

member, or any other party aggrieved by a final decision pursuant to the Railroad Unemployment Insurance Act, may, only after all administrative remedies within the Board will have been availed of and exhausted, obtain a review of such final decision of the Board by filing a petition for review within 90 days after the mailing of notice of such decision to the claimant or other party, or within such further time as the Board may allow, in the United States court of appeals for the circuit in which the claimant or other party resides or will have had his principal place of business or principal executive office, or in the United States Court of Appeals for the Seventh Circuit, or in the United States Court of Appeals for the District of Columbia Circuit.

(c) *Current compensation and service records.* Current compensation and service records are maintained by the Bureau of Research and Employment Accounts. These records are obtained from reports made periodically on either a quarterly or annual basis by employers and employee representatives. General instructions in this regard may be found in part 250 of this chapter. Special instructions to employers and employee representatives are issued from time to time by the Director of Research and Employment Accounts.

(d) *Collection of contributions.* The Office of Budget and Fiscal Operations acts as the collecting agency of the Board in receiving contributions due under the Railroad Unemployment Insurance Act. Contributions are, with some few exceptions, due quarterly and with the payment, the employer must file a report, Form DC-1, Employers Quarterly or Annual Report of Contributions under the Railroad Unemployment Insurance Act. (For further details see part 345 of this chapter.)

(e) *Employment service.* Employers needing workers may avail themselves of the Board's employment service by making requests of any field office for

referrals, in writing, on forms provided by the Board, or by telephone.

[15 FR 6752, Oct. 6, 1950, as amended at 21 FR 4808, June 29, 1956; Board Order 62-115, 27 FR 9254, Sept. 19, 1962; Board Order 67-67, 32 FR 9064, June 27, 1967; 41 FR 22557, June 4, 1976. Redesignated at 52 FR 11010, Apr. 6, 1987, as amended at 55 FR 26430, June 28, 1990]

§200.3 Designation of forms and display of assigned OMB control numbers.

(a) *Designation of forms and instructions.* (1) This paragraph lists the public reporting forms prescribed by the Railroad Retirement Board under the authority of the Railroad Retirement Act, the Railroad Unemployment Insurance Act and certain other Acts. The Board uses these reporting forms to obtain information from the public that it needs in administering these Acts. The public reporting forms have been organized into the following groups: applications for basic benefit programs and related forms; health insurance applications and related forms; forms for appeals, withdrawals, retention of benefits, substitution of payees and other actions subsequent to applying for a benefit; and, forms related to the crediting and maintenance of earnings records.

(2) *Applications for basic benefits and related forms.* The following forms are prescribed for use by railroad employees, members of their families and certain other individuals in applying for benefits under the Railroad Retirement Act and the Railroad Unemployment Insurance Act; these forms are also prescribed for use by certain third parties to provide information in support of an application for benefits.

(i) Application forms.

AA-1—*Application for Employee Annuity.* Used in applying for an employee annuity. Information collected includes: Applicant's personally identifying data, earnings, family history, work history, military service, railroad pensions, and benefits from other government agencies.

AA-1b—*Application for Recomputation of Employee Annuity Under the Railroad Retirement Act.* Used to obtain information from an employee who performed additional service in the railroad industry since his or

