

Appendix JJ

Social Security Administration



SOCIAL SECURITY
The Commissioner

December 26, 2017

The Honorable Gary J. Palmer
Chairman, Subcommittee on Intergovernmental
Affairs
Committee on Oversight and Government Reform
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your December 8, 2017 letter requesting a list of the guidance documents the Social Security Administration (SSA) issued since January 1, 2008. Enclosed is a list of SSA's published Acquiescence Rulings (AR) and Social Security Rulings (SSR), annotated with the information you requested.

To clarify, SSA issues ARs and SSRs in lieu of the specific guidance documents that many other agencies issue. ARs and SSRs clarify our policies and procedures for the public and aid the adjudication process by explaining our interpretation of our published rules and regulations. The ARs provide clarification when we have a court case involving SSA. The SSRs provide policy interpretations when we feel we need to clarify our regulations, and, in some cases, consolidate information from our regulations to explain our policies within a specific domain. In some cases, we also publish SSRs to explain revised procedures, which fall under specific regulations.

The enclosed list contains all of the ARs and SSRs we published from January 1, 2008 through the present. Per your request, we included all of the information for each publication with the exception of the issuing agency, component, office, or program, and the Regulation Identification Number (RIN) or other identification number for the document. SSA is the issuing agency for all of our ARs and SSRs. In addition, we do not assign a RIN, or any other identification number, to these documents because they are not regulatory in nature. Rather, we use the publication designation in the Federal Register as our identification number for the documents.

I hope this information is helpful. If I may be of further assistance, please do not hesitate to contact me, or your staff may contact Royce Min, our Acting Deputy Commissioner for Legislation and Congressional Affairs, at [REDACTED]. I am sending similar letters to Chairman Gowdy, Chairman Meadows, Chairman Jordan, and Chairman Farenthold.

Sincerely,

Nancy A. Berryhill
Acting Commissioner

Enclosure

cc:

Ranking Member Elijah E. Cummings

Ranking Member Gerald E. Connolly

Ranking Member Raja Krishnamoorthi

Ranking Member Val Butler Demings

Ranking Member Stacey E. Plaskett

Guidance Documents
Issued by the Social Security Administration
January 1, 2008 through Present

General Note: Regarding *Significance and Review* of the following documents, the Social Security Administration (SSA) does not consider these rulings to be significant (because they are intended only to clarify existing regulations or procedures). SSA did not submit them to Congress, GAO, or for formal review by the Office of Information and Regulatory Affairs. The Regulatory Reform Task Force has not reviewed these guidance rulings, as we have focused our review on existing regulations. However, we will be reviewing these documents.

Acquiescence Rulings

Title:

AR 12-1 (8): Petersen v. Astrue, 633 F.3d 633 (8th Cir. 2011): Whether a National Guard Technician Who Worked in Noncovered Employment is Exempt from the Windfall Elimination Provision (WEP)—Title II of the Social Security Act

Description of the Subject:

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Date of Issuance:

August 27, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2012-01-ar-08.html

RIN:

Not applicable

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AR 14-1(8): Brock v. Astrue, 674 F.3d 1062 (8th Cir. 2012): Requiring Vocational Specialist (VS) or Vocational Expert (VE) Evidence When an Individual has a Severe Mental Impairment(s) — Titles II and XVI of the Social Security Act.

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This ruling found that when certain criteria are met, we will send notice explaining that the claimant may appeal the dismissal to the Federal district court for the judicial district in Illinois, Indiana, or Wisconsin in which the claimant resides.

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Federal Register Vol. 81, No. 49, page 13438

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/07/AR2016-01-ar-07.html

RIN:

Not applicable

Social Security Rulings

Title:

SSR 09-1p: Title XVI: Determining Childhood Disability Under the Functional Equivalence Rule — The “Whole Child” Approach

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about our “whole child” approach for determining whether a child's impairment(s) functionally equals the listings.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7527

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-01-ssi-02.html

RIN:

Not Applicable

Title:

SSR 09-2p: Title XVI: Determining Childhood Disability – Documenting a Child's Impairment-Related Limitations

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about documenting and evaluating evidence of a child's impairment-related limitations and related issues.

Date of Issuance: February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7525

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-02-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-3p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Acquiring and Using Information”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Acquiring and using information.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7511

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-03-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-4p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Attending and Completing Tasks”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Attending and completing tasks.” It also explains our policy about that domain.

Date of Issuance:

February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 31, page 7630

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-04-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-5p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Interacting and Relating with Others”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Interacting and relating with others.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7515

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-05-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-6p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Moving About and Manipulating Objects”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Moving about and manipulating objects.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7518

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-06-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-7p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Caring for Yourself”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Caring for yourself.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7521

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-07-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-8p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Health and Physical Well-Being”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Health and physical well-being.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7524

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-08-ssi-02.html

RIN:

Not applicable

Title:

SSR 11-1p: Titles II and XVI: Procedures for Handling Requests to File Subsequent Applications for Disability Benefits

Description of the Subject:

This ruling explains our revised procedure under which we will no longer process a subsequent disability claim if an individual already has a claim under the same title and of the same type pending in our administrative review process.

Date of Issuance:

July 28, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 145, page 45309

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-01-di-01.html

RIN:

Not applicable

Title:

SSR 11-2p: Titles II and XVI: Documenting and Evaluating Disability in Young Adults

Description of the Subject:

This ruling consolidates information from our regulations on documenting and evaluating disability in young adults. We also provide guidance on how we apply our policies when we determine whether a young adult is disabled under our rules.

Date of Issuance:

September 12, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 176, page 56263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-02-di-01.html

RIN:

Not applicable

Title:

SSR 12-1p: Title II: Determining whether work performed in self-employment by persons who are blind is substantial gainful activity and treatment of income resulting from the Randolph-Sheppard Act and similar programs

Description of the Subject:

This ruling explains our policy for evaluating whether work performed by self-employed persons who are blind is substantial gainful activity (SGA) under the disability program in Title II of the Social Security Act. In addition, this ruling clarifies that we do not count income resulting from the Randolph-Sheppard Act and similar programs as earnings when we determine whether blind persons are engaging in SGA.

Date of Issuance:

September 21, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 184, page 58604

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/03/SSR2012-01-di-03.html

RIN:

Not applicable

Title:

SSR 12-2p: Titles II and XVI: Evaluation of Fibromyalgia

Description of the Subject:

This ruling provides guidance on how we develop evidence to establish that a person has a medically determinable impairment of fibromyalgia (FM), and how we evaluate FM in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

July 25, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 143, page 43640

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2012-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-1p: Titles II and XVI: Agency Processes For Addressing Allegations of Unfairness, Prejudice, Partiality, Bias, Misconduct, or Discrimination by Administrative Law Judges (ALJs)

Description of the Subject:

This ruling clarifies the three separate processes we have for addressing allegations of unfairness, prejudice, partiality, bias, misconduct, or discrimination by an ALJ.

Date of Issuance:

January 29, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 19, page 6168

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2013-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 13-2p: TITLES II AND XVI: EVALUATING CASES INVOLVING DRUG ADDICTION AND ALCOHOLISM (DAA)

Description of the Subject:

This ruling explains our policies for how we consider whether “drug addiction and alcoholism” is a contributing factor material to our determination of disability in disability claims and continuing disability reviews

Date of Issuance:

February 20, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 34, page 11939

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2013-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-3p: Title II: Appeal of an Initial Medical Disability Cessation Determination or Decision

Description of the Subject:

This ruling explains how we will review an initial medical cessation determination or decision when we receive a timely request for administrative review of the cessation determination or decision.

Date of Issuance:

February 21, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 35, page 12130

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/04/SSR2013-03-di-04.html

RIN:

Not applicable

Title:

SSR 14-1p: Titles II and XVI: Evaluating Cases Involving Chronic Fatigue Syndrome (CFS)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of CFS and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI the Social Security Act.

