

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-184-89-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **12/16/2022**

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1-1 was superseded by DAA-0184-2018-0008-0001 Item 13-20 was superseded by DAA-0184-2013-0001-0008 Items 9-5a/b/c were superseded by GRS 2.3, item 080 (DAA-GRS-2018-0002-0009) The following items were listed as obsolete per DAA-0184-2013-0001: 13-4, 13-5, 13-7, 13-9, 13-10, 13-11, 13-12, 13-14, 13-15, 13-18 13-21, 13-22, 13-24, 13-25 through 13-39, and 13-42.

NOTE: The Railroad Retirement Board (RRB) published its comprehensive schedule (NC1-184-79-03) in 1979. This schedule was updated in 1988-89 under four job numbers (N1-184-88-001, N1-184-89-001, N1-184-89-002, and N1-184-89-003). These schedules carried forward many items from the 1979 schedule without edit. NARA continued to consider the 1979 schedule as the authority for these items. After approval of the four later schedules, the RRB began to cite the 1988-89 schedules. In subsequent years, RRB schedules submitted to NARA often (technically incorrectly) cited the 1988-89 schedules as the then-current authority rather than the 1979 schedule.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NH-184-89-1

DATE RECEIVED

10/4/88

TO: **GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (Agency or establishment)

Railroad Retirement Board

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER

Charles Mierzwa

5. TELEPHONE EXT.

FTS 386-3363

DATE

4/27/89

ARCHIVIST OF THE UNITED STATES

*[Signature]*

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 31 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: ☒ is attached; or ☐ is unnecessary.

B. DATE

9-28-88

C. SIGNATURE OF AGENCY REPRESENTATIVE

*Charles Mierzwa*

D. TITLE

Agency Records Officer

7.  
ITEM  
NO.

8. DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9. GRS OR  
SUPERSEDED  
JOB  
CITATION

10. ACTION  
TAKEN  
(NARS USE  
ONLY)

The Railroad Retirement Board's Records Control Schedule is being updated to make it consistent with current agency operations. This is the second of three SF-115's to be submitted and contains copies of the following schedules:

Schedule 1 - Records of the Board and Chief Executive Officer (Revision)

Schedule 9 - Bureau of Law (Revision)

Schedule 12 - Bureau of Unemployment and Sickness Insurance (Revision)

Schedule 13 - Bureau of Field Service (Revision)

40 items

*copies sent to agency  
HCF, NNA, NNY 5/1/89*

Departmental  
Field Service  
Appendix B  
Part II Adm. Manual

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

The Railroad Retirement Board is an independent agency in the executive branch of the Federal government and is administered by three Board Members appointed by the President, by and with the advice and consent of the Senate. By law, one member is appointed by railroad labor organizations, one upon recommendations of railroad employers, and the third member, the Chairman, is in effect independent of employees and employers and represents the public interest.

The Chief Executive Officer is responsible for the overall administrative direction and the coordination of the work of the entire Board organization and reports directly to the three Board Members.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|-----------------|---|--|
| 1-1             | <p><u>Board Orders</u></p> <p>Orders constituting the official record of formal actions of the Railroad Retirement Board pertaining to regulations, administration, program direction and general policy.</p> <p>(a) Copies filed in office of the Secretary to the Board.</p> <p>(b) All other copies.</p> | <p>PERMANENT. Transfer to FRC when 10 years old.</p> <p>Transfer [redacted] to National Archives with related index when 15 years old in 10 year blocks.</p> <p>Break file: End of fiscal year.</p> <p>Destroy when no longer needed for administrative use.</p> |

JOB: NCI 184-79-3 Item 1-1

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

| <u>ITEM NO.</u>            | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>   |
|----------------------------|---|---|
| 1-2                        | <u>Index to Board Orders</u><br><br>Name and subject index to records described in item 1(a) above, filed in office of the Secretary to the Board.<br><i>Transfer</i>   | PERMANENT. Transfer to FRC with related Board Orders, [REDACTED] to National Archives when 15 years old in 10 year blocks.<br><br>Break file: End of fiscal year.   |
| JOB: NCI 184-79-3 Item 1-2 |   |   |
| 1-3                        | <u>Record of Proceedings</u><br><br>Published minutes of Board meetings and/or conferences. Includes actions taken between meetings and only part of the Board Orders.<br><br>(a) Copy filed in office of the Secretary to the Board.<br><i>Transfer</i>  | PERMANENT. Transfer to FRC when 10 years old. [REDACTED] to National Archives when 15 years old in 10 year blocks.<br><br>Break file: End of fiscal year.<br><br>(b) All other copies.<br><br>Destroy when no longer needed for administrative use. |
| JOB: NCI 184-79-3 Item 1-3 |   |   |
| 1-4                        | <u>Correspondence Filestt</u><br><br>General administrative, correspondence, and subject files of the Board Members, the Secretary to the Board, and the Chief Executive Officer relating to organization, functional programs, policy and procedural directives, regulations, special projects.<br><i>Transfer</i> | PERMANENT. Accumulate into ten year blocks. Hold back in office an additional 5 years. [REDACTED] to NARA.<br><br>Break file: End of fiscal year.   |
| JOB: NCI 184-79-3 Item 1-4 |   |   |

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

| <u>ITEM NO.</u>             | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|-----------------------------|---|--|
| 1-5                         | <u>Index to Correspondence Files</u><br><br>Subject card index to records described in item 4, filed in office of the Secretary to the Board.   | PERMANENT. Microfilm at intervals to correspond with closure of ten year correspondence file blocks.<br><br><i>Transfer</i><br>(a) Originals cards. <del>to</del> to NARA with correspondence files.<br><br>(b) Microfilm copy. Retain in office of the Secretary to the Board. This copy may be destroyed when no longer needed for administrative use. |
| JOB: NCI 184-79-3 Item 1-5  |   |  |
| 1-6                         | <u>Washington Legislative/Liaison Office Correspondence File</u><br><br>Arranged alphabetically by name of claimant and thereunder chronologically.<br><br>Memoranda and correspondence received from Congress, the White House, and the general public related to questions of RRB program eligibility and other routine questions about RRB programs. The correspondence includes the original letter, and memoranda of actions taken by the White House and the RRB. | Destroy when 1 year old.   |
| JOB: NCI 184-79-3 Item 1-10 |   |  |

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

| <u>ITEM NO.</u>             | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|-----------------------------|--|--|
| 1-7                         | <u>Washington Legislative/Liaison Office Administrative File</u><br><br>Arranged alphabetically by office or subject and thereunder chronologically.<br><br>Memoranda, correspondence, reports, drafts and other records related to minutes of meetings, monthly legislative bills, various RRB programs, and routine administrative topics. | Destroy when 3 years old.<br><br>Break file: End of fiscal year.   |
| JOB: NCI 184-79-3 Item 1-11 |  |  |
| 1-8                         | <u>Financial Disclosure Reports</u><br><br>Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521). Includes SF-278, 278A and all other statements of employment and financial interests and related records and statements filed under Executive Order 11222.           | Destroy when 6 years old except that documents needed in an on-going investigation will be retained until no longer needed in the investigation. |
| JOB: GRS 1-25               |  |  |
| 1-9                         | <u>Tape Records of Appeals Hearings</u><br><br>Transcribed tape records of appeals which are denied by the Bureau of Hearings and Appeals and further appeal is made to the Board.<br><br>(a) Transcripts of proceedings.<br><br>1. Copy filed in office of the Secretary to the Board.<br><br>2. All other copies.                          | File with Board Order adjudicating the appeal.<br><br>Destroy when no longer needed for reference.   |