- her annuity began. The information will be used to recompute such annuity.
- AA-1d—*Application for Determination of Employee Disability*. Used in applying for an employee disability annuity and in establishing a period of disability and early Medicare coverage. Information collected includes: Applicant's personally identifying data, medical condition, medical care, daily activities, education and training, work history, current earnings, and benefits from other government agencies.
- AA-3—*Application for Spouse/Divorced Spouse Annuity*. Used in applying for a spouse's or divorced spouse's annuity. Information collected includes: Applicant's personally identifying data, earnings, family history, work history, and benefits from other government agencies.
- AA-17—*Application for Widow(er)'s Annuity*. Used in applying for an insurance annuity and a lump-sum payment by the widow(er), remarried widow(er), or the surviving divorced spouse. Information collected includes: Applicant's personally identifying data, family history, employment information, benefits from other government agencies, and the work history and military service of the deceased spouse.
- AA-17b—*Application for Determination of Widow(er) Disability*. Used in applying for a disability annuity and for early Medicare coverage by a disabled widow(er), a disabled widow(er) who has remarried, and a disabled divorced wife who has survived the employee. Information collected includes: The applicant's personally identifying data, medical condition, medical care, daily activities, education and training, work history, current earnings, and benefits from other government agencies.
- AA-18—*Application for Mother's/Father's and Child's Annuity*. Used in applying for insurance annuity benefits by the following survivors—the mother or father, the remarried mother or father, or the surviving divorced spouse—on their own behalf and on behalf of the child of the deceased employee. Information collected includes: Applicant's personally identifying data, family history, work history, earnings, benefits from the other government agencies, and the deceased employee's work history and military service.
- AA-19—*Application for Child's Annuity*. Used in applying, on behalf of a child of a deceased employee, for an insurance annuity and any insurance benefits payable under title II of the Social Security Act. Information collected includes: Applicant's personally identifying data, family history, work history, earnings, benefits from other government agencies, and deceased employee's work history and military service.
- AA-19a—*Application for Determination of Child Disability*. Used in applying for an annuity based upon the child's disability and for early Medicare coverage by a spouse or the disabled child himself or herself. Information collected includes: Applicant's personally identifying data, medical condition, medical care, daily activities, education and training, work history, earnings, and benefits from other government agencies.
- AA-19s—*Application for Child's Annuity/Full-Time Student*. Used in applying for an insurance annuity by a student who is the child of a deceased employee. Information collected includes: Applicant's personally identifying data, family history, work history, earnings, school attendance, benefits from other government agencies, and deceased employee's work history and military service.
- AA-20—*Application for Parent's Annuity*. Used by the parent of a deceased employee in applying for an insurance annuity and for health insurance benefits. Information collected includes: Applicant's personally identifying data, family history, work history, earnings, benefits from other government agencies, and deceased employee's work history and military service.
- AA-21—*Application for Lump-Sum Death Payment and Annuities Unpaid at Death*. Used by a surviving relative, a designated beneficiary or a funeral director to apply for, as appropriate, a lump-sum benefit or annuities due but unpaid at the annuitant's death. Information collected includes: Applicant's personally identifying data, burial expense information, and the deceased employee's family history, work history and military service.
- ES-1a—*Application for Employment Service*. Used by an unemployed railroad employee in applying for employment counseling, referral and placement assistance services under the Railroad Unemployment Insurance Act; also used to enroll the names of separated railroad employees on the central register.
- SI-1a—*Application for Sickness Benefits*. Used by a railroad employee in applying for sickness benefits under the Railroad Unemployment Insurance Act. Information collected will determine eligibility for benefits and the signed form will operate as a waiver for release of medical information.
- SI-2—*Application and Statement of Sickness/Pregnancy, Miscarriage or Childbirth*. Used by a female railroad employee in applying under the Railroad Unemployment Insurance Act for sickness benefits based on pregnancy, miscarriage or childbirth.
- UI-1 (ES-1)—*Application for Unemployment Benefits & Employment Service*. Used by an unemployed railroad employee in applying for unemployment insurance benefits and employment referral services under the Railroad Unemployment Insurance Act.
- (ii) Related forms.

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- AA-2P(R)—*Record of Employee's Prior Service (Retirement)*. Used by an employer to inform the Board of an employee's pre-1937 creditable service and compensation.
- AA-2P(U)—*Record of Employee's Prior Service (Unemployment)*. Used by an employer to inform the Board of an employee's pre-1937 creditable service and compensation for railroad unemployment insurance purposes.
- AA-4—*Self-Employment Questionnaire*. Used by an employee or the employee's spouse who has applied for a retirement annuity in order to determine whether any self-employment is exempt from "last person service" employment restrictions.
- AA-11a—*Designation or Change of Beneficiary for Residual Lump Sum*. Used by an employee to designate the beneficiary or beneficiaries who would receive the residual lump-sum.
- AA-15—*Employee's Statement of Service Performed Before January 1, 1937, to Employers Under the Railroad Retirement Act*. Used by an employee claiming creditable service prior to January 1, 1973 to assist the employer in locating the employee's service and compensation record. (The Board's records do not reflect service prior to 1937.)
- ES-2—*Supplemental Information for Central Register (Card)*. Used to update the central register of separated railroad employees.
- ES-20a—*Applicant's Referral Report*. Used to refer a railroad employee or a railroad unemployment benefit claimant to a prospective employer. If unemployed, the claimant is informed that failure without good cause to comply with instructions or to accept suitable work available will prevent payment of benefits for 30 days.
- ES-20b—*Employment Referral Card*. Used by a prospective employer to verify that the referred railroad worker: (1) Appeared for the interview and (2) was considered for the position.
- ES-20c—*Notice of Job Opening*. Used to advise unemployed railroad employees of job opportunities for which they may apply or decline to apply without being penalized by a 30 day disqualification.
- ES-21—*Referral to State Employment Service*. Used to refer a railroad unemployment insurance claimant to the State Employment Service for possible job openings. The claimant is informed that failure without good cause to comply with instructions to accept suitable work will prevent payment of benefits for 30 days.
- ES-21c—*Report on Placement or Refusal or Referral or Job Offer to Railroad Retirement Board*. Used by a State Employment Service to verify whether the referred claimant: (1) Did appear for an interview and (2) was considered for job openings.
- ES-22—*Unemployment Claims Agent's Placement Report*. Used by a railroad unemployment claims agent to report results of efforts to place an unemployed railroad employee in another job.
- G-3EMP—*Report of Medical Condition by Employer*. Used to request information from a railroad employer about a disability applicant's medical condition and disqualification for work.
- G-45—*Supplement to Claim of Person Outside the United States*. Used to obtain supplemental information from a non-U.S. citizen annuity applicant whose annuity may be subject to the income tax withholding provisions of the U.S. Internal Revenue Code; used to obtain information from a beneficiary who has informed the Board or a change in country of residence which may subject him or her to such tax withholding provisions.
- G-86—*Certification in Support of Employer Service for Which No Records Are Available*. Used by an employee to reconstruct pre-1937 creditable service and compensation when the employer's records are incomplete or unavailable.
- G-88—*Certificate of Termination of Service and Relinquishment of Rights*. Used to obtain evidence that an applicant for a retirement annuity has relinquished all rights to return to employer service.
- G-88p—*Employer's Supplemental Pension Report*. Used to obtain pension data from an employer to correct the supplemental annuity amount payable to an annuitant or annuity applicant.
- G-88r—*Request for Information About Employer Pension Plans*. Used to obtain information from an employer about any private pension plans that it may have established.
- G-118—*Statement Regarding Adoption*. Used by a surviving child through his or her representative, to provide information supporting an equitable adoption; used by an employee or a spouse trying to increase an annuity by claiming an equitably adopted child; and, used by a third party or an institution to provide evidence of an equitable adoption in support of the claim of a surviving child, employee or spouse.
- G-124—*Statement of Marital Relationship*. Used by a spouse to provide information in support of a marital relationship not solemnized by a civil or religious ceremony.
- G-124a—*Statement Regarding Marriage*. Used by an individual who has knowledge of a marital relationship not solemnized by a civil or religious ceremony to provide information in support of that relationship.
- G-131—*Authorization of Payment and Release of All Claims to a Death Benefit or Accrued Annuity Payment*. Used by a non-spouse survivor of a deceased employee to assign rights as a beneficiary to another beneficiary.
- G-134—*Statement Regarding Contributions and Support*. Used by an applicant who, in order to qualify for benefits, must show receipt of one-half support from the employee at