Date of Issuance:

April 3, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 64, page 18752

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-01-di-01.html

RIN:

Not applicable

Title:

SSR 14-2p: Titles II and XVI: Evaluating Diabetes Mellitus

Description of the Subject:

This ruling provides information about the types of impairments and limitations that result from diabetes mellitus (DM). It also provides guidance on how we evaluate DM in disability claims under Titles II and XVI of the Social Security Act. We provide information about endocrine disorders other than DM, explain the types of impairments and limitations that result from them, and provide guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Act in SSR 14-3p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31375

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-02-di-01.html

RIN:

Not applicable

Title:

SSR 14-3p: Titles II and XVI: Evaluating Endocrine Disorders Other Than Diabetes Mellitus

Description of the Subject:

This ruling provides information about endocrine disorders other than diabetes mellitus (DM), and explains the types of impairments and limitations that result from those disorders. It also provides guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Social Security Act (Act). We provide information about the types of impairments and limitations that result from DM, and provide guidance on how we evaluate DM in disability claims under Titles II and XVI of the Act in SSR 14-2p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31380

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-03-di-01.html

RIN:

Not applicable

Title:

SSR 15-1p: Titles II and XVI: Evaluating Cases Involving Interstitial Cystitis (IC)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of IC and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 18, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 52, page 14215

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2015-01-di-01.html

RIN:

Not applicable

Title:

SSR 16-1p: Titles II and XVI: Fraud and Similar Fault Redeterminations Under Section 205(u) and 1631 (e)(7) of the Social Security Act

Description of the Subject:

This ruling explains the process we use to redetermine an individual's entitlement to or eligibility for benefits when there is reason to believe that fraud or similar fault was involved in that individual's application for benefits.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13436

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-2p: Titles II and XVI: Evaluation of Claims Involving the Issue of Similar Fault in Providing Evidence

Description of the Subject:

This ruling explains the rules that govern the evaluation and adjudication of claims when there is reason to believe similar fault was involved in the providing of evidence in support of the claim.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No 49, page 13440

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-02-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-3p: Titles II and XVI: Evaluation of Symptoms in Disability Claims

Description of the Subject:

This ruling rescinds SSR 96-7p: “Policy Interpretation Ruling Titles II and XVI Evaluation of Symptoms in Disability Claims: Assessing the Credibility of an Individual’s Statements,” and replaced it with this ruling. We eliminated the use of the term “credibility” from our sub-regulatory policy, as our regulations do not use this term. In doing this, we clarified that subjective symptom evaluation is not an examination of an individual’s character.

Date of Issuance:

March 28, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 51, page 14166

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-03-di-01.html

RIN:

Not applicable

Title:

SSR 16-4p: Titles II and XVI: Using Genetic Test Results to Evaluate Disability

Description of the Subject:

This ruling explains how we consider medical evidence containing the results of genetic tests and help adjudicators, including disability examiners and medical and psychological consultants, consistently apply our policies in disability claims.

Date of Issuance:

April 13, 2016

Federal Record Citation:

Federal Register Vol. 81, page 21944

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-04-di-01.html

RIN:

Not applicable

Title:

SSR 17-1p: Titles II and XVI: Reopening Based on Error on the Face of the Evidence — Effect of a Decision By the Supreme Court of the United States Finding a Law That We Applied to Be Unconstitutional

Description of the Subject:

This ruling addresses a number of questions regarding how our reopening rules should be applied when we applied a Federal or State law in making our determination or decision, and the Supreme Court of the United States later determines that the law we applied is unconstitutional.

Date of Issuance:

March 1, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 39, page 12270

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 17-2p: Titles II and XVI: Evidence Needed by Adjudicators at the Hearings and Appeals Council Levels of the Administrative Review Process to Make Findings about Medical Equivalence

Description of the Subject:

This ruling provides guidance on how adjudicators at the hearings and Appeals Council levels of our administrative review process make findings about medical equivalence in disability claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 27, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 57. Page 15263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-02-di-01.html

RIN:

Not applicable

Title:

SSR 17-3p: Titles II and XVI: Evaluating Cases Involving Sickle Cell Disease (SCD)

Description of the Subject:

This ruling provides background information on SCD and how we evaluate SCD during our adjudication process.

Date of Issuance:

September 15, 2017

Federal Record Citation:

Federal Register, Vol. 82, No. 178, page 43442

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-03-di-01.html

RIN:

Not applicable

Title:

SSR 17-4p: Titles II and XVI: Responsibility for Developing Written Evidence

Description of the Subject:

This ruling clarifies our responsibilities and those of the claimant and the claimant's representative to develop evidence and other information in disability and blindness claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

October 4, 2017

Federal Record Citation:

Federal Register, Volume 82, No. 191, Page 46339

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-04-oasi-33.html

RIN:

Not applicable



SOCIAL SECURITY

The Commissioner

December 26, 2017

The Honorable Mark Meadows
Chairman, Subcommittee on Government
Operations
Committee on Oversight and Government Reform
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your December 8, 2017 letter requesting a list of the guidance documents the Social Security Administration (SSA) issued since January 1, 2008. Enclosed is a list of SSA's published Acquiescence Rulings (AR) and Social Security Rulings (SSR), annotated with the information you requested.

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I hope this information is helpful. If I may be of further assistance, please do not hesitate to contact me, or your staff may contact Royce Min, our Acting Deputy Commissioner for Legislation and Congressional Affairs, at [REDACTED]. I am sending similar letters to Chairman Gowdy, Chairman Jordan, Chairman Palmer, and Chairman Farenthold.

Sincerely,

Nancy A. Berryhill
Acting Commissioner

Enclosure

cc:

Ranking Member Elijah E. Cummings

Ranking Member Gerald E. Connolly

Ranking Member Raja Krishnamoorthi

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Description of the Subject:

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Date of Issuance:

August 27, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2012-01-ar-08.html

RIN:

Not applicable

Title:

AR 14-1(8): Brock v. Astrue, 674 F.3d 1062 (8th Cir. 2012): Requiring Vocational Specialist (VS) or Vocational Expert (VE) Evidence When an Individual has a Severe Mental Impairment(s) — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when making a disability determination or decision at step five of the sequential evaluation process (or the last step in the sequential evaluation process in continuing disability review claims), we will not rely exclusively on the Grid rules as a framework for decision making when an individual has a severe mental impairment(s), in certain states.

Date of Issuance:

May 22, 2014

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2014-01-ar-08.html

RIN:

Not applicable

Title:

AR 15-1 (4): Radford v. Colvin, 734 F.3d 288 (4th Cir. 2013): Standard for Meeting Section 1.04A of the Listing of Impairments — Disorders of the Spine with Evidence of Nerve Root Compression — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found, in certain states, that in deciding whether a claimant's severe medically determinable disorder of the spine meets listing 1.04A, adjudicators will not require that all of the medical criteria in paragraph A appear simultaneously or in particularly close proximity. Rather, adjudicators will engage in what the court of appeals described as “a more free-form, contextual inquiry that makes 12 months the relevant metric for the assessment of the claimant's duration of disability.”

Date of Issuance:

September 23, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 184, page 57418

Hyperlink:

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RIN:

Not applicable

Title:

AR 16-1 (7): Boley v. Colvin, 761 F.3d 803 (7th Cir. 2014): Judicial Review of an Administrative Law Judge's Order Finding No Good Cause for a Late Hearing Request and Dismissing the Request as Untimely—Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when certain criteria are met, we will send notice explaining that the claimant may appeal the dismissal to the Federal district court for the judicial district in Illinois, Indiana, or Wisconsin in which the claimant resides.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13438

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/07/AR2016-01-ar-07.html

RIN:

Not applicable

Social Security Rulings

Title:

SSR 09-1p: Title XVI: Determining Childhood Disability Under the Functional Equivalence Rule — The “Whole Child” Approach

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about our “whole child” approach for determining whether a child's impairment(s) functionally equals the listings.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7527

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-01-ssi-02.html

RIN:

Not Applicable

Title:

SSR 09-2p: Title XVI: Determining Childhood Disability – Documenting a Child's Impairment-Related Limitations

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about documenting and evaluating evidence of a child's impairment-related limitations and related issues.

