

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-184-08-3</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>8/25/08</i>	
1. FROM (Agency or establishment) Railroad Retirement Board		NOTIFICATION TO AGENCY	
		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of Programs			
3. MINOR SUBDIVISION Office of Policy and Systems			
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Charles Mierzwa	(312) 751-3363	<i>3/27/09</i>	<i>Adrienne Thomas</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
<i>8-22-2008</i>	<i>Charles Mierzwa</i> Charles Mierzwa	RRB Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
(1)	Railroad Retirement Board Railroad Unemployment Insurance Act Systems	NCI 184-89-1 Item(s) 12-2, 12-3, 12-4, 12-5 & 12-9	

Railroad Unemployment Insurance Act (RUIA) RUIA Information System

Background

The Railroad Unemployment Insurance Act (RUIA) information system environment is one of six major application systems utilized by the Railroad Retirement Board to perform critical operational activities. The RUIA information system environment is an interrelated grouping of databases and service applications that record activities associated with payments and services provided in accordance with the RUIA. The RUIA activities include receiving requests and incorporating claimant information; determining eligibility and calculating benefits; making benefits payments and monitoring payment processes; and producing reports and providing data to related information systems. In addition to determining eligibility and calculating benefits, and making benefits payments and monitoring payment processes; the RUIA information system provides information for the Railroad Retirement Board's placement activities, which include a Central Register and a Listing of Railroad Job Vacancies.

The major system components include:

- a) Unemployment and Sickness Insurance System (RUIA)--a mainframe computer processing system that collects and stores information in order to administer the benefit program in accordance with the RUIA. The system includes a single clearance file for each claimant and master files for all activity for up to six benefit years. The processing system records payment or denial of all sickness and unemployment benefit claims for all RUIA claimants. The information includes application for benefits, qualifying compensation amounts, medical reports to support sickness payments, and daily codes and benefit calculation determinations. System outputs include requests to the Employment Data Maintenance database for qualifying wage certifications; updates to the Program Accounts Receivable System database for debt set-ups and recovery of established debts by benefit offset, to the Unemployment Payment Control for benefit payments, to the Experience Rating System for allocation of payments to employers, to the Retirement Adjudication System Initial and Retirement Online Calculations system for Railroad Retirement Act annuity clearances. The system also generates daily referrals, claim forms, form letters and supplemental medical forms.
- b) Railroad Unemployment Claim System (RUCS)--an interactive database used to input RUIA benefit applications and claims, and perform other functions related to the maintenance of unemployment and sickness beneficiary rolls. Information includes applications for sickness or unemployment benefits, and claims for sickness or unemployment benefits. The sickness application or claim contains medical information regarding an illness or injury. The system produces daily, monthly and yearly reports and claim information to be used for benefits payments.
- c) Experience Rating System (RRXR)--a system to calculate employer annual contribution (tax) rates based on their employee's use of benefits. Input sources include the RUIA Daily system; Employment Data Maintenance/ SQL Contact official database; Program Accounts Receivable System; RRXR on-line entries, and Employer's Quarterly Reports of Contributions under the RUIA (Form DC-1) to the Office of Budget and Fiscal Operations. The RRXR database maintains information on employee benefits paid and recovered;

employee base year earnings, employer coverage beginning dates and contact official information; monies recovered for benefits deemed no longer payable. The RRXR system maintains claimant level records, system level records, and employer level records. Claimant level records provide a complete history of the claimant's benefit charges and credits by benefit year. System level records include the cumulative totals for the system unallocated charge balance. The unallocated charge balance is proportionately added to an employer's records when calculating their contribution rate for the next calendar year. Employer level records contain all the cumulative charges and credits specific to an employer's base year employees. The employer level records also reflect the relationship of the parent employer and its subsidiaries. The RRXR on-line entries include Budget and Fiscal Operations system unallocated charge data, employer information and maintenance, and examiner entered transactions to correct RRXR daily system rejects of base year employer wages per employee. The RRXR provides daily, quarterly, and annual reports and information to other RUIA systems, and to other organizational units in the Office of Policy and Systems, Bureau of Actuary, and Bureau of Fiscal Operations.

- d) Unemployment Payment Control System (UPC)--a system that prepares the daily benefit check issue file for the U.S. Treasury; controls and distributes benefit payments subject to garnishment; controls payment of benefits subject to voluntary Federal income tax withholding; controls the payment of benefits by direct deposit; and generates benefit verification notices. The UPC serves as a database used in answering benefit inquiries for claimants, and provides a direct link to a claimant's RUIA Summary records.

- e) Master and Clearance On-line Records Database System (MACRO)--a database application that provides on-line access to all RUIA master and clearance files. The MACRO has seventeen entry screens that are used to provide information from the RUIA database. The inquiry screens include: Main menu, Inquiry menu, RUIA summary records, Sickness application summary, Sickness application, Unemployment application summary, Unemployment application, Claim summary, Sickness claim record, Unemployment claim record, Wage and benefit record, Stop record, Social insurance record, Account ledger, Pending record, Referral history, Letter history, and RUIA record name search.