- the time of the employee's retirement, period of disability onset or death. Among these applicants are: a parent of a deceased employee, a spouse and a widow(er).
- G-204—*Verification of Worker's Compensation/ Public Disability Benefit Information*. Used to obtain, from a public agency paying an applicant's worker's compensation or public disability benefits, verification of the information provided by an applicant.
- G-208—*Public Service Pension Questionnaire*. Used to obtain information from a spouse or a survivor annuity applicant to determine if the annuity is or will be subject to a reduction for a public service pension.
- G-209—*Employee Noncovered Service Questionnaire*. Used to obtain information from railroad employee annuitants or annuity applicants about benefits they either receive or expect to receive based on employment not covered under the Railroad Retirement Act or the Social Security Act.
- G-214—*Worker's Compensation and Public Disability Benefit Questionnaire*. Used to obtain information from an annuity applicant as to whether he or she is receiving or will receive worker's compensation or public disability benefits. Such benefits may be offset against the annuity computation.
- G-237—*Statement Regarding Marital Status*. Used by an applicant or an employee if still living to obtain information required in establishing the marital status of the employee, spouse or surviving spouse if the initial information about the dissolution of the marriage is inconclusive.
- G-238—*Statement of Residence*. Used to obtain information to determine whether there should be a presumption in favor of the validity of the last of several conflicting marriages. This form is completed by an individual who was shown by Form G-237 as having some knowledge as to where the applicant or former spouse lived after the dissolution of the marriage.
- G-238a—*Statement Regarding Divorce or Annulment*. Used to search official legal records for copies of divorce decrees or annulments.
- G-250—*Report of Physical Examination*. Used by a disability applicant's personal physician to provide requested medical information.
- G-251—*Vocational Report*. Used to obtain a work history and detailed job duties from employee and most surviving spouse disability applicants; used to establish the employee's regular occupation for purposes of an employee occupational disability determination.
- G-256—*Application for Search of Census Records*. Used to obtain census records from Bureau of Census to provide evidence of age in support of an application for benefits if age is at issue and no better evidence of age is available.
- G-273—*Statement of Death by Funeral Director*. Used by a funeral director for providing certification of death in lieu of a death certificate and for providing information in support of a claim for death benefits.
- G-273a—*Funeral Director's Statement of Burial Charges*. Used by a funeral director in connection with an application by a survivor (other than the surviving spouse who was living in the same household with the annuitant at the time of death) authorizing direct payment of the lump-sum death payment to the funeral director.
- G-315—*Student Questionnaire*. Used in seasonal monitoring and to obtain information from a student to verify his or her status with respect to (1) Full time enrollment, (2) marriage, (3) age, (4) employment, (5) social security benefits, and (6) earned income.
- G-315a—*Statement by School Official of Student's Full Time Attendance*. Used to obtain information from a school official to verify the full time attendance of a student beneficiary.
- G-318—*Statement of Spouse of Employee Annuitant*. Used to obtain information from a railroad employee's spouse to determine whether such spouse is eligible for Railroad Retirement Act benefits under the overall minimum guaranty provision.
- G-319—*Employee Annuitant's Statement Regarding Family and Earnings*. Used to obtain information from a railroad employee about child(ren), earnings, and receipt of social security benefits to determine whether any student-child(ren) are eligible for Railroad Retirement Act benefits under the overall minimum guaranty provision.
- G-320—*Statement by Employee Annuitant Regarding Student Age 18-19*. Used to obtain information from a railroad employee about the employee's child(ren)'s school attendance, earnings, and social security benefits.
- G-346—*Employee's Certification*. Used in determining whether there was a legal impediment to the marriage of the spouse or former spouse of a railroad employee.
- G-423—*Financial Disclosure Statement*. Used to obtain financial information from an overpaid annuitant or claimant who is requesting that the Board waive its right to recover the overpayment.
- G-440—*Annual and Quarterly Report Indication/Specification Sheet*. Used by an employer to transmit reports of compensation.
- G-476c—*Report of Former Spouse-Annuitant*. Used in determining the eligibility of a spouse annuitant or divorced spouse annuitant for an appropriate survivor annuity upon death of the employee. Information collected includes: Applicant's personally identifying information, recent work history, benefits from other government agencies, and identification of other family