Date of Issuance: February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7525

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-02-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-3p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Acquiring and Using Information”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Acquiring and using information.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7511

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-03-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-4p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Attending and Completing Tasks”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Attending and completing tasks.” It also explains our policy about that domain.

Date of Issuance:

February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 31, page 7630

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-04-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-5p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Interacting and Relating with Others”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Interacting and relating with others.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7515

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-05-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-6p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Moving About and Manipulating Objects”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Moving about and manipulating objects.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7518

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-06-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-7p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Caring for Yourself”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Caring for yourself.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7521

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-07-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-8p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Health and Physical Well-Being”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Health and physical well-being.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7524

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-08-ssi-02.html

RIN:

Not applicable

Title:

SSR 11-1p: Titles II and XVI: Procedures for Handling Requests to File Subsequent Applications for Disability Benefits

Description of the Subject:

This ruling explains our revised procedure under which we will no longer process a subsequent disability claim if an individual already has a claim under the same title and of the same type pending in our administrative review process.

Date of Issuance:

July 28, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 145, page 45309

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-01-di-01.html

RIN:

Not applicable

Title:

SSR 11-2p: Titles II and XVI: Documenting and Evaluating Disability in Young Adults

Description of the Subject:

This ruling consolidates information from our regulations on documenting and evaluating disability in young adults. We also provide guidance on how we apply our policies when we determine whether a young adult is disabled under our rules.

Date of Issuance:

September 12, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 176, page 56263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-02-di-01.html

RIN:

Not applicable

Title:

SSR 12-1p: Title II: Determining whether work performed in self-employment by persons who are blind is substantial gainful activity and treatment of income resulting from the Randolph-Sheppard Act and similar programs

Description of the Subject:

This ruling explains our policy for evaluating whether work performed by self-employed persons who are blind is substantial gainful activity (SGA) under the disability program in Title II of the Social Security Act. In addition, this ruling clarifies that we do not count income resulting from the Randolph-Sheppard Act and similar programs as earnings when we determine whether blind persons are engaging in SGA.

Date of Issuance:

September 21, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 184, page 58604

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/03/SSR2012-01-di-03.html

RIN:

Not applicable

Title:

SSR 12-2p: Titles II and XVI: Evaluation of Fibromyalgia

Description of the Subject:

This ruling provides guidance on how we develop evidence to establish that a person has a medically determinable impairment of fibromyalgia (FM), and how we evaluate FM in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

July 25, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 143, page 43640

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2012-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-1p: Titles II and XVI: Agency Processes For Addressing Allegations of Unfairness, Prejudice, Partiality, Bias, Misconduct, or Discrimination by Administrative Law Judges (ALJs)

Description of the Subject:

This ruling clarifies the three separate processes we have for addressing allegations of unfairness, prejudice, partiality, bias, misconduct, or discrimination by an ALJ.

Date of Issuance:

January 29, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 19, page 6168

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2013-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 13-2p: TITLES II AND XVI: EVALUATING CASES INVOLVING DRUG ADDICTION AND ALCOHOLISM (DAA)

Description of the Subject:

This ruling explains our policies for how we consider whether “drug addiction and alcoholism” is a contributing factor material to our determination of disability in disability claims and continuing disability reviews

Date of Issuance:

February 20, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 34, page 11939

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2013-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-3p: Title II: Appeal of an Initial Medical Disability Cessation Determination or Decision

Description of the Subject:

This ruling explains how we will review an initial medical cessation determination or decision when we receive a timely request for administrative review of the cessation determination or decision.

Date of Issuance:

February 21, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 35, page 12130

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/04/SSR2013-03-di-04.html

RIN:

Not applicable

Title:

SSR 14-1p: Titles II and XVI: Evaluating Cases Involving Chronic Fatigue Syndrome (CFS)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of CFS and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI the Social Security Act.

Date of Issuance:

April 3, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 64, page 18752

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-01-di-01.html

RIN:

Not applicable

Title:

SSR 14-2p: Titles II and XVI: Evaluating Diabetes Mellitus

Description of the Subject:

This ruling provides information about the types of impairments and limitations that result from diabetes mellitus (DM). It also provides guidance on how we evaluate DM in disability claims under Titles II and XVI of the Social Security Act. We provide information about endocrine disorders other than DM, explain the types of impairments and limitations that result from them, and provide guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Act in SSR 14-3p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31375

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-02-di-01.html

RIN:

Not applicable

Title:

SSR 14-3p: Titles II and XVI: Evaluating Endocrine Disorders Other Than Diabetes Mellitus

Description of the Subject:

This ruling provides information about endocrine disorders other than diabetes mellitus (DM), and explains the types of impairments and limitations that result from those disorders. It also provides guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Social Security Act (Act). We provide information about the types of impairments and limitations that result from DM, and provide guidance on how we evaluate DM in disability claims under Titles II and XVI of the Act in SSR 14-2p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31380

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-03-di-01.html

RIN:

Not applicable

Title:

SSR 15-1p: Titles II and XVI: Evaluating Cases Involving Interstitial Cystitis (IC)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of IC and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 18, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 52, page 14215

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2015-01-di-01.html

RIN:

Not applicable

Title:

SSR 16-1p: Titles II and XVI: Fraud and Similar Fault Redeterminations Under Section 205(u) and 1631 (e)(7) of the Social Security Act

Description of the Subject:

This ruling explains the process we use to redetermine an individual's entitlement to or eligibility for benefits when there is reason to believe that fraud or similar fault was involved in that individual's application for benefits.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13436

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-2p: Titles II and XVI: Evaluation of Claims Involving the Issue of Similar Fault in Providing Evidence

Description of the Subject:

This ruling explains the rules that govern the evaluation and adjudication of claims when there is reason to believe similar fault was involved in the providing of evidence in support of the claim.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No 49, page 13440

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-02-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-3p: Titles II and XVI: Evaluation of Symptoms in Disability Claims

Description of the Subject:

This ruling rescinds SSR 96-7p: “Policy Interpretation Ruling Titles II and XVI Evaluation of Symptoms in Disability Claims: Assessing the Credibility of an Individual’s Statements,” and replaced it with this ruling. We eliminated the use of the term “credibility” from our sub-regulatory policy, as our regulations do not use this term. In doing this, we clarified that subjective symptom evaluation is not an examination of an individual’s character.

Date of Issuance:

March 28, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 51, page 14166

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-03-di-01.html

RIN:

Not applicable

Title:

SSR 16-4p: Titles II and XVI: Using Genetic Test Results to Evaluate Disability

Description of the Subject:

This ruling explains how we consider medical evidence containing the results of genetic tests and help adjudicators, including disability examiners and medical and psychological consultants, consistently apply our policies in disability claims.

Date of Issuance:

April 13, 2016

Federal Record Citation:

Federal Register Vol. 81, page 21944

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-04-di-01.html

RIN:

Not applicable

Title:

SSR 17-1p: Titles II and XVI: Reopening Based on Error on the Face of the Evidence — Effect of a Decision By the Supreme Court of the United States Finding a Law That We Applied to Be Unconstitutional

Description of the Subject:

This ruling addresses a number of questions regarding how our reopening rules should be applied when we applied a Federal or State law in making our determination or decision, and the Supreme Court of the United States later determines that the law we applied is unconstitutional.

Date of Issuance:

March 1, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 39, page 12270

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 17-2p: Titles II and XVI: Evidence Needed by Adjudicators at the Hearings and Appeals Council Levels of the Administrative Review Process to Make Findings about Medical Equivalence

Description of the Subject:

This ruling provides guidance on how adjudicators at the hearings and Appeals Council levels of our administrative review process make findings about medical equivalence in disability claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 27, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 57. Page 15263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-02-di-01.html

RIN:

Not applicable

Title:

SSR 17-3p: Titles II and XVI: Evaluating Cases Involving Sickle Cell Disease (SCD)

Description of the Subject:

This ruling provides background information on SCD and how we evaluate SCD during our adjudication process.