In addition to the major systems described above, other systems provide information supporting RUIA activities. These systems include:

- f) Employer Reporting System (ERS) allows employers to approve or deny claims for unemployment or sickness benefits before the RRB issues payments through on-line pre-payment process; or to request reconsideration of previously issued unemployment and sickness benefits payments through a post-payment process. The ERS stores claimant information 3 business days for the duration of the pre-payment notice and 60 calendar days for the duration of the post-payment notice. After the specified time periods, the information is deleted from ERS.

- g) Financial organization Master File (FOMF)--a directory of all financial organizations (banks, credit unions, savings and loans) arranged by routing transit number (RTN). The FOMF is used to validate RTN's on all payment files. The file is provided by the Federal Reserve Bank, and is maintained for 3 months.
- h) RUIANet is a web-based application that provides claimants an alternate option for filing unemployment applications and claims on line. The RUIANet also allows claimants to see their most recent payments on-line. The data captured by the system is transferred to the RUCS on a daily basis. The information is maintained in the RUIANet system for 30 days. All data collected through RUIANet is stored in the RUCS database for a period of 7 years.
- i) Railroad Unemployment Insurance Act Tax Accounting System determines the correct amount of sickness or unemployment benefits to be reported on tax statements for individuals; calculates voluntary Federal income tax withholding and applicable tax deductions; and deposit of the withheld taxes.
- j) Central Register and Job Vacancy Listings--placement services including a central register of employees with at least 1 year of railroad employment experience who are available for employment in the railroad industry, and a listing of job vacancies reported to the Railroad Retirement Board. Information for the Central Register is provided from the Railroad Retirement Board field offices' record of RUIA claimant interview (Form UI-35). The claimant is asked whether he or she wants to be included on the Central Register system during the interview process. The system generates lists of applicants or letters to individual applicants regarding job notices, bulletins, or referral notices. The Listing of Railroad Job Vacancies includes orders from employers of vacancies received by RRB field offices that the receiving field office can not fill the vacancy by the end of the month of receipt. The listing also includes other job vacancies reported to the Railroad Retirement Board. The Central Register system keeps information on the availability of an employee for at least 1 year or longer by employee request. The information may also be deleted upon request of an employee stating that he or she does not want to remain on the register system. The Job Vacancy record is stored for 1 year from the closing date. If the vacancy record does not have a closing date the vacancy announcement is deleted 6 months after the posting date.

The RRB proposes the following dispositions:

1. RUIA Benefit Payment Records.

Data and documents recording activities and information systems tracking and managing unemployment and sickness insurance benefits applications, eligibility determinations, benefits calculations, and benefits payments, including records copies of system outputs. The component information systems include the RUIA, RUCS, UPC, MACRO, and RRXR, claimant, system, and employer levels. These activities create rights, interests, and obligations associated with determinations and transactions.

TEMPORARY:

1. a) RUIA, RUCS, UPC, MACRO, and RRXR claimant level component.
Payments are arranged by benefit year paid. Destroy no sooner than 7 years and no later than 10 years after the close of the benefit year.
2. b) RRXR, system level and employer level component information. Maintained cumulatively by benefit charge year and calendar year. Maintain for as long as the data serves an administrative purpose.

3. 2. Associated RUIA Benefit Payment Records
Supporting data and documents used as inputs or generated as outputs in the course of recording activities tracking and managing the RUIA payment records in item 1, above. The component information systems include the ERS, FOMF, and RUIANet.

TEMPORARY: Maintain for as long as the data serves an administrative purpose, or no later than 3 benefit years.

4. 3. Railroad Unemployment Insurance Act Tax Accounting System
Data and documents recording benefit payments reported on individual tax statements, tax withholding and applicable tax deductions.

TEMPORARY: Maintain 4 years from the date of filing in accordance with IRS regulations.

5. 4. RUIA Central Register and Job Placement records
Data and documents relating to RUIA activities identifying qualified applicants for referral to open job orders; providing general notification about job opportunities to potential applicants; or fulfilling requests from rail carries and labor organizations for listings of former employees who are available for employment.

TEMPORARY: Maintain for as long as the data serves an administrative purpose, or no longer than 1 year after withdraw from the Central Register, or date of vacancy closing. (IAW C. Mierzwa 8/26/08)⁹⁵

Certification

I have reviewed the record description and the proposed disposition for Railroad Unemployment Insurance Act Systems. I am of the opinion that the records will be maintained for a period of time sufficient to protect the legal and financial rights of the Government and of people directly affected by the Railroad Retirement Board's activities.



RRB General Counsel

Date

8/20/2008



RRB Records Officer

8-22-2008