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- member(s) possibly eligible for survivor benefits.
- ID-4k—*Notification to Employer That a Current or Former Employee Has Applied for Unemployment Benefits.* Used to notify a railroad employer that an employee has filed an unemployment compensation claim; used to grant such employer the opportunity to rebut the employee's statements as to current unemployment, reasons for current unemployment, date last worked, and/or nonpayment of vacation or other such pay.
- ID-4L—*Notification to Employer That a Current or Former Employee Has Applied for Sickness Benefits.* Used to notify a railroad employer that an employee has filed a claim for sickness benefits; used to grant such employer the opportunity to rebut the employee's statements as to current sickness or injury, date last worked or returned to work, nonreceipt of a personal injury settlement or judgment for the infirmity which has precluded work, and/or non-receipt of wages or salary or benefits such as vacation or sick pay while not working.
- ID-5i—*Letter to Non-Railroad Employers on Employment and Earnings of a Claimant.* Used to obtain information from a non-railroad employer about work performed during the period for which unemployment benefits were claimed.
- ID-5r(SUP)—*Report of Employees Paid RUIA Benefits for Each Day in Month Reported as a Creditable Month of Service.* Used to obtain information from a railroad employee about compensation credited to an employee during the period for which either unemployment or sickness benefits were claimed.
- ID-7h—*Non-Entitlement to Sickness Benefits and Information on Unemployment Benefits.* Used to notify a claimant that if he or she is unable to work for a longer period of time, he or she needs to have a doctor furnish additional medical information.
- ID-11a—*Notice of Late Filing for Sickness Benefits.* Used to obtain information from an employee filing late for sickness benefits to determine whether the circumstances justify payment of benefits.
- ID-28a(1)—*Statement in Lieu of an Application for Sickness Benefits.* Used by a survivor applying for sickness benefits for which the employee might have been eligible but for which no application had been filed.
- ID-30k(1)—*Supplemental Information on Injury or Illness.* Used as a follow-up in obtaining information about the status of any personal injury claim based on the injury for which sickness benefits were paid.
- RB-5—*Your Duties As Representative Payee.* Used to inform a substituted or representative payee of his or her recordkeeping duties with respect to the benefit payments he or she is receiving on behalf of an incompetent or incapacitated annuitant.
- RL-11b—*Request for Hospital Medical Records.* Used to obtain copies of medical records from a private hospital when a disability applicant indicates that he or she received care from that hospital; used to provide that hospital with the applicant's written consent to disclose such information.
- RL-11d—*Request for State Agency's Medical Information.* Used to obtain copies of medical reports and other information from a state agency that paid worker's compensation or public disability benefits when a disability applicant indicates that he or she received such benefits; used to provide the agency with the applicant's written consent to disclose such information.
- RL-12/ID-31a—*Contract for Professional Services.* Used to request specific medical services from a consulting physician; used to provide the physician with reporting and reimbursement instructions.
- RL-94-F—*Survivor Questionnaire.* Used to obtain information about the survivors or the estate of a deceased railroad employee to determine whether and to whom survivor benefits are payable.
- RL-231-F—*Request to Non-Railroad Employer for Information About Annuitant's Work and Earnings.* Used to determine whether an annuitant has returned to work for "last person service" employer (i.e., the last employer before retirement of a railroad employee or spouse applicant).
- RRB-1001—*Nonresident Questionnaire.* Used to obtain information from a non-resident annuitant about the status of his or her citizenship and legal residence for purposes of determining the amount of tax that must be withheld.
- RRB-W4-P—*Withholding Certificate for Railroad Retirement Payments.* Used to obtain information from an annuitant about the amount to be withheld from any portion of his or her retirement benefits subject to federal income taxation.
- SI-1b—*Statement of Sickness.* Completed by the railroad employee's physician to support the employee's claim of being unable to work because of illness or injury.
- SI-1c—*Supplemental Information on Accident and Insurance.* Used to obtain further information from an employee about the identity of the person, company, and/or insurer who may be liable for damages to the employee and about the possibility of litigation and/or a settlement.
- SI-3—*Claim for Sickness Benefits.* Used by an employer who has filed for sickness to provide information in support of a claim for benefits for a particular period, usually 14 days.
- SI-5—*Report of Payments to Employee Claiming Sickness Benefits Under the Railroad Unemployment Insurance Act.* Used to obtain information from the allegedly liable party about the amount of damages received by a railroad employee from a personal injury