Date of Issuance:

September 15, 2017

Federal Record Citation:

Federal Register, Vol. 82, No. 178, page 43442

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-03-di-01.html

RIN:

Not applicable

Title:

SSR 17-4p: Titles II and XVI: Responsibility for Developing Written Evidence

Description of the Subject:

This ruling clarifies our responsibilities and those of the claimant and the claimant's representative to develop evidence and other information in disability and blindness claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

October 4, 2017

Federal Record Citation:

Federal Register, Volume 82, No. 191, Page 46339

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-04-oasi-33.html

RIN:

Not applicable



SOCIAL SECURITY
The Commissioner

December 26, 2017

The Honorable Jim Jordan
Chairman, Subcommittee on Healthcare Benefits,
and Administrative Rules
Committee on Oversight and Government Reform
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your December 8, 2017 letter requesting a list of the guidance documents the Social Security Administration (SSA) issued since January 1, 2008. Enclosed is a list of SSA's published Acquiescence Rulings (AR) and Social Security Rulings (SSR), annotated with the information you requested.

To clarify, SSA issues ARs and SSRs in lieu of the specific guidance documents that many other agencies issue. ARs and SSRs clarify our policies and procedures for the public and aid the adjudication process by explaining our interpretation of our published rules and regulations. The ARs provide clarification when we have a court case involving SSA. The SSRs provide policy interpretations when we feel we need to clarify our regulations, and, in some cases, consolidate information from our regulations to explain our policies within a specific domain. In some cases, we also publish SSRs to explain revised procedures, which fall under specific regulations.

The enclosed list contains all of the ARs and SSRs we published from January 1, 2008 through the present. Per your request, we included all of the information for each publication with the exception of the issuing agency, component, office, or program, and the Regulation Identification Number (RIN) or other identification number for the document. SSA is the issuing agency for all of our ARs and SSRs. In addition, we do not assign a RIN, or any other identification number, to these documents because they are not regulatory in nature. Rather, we use the publication designation in the Federal Register as our identification number for the documents.

I hope this information is helpful. If I may be of further assistance, please do not hesitate to contact me, or your staff may contact Royce Min, our Acting Deputy Commissioner for Legislation and Congressional Affairs, at [REDACTED]. I am sending similar letters to Chairman Gowdy, Chairman Meadows, Chairman Palmer, and Chairman Farenthold.

Sincerely,

Nancy A. Berryhill
Acting Commissioner

Enclosure

cc:

Ranking Member Elijah E. Cummings
Ranking Member Gerald E. Connolly
Ranking Member Raja Krishnamoorthi
Ranking Member Val Butler Demings
Ranking Member Stacey E. Plaskett

Guidance Documents
Issued by the Social Security Administration
January 1, 2008 through Present

General Note: Regarding *Significance and Review* of the following documents, the Social Security Administration (SSA) does not consider these rulings to be significant (because they are intended only to clarify existing regulations or procedures). SSA did not submit them to Congress, GAO, or for formal review by the Office of Information and Regulatory Affairs. The Regulatory Reform Task Force has not reviewed these guidance rulings, as we have focused our review on existing regulations. However, we will be reviewing these documents.

Acquiescence Rulings

Title:

AR 12-1 (8): Petersen v. Astrue, 633 F.3d 633 (8th Cir. 2011): Whether a National Guard Technician Who Worked in Noncovered Employment is Exempt from the Windfall Elimination Provision (WEP)—Title II of the Social Security Act

Description of the Subject:

This ruling found that Social Security old-age or disability applicants and beneficiaries who receive a CSRS pension based on noncovered work as dual status National Guard technicians, and who are permanent legal residents of a State within the Eighth Circuit, should have their Social Security benefits computed using the normal PIA (Primary Insurance Amount), rather than the WEP PIA described in 42 U.S.C. 415(a)(7) of the Act.

Date of Issuance:

August 27, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2012-01-ar-08.html

RIN:

Not applicable

Title:

AR 14-1(8): Brock v. Astrue, 674 F.3d 1062 (8th Cir. 2012): Requiring Vocational Specialist (VS) or Vocational Expert (VE) Evidence When an Individual has a Severe Mental Impairment(s) — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when making a disability determination or decision at step five of the sequential evaluation process (or the last step in the sequential evaluation process in continuing disability review claims), we will not rely exclusively on the Grid rules as a framework for decision making when an individual has a severe mental impairment(s), in certain states.

Date of Issuance:

May 22, 2014

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2014-01-ar-08.html

RIN:

Not applicable

Title:

AR 15-1 (4): Radford v. Colvin, 734 F.3d 288 (4th Cir. 2013): Standard for Meeting Section 1.04A of the Listing of Impairments — Disorders of the Spine with Evidence of Nerve Root Compression — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found, in certain states, that in deciding whether a claimant's severe medically determinable disorder of the spine meets listing 1.04A, adjudicators will not require that all of the medical criteria in paragraph A appear simultaneously or in particularly close proximity. Rather, adjudicators will engage in what the court of appeals described as “a more free-form, contextual inquiry that makes 12 months the relevant metric for the assessment of the claimant's duration of disability.”

Date of Issuance:

September 23, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 184, page 57418

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/04/AR2015-01-ar-04.html

RIN:

Not applicable

Title:

AR 16-1 (7): Boley v. Colvin, 761 F.3d 803 (7th Cir. 2014): Judicial Review of an Administrative Law Judge's Order Finding No Good Cause for a Late Hearing Request and Dismissing the Request as Untimely—Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when certain criteria are met, we will send notice explaining that the claimant may appeal the dismissal to the Federal district court for the judicial district in Illinois, Indiana, or Wisconsin in which the claimant resides.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13438

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/07/AR2016-01-ar-07.html

RIN:

Not applicable

Social Security Rulings

Title:

SSR 09-1p: Title XVI: Determining Childhood Disability Under the Functional Equivalence Rule — The “Whole Child” Approach

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about our “whole child” approach for determining whether a child's impairment(s) functionally equals the listings.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7527

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-01-ssi-02.html

RIN:

Not Applicable

Title:

SSR 09-2p: Title XVI: Determining Childhood Disability – Documenting a Child's Impairment-Related Limitations

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about documenting and evaluating evidence of a child's impairment-related limitations and related issues.

Date of Issuance: February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7525

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-02-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-3p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Acquiring and Using Information”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Acquiring and using information.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7511

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-03-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-4p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Attending and Completing Tasks”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Attending and completing tasks.” It also explains our policy about that domain.

Date of Issuance:

February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 31, page 7630

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-04-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-5p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Interacting and Relating with Others”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Interacting and relating with others.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7515

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-05-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-6p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Moving About and Manipulating Objects”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Moving about and manipulating objects.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7518

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-06-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-7p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Caring for Yourself”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Caring for yourself.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7521

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-07-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-8p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Health and Physical Well-Being”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Health and physical well-being.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7524

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-08-ssi-02.html

RIN:

Not applicable

Title:

SSR 11-1p: Titles II and XVI: Procedures for Handling Requests to File Subsequent Applications for Disability Benefits

Description of the Subject:

This ruling explains our revised procedure under which we will no longer process a subsequent disability claim if an individual already has a claim under the same title and of the same type pending in our administrative review process.

Date of Issuance:

July 28, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 145, page 45309

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-01-di-01.html

RIN:

Not applicable

Title:

SSR 11-2p: Titles II and XVI: Documenting and Evaluating Disability in Young Adults

Description of the Subject:

This ruling consolidates information from our regulations on documenting and evaluating disability in young adults. We also provide guidance on how we apply our policies when we determine whether a young adult is disabled under our rules.

Date of Issuance:

September 12, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 176, page 56263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-02-di-01.html

RIN:

Not applicable

Title:

SSR 12-1p: Title II: Determining whether work performed in self-employment by persons who are blind is substantial gainful activity and treatment of income resulting from the Randolph-Sheppard Act and similar programs

Description of the Subject:

This ruling explains our policy for evaluating whether work performed by self-employed persons who are blind is substantial gainful activity (SGA) under the disability program in Title II of the Social Security Act. In addition, this ruling clarifies that we do not count income resulting from the Randolph-Sheppard Act and similar programs as earnings when we determine whether blind persons are engaging in SGA.

