
PART II Establishment and Maintenance of Employee Records

CHAPTER 1: Establishing New Records for New Hires

New Records Records for newly hired railroad employees are established from the annual reports of service and compensation. Thus, it is important that the social security numbers (SSN) and names under which the employees' service and compensation are reported are correct.

A current employee may appear to be a new hire if the employee is reported under an incorrect SSN. Because the incorrect SSN will not match an existing Railroad Retirement Board (RRB) record, a new record will be established for the incorrect SSN. That error is detected and corrected only after investigation with Social Security Administration (SSA), the employer and, possibly, the employee. .

Verification of SSN of New Hires It is the employer's responsibility to obtain correct SSNs from all employees of their organization. Employers can do this by reviewing the newly hired employee's Social Security card. If the new hire does not have a social security number, have the new hire file Form SS-5, Application for Social Security Number Card, with SSA.

To prevent transcription or keying errors, match the SSNs in your current report of service and compensation to the previous report. Verify that all SSNs that do not match the previous report are new hires. This will help prevent records from being established under incorrect numbers.

Continued on next page

Part II, Chapter 1

CHAPTER 1: Establishing New Records for New Hires,
Continued**SSA Employee
Verification
Service (EVS)**

SSA has developed a free Employee Verification Service (EVS) that will match your record of employee names and SSNs with SSA's records before you prepare and submit your service and compensation reports. There are several methods you can choose from to take advantage of this easy to use system:

| | |
|-------------------------------|---|
| To verify up to 5 names/SSNs | Call their toll-free number (800) 772-6270 |
| To verify up to 50 names/SSNs | Submit a paper listing to your local Social Security Office. |
| To verify over 50 names/SSNs | Mail or fax a completed a registration form and privacy act statement to SSA. |

Contact SSA at (800) 772-6270 for more information about the service.

**Establishment
and
Verification of
New Records**

The RRB will establish and verify a new record as follows:

| Step | Action |
|-------------|--|
| 1 | RRB establishes a new employee record when a service and compensation report is received containing a SSN that does not match an existing record. At this point, the new record is incomplete as it contains only the first five letters of the surname. |
| 2 | RRB sends all new records to SSA annually to match with SSA records. New RRB records which match SSA records are considered as verified and the full surname from SSA's record is posted to RRB's records along with employee's gender and date of birth. |
| 3 | New RRB records which do not match SSA records produce referrals to employers for reconciliation. The new RRB record will remain unverified with only a five-letter surname until either RRB or SSA changes their records and a match occurs. See Part VII, Chapter 2 for information on how the RRB resolves these discrepancies. |

CHAPTER 2: Employee Name Changes

**Employer
Reports Name
Changes**

Labor organizations should report an employee name change by sending a timely letter to the Chief of Compensation and Employer Services or by contacting a local field office of the RRB who will file the appropriate form. All name changes must include the former name, current name, and social security number.

**Name Changes
Must Be Filed
at RRB & SSA**

Please note that a change of name filed with the RRB does not change the records at the SSA and a change of name filed with SSA does not change the records at the RRB. Because the correctness of an employee's name and account number is verified through the SSA's records, change requests must be filed at both agencies. Please advise your employees to file Form SS-5, Application for Social Security Number Card, in accordance with the instructions on the form to report a change of name. Name changes may also be reported to SSA by telephoning (800) 772-1213.

If the labor organization changes a name in their records but fails to notify the RRB, the name on the employer's service and compensation report will not match the name in the RRB record. The service and compensation will not be recorded until the name difference is resolved.

**Name Changes
to be Filed
Once a Year**

Labor organizations may extract employee name changes from their records on an annual basis and send them on a computer listing. The listing should contain the social security number, former name, and current name and should include only changes made within the last 12 months. These listings should be reported by a cover letter addressed to the Chief of Compensation and Employer Services. In order to ensure that these changes are processed prior to the annual reports, name change listings must be received no later than January 31 each year.

Part II, Chapter 3

CHAPTER 3: Multiple Social Security Numbers

**RRB
Notification**

When a labor employer learns that an employee has more than one social security number, the NRO should notify the Chief of Compensation and Employer Services in writing.

**Items to
Include**

The correspondence should include:

- Employee's name;
 - Address; and
 - All social security numbers used or assigned.
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RRB Action

Upon advice from the SSA, the RRB will consolidate the employee's service and compensation under one number. If the discrepancy cannot be reconciled, the NRO may be asked to file reports of employment. After the employee's account is reconciled, the NRO will be notified of the social security number to be used to report the employee's future service and compensation.

CHAPTER 4: Form BA-6, Certificate of Service Months and Compensation

Purpose of Form BA-6

Form BA-6, Certificate of Service Months and Compensation, is issued annually. This form is the employee's record of creditable service and compensation reported by all covered employers.