- settlement or lawsuit or about the amount of an award for a worker's compensation or an insurance claim. Form SI-5 is sent with Form ID-30b, which serves as a transmittal letter and explains the Board's right of reimbursement.
- SI-7—*Supplemental Doctor's Statement*. Used to obtain medical evidence needed to supplement the medical information submitted on Form SI-1b, Statement of Sickness.
- SI-10—*Statement of Authority to Act for Employee*. Used to determine who may act in a representative capacity for an employee when he or she has become incapable of signing documents and transacting business in connection with obtaining sickness benefits.
- SI-62—*Claim for Sickness Benefits Due Employee But Not Paid at Death*. Used by a survivor to claim unpaid sickness benefits for which the deceased employee was ineligible.
- UI-1e—*Pay Rate Report*. Used by a claimant for sickness or unemployment benefits to provide information on his or her last railroad employment and pay rate when such information is not otherwise available from the Board's records.
- UI-1f—*Pay Rate Report*. Used by an employer to verify the rate of pay reported by an employee.
- UI-1g—*Employee-Employer Statement of Pay Rate*. Used to obtain information from both the employee and the employer when the employee believes that his or her pay rate was not reported accurately by the employer.
- UI-3—*Claim for Unemployment Benefits*. Used by a claimant for unemployment benefits to provide information in support of claimed days of unemployment during a 14-day registration period.
- UI-9—*Applicant's Statement of Employment and Wages*. Used by a claimant for unemployment or sickness benefits if his or her current service and compensation either have not yet been reported or have been underreported to the Board.
- UI-13—*Notice of Payment of Separation Allowance*. Used by an employer to provide information about a former employee's separation from service.
- UI-23—*Claimant's Statement of Service for Railroad Unemployment Insurance Benefits*. Used by a claimant for unemployment or sickness benefits to establish whether he or she has sufficient service to qualify for extended or accelerated benefits.
- UI-35—*Field Office Record of Claimant Interview*. Used to conduct a personal interview of a claimant for unemployment benefits at a field office or itinerant point.
- UI-44—*Claim for Credit for Military Service (RUIA Act)*. Used to obtain information from a claimant about military service because such service can be used under certain circumstances to extend employment or sickness benefits under the Railroad Unemployment Insurance Act.
- UI-45—*Certification Regarding Rights to Unemployment Benefits*. Used by a claimant who has voluntarily left work to certify whether he or she has rights to benefits under any other unemployment insurance law.
- UI-48—*Claimant's Statement Regarding Benefit Claims for Days on Which He Worked*. Used to obtain the claimant's explanation for claiming benefits for days on which he or she was apparently employed.
- UI-54—*Unemployment Claims Agent's Statement Regarding Benefit Claims for Days on Which a Claimant Worked*. Used to obtain information from an unemployment claims agent concerning a claimant's alleged employment on days claimed as days of unemployment.
- UI-62—*Canadian Unemployment and Sickness Benefit Information*. Used to obtain the Canadian social insurance number from a claimant for unemployment or sickness benefits when a claimant's address indicates Canadian residency.
- UI-63—*Application for Accrued Benefits Due Under the Railroad Unemployment Insurance Act and Unpaid at Death*. Used by a survivor to apply for the accrued sickness or unemployment benefits unpaid at the death of the employee; also used to identify the proper payee.
- (3) *Health insurance applications and related forms*. The following forms are prescribed for use by qualified railroad retirement beneficiaries to establish entitlement based on age or disability, and to enroll and collect benefits under the Social Security health insurance program administered by the Board.
- (i) Application forms.
- AA-6—*Employee Application for Medicare*. Used by an employee not entitled to monthly benefits to apply for hospital insurance and supplemental medical insurance.
- AA-7—*Spouse/Divorced Spouse Application for Medicare*. Used by the spouse or divorced spouse, neither of whom would be otherwise entitled to benefits under the Railroad Retirement Act, to apply for hospital and supplemental medical insurance.
- AA-8—*Widow/Widower Application for Medicare*. Used by a widow(er) who is not otherwise entitled to benefits under the Railroad Retirement Act to apply for hospital and supplemental medical insurance.
- (ii) Related forms.
- AA-104—*Application for Canadian Hospital Benefits Under Medicare—Part A*. Used by a qualified railroad retirement beneficiary to apply for hospital benefits under Part A

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of Medicare for services provided in Canada. The information provided is verified by the Board's Canadian contractor, currently Blue Cross of Ontario, before any benefits are paid.

G-740B—*Requests for Medicare Payment by Organizations Which Qualify to Receive Payment for Paid Bills*. Used by Railroad Hospital Associations and Group Prepayment Plans approved to receive reimbursement directly from the Medicare carrier for charges that the organization paid for services to its members.

G-740s—*Patient's Request for Medicare Payment*. Used by a qualified railroad retirement beneficiary to file a claim for Part B (supplemental medical) benefits directly with the Board's carrier.

HCFA-1500—*Common Health Insurance Claim Used by Physicians and Suppliers*. Used by a physician or other supplier of Part B (supplemental medical) services to claim payment.

(4) *Forms for post-application actions*. The following forms are prescribed for use by the public to retain benefits and to request an appeal from a denial of benefits, a withdrawal of an application, a substitution of a representative payee for an incompetent annuitant, and similar actions subsequent to applying for a benefit.

AA-5—*Application for Substitution of Payee for Employee, Spouse or Survivor Annuitant*. Used in applying for a substitute payee to receive benefits on behalf of an incompetent annuitant. Information collected includes that needed to select a representative or substitute payee who will serve in the best interest of the incompetent beneficiary.