Date of Issuance:

September 21, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 184, page 58604

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/03/SSR2012-01-di-03.html

RIN:

Not applicable

Title:

SSR 12-2p: Titles II and XVI: Evaluation of Fibromyalgia

Description of the Subject:

This ruling provides guidance on how we develop evidence to establish that a person has a medically determinable impairment of fibromyalgia (FM), and how we evaluate FM in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

July 25, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 143, page 43640

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2012-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-1p: Titles II and XVI: Agency Processes For Addressing Allegations of Unfairness, Prejudice, Partiality, Bias, Misconduct, or Discrimination by Administrative Law Judges (ALJs)

Description of the Subject:

This ruling clarifies the three separate processes we have for addressing allegations of unfairness, prejudice, partiality, bias, misconduct, or discrimination by an ALJ.

Date of Issuance:

January 29, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 19, page 6168

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2013-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 13-2p: TITLES II AND XVI: EVALUATING CASES INVOLVING DRUG ADDICTION AND ALCOHOLISM (DAA)

Description of the Subject:

This ruling explains our policies for how we consider whether “drug addiction and alcoholism” is a contributing factor material to our determination of disability in disability claims and continuing disability reviews

Date of Issuance:

February 20, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 34, page 11939

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2013-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-3p: Title II: Appeal of an Initial Medical Disability Cessation Determination or Decision

Description of the Subject:

This ruling explains how we will review an initial medical cessation determination or decision when we receive a timely request for administrative review of the cessation determination or decision.

Date of Issuance:

February 21, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 35, page 12130

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/04/SSR2013-03-di-04.html

RIN:

Not applicable

Title:

SSR 14-1p: Titles II and XVI: Evaluating Cases Involving Chronic Fatigue Syndrome (CFS)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of CFS and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI the Social Security Act.

Date of Issuance:

April 3, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 64, page 18752

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-01-di-01.html

RIN:

Not applicable

Title:

SSR 14-2p: Titles II and XVI: Evaluating Diabetes Mellitus

Description of the Subject:

This ruling provides information about the types of impairments and limitations that result from diabetes mellitus (DM). It also provides guidance on how we evaluate DM in disability claims under Titles II and XVI of the Social Security Act. We provide information about endocrine disorders other than DM, explain the types of impairments and limitations that result from them, and provide guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Act in SSR 14-3p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31375

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-02-di-01.html

RIN:

Not applicable

Title:

SSR 14-3p: Titles II and XVI: Evaluating Endocrine Disorders Other Than Diabetes Mellitus

Description of the Subject:

This ruling provides information about endocrine disorders other than diabetes mellitus (DM), and explains the types of impairments and limitations that result from those disorders. It also provides guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Social Security Act (Act). We provide information about the types of impairments and limitations that result from DM, and provide guidance on how we evaluate DM in disability claims under Titles II and XVI of the Act in SSR 14-2p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31380

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-03-di-01.html

RIN:

Not applicable

Title:

SSR 15-1p: Titles II and XVI: Evaluating Cases Involving Interstitial Cystitis (IC)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of IC and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 18, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 52, page 14215

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2015-01-di-01.html

RIN:

Not applicable

Title:

SSR 16-1p: Titles II and XVI: Fraud and Similar Fault Redeterminations Under Section 205(u) and 1631 (e)(7) of the Social Security Act

Description of the Subject:

This ruling explains the process we use to redetermine an individual's entitlement to or eligibility for benefits when there is reason to believe that fraud or similar fault was involved in that individual's application for benefits.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13436

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-2p: Titles II and XVI: Evaluation of Claims Involving the Issue of Similar Fault in Providing Evidence

Description of the Subject:

This ruling explains the rules that govern the evaluation and adjudication of claims when there is reason to believe similar fault was involved in the providing of evidence in support of the claim.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No 49, page 13440

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-02-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-3p: Titles II and XVI: Evaluation of Symptoms in Disability Claims

Description of the Subject:

This ruling rescinds SSR 96-7p: “Policy Interpretation Ruling Titles II and XVI Evaluation of Symptoms in Disability Claims: Assessing the Credibility of an Individual’s Statements,” and replaced it with this ruling. We eliminated the use of the term “credibility” from our sub-regulatory policy, as our regulations do not use this term. In doing this, we clarified that subjective symptom evaluation is not an examination of an individual’s character.

Date of Issuance:

March 28, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 51, page 14166

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-03-di-01.html

RIN:

Not applicable

Title:

SSR 16-4p: Titles II and XVI: Using Genetic Test Results to Evaluate Disability

Description of the Subject:

This ruling explains how we consider medical evidence containing the results of genetic tests and help adjudicators, including disability examiners and medical and psychological consultants, consistently apply our policies in disability claims.

Date of Issuance:

April 13, 2016

Federal Record Citation:

Federal Register Vol. 81, page 21944

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-04-di-01.html

RIN:

Not applicable

Title:

SSR 17-1p: Titles II and XVI: Reopening Based on Error on the Face of the Evidence — Effect of a Decision By the Supreme Court of the United States Finding a Law That We Applied to Be Unconstitutional

Description of the Subject:

This ruling addresses a number of questions regarding how our reopening rules should be applied when we applied a Federal or State law in making our determination or decision, and the Supreme Court of the United States later determines that the law we applied is unconstitutional.

Date of Issuance:

March 1, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 39, page 12270

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 17-2p: Titles II and XVI: Evidence Needed by Adjudicators at the Hearings and Appeals Council Levels of the Administrative Review Process to Make Findings about Medical Equivalence

Description of the Subject:

This ruling provides guidance on how adjudicators at the hearings and Appeals Council levels of our administrative review process make findings about medical equivalence in disability claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 27, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 57. Page 15263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-02-di-01.html

RIN:

Not applicable

Title:

SSR 17-3p: Titles II and XVI: Evaluating Cases Involving Sickle Cell Disease (SCD)

Description of the Subject:

This ruling provides background information on SCD and how we evaluate SCD during our adjudication process.

Date of Issuance:

September 15, 2017

Federal Record Citation:

Federal Register, Vol. 82, No. 178, page 43442

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-03-di-01.html

RIN:

Not applicable

Title:

SSR 17-4p: Titles II and XVI: Responsibility for Developing Written Evidence

Description of the Subject:

This ruling clarifies our responsibilities and those of the claimant and the claimant's representative to develop evidence and other information in disability and blindness claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

October 4, 2017

Federal Record Citation:

Federal Register, Volume 82, No. 191, Page 46339

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-04-oasi-33.html

RIN:

Not applicable



SOCIAL SECURITY

The Commissioner

December 26, 2017

The Honorable Blake Farenthold
Chairman, Subcommittee on the Interior,
Energy, and Environment
Committee on Oversight and Government Reform
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your December 8, 2017 letter requesting a list of the guidance documents the Social Security Administration (SSA) issued since January 1, 2008. Enclosed is a list of SSA's published Acquiescence Rulings (AR) and Social Security Rulings (SSR), annotated with the information you requested.

To clarify, SSA issues ARs and SSRs in lieu of the specific guidance documents that many other agencies issue. ARs and SSRs clarify our policies and procedures for the public and aid the adjudication process by explaining our interpretation of our published rules and regulations. The ARs provide clarification when we have a court case involving SSA. The SSRs provide policy interpretations when we feel we need to clarify our regulations, and, in some cases, consolidate information from our regulations to explain our policies within a specific domain. In some cases, we also publish SSRs to explain revised procedures, which fall under specific regulations.

The enclosed list contains all of the ARs and SSRs we published from January 1, 2008 through the present. Per your request, we included all of the information for each publication with the exception of the issuing agency, component, office, or program, and the Regulation Identification Number (RIN) or other identification number for the document. SSA is the issuing agency for all of our ARs and SSRs. In addition, we do not assign a RIN, or any other identification number, to these documents because they are not regulatory in nature. Rather, we use the publication designation in the Federal Register as our identification number for the documents.