What Information is Included

Form BA-6 includes the following information:

- Creditable compensation amounts and service months reported for the last four years;
 - Reported separation allowance/severance pay;
 - Total reported service months; creditable military service months; and deemed service months which may be credited to an employee, as described in Part III, Chapter 1 and Part VII, Chapter 3;
 - The Employee Contribution amount;
 - Procedures for protesting the information on the certificate;
 - Procedure for applying for benefits under the RUIA; and
 - Information about visiting a field office of the Railroad Retirement Board (RRB).
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Who Receives Form BA-6

Forms BA-6 are prepared for all employees who have received creditable compensation in the preceding calendar year, when such compensation was timely and correctly reported to the RRB. This includes any adjustments to regular compensation, sick pay or separation allowances that are received before the established cutoff date for updating employee records.

Only the first five letters of the employee's last name will appear on a certificate where the RRB has not yet verified the employee's social security number and name with the Social Security Administration (SSA). This usually occurs when the certificate year is the first year in which the employee worked in the railroad industry.

Continued on next page

Part II, Chapter 4

CHAPTER 4: Form BA-6 Certificate of Service Months and Compensation, Continued

Non-Receipt of Form BA-6

Form BA-6 cannot be mailed to an employee if the:

- Employer's report contained an omission or error that prevented the employee's service and compensation from being processed; or
- RRB has no address for the employee.

Employers should advise an employee who does not receive a Form BA-6 after a reasonable time that they may obtain a certificate from their local RRB field office, or by writing to the Chief of Compensation and Employer Services. Employees who do not know the telephone number for their local office may call the RRB toll-free help line at 1-800-808-0772. Information about local RRB field offices is also available on our Website at <http://www.rrb.gov>.

Address Reports

Form BA-6a, Address Report is the RRB form used to submit new employee addresses to the Board. Please refer to Part V, Chapter 5 for information on filing Form BA-6a.

CHAPTER 5: Employee's Protest of Service and Compensation Record

Purpose of Protest Form G-70

An employee who believes the amount of service and/or compensation reported for his or her record is incorrect should file a Form G-70, Protest of Record of Service Months and Compensation, with the Railroad Retirement Board (RRB). Form G-70 is available from any local field office of the RRB, or employers may requisition them from the Bureau of Supply and Service, to provide to their employees. Requisitions are made using Form G-615, Employer's Supply Requisition.

Employee Protests to Employer

If an employee contacts the employer about the service and compensation reported on Form BA-6, the employer may handle the protest directly or may advise the employee to file a Form G-70 with the RRB.

Supporting Evidence

The completed Form G-70 should be accompanied by substantiating evidence, such as payroll records. If evidence is not submitted, the RRB has no basis on which to request an adjustment report if the employer does not agree with the claim for additional service or compensation. Forms W-2 are useful but not entirely conclusive as evidence for a claim because gross income may include amounts not creditable as Tier I and Tier II compensation.

Processing the Protest on Form GL-129

Upon receipt of Form G-70, or any other written protest of record reported by a labor organization, the RRB will release Forms GL-129, Request for Verification of Service and Compensation, and GL-129a, Tracer Second request for Verification of Service and Compensation (See Exhibits), to the NRO. The NRO must either correct the record with a Form BA-4, Report of Creditable Compensation Adjustment, or verify that the account is correct as reported.

Form GL-129 on ERS

Currently, Form GL-129 can also be submitted through the Employer Reporting System (ERS) on the Railroad Retirement Board's (RRB) Internet website. Instructions for registration and access to the ERS can be found in Part VIII of these instructions.

Continued on next page

Part II, Chapter 5

**CHAPTER 5: Employee's Protest of Service and
Compensation Record, Continued**

**Reasons Why
Protests Are
Filed**

The following are common reasons that explain differences in service and compensation reported by the labor employer and that claimed by the employee:

- The employee claims service month credit for the months the employee worked but the employer incorrectly credited service only for the months in which compensation was paid. Compensation was correctly reported. The employer should file Form BA-4 to report service for the months the employee worked.
- The employee claims compensation credit for the year in which compensation was earned, but the employer reports compensation generally when paid. This protest should be considered a request by the employee to have his compensation adjusted to an earned basis, and a Form BA-4 should be filed. See Part IV Chapter 1 for an explanation of reporting on an earned basis. See Part V Chapter 4 for instructions on completing Form BA-4.
- The employee earned more than the maximum creditable compensation.

**Reconsideration
Rights**

If the account is correct as reported, include a brief explanation with your response to the RRB, refuting the employee's claim. An explanation is important because an employee has reconsideration rights in protesting his or her record if he or she still believes the record is still incorrect, after our reply.