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

| <u>ITEM<br/>NO.</u>         | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>   |
|-----------------------------|---|---|
| 1-9                         | <u>Tape Records of Appeals Hearings</u> (Cont'd)<br><br>(b) Audio-cassettes stored by the<br>Secretary to the Board.  | Destroy tapes 1 year<br>after appeal process is<br>completed.   |
| JOB: NCI-184-82-1 Item 3-2c |   |   |
| 1-10                        | <u>Appeals Decision Correspondence</u><br>(Administrative Record)<br><br>Copies of correspondence, reports, forms,<br>memoranda, and other background materials<br>related to Bureau of Hearings and Appeals<br>Referee decisions appealed to the Board.<br>(Originals are maintained in appellant's<br>claim folder for life of file.)<br><br>(a) Correspondence received and maintained<br>by the office of the Secretary to the<br>Board relating to Board decisions not<br>appealed further.<br><br>(b) Correspondence received and main-<br>tained by the office of Secretary<br>to the Board concerning decisions<br>appealed to Federal courts.<br><br>(c) Correspondence maintained in offices<br>other than the Secretary's. | Destroy 15 months after<br>the Board's decision.<br><br>Transfer to Bureau of Law<br>for inclusion in litiga-<br>tion file.<br><br>Destroy after Board's<br>decision or when no longer<br>needed for reference. |

JOB: NEW ITEM

RRB RECORDS SCHEDULE 1

Records of the Board and Chief Executive Officer

| <u>ITEM<br/>NO.</u> | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|---------------------|---|--|
| 1-11                | <u>FOIA Appeals Files</u><br><br>Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.<br><br>(a) Correspondence and supporting documents (excluding the file copy of the records under appeal if filed herein).<br><br>(b) Official copy of records under appeal. | <br><br>Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.<br><br>Dispose of in accordance with RRB approved disposition instructions for the related record, or with the related FOIA requests, whichever is later. |

JOB: GRS 14-12 A and B



## RRB RECORDS SCHEDULE 1

### Records of the Board and Chief Executive Officer

#### Explanatory Notes

1. With the exception of Items 1-10(a) and 1-10(c), all series in this revised schedule have retention periods previously approved in either NCI 184-79-3, NCI 184-82-1, or the General Records Schedule.
2. New Item 1-10(a), Appeals Decision Correspondence - Information in this series is used by the Board to adjudicate various claims for compensation made by potential RRB beneficiaries. Board decisions based on this correspondence may be appealed by claimant to the appropriate federal court within one year after decision will have been entered upon the records of the Board and communicated to the claimant (Section 8-45 USC 231G). Disposition reflects legally mandated appeal period, plus several months to allow for unforeseen procedural delays.
3. New Item 1-10(c), Appeals Decision Correspondence - Disposition instructions take into account that record copy of series resides in Secretary's office.
4. Old Item 1-4(b), NCI 184-79-3, Correspondence Files - This series has been transferred to Schedule 20, Records Common to Most Office.
5. Old Item 1-6, NCI-184-79-3, Administrative Inspection Programs - Records belonging to this series are now in Schedule 17, Office of the Inspector General.
6. Old Item 1-7, NCI-184-79-3, Civil Defense Files - Series has been obsolete for several years and is deleted from new schedule.
7. Old Item 1-8, NCI 184-79-3, Still Pictures Files - Series has been obsolete for several years and is deleted from new schedule.
8. Old Item 1-9, NCI 184-79-3, Minority Group Designation Code File - Obsolete series, deleted from schedule.

RRB RECORDS SCHEDULE 9

Bureau of Law

The Bureau of Law serves as in-house counsel to the Railroad Retirement Board. In this capacity, the Bureau of Law performs a variety of legal services for the agency, including: (1) interpretation of law and issuance of legal opinions with respect to the administration of the Railroad Retirement Act and the Railroad Unemployment Insurance Act; (2) preparation of draft legislation and reports of the agency's views on bills and legislative proposals; (3) representation of the Board in matters of litigation or administrative actions such as EEO hearings; (4) issuance of rulings with respect to coverage of employers and employees under the Railroad Retirement and Railroad Unemployment Insurance Act; (5) preparation of draft regulations for approval by the Board; and (6) issuance of legal opinions and advice to the Board and other agency officials regarding any matters in which legal questions might be raised. In addition, the Bureau of Law has responsibility for the operation of the Library.

| <u>ITEM NO.</u>            | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|----------------------------|--|---|
| 9-1                        | <u>Digest of Legal Opinions.</u><br><br>Record of all legal opinions which have been made by the Bureau of Law which have been assigned an L number.<br><br>(a) Record copy.<br><br>(b) Reference copies. Includes microfilm of all opinions plus copies distributed to other bureaus. | PERMANENT. Break file at the end of the calendar year, hold 15 years. Transfer directly to National Archives when 15 years old in 5 year blocks.<br><br>Destroy when no longer needed for administrative use. |
| JOB: NCI 184-79-3 Item 9-2 |  |   |
| 9-2                        | <u>Litigation Files</u><br><br>Records of actions against the Board brought in a U.S District Court, U.S. Court of Appeals, or the U.S. Supreme Court. Included are copies of letters from the petitioner, his/her   | Cutoff annually following close of case.<br><br>Review closed files every 5 years.  |

RRB RECORDS SCHEDULE 9

Bureau of Law

| <u>ITEM<br/>NO.</u>        | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|----------------------------|--|---|
| <del>9-2</del>             | <del><u>Litigation Files</u> (Cont'd)<br/><br/>attorney and the court, copies of out-<br/>going correspondence, the case and the<br/>court's opinion.<br/><br/>(a) Petition for Review, Board's Brief,<br/>Petitioner's Brief, and Court's<br/>Opinion.<br/><br/>(b) All other materials.</del>  | <del><br/><br/><br/>Destroy those litigation<br/>files no longer needed<br/>for reference.<br/><br/>Destroy 5 years after<br/>case is closed.</del> |
| JOB: NCI 184-79-3 Item 9-3 |  |   |
| 9-3                        | <u>Railroad Employer Coverage Files</u><br><br>Records include correspondence, memoranda,<br>requests for coverage ruling, copy of the<br>authority of the Interstate Commerce<br>Commission, the legal opinions, Request<br>for Employer Status, Form G-215, and re-<br>lated materials concerning railroads or<br>other companies on which a legal determi-<br>nation has been made on coverage under<br>the RRA and the RUIA. | <br><br>Destroy 10 years after<br>termination of coverage.<br><br>Review files every 3<br>years for terminations.                                   |
| JOB: NCI 184-79-3 Item 9-4 |  |   |
| 9-4                        | <u>Railroad Legislation</u><br><br>Records contain bills and proposed legis-<br>lation to amend the Acts administered by<br>the Board, as well as Acts administered<br>by other agencies with whom the Board<br>coordinates information. Included are<br>draft reports and correspondence between<br>the Board, Congress, and the Office of<br>Management and Budget.  |   |

RRB RECORDS SCHEDULE 9

Bureau of Law

| <u>ITEM NO.</u>            | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|----------------------------|--|--|
| <del>9-4</del>             | <del><u>Railroad Legislation</u> (Cont'd)</del>  |  |
|                            | (a) Record file in Bureau of Law, excluding copies of bills and acts.  | PERMANENT. Hold for 15 years after end of Congressional session in which originated. <del>Transfer</del> directly to National Archives when 15 years old in 5 year blocks. |
|                            | (b) All other copies.  | Destroy when no longer needed for administrative use.  |
| JOB: NCI 184-79-3 Item 9-5 |  |  |
| 9-5                        | <u>Merit Systems Protection Board Appeal Case Files</u>  |  |
|                            | Official case file of appeals to Merit Systems Protection Board includes witnesses statements, briefs, notices, the appeal file, a copy of the MSPB Decision and all other related correspondence. |  |
|                            | (a) Cases not appealed to full MSPB.   | Destroy 6 months after issuance of initial MSPB decision (5CFR 1201.113).  |
|                            | (b) Cases appealed to full MSPB, with no following petition for judicial review.   | Destroy 6 months after issuance of final MSPB decision.  |
|                            | (c) Cases appealed to U.S. Court of Appeals or appropriate U.S. district court.  | Dispose of in accordance with Item 9-2.  |

JOB: NEW

RRB RECORDS SCHEDULE 9

Bureau of Law

ITEM  
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

9-6

Garnishment Case Files

Case files containing orders and all correspondence related to the garnishment of railroad employees' unemployment or sickness benefits, and annuities paid to retired or disabled annuitants.

