarthy, St. Clair, De La Cross (Example: Mccar, Stcla, Delac).													
33-34	Initials of the employee's first and middle names.													
35-37	Blank.													
38-44	Total compensation which is creditable under the RUIA. This amount should not exceed the RUIA monthly maximum times 12.													
45-56	<table border="0"> <tr> <td>45-Jan.</td> <td rowspan="12">Show a digit "1" in the appropriate position for each month of service. A month with no service should be coded "0" (zero). All 12 positions should be filled.</td> </tr> <tr> <td>46-Feb.</td> </tr> <tr> <td>47-March</td> </tr> <tr> <td>48-April</td> </tr> <tr> <td>49-May</td> </tr> <tr> <td>50-June</td> </tr> <tr> <td>51-July</td> </tr> <tr> <td>52-August</td> </tr> <tr> <td>53-Sept.</td> </tr> <tr> <td>54-Oct.</td> </tr> <tr> <td>55-Nov.</td> </tr> <tr> <td>56-Dec.</td> </tr> </table>	45-Jan.	Show a digit "1" in the appropriate position for each month of service. A month with no service should be coded "0" (zero). All 12 positions should be filled.	46-Feb.	47-March	48-April	49-May	50-June	51-July	52-August	53-Sept.	54-Oct.	55-Nov.	56-Dec.
45-Jan.	Show a digit "1" in the appropriate position for each month of service. A month with no service should be coded "0" (zero). All 12 positions should be filled.													
46-Feb.														
47-March														
48-April														
49-May														
50-June														
51-July														
52-August														
53-Sept.														
54-Oct.														
55-Nov.														
56-Dec.														

Tape Position	Data and Instructions
57-58	Total months of service. The sum of the "1's" in positions 45-56. Enter "00" (zeros) if no months are reported.
59-65*	Creditable Tier I compensation, up to the annual maximum. (\$\$\$\$\$¢¢)
66-72	Creditable Tier II compensation, up to the annual maximum. (\$\$\$\$\$¢¢)
73	Blank.
74-77	Last daily pay rate. (\$¢¢) If pay rate exceeds \$99.99, enter 9999.
78-80	Blank.
81-87*	Creditable sick pay compensation up to the annual maximum. (\$\$\$\$\$¢¢)
88	Blank.
89-95*	Creditable Tier I miscellaneous compensation, up to the annual maximum. (\$\$\$\$\$¢¢)
96-120	Blank.

\*The sum of the Tier I amounts in positions 59-65, 81-87, and 89-95 cannot exceed the Tier I maximum for the year.

### Form BA-4      Magnetic Tape, Cartridge, or Disk Format

This exhibit explains only magnetic media format. For information about the data to be entered, refer to Part VII, Chapter 1.

The report specifications for Form BA-3a also apply to BA-4

Form BA-4 Magnetic Tape, Cartridge, or Disk Format	
Tape Positions	Data and Instructions
1	Blank.
2-3	Last two digits of the year which is being adjusted.
4	Code "4" for an increase adjustment. Code "M" for a decrease adjustment.
5-8	Four-digit BA number assigned by the Railroad Retirement Board.
9-18	Blank.
19-27	Employee's social security number.

Tape Positions	Data and Instructions
28-32	First five letters of employee's surname. Eliminate spaces in names such as McCarthy, St. Clar (Example, MCCAR, STCLA).
33-34	Initials of first and middle name.
35-37	Blank.
38-44	Net increase or decrease in Railroad Unemployment Insurance compensation. (\$\$\$\$¢¢)
45-56	Numeric "1" in the appropriate month column for each month of service being added or removed. Code only those months where service is being adjusted. Do not increase a service month for a month already reported.
57-58	Total service months adjusted. The sum of the "1's" in positions 45-56.
59-65	The net increase or decrease in Tier I compensation. (\$\$\$\$¢¢)
66-72	The net increase or decrease in Tier II compensation. (\$\$\$\$¢¢)
73-80	Blank.

**Form BA-4 Grand Total Record Format**

Form BA-4 Grand Total Record Format	
Tape Position	Data and Instructions
1-10	"8888888888" 10 eights is Grand-total type of record.
11-15	"GRAND" for grand total record.
16-22	Item count total for the report.
23-29	Decrease RUIA compensation total.
30-38	Increase RUIA compensation total.
39-47	Decrease Tier I compensation total.
48-59	Increase Tier I compensation total.
60-68	Decrease Tier II Compensation total.
69-80	Increase Tier II compensation total.

## Form BA-6a      Magnetic Tape, Cartridge, or Disk Format

The report specifications for Form BA-3a format also apply to BA-6a.

