

FORM BA-3a Magnetic Tape, Cartridge, or Disk Format

Magnetic tape, cartridge, or disk records must be 80 characters in length. Fields used to enter money amounts, and or service months should be filled with "0". Other fields not used should be left blank. Fill out all numeric fields with zeros to the **left** of the significant digits. All money fields include two cents positions and no decimal point. No fields should be signed. There are no alpha characters, except in the employee name field, positions 28-34. There should be no record which contains neither service nor compensation data.

Subtotals of item counts, RUIA, TIER I and TIER II may be shown for every 2000 or fewer items. The subtotals must be recapitulated at the end of the report. The grand totals should be the last record for each reporting employer. The specific format is described in this package.

For magnetic tape or cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tape. Recording density may be 1600 or 6250 bytes per inch. Header labels must be used and must meet IBM standards. Recommended block size is 800. For disk reporting, data should be written in ASCII 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.

<u>Tape Positions</u>	<u>Data and Instructions</u>
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.
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.
(\$\$\$\$\$ $\phi\phi$) This amount should not exceed the RUI
monthly maximum times 12.
- 45-56 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.
- 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.
- 59-65 Creditable Tier I compensation, up to the annual maximum
for the year. (\$\$\$\$\$ $\phi\phi$)
- 66-72 Creditable Tier II compensation, up to the annual maximum
for the year. (\$\$\$\$\$ $\phi\phi$)
- 73 Blank.
- 74-77 Last daily pay rate. (\$ $\phi\phi$) If pay rate exceeds \$99.99, enter
9999.
- 78-80 Leave blank. For RRB use only.

FORM BA-3a Sub-Total Record Format

Sub-totals of money amounts may be shown for every 2000 or fewer items.

<u>Field</u> <u>Length Positions</u>	<u>Tape</u>	<u>Data and Instructions</u>
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 should be the last record on the tape. If sub-total records are used, the grand totals are the sum of the sub-totals.

<u>Field</u> <u>Length Positions</u>	<u>Tape</u>	<u>Data and Instructions</u>
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.
7	74-80	Blank or zeros.

FORM BA-3d Magnetic Tape, Cartridge, or Disk Format

Magnetic tape, cartridge, or disk records must be 120 characters in length. Fields used to enter money amounts, and or service months should be filled with "0". Other fields not used should be left blank. There should be no record which contains no compensation data. Fill out all numeric fields with zeroes to the **left** of the significant digits. All money fields include two cents positions and no decimal point. No fields should be signed.

Subtotals of item counts, RUIA, TIER I and TIER II may be shown for every 2000 or fewer items. The grand total record should be the last record for the report.

For magnetic tape or cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tape. Recording density may be 1600 or 6250 bytes per inch. Header labels must be used and must meet IBM standards. Recommended block size is 120 (Factor 10). For disk reporting, data should be written in ASCII format.

<u>Tape Position</u>	<u>Data and Instructions</u>
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, Stela, Delac).
33-34	Initials of the employee's first and middle names.
35-37	Blank.

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Form BA-3d Format

38-44	Total compensation which is creditable under the RUIA. This amount should not exceed the RUI monthly maximum times 12.
45-56	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.
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 "00" (zeros) if no months are reported.
59-65	Creditable Tier I compensation, up to the annual maximum. (\$\$\$\$\$ϕϕ)
66-72	Creditable Tier II compensation, up to the annual maximum. (\$\$\$\$\$ϕϕ)
73	Blank.
74-77	Last daily pay rate. (\$\$ϕϕ) If pay rate exceeds \$99.99, enter 9999.
78-80	Blank.
81-87	Creditable sick pay compensation up to the annual maximum. (\$\$\$\$\$ϕϕ)
88	Blank.
89-95	Creditable Tier I miscellaneous compensation, up to the annual maximum. (\$\$\$\$\$ϕϕ)
96-120	Blank.

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Form BA-3d Format

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 Format

FORM BA-4 Magnetic Tape, Cartridge, or Disk Format

Magnetic tape, cartridge, or disk records must be 80 characters in length. Fields used to enter money amounts, and or service months should be filled with "0". Other fields not used should be left blank. Fill out all numeric fields with zeros to the **left** of the significant digits. All money fields include two cents positions and no decimal point. No fields should be signed. There are no alpha characters, except in the employee name field, positions 28-34. There should be no record which contains neither service nor compensation data.

Subtotals of item counts, RUIA, TIER I and TIER II may be shown for every 2000 or fewer items. The subtotals must be recapitulated at the end of the report. The grand totals should be the last record for each reporting employer. The specific format is described in this package.

For magnetic tape or cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tape. Recording density may be 1600 or 6250 bytes per inch. Header labels must be used and must meet IBM standards. Recommended block size is 800. For disk reporting, data should be written in ASCII format.

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

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.
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

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.