(a) Record copy of garnishment orders with related correspondence.

Destroy 2 years after garnishment terminates or annuitant/claimant dies.

(b) Copies of garnishment orders.

Retained in Retirement Claims or Unemployment and Sickness Claim File for the life of that file. (See Schedules 10 and 12.)

JOB: NEW

9-7

Information Requests Files

Requests for general information, arranged chronologically, concerning RRB benefit claimants. Includes incoming correspondence and bureau response where no RRB claim exists. Includes bureau response only, if claim file does exist (incoming correspondence and copy of bureau response are filed with benefit claim file).

Destroy 2 years from date of latest correspondence.

JOB: NEW

RRB RECORDS SCHEDULE 9

Bureau of Law

Explanatory Notes

1. Item 9-1, NCI 184-79-3, EEO Litigation Case Files - This series has been transferred to RRB Records Schedule 16, Office of Equal Employment Opportunity.
2. Item 9-1, Digest of Legal Opinions - This series remains permanent. Transfer instructions have been revised, however to encourage the bureau to retire the series to NARA. In the past, the bureau has been hesitant to part with the hard copy opinions, citing reference requirements and researcher reluctance toward use of available microfilm copies. By eliminating reference to interim federal cards center storage of the opinions and reducing the date span of the "blocks" to be transferred, the bureau should be more amenable to initiating records transfers.
3. Item 9-2 (formerly Item 9-3, NCI 184-79-3), Litigation Files - Old Item 9-3(b) has been deleted from the revised schedule. The bureau has not produced extra reference copies of briefs and court opinions for several years. The bureau has never maintained attorney "by-product," petitioner/attorney correspondence, and other records as a separate subseries (Item 9-3(c)) because of insufficient volume and a desire not to disperse litigation case file material over several locations or engage in periodic document screening.

Retention period for this series has been revised to give the bureau flexibility in disposing of litigation case files. Many cases document routine litigation involving individuals. These files have little reference value and do not merit the prolonged retention provided in NCI 184-79-3. Other case files, however, such as those relating to peculiar corporate litigation, have informational value worth retaining indefinitely. Regardless of a particular case file's reference value, the majority of records belonging to this series are duplicated in U.S. District or Appeals Court case files, which are scheduled for permanent retention.
4. Item 9-3, Railroad Employer Coverage Files - No change in the retention period is proposed. As the eventual disposal of the records is contingent upon completion of a future action (in this case, termination of a railroad's coverage under the Railroad Retirement Act and Railroad Unemployment Insurance Act), a periodic review requirement has been added to facilitate disposition of the series.
5. Item 9-4, Railroad Legislation - No change in retention. Slight revision in transfer and blocking instructions to encourage agency transfer of series.

6. Item 9-5(a), Merit Systems Protection Board Appeal Case Files - This series documents the Railroad Retirement Board's response to various petitions for appeal before a presiding official of the Merit Systems Protection Board (MSPB) and also its subsequent participation in the actual hearing. The retention period fulfills the administrative needs of the Bureau of Law, takes into account the 35 day period allowed appellant to appeal initial decision to the full MSPB (5 CFR 1201.11), and allows for extension of the appeal period as specified in 5 CFR 1201.114.
7. Item 9-5(b) - Retention period fulfills the administrative and legal needs of the bureau. Under 5 USC 7703 appellant is allowed 30 days to appeal a final order or decision of the MSPB to the United States Court of Appeals for the Federal Circuit.
8. Item 9-6(a) - Garnishment Case Files - This series contains documents, including court orders and notifications, which support the Railroad Retirement Board's initiation and termination of garnishments against benefits paid railroad employees and annuitants. These garnishments are levied only in cases involving child support and alimony. Retention period meets administrative and reference needs of the Bureau of Law.
9. Item 9-7 - Information Requests Files - Series documents the bureau's response to written public inquiries concerning RRB benefit claimants and alimony, annulment, or child support matters. Retention period meets the reference and administrative needs of the bureau.

RRB RECORDS SCHEDULE 12

Bureau of Unemployment and Sickness Insurance

The bureau of unemployment and sickness insurance is responsible for administering the Railroad Unemployment Insurance Act. The Act provides for the payment of benefits to railroad employees who are unemployed, sick or injured. The Act also provides for the operation of a job placement service for unemployed railroad workers.

| <u>ITEM NO.</u>             | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|-----------------------------|---|--|
| 12-1                        | <u>Claims Case Files</u><br><br>Claim folders which include records pertaining to the payment or denial of benefits under the RUIA, RRRA and RITA. Also included are binders for medical reports, notices of late filing, and notices of separation allowances where individual claim folders are not prepared.   | Transfer to FRC 1 year after end of benefit year in which originated. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 Item 12-1 |   |  |
| 12-2                        | <u>BUSI Master, Clearance, and Restorable History Tapes</u><br><br>Official case file records of all current BUSI applications or claims which include information on payments made, reimbursements due, and denials or stop payments authorized. Input sources include SCORE file (item 1 under Bureau of Compensation and Certification) and Card and Document file (item 10 in BUSI).<br><br>(a) <u>Active Master and Clearance Tape Files</u><br><br>The Active Master Tape File contains data on individuals who have had an active file during the current benefit year. It contains detailed information about individual's employment and eligibility, nature | Destroy after third subsequent update cycle has been completed successfully.   |



RRB RECORDS SCHEDULE 12

Bureau of Unemployment and Sickness Insurance

| <u>ITEM<br/>NO.</u> | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>   |
|---------------------|---|---|
| 12-2                | <p><u>BUSI Master, Clearance, and Restorable<br/>History Tapes (Cont'd)</u></p> <p>of and determinations on claims processed, and record of payments made or denied. If there are too many determinations within an individual record, the record will be shrunk to show only the final determination.</p> <p>The Clearance Tape File contains data on individuals who have had some activity in BUSI within the last five benefit years. Each individual record includes a profile of BUSI activity during each year and any indication of stop payments made or social insurance paid to beneficiary (from RRA, social security, or workmen's compensation programs or from annuity under another law). Updated daily.</p> <p>(b) <u>Restorable History Tape File</u></p> <p>Individual records are purged from the Active Master file and moved to the Restorable History file one year after the end of the last active benefit year. Four years after the last active benefit year, the record is purged from the Restorable History file and moved to the Non-Restorable History Microfilm (item 3). Updated daily.</p> | <p>Destroy after subsequent update and new Non-Restorable History Microfilm (item 3) have been produced and have proven satisfactory.</p> |