G-19—*Annual Earnings Monitoring Questionnaire*. Used annually by an annuitant to report work and earnings since excess income may reduce the amount of an annuity and type of work performed may suggest recovery from disability.

G-99a—*Representative Payee Report*. Used in obtaining information from a substitute or representative payee to monitor the performance of his or her duties with respect to the annuitant.

G-99c—*Representative Payee Evaluation Report*. Used in obtaining more highly detailed information from a substitute or representative payee who has failed to respond to Form G-99A, above; also used to determine whether the current payee should continue in this capacity.

G-254—*Continuing Disability Report*. Used to obtain current information about a disability beneficiary's work activity and medical condition to determine continuing entitlement to disability benefits.

G-478—*Statement Regarding Patient's Capability to Manage Payments*. Used to obtain— from an annuitant's attending physician or from a medical officer attached to an institution—medical evidence of such annuitant's incapacity to manage his or her personal and financial affairs.

G-718—*Request for Termination of Supplementary Medical Insurance*. Used by a beneficiary to provide the information needed to terminate his or her supplemental medical insurance.

G-790—*Request for Review of Part B Medicare Claim*. Used by a beneficiary claiming Part B medical insurance benefits to request reconsideration of a benefit determination by the carrier.

G-791—*Request for Hearing—Part B Medicare Claim*. Used by a qualified railroad retirement beneficiary to request a hearing following review when an unfavorable redetermination decision has been made on a Part B Medicare claim.

HA-1—*Appeal Under the Railroad Retirement Act*. Used by an applicant or an annuitant to appeal to a hearings officer from a denial of a claim for retirement or disability benefits, or to appeal from a hearings officer's decision to sustain the original denial.

HA-4—*Appeal Under the Railroad Unemployment Insurance Act*. Used by a claimant to appeal both an initial determination, a redetermination and/or a hearings officer's decision denying railroad unemployment or sickness insurance benefits.

(5) *Forms related to maintenance of earnings records*. The following forms are used by the Railroad Retirement Board, by railroad employers, and by other members of the public in connection with the crediting and maintenance of earnings records of railroad wage earners.

AA-12—*Notice of Death and Statement of Compensation*. Used by an employer to notify the Board of the date of death of an employee and to report any service and compensation not yet reported to the Board; such "lag period" data is used to determine entitlement to, and amount of, the annuity payable to the survivors of the employee.

BA-3a—*Annual Report of Creditable Compensation*. Used by an employer to report service months and compensation for each railroad employee annually.

BA-4—*Report of Creditable Compensation Adjustments*. Used by an employer to correct service and compensation previously reported, or to report service and compensation that was omitted from a previous report.

- BA-5—*Quarterly Summary Report of Employee Compensation Adjustments.* Used by an employer to summarize on a quarterly basis monthly adjustments to employee compensation.
- BA-9—*Report of Separation Allowances or Severance Pay Subject to Tier II Taxation.* Used by an employer to report the amount of separation allowances paid.
- BA-10—*Report of Sick Pay and Miscellaneous Compensation Subject to Tier I Tax.* Used by an employer to transmit reports of compensation.
- DC-1—*Employer's Quarterly or Annual Report of Contributions Under the Railroad Unemployment Insurance Act.* Used by an employer to show and to certify periodic contributions to the Railroad Unemployment Insurance fund.
- DC-2—*Employee Representative's Report of Compensation.* Used by an employee representative to update his or her creditable service and compensation record which is the basis for payment of benefits under the Railroad Retirement Act.
- DC-2a—*Employee Representative's Status Report.* Used to determine whether an individual qualifies for employee representative status.
- DC-3—*Claim for Abatement or Refund of Contributions, Interest, or Penalty.* Used by an employer to claim abatement of liability or to claim a refund of contributions to the railroad unemployment insurance account.
- ERR-8—*Employment Relation Questionnaire.* Used by an employer to inform the Board when an employee was not in compensated service on August 29, 1945 and did not perform six months of service after August 29, 1935 and before January 1, 1946.
- G-88a—*Employer's Supplemental Report of Service and Compensation.* Used to obtain a report of "lag service" and compensation from an employer to help determine entitlement to, and the amount of, an annuity.
- GL-99—*Employee Deemed Service Month Questionnaire.* Used to obtain information from a railroad employer to determine (1) Whether a claimant had an employment relationship with a covered railroad employer or was an employee representative during a month worked, and (2) whether such claimant can be credited with a deemed month of service.
- UI-41—*Supplemental Report of Service or Compensation.* Used to obtain a report of service months and compensation from an employer covering the period between the Board's last recorded annual entry and the date when the claim for unemployment benefits was filed (i.e., the "lag period").
- UI-41A—*Supplemental Report of Compensation.* Used to obtain information from an employer about an employee's compensation, not exceeding \$775 per month, to determine whether additional benefits may be paid.

(b) *OMB control numbers assigned under the Paperwork Reduction Act.* (1) This paragraph collects and displays the control numbers assigned to information collection requirements of the Railroad Retirement Board (the "Board") by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1980. Further, such OMB control numbers have been appropriately dispersed throughout the Code of Federal Regulations, following the pertinent section prescribed by the Board. The Board intends that this chapter complies with section 7(b) of chapter 35 of title 44 of the United States Code, which requires in relevant part that Federal agencies display a current control number assigned by the Director of the Office of Management and Budget for each agency information collection requirement.