I hope this information is helpful. If I may be of further assistance, please do not hesitate to contact me, or your staff may contact Royce Min, our Acting Deputy Commissioner for Legislation and Congressional Affairs, at [REDACTED]. I am sending similar letters to Chairman Gowdy, Chairman Meadows, Chairman Jordan, and Chairman Palmer.

Sincerely,

Nancy A. Berryhill
Acting Commissioner

Enclosure

cc:

Ranking Member Elijah E. Cummings

Ranking Member Gerald E. Connolly

Ranking Member Raja Krishnamoorthi

Ranking Member Val Butler Demings

Ranking Member Stacey E. Plaskett

Guidance Documents
Issued by the Social Security Administration
January 1, 2008 through Present

General Note: Regarding *Significance and Review* of the following documents, the Social Security Administration (SSA) does not consider these rulings to be significant (because they are intended only to clarify existing regulations or procedures). SSA did not submit them to Congress, GAO, or for formal review by the Office of Information and Regulatory Affairs. The Regulatory Reform Task Force has not reviewed these guidance rulings, as we have focused our review on existing regulations. However, we will be reviewing these documents.

Acquiescence Rulings

Title:

AR 12-1 (8): Petersen v. Astrue, 633 F.3d 633 (8th Cir. 2011): Whether a National Guard Technician Who Worked in Noncovered Employment is Exempt from the Windfall Elimination Provision (WEP)—Title II of the Social Security Act

Description of the Subject:

This ruling found that Social Security old-age or disability applicants and beneficiaries who receive a CSRS pension based on noncovered work as dual status National Guard technicians, and who are permanent legal residents of a State within the Eighth Circuit, should have their Social Security benefits computed using the normal PIA (Primary Insurance Amount), rather than the WEP PIA described in 42 U.S.C. 415(a)(7) of the Act.

Date of Issuance:

August 27, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2012-01-ar-08.html

RIN:

Not applicable

Title:

AR 14-1(8): Brock v. Astrue, 674 F.3d 1062 (8th Cir. 2012): Requiring Vocational Specialist (VS) or Vocational Expert (VE) Evidence When an Individual has a Severe Mental Impairment(s) — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when making a disability determination or decision at step five of the sequential evaluation process (or the last step in the sequential evaluation process in continuing disability review claims), we will not rely exclusively on the Grid rules as a framework for decision making when an individual has a severe mental impairment(s), in certain states.

Date of Issuance:

May 22, 2014

Federal Record Citation:

Federal Register Vol. 77, No. 172, page 54646

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/08/AR2014-01-ar-08.html

RIN:

Not applicable

Title:

AR 15-1 (4): Radford v. Colvin, 734 F.3d 288 (4th Cir. 2013): Standard for Meeting Section 1.04A of the Listing of Impairments — Disorders of the Spine with Evidence of Nerve Root Compression — Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found, in certain states, that in deciding whether a claimant's severe medically determinable disorder of the spine meets listing 1.04A, adjudicators will not require that all of the medical criteria in paragraph A appear simultaneously or in particularly close proximity. Rather, adjudicators will engage in what the court of appeals described as “a more free-form, contextual inquiry that makes 12 months the relevant metric for the assessment of the claimant's duration of disability.”

Date of Issuance:

September 23, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 184, page 57418

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/04/AR2015-01-ar-04.html

RIN:

Not applicable

Title:

AR 16-1 (7): Boley v. Colvin, 761 F.3d 803 (7th Cir. 2014): Judicial Review of an Administrative Law Judge's Order Finding No Good Cause for a Late Hearing Request and Dismissing the Request as Untimely—Titles II and XVI of the Social Security Act.

Description of the Subject:

This ruling found that when certain criteria are met, we will send notice explaining that the claimant may appeal the dismissal to the Federal district court for the judicial district in Illinois, Indiana, or Wisconsin in which the claimant resides.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13438

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ar/07/AR2016-01-ar-07.html

RIN:

Not applicable

Social Security Rulings

Title:

SSR 09-1p: Title XVI: Determining Childhood Disability Under the Functional Equivalence Rule — The “Whole Child” Approach

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about our “whole child” approach for determining whether a child's impairment(s) functionally equals the listings.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7527

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-01-ssi-02.html

RIN:

Not Applicable

Title:

SSR 09-2p: Title XVI: Determining Childhood Disability – Documenting a Child's Impairment-Related Limitations

Description of the Subject:

This ruling provides policy interpretations and consolidates information from our regulations, training materials, and question-and-answer documents about documenting and evaluating evidence of a child's impairment-related limitations and related issues.

Date of Issuance: February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7525

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-02-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-3p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Acquiring and Using Information”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Acquiring and using information.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7511

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-03-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-4p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Attending and Completing Tasks”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Attending and completing tasks.” It also explains our policy about that domain.

Date of Issuance:

February 18, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 31, page 7630

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-04-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-5p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Interacting and Relating with Others”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Interacting and relating with others.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7515

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-05-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-6p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Moving About and Manipulating Objects”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Moving about and manipulating objects.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7518

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-06-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-7p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Caring for Yourself”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Caring for yourself.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7521

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-07-ssi-02.html

RIN:

Not applicable

Title:

SSR 09-8p: Title XVI: Determining Childhood Disability – The Functional Equivalence Domain of “Health and Physical Well-Being”

Description of the Subject:

This ruling consolidates information from our regulations, training materials, and question-and-answer documents about the functional equivalence domain of “Health and physical well-being.” It also explains our policy about that domain.

Date of Issuance:

February 17, 2009

Federal Record Citation:

Federal Register Vol. 74, No. 30, page 7524

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/ssi/02/SSR2009-08-ssi-02.html

RIN:

Not applicable

Title:

SSR 11-1p: Titles II and XVI: Procedures for Handling Requests to File Subsequent Applications for Disability Benefits

Description of the Subject:

This ruling explains our revised procedure under which we will no longer process a subsequent disability claim if an individual already has a claim under the same title and of the same type pending in our administrative review process.

Date of Issuance:

July 28, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 145, page 45309

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-01-di-01.html

RIN:

Not applicable

Title:

SSR 11-2p: Titles II and XVI: Documenting and Evaluating Disability in Young Adults

Description of the Subject:

This ruling consolidates information from our regulations on documenting and evaluating disability in young adults. We also provide guidance on how we apply our policies when we determine whether a young adult is disabled under our rules.

Date of Issuance:

September 12, 2011

Federal Record Citation:

Federal Register Vol. 76, No. 176, page 56263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2011-02-di-01.html

RIN:

Not applicable

Title:

SSR 12-1p: Title II: Determining whether work performed in self-employment by persons who are blind is substantial gainful activity and treatment of income resulting from the Randolph-Sheppard Act and similar programs

Description of the Subject:

This ruling explains our policy for evaluating whether work performed by self-employed persons who are blind is substantial gainful activity (SGA) under the disability program in Title II of the Social Security Act. In addition, this ruling clarifies that we do not count income resulting from the Randolph-Sheppard Act and similar programs as earnings when we determine whether blind persons are engaging in SGA.

Date of Issuance:

September 21, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 184, page 58604

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/03/SSR2012-01-di-03.html

RIN:

Not applicable

Title:

SSR 12-2p: Titles II and XVI: Evaluation of Fibromyalgia

Description of the Subject:

This ruling provides guidance on how we develop evidence to establish that a person has a medically determinable impairment of fibromyalgia (FM), and how we evaluate FM in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

July 25, 2012

Federal Record Citation:

Federal Register Vol. 77, No. 143, page 43640

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2012-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-1p: Titles II and XVI: Agency Processes For Addressing Allegations of Unfairness, Prejudice, Partiality, Bias, Misconduct, or Discrimination by Administrative Law Judges (ALJs)

Description of the Subject:

This ruling clarifies the three separate processes we have for addressing allegations of unfairness, prejudice, partiality, bias, misconduct, or discrimination by an ALJ.