JOB: NCI 184-79-3 Item 12-2

RRB RECORDS SCHEDULE 12

Bureau of Unemployment and Sickness Insurance

| <u>ITEM<br/>NO.</u>         | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|-----------------------------|--|---|
| 12-3                        | <u>Non-Restorable History Microfilm File</u><br><br>Contains records purged from the Restorable History Tape File in item 2. The records are moved annually to this microfilm file 4 years after the last active benefit year and are used for reference and for audit purposes to show payments made.   | Destroy 6 years, 3 months after creation of microfilm.  |
| JOB: NCI 184-79-3 Item 12-3 |  |   |
| 12-4                        | <u>BUSI Previews</u><br><br>Printout record of data from the Active Master Tape File in item 2. When a record in that tape is full, the duplicate information regarding determinations is shrunk to provide more room. Holds data from the tape file in printout form as it appeared just before it was shrunk. The printouts are kept as legal backups to item 2 for audit purposes to demonstrate payments made.   | Transfer to FRC 2 years after end of benefit year in which produced. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 Item 12-4 |  |   |
| 12-5                        | <u>BUSI Accounts Receivable Tape Files</u><br><br>Contains records of cases for which accounts are or were receivable during the current benefit year. The records are moved to the History File one year after the end of the benefit year in which debts were recovered. The usual sources for accounts receivable are the Social Security Administration or the individual's employer. The History File is maintained as a legal backup to item 2 for audit purposes to demonstrate payments made. Updated daily. |   |

Departmental  
Field Service  
Appendix B  
Part II Adm. Manual

RRB RECORDS SCHEDULE 12

Bureau of Unemployment and Sickness Insurance

| <u>ITEM NO.</u>   | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|-------------------|--|---|
| 12-5              | <u>BUSI Accounts Receivable Tape Files</u> Cont'd  |   |
|                   | (a) <u>Master Tape File</u> , updated daily.   | Destroy after third subsequent update has been completed and has proven satisfactory.                                       |
|                   | (b) <u>History File</u> , updated annually at end of benefit year.   | Destroy 6 years, 3 months after end of benefit year.  |
| JOB: NCI 184-79-3 | Item 12-5  |   |
| 12-6              | <u>Voucher and Schedule of Payments, SF-1166a and Supporting Paylist Documentation</u>   |   |
|                   | Kept as legal backup to item 2 for audit purposes to demonstrate payments made.  | Transfer to FRC 2 years after close of benefit year in which prepared. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 | Item 12-6  |   |
| 12-7              | <u>UI-30 Case File</u>   |   |
|                   | RRB Form UI-30 file - district office notice to division program operations of railroad employee's possible receipt of pay for time not worked.    | Transfer to FRC 3 years after close of benefit year in which prepared. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 | Item 12-7  |   |
| 12-8              | <u>Transitory Card and Correspondence File</u>   |   |
|                   | Records of inquiries regarding RUIA benefits on cases where there are no claim folders and inquiry does not warrant preparation of a claim folder. | Destroy 3 months after action is taken or when no longer needed for administrative use, whichever is sooner.                |
| JOB: NCI 184-79-3 | Item 12-8  |   |

RRB RECORDS SCHEDULE 12

Bureau of Unemployment and Sickness Insurance

| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|--|--|
| 12-9                         | <u>Transitory Computer Generated Listings and Printouts</u><br><br>Records from the Master and Clearance Tapes (item 2) containing transitory information about claimants which do not require preparation of a claim folder.  | Destroy 3 months after action has been taken or when no longer needed for administrative use, whichever is sooner.   |
| JOB: NCI 184-79-3 Item 12-9  |  |  |
| 12-10                        | <u>Card and Document File</u><br><br>Optical Character Reader instruction forms and punch-card documents used in payment of benefits under RUIA including applications and claims for benefits, claims examiner prepared instructional cards, and related records. Used as input to the Master and Clearance Tape Files (item 2).<br><br>(a) Punch-card documents.<br><br>(b) OCR instruction forms.<br><br>(c) Daily date file microfilm (one set of film produced) produced each business day. | Transfer to FRC 3 months after end of the quarter in which originated;<br>Destroy 6 years; 3 months after end of benefit year.<br><br>Destroy after microfiling.<br><br>Destroy when 6 years; 3 months old or when no longer needed for administrative use, whichever is sooner. |
| JOB: NCI 184-79-3 Item 12-10 |  |  |

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Bureau of Unemployment and Sickness Insurance

| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 12-11                        | <u>Uncollectible Accounts Claim Folders</u><br><br>Case files which contain all information about RRB efforts to collect from individuals who were overpaid RUIA benefits and whose debts are considered uncollectible. | Transfer to FRC after recovery has been completed or waived. Destroy 6 years, 3 months after transfer.                       |
| JOB: NCI 184-79-3 Item 12-11 |   |  |
| 12-12                        | <u>Monthly UI Benefit Reports to Railroad Employer</u><br><br>Records on RUIA benefit payments to employees to whom employers expect to pay a wage guarantee.   | Break file at end of benefit year, transfer to FRC 3 years after break. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 Item 12-12 |   |  |
| 12-13                        | <u>Reports of Returned or Cancelled Checks</u><br><br>Reports identifying checks returned to the Treasury department or checks cancelled by Treasury on RRB request.  | Destroy when 3 years old.  |
| JOB: NCI 184-79-3 Item 12-13 |   |  |
| 12-14                        | <u>Accounts Receivable Transactions</u><br><br>Computer printout of the daily listing and summary reports of accounts receivable transactions.<br><br>(a) Certification and recoverables unit copy.                     | Transfer to FRC 1 year after end of benefit year in which originated. Destroy 6 years, 3 months after end of benefit year.   |

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Bureau of Unemployment and Sickness Insurance

| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 12-14                        | <u>Accounts Receivable Transactions</u> Cont'd<br><br>(b) All other copies  | Destroy when superseded.   |
| JOB: NCI 184-79-3 Item 12-14 |   |  |
| 12-15                        | <u>Opinion and Precedent Case Files</u><br><br>Records include recommendations, briefs of cases, and resulting determinations involving legal, adjudicative, or administrative questions.   | Destroy when no longer needed for administrative use.  |
| JOB: NCI 184-79-3 Item 12-15 |   |  |
| 12-16                        | <u>Lien Notice File</u><br><br>Records include copies of lien notices (RRB Form ID-30B) sent to railroad employers in personal injury cases where individuals claiming sickness benefits have indicated intent to file a personal injury claim against the railroad employer. Records used in lieu of preparing claim folder. | Transfer to FRC 3 years after benefit year in which originated. Destroy 6 years, 3 months after end of benefit year. |
| JOB: NCI 184-79-3 Item 12-16 |   |  |
| 12-17                        | <u>BUSI Production Reports</u><br><br>Records include employee prepared production reports and computer prepared listings of production reports.<br><br>(a) Employee prepared reports.<br><br>(b) Computer listings.  | Destroy when 2 months old.<br><br>Destroy when 5 years old.  |
| JOB: NCI 184-79-3 Item 12-17 |   |  |

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Bureau of Unemployment and Sickness Insurance

| <u>ITEM<br/>NO.</u>          | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 12-18                        | <u>Reimbursement to Employers</u><br><br>Monthly computer report of reimbursement to employers for taking claims.   | Destroy when 3 years old.  |
| JOB: NCI 184-79-3 Item 12-18 |   |  |
| 12-19                        | <u>Tax Microfiche</u><br><br>Microfiche records containing the tax information released to railroad unemployment and sickness benefit claimants on Forms 1099-G and W-2.                    | Destroy 4 years and 5 months after the end of the tax year for which the fiche were created. |
| JOB: NEW                     |   |  |
| 12-20                        | <u>TPO Microfiche</u><br><br>Microfiche records containing tape print-out information on individual claimants. The microfiche are generated on a bi-weekly basis and sent to field offices. | Destroy when 6 months old or when no longer needed, whichever is sooner.                     |
| JOB: NEW                     |   |  |