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Form BA-10 Format

FORM BA-6a Magnetic Tape, Cartridge, or Disk Format

Tape, cartridge, or disk records must be 120 characters in length. Any fields not used should be left blank. There should be no record which contains no address data. For magnetic tape or cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tapes. Recording density may be 1600 or 6250 bytes per inch. Header labels must be used and must meet IBM standards. For disk reporting, data must be written in ASCII format.

<u>Tape Position</u>	<u>Data and Instructions</u>
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

Tape, cartridge, or floppy disk records must be 80 characters in length. Any fields not used should be left blank. There should be no record which contains no separation allowance data. For magnetic tape or cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tapes. Recording density may be 1600 or 6250 bytes per inch. Header labels must be used and must meet IBM standards. For floppy disk reporting, data must be written in ASCII format.

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

<u>Tape Positions</u>	<u>Data and Instructions</u>
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.
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.

Form BA-9 Format

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.
57-63	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.
64	The code corresponding to the period to which the rate applies, as follows: Code 1 = per hour; Code 2 = per day/100 (or 150) miles; Code 3 = per week; and Code 4 = per month.
65	The code corresponding to the employee's normal work week, as follows: 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.
66-80	Blank.

FORM BA-10 Magnetic Tape, Cartridge, or Disk Format

Magnetic Tape, cartridge, or floppy disk records must be 80 characters in length. Any fields not used may be left blank or filled with zeros. There should be no record which contains no compensation data. 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.

For magnetic tape and cartridge reporting, data should be written EBCDIC encoded on 9 track ½ inch magnetic tapes. Recording density may be 1600 or 6250 bytes per inch. Data may also be written on a 3480 compatible tape disk cartridge. Header labels must be used and must meet IBM standards. For disk reporting, data must be written in ASCII 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.

<u>Tape Position</u>	<u>Data and Instructions</u>
1	Code "S" for Sick Pay only. Code "B" for both Sick Pay and miscellaneous payments or for only miscellaneous payments. NOTE: 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.
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.

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35-58	Blank.
59-65	Creditable Sick Pay compensation. (\$\$\$\$\$çç)
66-72	Creditable miscellaneous compensation. (\$\$\$\$\$çç)
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.

<u>Field Length</u>	<u>Tape Positions</u>	<u>Data and Instructions</u>
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.

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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.

<u>Field</u>	<u>Tape</u>	<u>Data and Instructions</u>
<u>Length</u>	<u>Positions</u>	
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 Format

Gross Earnings Report

This exhibit shows format for submission of gross earnings reports on magnetic tape or tape cartridge, with supporting printout. Reports submitted on a printout or listing alone must include the same data. **All printouts should have two or more spaces between data fields.**

Reports submitted on magnetic tape or tape cartridge are to be accompanied by a Form G-440, Report Specifications Sheet. Indicate, in section 5f, "Gross Earnings" as the type of report. Specify in the "Remarks" block the format used, i.e., "Gross Earnings Annual Report of Monthly Earnings, 19XX," "Gross Earnings Annual Report of Quarterly Earnings, 19XX," or "Gross Earnings Annual Report of Annual Earnings, 19XX." Data must be written on 9-track ½ inch tape with recording density of 1600 or 6250 bpi or on 3480 compatible tape disk cartridge. Standard labels are to be used. The trailer label is to include a record count. All records are 80 characters in length, unblocked.

Gross Earnings Annual Report of Annual Earnings

<u>Tape Position</u>	<u>Data and Instructions</u>
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.
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 Report Format

Gross Earnings Annual Report of Quarterly Earnings

<u>Tape Position</u>	<u>Data and Instructions</u>
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 (\$\$\$\$\$\$ <i>cc</i>), 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 (\$\$\$\$\$\$ <i>cc</i>), 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 (\$\$\$\$\$\$ <i>cc</i>), 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 (\$\$\$\$\$\$ <i>cc</i>), preceded by zero(s) if necessary. If there are no earnings for fourth quarter, leave positions 52-60 blank or zero-fill.
61-80	Leave blank or zero-fill.

Gross Earnings Report Format

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.)

Record No. 1 - January through June

<u>Tape Position</u>	<u>Data and Instructions</u>
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 (\$\$\$\$\$\$ $\phi\phi$), 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 (\$\$\$\$\$\$ $\phi\phi$), 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 (\$\$\$\$\$\$ $\phi\phi$), 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 (\$\$\$\$\$\$ $\phi\phi$), preceded by zero(s) if necessary. If there are no earnings for April, leave positions 52-60 blank or zero-fill.

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- 61-69 May Amount - 9 positions (\$\$\$\$\$\$çç), 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 (\$\$\$\$\$\$çç), 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.

Record No. 2 - July through December

<u>Tape Position</u>	<u>Data and Instructions</u>
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.

Gross Earnings Report Format

- 61-69 November Amount - 9 positions (\$\$\$\$\$\$*cc*), 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 (\$\$\$\$\$\$*cc*), 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.