(2) In addition to being dispersed throughout the substantive text of this chapter, the OMB control numbers have also been compiled into the following tables of information collection requirements which includes the public reporting forms listed in paragraph (a) of this section as well as certain other information collection activities. In these tables, the Board's public reporting forms are associated with the OMB control number assigned to the information collection containing each form. The public reporting forms are also associated, where applicable, with the section or paragraph of the Code of Federal Regulations (CFR) in which they are identified or described.

TABLE 1A—RAILROAD RETIREMENT BOARD APPLICATION AND RELATED FORMS

Railroad Retirement Board Form No.	20 CFR (unless otherwise noted) part, section or subsection where form is identified or described	Current OMB Control No.
AA-1	217.3; 217.5; 217.6; 218.7; 218.8.	3220-0002
AA-1d	3220-0002
AA-2P(R)	210.7	3220-0003
AA-3	216.21; 217.3; 217.6; 218.7; 218.8; 219.33; 234.30.	3220-0042
AA-4	3220-0138
AA-5	266.12	3220-0052
AA-6	3220-0082
AA-7	3220-0082
AA-8	3220-0082
AA-11a	234.42	3220-0031
AA-12	209.4; 209.5	3220-0005
AA-15	210.7	3220-0003
AA-17	216.31; 217.3; 217.6; 218.7; 218.8; 219.31.	3220-0030

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TABLE 1A—RAILROAD RETIREMENT BOARD APPLICATION AND RELATED FORMS—Continued

Railroad Retirement Board Form No.	20 CFR (unless otherwise noted) part, section or subsection where form is identified or described	Current OMB Control No.
AA-17b	216.31; 218.7; 218.8	3220-0030
AA-18	216.31; 216.46; 217.3; 217.6; 218.7; 218.8; 219.33	3220-0030
AA-19	216.47; 217.3; 217.6; 218.7; 218.8	3220-0030
AA-19a	216.47; 218.7; 218.8	3220-0030
AA-19s	218.7; 218.8; 219.27	3220-0030
AA-20	216.71; 217.3; 217.6; 218.7; 218.8	3220-0030
AA-21	217.10; 219.34; 234.10; 234.30	3220-0031
AA-104		3220-0086
BA-3a	209.6; 345.4(a)	3220-0008
BA-4	209.7; 209.9; 345.4(b)	3220-0008
BA-4	209.13	3220-0158
BA-5	209.8; 345.4(c)	3220-0008
BA-9	209.14	3220-0173
BA-10	209.13	3220-0175
DC-1	345.5; 345.7	3220-0012
DC-2	209.10	3220-0014
DC-2a	209.10	3220-0014
ES-1a	325.13	3220-0057
ES-2	325.13	3220-0057
ES-20a	325.13	3220-0057
ES-20b	325.13	3220-0057
ES-20c	325.13	3220-0057
ES-21	325.13	3220-0057
ES-21c	325.13	3220-0057
ES-22	325.13	3220-0057
G-3EMP		3220-0038
G-19		3220-0073
G-45		3220-0155
G-86	210.7(b)	3220-0003
G-88	216.9; 216.21	3220-0016
G-88a	209.5	3220-0005
G-88p	209.2	3220-0089
G-99a	266.12	3220-0151
G-99c	266.12	3220-0151
G-118	219.24	3220-0040
G-124	219.16	3220-0021
G-124a	219.16	3220-0021
G-131	234.61	3220-0031
G-134	219.26; 219.31	3220-0099
G-204	219.64(c)	3220-0002
G-208		3220-0136
G-209		3220-0154
G-214		3220-0002
G-237	219.18	3220-0021
G-238	219.18	3220-0021
G-238a	219.18	3220-0021
G-250		3220-0038
G-251		3220-0141
G-254		3220-0073
G-256	219.11	3220-0106
G-273	219.12	3220-0077
G-273a	219.34; 234.13	3220-0031
G-315	219.27	3220-0123
G-315a	219.27	3220-0123
G-318		3220-0083
G-319		3220-0083
G-320	219.27	3220-0083
G-346		3220-0140
G-423		3220-0127
G-476c	216.31	3220-0030
G-478	266.12	3220-0052
G-718		3220-0098
G-740B		3220-0131
G-740s		3220-0131