## RRB RECORDS SCHEDULE 12

### Bureau of Unemployment and Sickness Insurance

#### Explanatory Notes

1. Most series in this revised schedule have descriptions and retention periods unchanged from old Schedule 12, NCI 184-79-3.
2. New Item 12-11, Uncollectible Accounts File of Claim Folders - This series previously had a contingent disposition authority. The instructions have been reworded to allow NARA to dispose of the records after expiration of a set retention period. RRB will store these files in-house until all recovery efforts are exhausted in accordance with 4 CFR Part 104, Federal Claims Collection Standards.
3. New Item 12-13, Reports of Returned or Cancelled Checks - Retention for this item has been reduced three years, three months. The Bureau of Fiscal Operations is now responsible for maintaining the record copy of this item. New disposition meets Bureau of Unemployment and Sickness Insurance administrative needs.
4. New Item 12-14, Accounts Receivable Transactions - The (b) subseries in old Item 12-14 has been transferred to the Bureau of Fiscal Operations schedule.
5. New Item 12-18, Reimbursement to Employers - Series retention period has been increased by two years to meet bureau reference needs. Records are retained for three years in order to answer employer inquiries about payments for claims taking. The (a) subseries in old Item 12-18 has been transferred to the Bureau of Fiscal Operations schedule.
6. Old Item 12-19, NCI 184-79-3, Claims Certified and Payments Recoverable - Series discontinued in revised schedule. Information now included in Item 12-14. RRB Forms UI-47a and UI-47b are obsolete.
7. New Item 12-19, Tax Microfiche - Series disposition meets bureau reference needs and conforms to the statutory requirements of 26 CFR 31.6001-1, which mandate a minimum four year retention period.
8. New Item 12-20, TPO Microfiche - Fiche equivalent of Case Record Tape Printout (360TPO) formerly found under Item 12-2, NCI 184-79-3. Retention period is consistent with bureau administrative needs.



RRB RECORDS SCHEDULE 13

Bureau of Field Service

The primary mission of the Board's field service is to provide assistance to railroad employees, employers, and the general public in completing applications for benefits under the Railroad Retirement Act, Railroad Unemployment Insurance Act and Medicare. The field service develops these necessary applications, claims, and related documents to expedite correct payment of benefits due under the various Acts. It also coordinates and cooperates with all bureaus regarding both program and administrative matters. Service is provided at designated locations throughout the country as the field service is the primary contact for the public for information about any program administered by the agency. The Railroad Unemployment Insurance Act and certain Board Orders delegate responsibility to the field service to process each unemployment claim and to determine which payments should be made. In addition, the field service maintains an employment service for unemployed railroad employees. The field service also has an important role in the agency's waste, fraud, and error activities through its policing and investigative activities for other bureaus of the agency.

| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>   |
|------------------------------|---|---|
| 13-1                         | <u>Railroad Retirement Act Beneficiary Case File</u><br><br>District office records of applications and supporting documentation and/or investigations under provisions of the Railroad Retirement Act. | Destroy 1 year after close of file. (File closed after all outstanding material obtained.) Before disposal remove Third Party Disclosure Record (Form G-671) and transmit to claim files marked "file only."          |
| JOB: NCI 184-79-3 Item 13-22 |   |   |
| 13-2                         | <u>Railroad Retirement Act Beneficiary Representative Payee Case File</u><br><br>Records of selections of representatives to act for incompetent beneficiaries.   | Hold until beneficiary dies or no longer requires representative payee. Transmit file material of record to BRC including any Form G-99a, via Form G-99b. Balance of file becomes RRA beneficiary file. (See Item 1.) |
| JOB: NCI 184-79-3 Item 13-23 |   |   |

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Bureau of Field Service

| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 13-3                         | <u>Railroad Retirement Act Beneficiary, Student Case File</u><br><br>Files in which a full-time student is being paid or being considered in the computation of benefits under the Railroad Retirement Act. | Transmit any non-duplicative material to Bureau of Retirement Claims when student attains age 19 or other termination event occurs. Retain any remaining material in beneficiary case file and destroy 1 year after close of file. (See Item 1.) |
| JOB: NCI 184-79-3 Item 13-24 |   |  |
| 13-4                         | <u>Weekly Status Report</u><br><br>Retirement and Medicare Applications Forms (G-425).  | Destroy 6 months after date originated or when need is met, whichever is sooner.   |
| JOB: NCI 184-79-3 Item 13-8  |   |  |
| 13-5                         | <u>Mid-month Report of Accountable Retirement, Survivor, and Medicare Cases in Field Offices</u><br><br>Form G-378.   | Destroy when 1 year old.   |
| JOB: NCI 184-79-3 Item 13-7  |   |  |
| 13-6                         | <u>Unemployment Insurance Claimant's Case File (Includes Forms ES-11, ES-22, UI-27f, UI-30, UI-39, UI-49b, UI-49b-PR, and UI-50)</u><br><br>(a) Cases without adverse determinations.                       | Destroy 3 years after end of benefit year in which originated.   |

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Bureau of Field Service

| <u>ITEM NO.</u>                                | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|--|--|--|
| 13-6   | <u>Unemployment Insurance Claimant's Case File (Includes Forms ES-1, ES-22, UI-27f, UI-30, UI-39, UI-49b, UI-49b-PR, and UI-50) (Cont'd).</u><br><br>(b) Cases with adverse determinations.  | Destroy 5 years after end of benefit year in which originated.         |
| JOB: NCI 184-79-3 Item 13-1, 13-2, 13-19, 12-7 |  |  |
| 13-7   | <u>District Offices Register of Determinations and Redeterminations on Unemployment Benefit Claims</u><br><br>Forms UI-36, UI-36a and UI-37.   | Destroy 1 year after end of benefit year in which originated.          |
| JOB: NCI 184-79-3 Item 13-15, 13-16            |  |  |
| 13-8   | <u>Monthly Record of Reviews and Protests</u><br><br>Reports kept in regional office and forwarded to Bureau of Unemployment and Sickness Insurance monthly. Records identify cases on which adverse determinations have been submitted to the regional office for review, and show information such as date of initial determination letter and date protest received in district office. | Destroy 3 years after the end of the benefit year in which originated. |
| JOB: NCI 184-79-3 Item 13-33                   |  |  |
| 13-9   | <u>Index Card (Form UI-118)</u><br><br>Index card which displays identifying information about current unemployment claimants in the specific field office territory.  | Destroy 1 year after end of benefit year in which originated.          |
| JOB: NCI 184-79-3 Item 13-17                   |  |  |

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| <u>ITEM NO.</u>   | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>   |
|-------------------|---|---|
| 13-10             | <u>Designation of Unemployment Claims Agency</u><br>Form UI-8.  | Destroy 1 year after the Claims Agency is no longer active.   |
| JOB: NCI 184-79-3 | Item 13-13  |   |
| 13-11             | <u>Employer Order and Record Summary</u><br><br>Job openings referred to the Board for placement purposes (ES-113). Includes name and social security number of individuals referred and results.                           | Destroy closed file 1 year after end of benefit year in which closed.   |
| JOB: NCI 184-79-3 | Item 13-4   |   |
| 13-12             | <u>Index Card of Hiring Officials</u><br><br>Railroad and Non-Railroad Form ES-140.   | Destroy when cancelled or superseded.   |
| JOB: NCI 184-79-3 | Item 13-5   |   |
| 13-13             | <u>Railroad Sickness Insurance Beneficiary Case File</u><br><br>Records of sickness benefit claims and investigations under provisions of the Railroad Unemployment and Sickness Insurance Act maintained in field offices. | Destroy 1 year after close of file (file closed after all outstanding material obtained). Before disposal remove Third Party Disclosure Record (Form G-671)a Destroy Disclosure Record 5 years later (see Item 13-18c). |
| JOB: NEW          |   |   |