Date of Issuance:

January 29, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 19, page 6168

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2013-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 13-2p: TITLES II AND XVI: EVALUATING CASES INVOLVING DRUG ADDICTION AND ALCOHOLISM (DAA)

Description of the Subject:

This ruling explains our policies for how we consider whether “drug addiction and alcoholism” is a contributing factor material to our determination of disability in disability claims and continuing disability reviews

Date of Issuance:

February 20, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 34, page 11939

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2013-02-di-01.html

RIN:

Not applicable

Title:

SSR 13-3p: Title II: Appeal of an Initial Medical Disability Cessation Determination or Decision

Description of the Subject:

This ruling explains how we will review an initial medical cessation determination or decision when we receive a timely request for administrative review of the cessation determination or decision.

Date of Issuance:

February 21, 2013

Federal Record Citation:

Federal Register Vol. 78, No. 35, page 12130

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/04/SSR2013-03-di-04.html

RIN:

Not applicable

Title:

SSR 14-1p: Titles II and XVI: Evaluating Cases Involving Chronic Fatigue Syndrome (CFS)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of CFS and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI the Social Security Act.

Date of Issuance:

April 3, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 64, page 18752

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-01-di-01.html

RIN:

Not applicable

Title:

SSR 14-2p: Titles II and XVI: Evaluating Diabetes Mellitus

Description of the Subject:

This ruling provides information about the types of impairments and limitations that result from diabetes mellitus (DM). It also provides guidance on how we evaluate DM in disability claims under Titles II and XVI of the Social Security Act. We provide information about endocrine disorders other than DM, explain the types of impairments and limitations that result from them, and provide guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Act in SSR 14-3p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31375

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-02-di-01.html

RIN:

Not applicable

Title:

SSR 14-3p: Titles II and XVI: Evaluating Endocrine Disorders Other Than Diabetes Mellitus

Description of the Subject:

This ruling provides information about endocrine disorders other than diabetes mellitus (DM), and explains the types of impairments and limitations that result from those disorders. It also provides guidance on how we evaluate endocrine disorders in disability claims under Titles II and XVI of the Social Security Act (Act). We provide information about the types of impairments and limitations that result from DM, and provide guidance on how we evaluate DM in disability claims under Titles II and XVI of the Act in SSR 14-2p.

Date of Issuance:

June 2, 2014

Federal Record Citation:

Federal Register Vol. 79, No. 105, page 31380

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2014-03-di-01.html

RIN:

Not applicable

Title:

SSR 15-1p: Titles II and XVI: Evaluating Cases Involving Interstitial Cystitis (IC)

Description of the Subject:

This ruling clarifies our policy on how we develop evidence to establish that a person has a medically determinable impairment of IC and how we evaluate this impairment in disability claims and continuing disability reviews under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 18, 2015

Federal Record Citation:

Federal Register Vol. 80, No. 52, page 14215

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2015-01-di-01.html

RIN:

Not applicable

Title:

SSR 16-1p: Titles II and XVI: Fraud and Similar Fault Redeterminations Under Section 205(u) and 1631 (e)(7) of the Social Security Act

Description of the Subject:

This ruling explains the process we use to redetermine an individual's entitlement to or eligibility for benefits when there is reason to believe that fraud or similar fault was involved in that individual's application for benefits.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 49, page 13436

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-2p: Titles II and XVI: Evaluation of Claims Involving the Issue of Similar Fault in Providing Evidence

Description of the Subject:

This ruling explains the rules that govern the evaluation and adjudication of claims when there is reason to believe similar fault was involved in the providing of evidence in support of the claim.

Date of Issuance:

March 14, 2016

Federal Record Citation:

Federal Register Vol. 81, No 49, page 13440

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2016-02-oasi-33.html

RIN:

Not applicable

Title:

SSR 16-3p: Titles II and XVI: Evaluation of Symptoms in Disability Claims

Description of the Subject:

This ruling rescinds SSR 96-7p: “Policy Interpretation Ruling Titles II and XVI Evaluation of Symptoms in Disability Claims: Assessing the Credibility of an Individual’s Statements,” and replaced it with this ruling. We eliminated the use of the term “credibility” from our sub-regulatory policy, as our regulations do not use this term. In doing this, we clarified that subjective symptom evaluation is not an examination of an individual’s character.

Date of Issuance:

March 28, 2016

Federal Record Citation:

Federal Register Vol. 81, No. 51, page 14166

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-03-di-01.html

RIN:

Not applicable

Title:

SSR 16-4p: Titles II and XVI: Using Genetic Test Results to Evaluate Disability

Description of the Subject:

This ruling explains how we consider medical evidence containing the results of genetic tests and help adjudicators, including disability examiners and medical and psychological consultants, consistently apply our policies in disability claims.

Date of Issuance:

April 13, 2016

Federal Record Citation:

Federal Register Vol. 81, page 21944

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2016-04-di-01.html

RIN:

Not applicable

Title:

SSR 17-1p: Titles II and XVI: Reopening Based on Error on the Face of the Evidence — Effect of a Decision By the Supreme Court of the United States Finding a Law That We Applied to Be Unconstitutional

Description of the Subject:

This ruling addresses a number of questions regarding how our reopening rules should be applied when we applied a Federal or State law in making our determination or decision, and the Supreme Court of the United States later determines that the law we applied is unconstitutional.

Date of Issuance:

March 1, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 39, page 12270

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-01-oasi-33.html

RIN:

Not applicable

Title:

SSR 17-2p: Titles II and XVI: Evidence Needed by Adjudicators at the Hearings and Appeals Council Levels of the Administrative Review Process to Make Findings about Medical Equivalence

Description of the Subject:

This ruling provides guidance on how adjudicators at the hearings and Appeals Council levels of our administrative review process make findings about medical equivalence in disability claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

March 27, 2017

Federal Record Citation:

Federal Register Vol. 82, No. 57. Page 15263

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-02-di-01.html

RIN:

Not applicable

Title:

SSR 17-3p: Titles II and XVI: Evaluating Cases Involving Sickle Cell Disease (SCD)

Description of the Subject:

This ruling provides background information on SCD and how we evaluate SCD during our adjudication process.

Date of Issuance:

September 15, 2017

Federal Record Citation:

Federal Register, Vol. 82, No. 178, page 43442

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/di/01/SSR2017-03-di-01.html

RIN:

Not applicable

Title:

SSR 17-4p: Titles II and XVI: Responsibility for Developing Written Evidence

Description of the Subject:

This ruling clarifies our responsibilities and those of the claimant and the claimant's representative to develop evidence and other information in disability and blindness claims under Titles II and XVI of the Social Security Act.

Date of Issuance:

October 4, 2017

Federal Record Citation:

Federal Register, Volume 82, No. 191, Page 46339

Hyperlink:

https://www.ssa.gov/OP_Home/rulings/oasi/33/SSR2017-04-oasi-33.html

RIN:

Not applicable

Appendix KK

Department of State



United States Department of State

Washington, D.C. 20520

DEC 22 2017

The Honorable
Trey Gowdy, Chairman
Committee on Oversight and Government Reform
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your December 8 letter requesting information regarding the Department of State's issuance of guidance documents since January 1, 2008. This interim response is to advise you that a search for the requested information has begun and offer an initial snapshot based on the work of certain bureaus of the Department of State. We understand that you are assessing the extent to which non-legally binding guidance directed at the public affects public and private sector behavior.

The Bureau of Political Military Affairs, Directorate of Defense Trade Controls (PM/DDTC) regularly issues guidance regarding the defense export control process, and specifically the interpretation of the International Traffic in Arms Regulations (ITAR), implementing the relevant provisions of the Arms Export Control Act. Guidance issued by PM/DDTC relates to matters including the registration and licensing process under the ITAR, and compliance matters. The guidance provides the necessary process and policy instructions to enable the U.S. defense industry to export their products and services. We disseminate this guidance through our public-facing website at pmdtc.state.gov.

Additionally, guidance documents are located on the public website of the Bureau of Educational and Cultural Affairs (ECA); guidance document can be accessed at <https://jlvisa.state.gov/sponsors/current/regulations-compliance/>.