TABLE 1A—RAILROAD RETIREMENT BOARD APPLICATION AND RELATED FORMS—Continued

Railroad Retirement Board Form No.	20 CFR (unless otherwise noted) part, section or subsection where form is identified or described	Current OMB Control No.
G-790		3220-0100
G-791		3220-0100
GL-99		3220-0156
HA-1	260.5(b); 260.9(b)	3220-0007
HA-4	320.12; 320.39	3220-0020
HCFA-1500		3220-0131
ID-4k		3220-0153
ID-4L		3220-0153
ID-5i	322.4	3220-0049
ID-5r(SUP)	322.4	3220-0049
ID-7h	335.103	3220-0045
ID-11a	335.104(c)	3220-0039
ID-28a(1)		3220-0055
ID-30k(1)	341.4	3220-0036
RB-5	266.12	3220-0052
RL-11b		3220-0038
RL-11d		3220-0038
RL-12/ID-31a	335.103	3220-0124
RL-94-F	217.10	3220-0032
RRB-1001		3220-0145
RRB-W4-P		3220-0149
SI-1a	335.102	3220-0039
SI-1b	335.103	3220-0039
SI-1c	341.4	3220-0036
SI-2	335.202	3220-0039
SI-3	335.104(b)	3220-0039
SI-5	341.4	3220-0036
SI-7	335.103	3220-0045
SI-10	335.102	3220-0034
SI-62		3220-0055
UI-1(ES)-1	325.13	3220-0022
UI-1e	330.4	3220-0097
UI-1f	330.4	3220-0097
UI-1g	330.4	3220-0097
UI-3	325.12(b)	3220-0022
UI-9	325.13; 335.102	3220-0025
UI-13		3220-0093
UI-23	325.13; 335.102	3220-0025
UI-35	325.13	3220-0057
UI-41		3220-0070
UI-41A		3220-0070
UI-44		3220-0072
UI-45		3220-0079
UI-48	322.4	3220-0049
UI-54	322.4	3220-0049
UI-62		3220-0074
UI-63		3220-0055

TABLE 1B—OTHER RAILROAD RETIREMENT BOARD INFORMATION COLLECTION ACTIVITIES REFERENCED BY PERTINENT CFR SECTION AND OMB CONTROL NUMBER

Railroad Retirement Board Information Collection	20 CFR (unless otherwise noted) part, section or subsection where form is identified or described	Current OMB Control No.
Disclosure of Business Information Under FOIA.	200.3	3220-0150
Gross Earnings Report	209.12	3220-0132
Procurement Request		3220-0139
Railroad Job Vacancies		3220-0122

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TABLE 1B—OTHER RAILROAD RETIREMENT BOARD INFORMATION COLLECTION ACTIVITIES REFERENCED BY PERTINENT CFR SECTION AND OMB CONTROL NUMBER—Continued

Railroad Retirement Board Information Collection	20 CFR (unless otherwise noted) part, section or subsection where form is identified or described	Current OMB Control No.
Railroad Employer 5 Year Recordkeeping Requirement.	3220-0008

[52 FR 11011, Apr. 6, 1987, as amended at 56 FR 1573, Jan. 16, 1991]

§200.4 Availability of information to public.

(a) The following materials (more particularly described in paragraph (d) of this section), with identifying details deleted pursuant to paragraph (b) of this section, are available for public inspection and copying:

(1) All final opinions (including concurring and dissenting opinions), and all orders made in the adjudication of cases, which have precedential effect;

(2) All statements of policy and interpretations which have been adopted by the Board, or by anyone under authority delegated by the Board, which have not been published in the FEDERAL REGISTER; and

(3) Administrative staff manuals and instructions to staff that affect any member of the public.

(b) The identifying details to be deleted shall include, but not be limited to, names and identifying numbers of employees and other individuals as needed to comply with sections 12(d) and (n) of the Railroad Unemployment Insurance Act, section 7(b)(3) of the Railroad Retirement Act, and §200.8 of this part, or to prevent a clearly unwarranted invasion of personal privacy.

(c) There shall be maintained in the Board's library a current index of the materials referred to in paragraph (a) of this section which will have been issued, adopted, or promulgated subsequent to July 4, 1967. This index shall be available for public inspection and copying at the Board's headquarters offices located at 844 Rush Street, Chicago, Illinois, during the normal business hours of the Board. Copies of the index or any portion thereof may be obtained for a fee equivalent to the costs of reproduction by submitting a written request therefor. Such request should comply with the form for requests as described in paragraph (h) of this section.

(d) The materials and indexes thereto shall be kept, and made available to the public upon request, in the bureaus and offices of the Board which produce or utilize the materials. The following materials currently in use shall, as long as they are in effect as precedents

(c) *Public reporting forms submitted to fewer than ten individuals annually and, consequently, not required to display OMB control numbers.* (1) This paragraph collects and displays the public reporting forms of the Railroad Retirement Board which are exempt from displaying Office Management and Budget (OMB) control numbers under the Paperwork Reduction Act. The Board intends that this paragraph complies with the requirements of section 6(c) of chapter 35 of title 44 of the United States Code which provide that those information collection requests that:

(i) Require the public to respond under penalty of law or as a condition of obtaining a benefit and

(ii) Are submitted to fewer than ten persons annually must contain a statement informing the public that they are exempt from OMB review. As a result of being exempt from such review, these information collections are also exempt from having to display a control number. The Board further intends that this list be a supplement to, rather than a substitution for, the statement of exemption that appears on the form.

(2) Display.

TABLE 2—PUBLIC USE FORMS EXEMPT FROM DISPLAYING OMB CONTROL NUMBERS

	<i>20 CFR Part, section or subsection where form is identified or described</i>
Railroad Retirement Board Form Number:	
AA-1b	217.5
AA-2P(U)	210.7
DC-3	345.13
ERR-8	209.2
G-88r	209.2