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| <u>ITEM<br/>NO.</u>          | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 13-14                        | <u>Report of District Office on Railroad<br/>Unemployment Insurance Activities</u><br><br>Monthly summary of district office<br>activities. Form UI-34, and UI-34m.   | Destroy 1 year after end<br>of benefit year in which<br>originated.            |
| JOB: NCI 184-79-3 Item 13-14 |   |  |
| 13-15                        | <u>Backlog/Working Balance Report</u><br><br>Quarterly report submitted to Bureau of<br>Field Service - Program Services Section.<br>Provides information about backlogs of<br>work in Railroad Retirement and Railroad<br>Unemployment Insurance.  | Destroy 1 year after the<br>end of the quarter covered<br>by the report.       |
| JOB: NEW                     |   |  |
| 13-16                        | <u>Field Office Statistical Reports Relating<br/>to the Bureau of Unemployment and Sickness<br/>Insurance</u><br><br>Reports include records pertaining to<br>field office placements, unemployment<br>claims promptness and volumes, errors,<br>and referrals for various investigations<br>of erroneous payments. | Destroy 2 years after the<br>end of the benefit year<br>covered by the report. |
| JOB: NEW                     |   |  |
| 13-17                        | <u>Third Party Disclosure Record</u><br><br>Form G-671.<br><br>(a) Railroad Retirement Act Disclosures.   |  |

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| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|------------------------------|--|---|
| 13-17                        | <u>Third Party Disclosure Record</u> (Cont'd)<br><br>1. Current Rate Verification Disclosures. District office copies of third party requests and Board responses concerning verification of benefit rates paid annuitants under the Railroad Retirement Act.<br><br>2. All other RRA disclosures.<br><br>(b) Unemployment Insurance.<br><br>(c) Sickness Insurance. | Maintain in RRA beneficiary file for one year. Purge from beneficiary file and maintain in separate file on-site for an additional 4 years. Destroy when 5 years old.<br><br>Send records pertaining to retirement or survivor matters to claim files marked "file only" when closed RRA beneficiary file is purged.<br><br>Destroy 5 years after ES-1 file is destroyed.<br><br>Destroy 5 years after district office file is destroyed. |
| JOB: NCI 184-79-3 Item 13-11 |  |   |
| 13-18                        | <u>Itinerant Service Record</u><br><br>Form G-16 with names and claim numbers of those contacted.  | Destroy 3 years after the end of calendar year in which originated.   |
| JOB: NCI 184-79-3 Item 13-6  |  |   |
| 13-19                        | <u>Itinerant Service Schedule</u><br><br>Schedules maintained in field and regional offices listing various points where a Board representative may be contacted and dates and hours of service at each point.   | Destroy when superseded or obsolete.  |
| JOB: NCI 184-79-3 Item 13-36 |  |   |

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| <u>ITEM<br/>NO.</u>          | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|---|--|
| 13-20                        | <u>Record of Receipts and Disposition of Applications</u><br><br>District office, regional office and head-<br>quarters copies of Form G-591.   | Destroy when 2 years old.  |
| JOB: NCI 184-79-3 Item 13-10 |   |  |
| 13-21                        | <u>RASI Error Ratio</u><br><br>Record of numbers of applications and<br>applications and application errors for<br>each field office.<br><br>(a) Bureau of Field Service original<br>data on Lotus disc.<br><br>(b) Regional and field office copies. | Erase 1 year after end of<br>fiscal year covered by<br>report.<br><br>Destroy 1 year after end<br>of fiscal year covered by<br>report. |
| JOB: NEW                     |   |  |
| 13-22                        | <u>RASI Input Reject Notices</u><br><br>Notices produced when errors made on<br>retirement and medicare applications<br>reject from system.   | Destroy 1 year after the<br>end of the fiscal year<br>year that the reject<br>occurred.  |
| JOB: NEW                     |   |  |
| 13-23                        | <u>Labor Organization Member File</u><br><br>Form G-508.  | Destroy when superseded.   |
| JOB: NCI 184-79-3 Item 13-9  |   |  |

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| <u>ITEM<br/>NO.</u>         | <u>DESCRIPTION OF RECORDS</u>   | <u>AUTHORIZED DISPOSITION</u>  |
|-----------------------------|---|--|
| 13-24                       | <u>Field Office Administrative Inspection<br/>Audits</u><br><br>Audits performed by Regional Office<br>personnel or district managers including<br>checklists for inspection, background<br>records, memoranda, notes, drafts,<br>reports and related records.  | Destroy when 3 years old.  |
| JOB: NCI 184-79-3 Item 4-10 |   |  |
| 13-25                       | <u>Tape Printout (TPO) Microfiche</u><br><br>Field office copies of microfiche records<br>of unemployment cases showing activity<br>during a benefit year. Produced in field<br>office order except for Canadian and Mexican<br>addresses. Those are produced in social<br>security number order.   | Destroy when 6 months old<br>or when no longer needed<br>whichever is sooner.  |
| JOB: NEW                    |   |  |
| 13-26                       | <u>Railroad Unemployment Insurance Act<br/>Tax Microfiche</u><br><br>Annual Railroad Unemployment Insurance<br>Act tax microfiche. Provides informa-<br>tion used to answer tax inquiries for<br>sickness and unemployment claimants and<br>also to complete duplicate tax statements.<br><br>(a) Bureau of Field Service copy.<br><br>(b) Field office copies. | Destroy 4 years after<br>the end of the tax year<br>covered by the micro-<br>fiche.<br><br>Destroy 3 years after<br>the end of the tax year<br>covered by the micro-<br>fiche. |
| JOB: NEW                    |   |  |



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| <u>ITEM<br/>NO.</u> | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|---------------------|--|--|
| 13-27               | <u>November 1986 Social Security Equivalent<br/>Mass Adjustment Microfiche</u><br><br>Microfiche record of the mechanical operation to calculate the Social Security Equivalent Benefit and non-Social Security Equivalent Benefit portions of Tier I for 1986 payments. (Based on changes in taxation of railroad retirement benefits effective 1986.)<br><br>(a) Bureau of Field Service.<br><br>(b) Regional and field office copies. | <br><br>Destroy 5 years after the end of the tax year covered by the microfiche.<br><br>Destroy 4 years after the end of the tax year covered by the microfiche. |
| JOB: NEW            |  |  |
| 13-28               | <u>Annual Statement Microfiche</u><br><br>Microfiche record containing tax information released to railroad retirement beneficiaries on their annual tax statements. Used to answer tax inquiries and furnish duplicate tax statements.<br><br>(a) Bureau of Field Service copies.<br><br>1. Case number sequence.<br><br>2. Field office sequence.  | <br><br>Destroy 4 years after the end of the tax year covered by the microfiche.<br><br>Destroy 4 years after the end of the tax year covered by the microfiche. |