Form BA-6a Magnetic Tape, Cartridge, or Disk Format	
Tape Position	Data and Instructions
1-9	The employee's 9-digit social security number.
10-11	Initials of the employee's first and middle names.
12-25	The employee's last name, up to 14 characters only. Leave blank positions blank.
26-50	Mailing Address (Street Number, Post Office Box, etc.)
51-75	2nd address line.
76-93	City
94-95	State. Use two digit state abbreviations as shown in U.S. Postal Guide.
96-100	Zip Code
101-104	Four-digit BA number assigned by the Railroad Retirement Board.
105-120	Blank

## Form BA-9      Magnetic Tape, Cartridge, or Disk Format

This exhibit explains only magnetic media format. For information about the data to be entered, refer to Part V, Chapter 5.

The report specifications for Form BA-3a format also apply to BA-9.

Form BA-9 Magnetic Tape, Cartridge, or Disk Format	
Tape Positions	Data and Instructions
1	"L".
2-3	Last two digits of the applicable tax year.
4	Code "4" for an initial report or an increase adjustment. Code "M" for a decrease adjustment.
5-8	Four-digit employer number assigned by the Railroad Retirement Board.

Tape Positions	Data and Instructions
9-17	Employee's social security number.
18-22	First five letters of the employee's surname. Eliminate the spaces and punctuation in such names as McCarthy, St. Clair, De La Cross (Examples: Mccar, Stcla, Delac).
23-24	Initials of the employee's first and middle names.
25	Blank.
26-32	A seven-digit separation allowance amount. Do not use a decimal place. The format is \$\$\$\$\$cc. For adjustments, enter the net increase amount to be applied to the initial report. Do not sign the field. Zeros should be used to fill the left most positions, if necessary.
33	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	Date employee relinquished employment rights. Format is MMDDYY.
40	Blank.
41-47	Seven-digit compensation amount. Do not use a decimal place. Format is (\$\$\$\$\$cc). Do not sign the field. Zeros should be used to fill the left most positions if necessary. Field may be left blank.
48-49	Last two digits of the applicable year.
50-55	Total gross amount of separation in whole dollars, \$\$\$\$\$\$. Use zero to fill the left most positions as needed.
56-63	Show the last rate of pay. Format includes a floating decimal place to account for hourly through monthly rates. For example, 9.99999, 99.9999, 999.999 etc.



Tape Positions	Data and Instructions
64	<p>The code corresponding to the period to which the rate applies, as follows:</p> <p>Code 1 = per hour;                      Code 2 = per day/100 (or 150) miles;                      Code 3 = per week; and                      Code 4 = per month.</p>
65	<p>The code corresponding to the employee's normal work week, as follows:</p> <p>Code 5 = five-day week;                      Code 6 = six-day week;                      Code 7 = seven-day week;                      Code 8 = train and engine service; and                      Code 9 = dining car and Pullman service.</p>
66-80	Blank.

### Form BA-10 Magnetic Tape, Cartridge, or Disk Format

This exhibit explains only magnetic media format. For information about the data to be entered, refer to Part V, Chapter 4 and Part IV, Chapter 2.

Subtotals and grand totals of item counts, sick pay compensation and miscellaneous compensation may be shown using the formats established for Form BA-10 subtotal/grand total records.

The report specifications for Form BA-3a format also apply to BA-10.

Form BA-10 Magnetic Tape, Cartridge, or Disk Format	
Tape Position	Data and Instructions
1	Code "S" for Sick Pay only. Code "B" for both Sick Pay and miscellaneous payments or for only miscellaneous payments. <b>NOTE:</b> This is a report code, not a record code. This code will be the same for every record in the report.
2-3	Last two digits of the year for which this payment is considered compensation.
4	Code "4" for an initial report or an increase adjustment. Code "M" for a decrease adjustment.
5-8	Enter the 4-digit BA number assigned by the Railroad Retirement Board.

Tape Position	Data and Instructions
9-18	Blank.
19-27	Employee's social security number.
28-32	First five letters of the employee's surname. Eliminate the spaces and punctuation in such names as McCarthy, St. Clair, De La Cross (Example: Mccar, Stcla, Delac).
33-34	Initials of the employee's first and second names.
35-58	Blank.
59-65	Creditable Sick Pay compensation. (\$\$\$\$¢¢)
66-72	Creditable miscellaneous compensation. (\$\$\$\$¢¢)
73-80	Blank.

### Form BA-10 Sub-Total Record Format

Sub-totals of money amounts may be shown for every 2,000 or fewer items.

Form BA-10 Sub-total Record Format		
Field Length	Tape Positions	Data and Instructions
10	1-10	"5555555555" (10 fives-type of record code).
5	11-15	"SUBTO"
7	16-22	A sub-total item count for that particular sub-division of the report.
17	23-39	A sub-total of sick pay compensation.
17	40-56	A sub-total of miscellaneous compensation.
24	57-80	Blank or zeros.

## Form BA-10 Grand Total Record Format

The grand total record should be the last record on the tape. If sub-total records are used, the grand totals are the sum of the sub-totals.

Form BA-10 Grand Total Record Format		
Field Length	Tape Positions	Data and Instructions
10	1-10	"8888888888" (10 eights-type of record code)
5	11-15	"GRAND"
7	16-22	Item count-grand total for this report.
17	23-39	Grand total of sick pay compensation for this report.
17	40-56	Grand total of miscellaneous compensation for this report.
24	57-80	Blank or zeros.