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| <u>ITEM<br/>NO.</u> | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|---------------------|--|--|
| 13-28               | <u>Annual Statement Microfiche</u> (Cont'd)<br><br>(b) All regional and field office<br>copies.  | Destroy 3 years after the<br>end of the tax year covered<br>by the microfiche.                       |
| JOB: NEW            |  |  |
| 13-29               | <u>Mass Adjustment Microfiche</u><br><br>Microfiche of various mechanical adjust-<br>ments to beneficiaries benefits. Includes<br>COLA (cost-of-living adjustment), AERO<br>(Automatic Earnings Reappraisal Operation)<br>which documents increased benefits paid due<br>to recent social security earnings and<br>LAG/DRC Adjustment which documents the<br>inclusion of additional railroad earnings<br>and/or other credits earned in previous<br>year(s) | Destroy when 3 years old<br>or no longer needed for<br>administrative use, which-<br>ever is sooner. |
| JOB: NEW            |  |  |
| 13-30               | <u>Non-resident Alien Tax Withholding Adjust-<br/>ment Microfiche</u><br><br>Microfiche record of the mechanical adjust-<br>ment to deduct U.S. Federal Income Tax from<br>annuitants who are on our rolls.  | Destroy 4 years after<br>the end of the tax year<br>covered by microfiche.                           |
| JOB: NEW            |  |  |

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| <u>ITEM NO.</u>              | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|------------------------------|--|--|
| 13-31                        | <u>SCORE (Service and Compensation of Railroad Employees) Microfiche</u><br><br>Field office copies of microfiche which furnish railroad compensation data for all employees in covered railroad employment. Produced in alphabetical sequence by employee surname and also in numerical sequence by Social Security number. Supplemental SCORE fiche is also produced for Board issued six digit claim numbers. | Destroy when superseded by an updated microfiche.  |
| JOB: NCI 184-79-3 Item 11-1b |  |  |
| 13-32                        | <u>PAM (Post Adjudication Mechanical) Microfiche</u><br><br>Microfiche showing the status of social security benefits certified to the Board for payment.  | Destroy when 6 months old or when no longer needed for administrative use whichever is sooner. |
| JOB: NEW                     |  |  |
| 13-33                        | <u>Financial Organization Directory Microfiche</u><br><br>Microfiche record used to obtain the name and address of financial organizations used by beneficiaries on direct deposit.  | Destroy when superseded by an updated microfiche.  |
| JOB: NEW                     |  |  |
| 13-34                        | <u>BIC (Benefit Information Card) Tape File and Microfiche</u><br><br>Produced every January and July. Record providing medicare information, railroad retirement beneficiary information and social security benefit information (for beneficiaries whose social security benefit is paid by the Railroad Retirement Board).  |  |

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|------------------------------|---|---|
| 13-34                        | <u>BIC (Benefit Information Card)</u><br><u>Tape File and Microfiche (Cont'd)</u><br><br>A special BIC is produced in claim number order for addresses in Mexico and Canada. Produced from magnetic tape.<br><br>(a) Magnetic Tape File.<br><br>(b) Microfiche copies.<br><br>1. July BIC<br><br>2. January BIC | <br><br><br>Destroy when 1 year old.<br><br><br><br><br>Destroy when 1 year old.<br><br>Destroy when 3 years old. |
| JOB: NCI 184-79-3 Item 10-15 |   |   |
| 13-35                        | <u>Travelers Insurance BIC (Benefit Information Card) Tape File and Microfiche</u><br><br>Microfiche record containing selected information about beneficiaries entitled to Medicare. Produced from magnetic tape.<br><br>(a) Magnetic Tape File<br><br>(b) Microfiche copies.                                  | <br><br><br>Destroy when 1 year old.<br><br>Destroy when superseded or 1 year old whichever is sooner.            |
| JOB: NCI 184-79-3 Item 10-16 |   |   |
| 13-36                        | <u>MARC Microfiche of Annuity Residual and Compensation) I and II</u><br><br>Two sets of microfiche (MARC I and II) produced from magnetic tape. Used primarily in furnishing annuity estimates to potential beneficiaries.<br><br>(a) Magnetic tape file.  | <br><br><br>Destroy when 1 year old.  |

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| <u>ITEM<br/>NO.</u>          | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>   |
|------------------------------|--|---|
| 13-36                        | <u>MARC Microfiche of Annuity Residual and Compensation) I and II (Cont'd)</u><br><br>(b) Microfiche files.<br><br>1. MARC I (produced mid-year).<br><br>2. MARC II (produced end-of-year).  | <br><br><br>Destroy when 3 years old.<br><br>Destroy MARC II each time<br>updated MARC I is produced. |
| JOB: NEW                     |  |   |
| <del>13-37</del>             | <del><u>FOX (Field Office Cross-Reference) Tape<br/>File and Microfiche</u><br/><br/>Microfiche record used as an aid in cross-<br/>referring beneficiary names with correct<br/>social security number or claim number. A<br/>special FOX is produced in claim number<br/>order to addresses in Mexico and Canada.<br/>Produced from magnetic tape.</del> | <del></del>   |
|                              | (a) Magnetic tape file.  | Destroy after subsequent<br>update.   |
|                              | (b) Microfiche Files.  | Destroy when superseded.  |
| JOB: NCI 184-79-3 Item 10-17 |  |   |
| 13-38                        | <u>Health Service Agreements</u><br><br>Agreements between counseling con-<br>tractors, and public health service<br>units and the Railroad Retirement<br>Board which provide health services<br>facilities for RRB district offices.  | Destroy when 2 years old<br>or when no longer needed<br>whichever is sooner.                          |
| JOB: NEW                     |  |   |

Departmental  
Field Service  
Appendix B  
Part II Adm. Manual

RRB RECORDS SCHEDULE 13

Bureau of Field Service

| <u>ITEM NO.</u>                  | <u>DESCRIPTION OF RECORDS</u>  | <u>AUTHORIZED DISPOSITION</u>  |
|----------------------------------|--|--|
| 13-39                            | <u>Contact Representative Training Agreement</u><br><br>Bureau copies of training agreements designed for GS-5 contact representatives. Agreement outlines the required performance and conduct levels the employee must meet to satisfactorily complete training and be promoted to the GS-7 level. | Destroy agreement when superseded.   |
| JOB: NEW                         |  |  |
| <del>13-40</del>                 | <del><u>Motor Vehicle Operation Files</u><br/><br/>Regional office records relating to the operation of Government-owned vehicles by field office personnel. Files include supervisory review and employee signed statements regarding valid driver's license and vehicles' condition.</del>         | <del>Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate government-owned motor vehicles, whichever is sooner.</del> |
| JOB: GRS 10-7                    |  |  |
| 13-41                            | <u>Space Files</u><br><br>Regional office records relating to the acquisition, allocation, utilization, release and maintenance of space for the Board's district offices.   | Destroy when 2 years old.  |
| JOB: NCI 184-79-3 Item 5-10b (1) |  |  |
| 13-42                            | <u>Field Office Telephone Records</u><br><br>Bureau of Field Service copies of telephone bills for all field offices.  | Destroy 3 years after period covered by related account.   |
| JOB: GRS 3-10                    |  |  |

RRB RECORDS SCHEDULE 13

Bureau of Field Service

Explanatory Notes

1. Item 13-6, Unemployment Insurance Claimant's Case File - This series documents district office action on claims made by railroad employees for unemployment insurance. All RRB forms other than Form ES-1 were described in separate series under NCI 184-79-3. In fact, the bureau maintains these records together in the unemployment insurance claimant's case file.
2. Item 13-7, District Office Register of Determinations and Redeterminations on Unemployment Benefit Claims - Forms UI-36, UI-36a, and UI-37 were distinct series in NCI 184-79-3. Bureau practice, however, is to combine these forms and file them together. Retention periods of all forms are unchanged from previously approved authorities.
3. Item 13-8, Monthly Record of Reviews and Protests - These reports are used by field service regional offices and the bureau of unemployment and sickness insurance to monitor and evaluate, on a monthly basis, rejected benefit claims emanating from various district offices. Series retention period has been reduced two years without impact on bureau administration.
4. Item 13-11, Employer Order and Record Summary - This series is a record of job openings in the railroad industry to which bureau of personnel can refer unemployed railroad workers. As such a record becomes outdated soon, a one year reduction in the series retention period has been implemented.
5. Item 13-13, Railroad Sickness Insurance Beneficiary Case File - Series documents attempts by field service personnel to secure certain information from claimants so that their sickness benefit claims can be adjudicated by the bureau of unemployment and sickness insurance (BUSI). Present within the files are BUSI requests for field investigations of illness claims, verifications of beneficiary addresses, and district office followup in getting certain forms completed by claimants. All information is administrative in character and often duplicated in the BUSI claim folder. A one year retention period for this series meets bureau informational needs.
6. Item 13-15, Backlog/Working Balance Report - The bureau uses this statistical data to determine active working balances in field offices processing retirement, unemployment, and sickness claims. From this information, the bureau can determine how busy a particular district or regional office is and evaluate the office's performance in terms of how fast or slow it is working. Since field offices are inspected at least once a year, the designated retention period for this series meets bureau informational needs.
7. Item 13-16, Field Office Statistical Reports Relating to the Bureau of Unemployment and Sickness Insurance - Series monitors accuracy of bureau of unemployment claims processing in various field offices. Bureau personnel utilize this data, like that in Item 13-15, to evaluate regional and district office performance. Retention period suits bureau administrative purposes.

8. Item 13-20, Record of Receipts and Disposition of Applications - Authorized disposition of series has been increased by one year to meet bureau reference needs.
9. Item 13-21, RASI Error Ratio - This is a performance evaluation tool used by the bureau to monitor the accuracy of field office processing of retirement claims applications. Retention period meets bureau needs.
10. Item 13-22, RASI Input Reject Notices - Series contains data input from which the RASI Error Ratio (Item 13-21) is calculated. Retention period complements that of Item 13-21.
11. Item 13-25, Tape Printout Microfiche - This microfiche provides each field office with a record of the processing and payment of unemployment and sickness benefits to claimants in its territory over one benefit year. It is used as a reference tool to answer inquiries from individual beneficiaries concerning the size and number of benefit payments made to them over the year. TPO microfiche is updated every two weeks and is now also available on computer terminals in field offices. Series retention period meets bureau reference needs.
12. Item 13-26, Railroad Unemployment Insurance Act Tax Microfiche - Another bureau reference tool used to answer public inquiries concerning income tax withholding on sickness and unemployment benefits paid to claimants. The disposition of subseries (a) meets bureau reference needs and conforms to the statutory requirements of 26 CFR 31.6001-1, which mandate a minimum four year retention period. The disposition of subseries (b) is one year less because of space considerations in field offices and the fact that the bureau copy is readily accessible if extended reference is necessary.
13. Item 13-27, November 1986 Social Security Equivalent Mass Adjustment Microfiche - Due to changes in the tax law, the Railroad Retirement Board, in 1986, recalculated the retirement benefit of each claimant in terms of what portion of the benefit was taxable. This series documents those calculations and is used by bureau personnel to answer beneficiary inquiries concerning annuity changes. Subseries retention periods are determined by the same factors mentioned in Item 13-26.
14. Item 13-28, Annual Statement Microfiche - Bureau staff refer to these fiche when answering beneficiary inquiries regarding what portion of their benefits are taxable during a specific year. Retention periods for subseries (a) and (b) are determined by the same factors mentioned in Item 13-26.
15. Item 13-29, Mass Adjustment Microfiche - Mass adjustment microfiche are used by field service personnel to verify railroad retirement benefit rates for claimants and document how individual benefits have been affected by a particular cost-of-living adjustment. Bureau reference needs determined the series retention period.



16. Item 13-30, Non-resident Alien Tax Withholding Adjustment Microfiche - Series documents the amount of income tax withholding applied to railroad retirement benefits received by foreign nationals. This information is used by bureau personnel to answer public inquiries. Retention period is consistent with the requirements of 26 CFR 31.6001-1.
17. Item 13-31, SCORE Microfiche - Non-record, microfiche copies of the SCORE File (see Item 14-1, Bureau of Compensation and Certification) used solely for reference.
18. Item 13-32, PAM Microfiche - The Railroad Retirement Board, under certain circumstances, is responsible for including social security payments with the benefits it pays railroad retirement annuitants. Post Adjudication Mechanical Microfiche, created weekly, is used by the bureau to answer public inquiries concerning the status of these payments in terms of dollar amounts and date of initiation. Series retention period fulfills reference requirements.
19. Item 13-33, Financial Organization Directory Microfiche - Bureau personnel refer to this fiche when answering inquiries from beneficiaries concerning direct deposit of their benefit checks. This microfiche, which is updated every quarter, contains the routing number, name, and address of those financial organizations participating in the RRB direct deposit program. Series is strictly a reference tool.
20. Item 13-34, BIC Tape File and Microfiche - This series is referred to by bureau personnel to answer agency and public inquiries concerning various medicare, RRB, and SSA benefit computations. Retention period of January subseries has been increased two years to meet bureau reference needs.
21. Item 13-35, Travelers Insurance BIC Tape File and Microfiche - Fiche is used to answer medicare inquiries specific to the Travelers Insurance Company. As this series is produced semi-monthly, a one year maximum retention period is sufficient administratively.
22. Item 13-36 - MARC I and II Microfiche - MARC I microfiche is a semi-annual update of MARC II microfiche. MARC I fiche shows individual railroad employee earnings for the year, plus a cumulative total. The three year retention period for MARC I microfiche is necessary for reference purposes.
23. Item 13-37 - FOX Tape File and Microfiche - FOX microfiche is updated semi-annually, along with BIC microfiche. Revised disposition instructions reflect the updating process and are more accurate than current instructions in NCI 184-79-3.
24. Item 13-38 - Health Service Agreements - This series contains correspondence, surveys, interagency agreements, and other records relating to the establishment and operation of health units available for use or referral by RRB employees in the field. These agreements normally span one fiscal year and are renewed annually. Designated series retention period meets bureau administrative purposes.

25. Item 13-39, Contact Representative Training Agreement. - Series description refers to reference copies of prototype agreement, not to the original, which is maintained in the Bureau of Personnel, nor to individual agreements signed by RRB employees. The contact representative training agreement is a management tool for preparing new contact representatives for job performance at the journeyman level. Authorized disposition is appropriate for non-record, technical reference material.
26. The following series from RRB Schedule 13, NCI 184-79-3, are no longer kept by the Bureau of Field Service and have been deleted from the revised schedule: 13-3, 13-12, 13-18, 13-20, 13-21, 13-25, 13-26, 13-27, 13-28, 13-29, 13-30, 13-31, 13-32, 13-34, and 13-35.

RAILROAD RETIREMENT BOARD

Accumulation Rate and Volume of Permanent Items Submitted With 184-89-1

| <u>Item</u>                       | <u>Accumulation Rate</u>      | <u>Current Volume</u> |
|-----------------------------------|-------------------------------|-----------------------|
| 1-1 Board Orders                  | 4 cubic feet a year           | 40 cubic feet         |
| 1-2 Index to Board Orders         | 3/4 linear foot a year        | 36 linear feet        |
| 1-3 Record of Proceedings         | 1/2 cubic foot a year         | 2 cubic feet          |
| 1-4 Correspondence Files          | 18 cubic feet a year          | 51 cubic feet         |
| 1-5 Index to Correspondence Files | less than 1 cubic foot a year | 6 cubic feet          |
| 9-1 Digest of Legal Opinions      | 1/2 linear foot a year        | 56 linear feet        |
| 9-4 Railroad Legislation          | 1/2 cubic foot a year         | 44 cubic feet         |