## Gross Earnings Report – Magnetic Tape, Cartridge or Disk Format

This exhibit shows format for submission of gross earnings reports on magnetic media.

Reports submitted on magnetic media are to be accompanied by a Form G-440, Report Specifications Sheet. Indicate, in section 5f, "Gross Earnings", the type of report. Specify in the "Remarks" block the format used, i.e., "Gross Earnings Annual Report of Monthly Earnings, 20XX," "Gross Earnings Annual Report of Quarterly Earnings, 20XX," or "Gross Earnings Annual Report of Annual Earnings, 20XX." All records are 80 characters in length, unblocked.

## Gross Earnings Annual Report of Annual Earnings

Gross Earnings Annual Report of Annual Earnings	
Tape Position	Data and Instructions
1-2	"40"
3-4	Last 2 digits of year being reported.
5-8	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	Employee's social security account number.

Tape Position	Data and Instructions
18-22	First five letters of employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ograd, Delac).
23-24	Initials of employee's first and second names. If only one initial, enter in position 23 and leave position 24 blank.
25-33	Annual Amount - 9 positions (\$\$\$\$\$\$¢¢), preceded by zero(s) if necessary.
34-80	Leave blank or zero-fill.

### Gross Earnings Annual Report of Quarterly Earnings

Gross Earnings Annual Report of Quarterly Earnings	
Tape Position	Data and Instructions
1-2	"39"
3-4	Last 2 digits of year being reported.
5-8	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	Employee's social security account number.
18-22	First five letters of employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ograd, Delac).
23-24	Initials of employee's first and second names. If only one initial, enter in position 23 and leave position 24 blank.
25-33	First Quarter Amount - 9 positions (\$\$\$\$\$\$¢¢), preceded by zero(s) if necessary. If there are no earnings for first quarter, leave positions 25-33 blank or zero-fill.
34-42	Second Quarter Amount - 9 positions (\$\$\$\$\$\$¢¢), preceded by zero(s) if necessary. If there are no earnings for second quarter, leave positions 34-42 blank or zero-fill.
43-51	Third Quarter Amount - 9 positions (\$\$\$\$\$\$¢¢), preceded by zero(s) if necessary. If there are no earnings for third quarter, leave positions 43-51 blank or zero-fill.
52-60	Fourth Quarter Amount - 9 positions (\$\$\$\$\$\$¢¢), preceded by zero(s) if necessary. If there are no earnings for fourth quarter, leave positions 52-60 blank or zero-fill.

Tape Position	Data and Instructions
61-80	Leave blank or zero-fill.

## Gross Earnings Annual Report of Monthly Earnings

Two 80 position tape records must be keyed whether or not both records have earnings. (Where one record does not contain money fields, positions 1-24 must be keyed.)

Gross Earnings Annual Report of Monthly Earnings	
Record No. 1 - January through June	
Tape Position	Data and Instructions
1-2	"28"
3-4	Last 2 digits of year being reported.
5-8	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	Employee's social security account number.
18-22	First five letters of employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ograd, Delac).
23-24	Initials of employee's first and second names. If only one initial, enter in position 23 and leave position 24 blank.
25-33	January Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for January, leave positions 25-33 blank or zero-fill.
34-42	February Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for February, leave positions 34-42 blank or zero-fill.
43-51	March Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for March, leave positions 43-51 blank or zero-fill.
52-60	April Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for April, leave positions 52-60 blank or zero-fill.
61-69	May Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for May, leave positions 61-69 blank or zero-fill.
70-78	June Amount - 9 positions (\$\$\$\$\$\$¢), preceded by zero(s) if necessary. If there are no earnings for June, leave positions 70-78 blank or zero-fill.
79-80	Leave blank or zero-fill.

<b>Record No. 2 - July through December</b>	
<b>Tape Position</b>	<b>Data and Instructions</b>
1-2	"29"
3-4	Last 2 digits of year being reported.
5-8	Four-digit employer identification number assigned by the Railroad Retirement Board.
9-17	Employee's social security account number.
18-22	First five letters of employee's surname. Eliminate the spaces in such names as O'Grady or De LaCross (e.g., Ograd, Delac).
23-24	Initials of employee's first and second names. If only one initial, enter in position 23 and leave position 24 blank.
25-33	July Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for July, leave positions 25-33 blank or zero-fill.
34-42	August Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for August, leave positions 34-42 blank or zero-fill.
43-51	September Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for September, leave positions 43-51 blank or zero-fill.
52-60	October Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for October, leave positions 52-60 blank or zero-fill.
61-69	November Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for November, leave positions 61-69 blank or zero-fill.
70-78	December Amount - 9 positions (\$\$\$\$\$\$çç), preceded by zero(s) if necessary. If there are no earnings for December, leave positions 70-78 blank or zero-fill.
79-80	Leave blank or zero-fill.