The work of the Bureau of Consular Affairs may also be relevant to the Committee's inquiry with respect to its issuance of passports and visas, its accreditation of adoption entities, and its information issued for the traveling public.

We would be delighted to brief the Committee in January on the Department's guidance issuance process.

Please do not hesitate to let us know if we can be of further assistance.

Sincerely,

Mary K. Waters
Assistant Secretary
Legislative Affairs

Appendix LL

Surface Transportation Board



Member of the Board

Surface Transportation Board
Washington, D.C. 20423-0001

January 25, 2018

The Honorable Trey Gowdy
Chairman
House Committee on Oversight and
Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Jim Jordan
Chairman
House Subcommittee on Healthcare, Benefits,
and Administrative Rules
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Blake Farenthold
Chairman
House Subcommittee on the Interior, Energy,
and Environment
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Mark Meadows
Chairman
House Subcommittee on Government
Operations
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Gary J. Palmer
Chairman
House Subcommittee on Intergovernmental
Affairs
2157 Rayburn House Office Building
Washington, DC 20515-6143


Dear Chairman Gowdy, Chairman Meadows, Chairman Jordan, Chairman Palmer, and
Chairman Farenthold:

Thank you for your recent letter requesting guidance documents issued by the Surface
Transportation Board (Board) since January 1, 2008.

Please find attached four Policy Statements issued by the Board that are responsive to your
request. Also attached are three communications from the Board's Office of Economics and one
communication from the Board's Office of Environmental Analysis that appear to fall within the
scope of your inquiry.

If you or your staff have any questions about this response or any other matter regarding the
Board, please contact my office at [REDACTED] or Lucille Marvin, Director of the Office of
Public Assistance, Governmental Affairs, and Compliance at [REDACTED].

Sincerely,


Ann Begeman
Acting Chairman

cc: The Honorable Elijah E. Cummings, Ranking Member
Committee on Oversight and Government Reform

The Honorable Gerald E. Connolly, Ranking Member
Subcommittee on Government Operations

The Honorable Raja Krishnamoorthi, Ranking Member
Subcommittee on Healthcare, Benefits, and Administrative Rules

The Honorable Val Butler Demings, Ranking Member
Subcommittee on Intergovernmental Affairs

The Honorable Stacey E. Plaskett, Ranking Member
Subcommittee on the Interior, Energy, and Environment

SURFACE TRANSPORTATION BOARD
RESPONSE TO
HOUSE OVERSIGHT COMMITTEE

Guidance Documents: January 1, 2008– January 25, 2018

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Surface Transportation Board
Guidance Documents: Jan. 1, 2008 – Jan. 25, 2018

1. Title: **Rail Transportation of Grain, Rate Regulation Review**
2. Form of guidance: *Policy Statement*
3. Brief description of subject: *Board statement explaining its policy, in response to public comments requesting clarification, on standing and aggregation of claims in rate cases.*
4. Date of Issuance: *December 29, 2016*
5. Issuing agency, component, office, or program: *Board*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *No*
7. To the extent applicable:
 - a. The Federal Register citation: *82 Fed. Reg. 805 (Jan. 4, 2017)*
 - b. A hyperlink to a copy of the document:
[https://www.stb.gov/decisions/readingroom.nsf/UNID/DB9932CA7019E6C5852580980063B753/\\$file/45450.pdf](https://www.stb.gov/decisions/readingroom.nsf/UNID/DB9932CA7019E6C5852580980063B753/$file/45450.pdf)
 - c. The Regulation Identification Number: *2140-AB16*
 - d. Any other identification number for the document:
 - 1) *STB Docket No. EP 665 (Sub-No. 1)*
 - 2) *Decision ID No. 45450*

Surface Transportation Board
Guidance Documents: Jan. 1, 2008 – Jan. 25, 2018

1. Title: [Small Entity Size Standards Under the Regulatory Flexibility Act](#)
2. Form of guidance: *Policy Statement*
3. Brief description: *Board statement pursuant to 5 U.S.C. 601(3), after notice and comment, establishing definition of “small business” as including Class III rail carriers, but excluding Class II rail carriers.*
4. Date of Issuance: *June 30, 2016*
5. Issuing agency, component, office, or program: *Board*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *No*
7. To the extent applicable:
 - a. The Federal Register citation: *81 Fed. Reg. 42,566 (June 30, 2016)*
 - b. A hyperlink to a copy of the document:
[https://www.stb.gov/Decisions/readingroom.nsf/UNID/1B3E26DBAB04F46085257FE20045A134/\\$file/44802.pdf](https://www.stb.gov/Decisions/readingroom.nsf/UNID/1B3E26DBAB04F46085257FE20045A134/$file/44802.pdf)
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document:
 - 1) *STB Docket No. 719*
 - 2) *Decision ID No. 44802*

Surface Transportation Board
Guidance Documents: Jan. 1, 2008 – Jan. 25, 2018

1. Title: [Policy Statement on Grant Stamp Procedure In Routine Director Orders](#)
2. Form of guidance: *Policy Statement*
3. Brief description: *Board statement explaining new procedure to streamline certain decisions by the Director of the Office of Proceedings involving routine, uncontested issues.*
4. Date of Issuance: *November 14, 2011*
5. Issuing agency, component, office, or program: *Board*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *No*
7. To the extent applicable:
 - a. The Federal Register citation: *76 Fed. Reg. 70,664 (Nov. 15, 2011)*
 - b. A hyperlink to a copy of the document:
[https://www.stb.gov/Decisions/readingroom.nsf/UNID/77443B459994E1A785257942006CC62C/\\$file/41686.pdf](https://www.stb.gov/Decisions/readingroom.nsf/UNID/77443B459994E1A785257942006CC62C/$file/41686.pdf)
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document:
 - 1) *STB Docket No. EP 709*
 - 2) *Decision ID No. 41686*

1. Title: **Policy Statement on Plain Language Digests in Decisions**
2. Form of guidance: *Policy Statement*
3. Brief description of subject: *Board statement explaining that the agency will include a plain-language digest in all entire-Board decisions summarizing the decisions in plain language, without relying on citations to statutes or case law.*
4. Date of Issuance: *September 2, 2010*
5. Issuing agency, component, office, or program: *Board*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *No*
7. To the extent applicable:
 - a. The Federal Register citation: *N/A*
 - b. A hyperlink to a copy of the document:
[https://www.stb.gov/Decisions/readingroom.nsf/UNID/44A2373E183DC7EA85257792006E2AF6/\\$file/40550.pdf](https://www.stb.gov/Decisions/readingroom.nsf/UNID/44A2373E183DC7EA85257792006E2AF6/$file/40550.pdf)
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document:
 - 1) *STB Docket No. EP 696*
 - 2) *Decision ID No. 40550*

1. Title: **Consummation of Rail Line Abandonments that are Subject to Historic Preservation and Other Environmental Conditions**
2. Form of guidance: *Policy Statement*
3. Brief description: *Board guidance on when, under 49 C.F.R. § 1152.29(e)(2), a carrier may “consummate” abandonment and file a “notice of consummation” of the abandonment of a rail line.*
4. Date of Issuance: *April 23, 2008*
5. Issuing agency, component, office, or program: *Board*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *Plans to review*
7. To the extent applicable:
 - a. The Federal Register citation: *73 Fed. Reg. 22,002 (Apr. 23, 2008)*
 - b. A hyperlink to a copy of the document:

[https://www.stb.gov/Decisions/readingroom.nsf/UNID/E784AF30A7C60B908525742E006928CE/\\$file/38903.pdf](https://www.stb.gov/Decisions/readingroom.nsf/UNID/E784AF30A7C60B908525742E006928CE/$file/38903.pdf)

- c. The Regulation Identification Number: *N/A*
- d. Any other identification number for the document:
 - 1) *STB Docket No. EP 678*
 - 2) *Decision ID No. 38903*

1. Title: [Reporting Rule 11 Traffic in QCS: Message to Class I Railroads](#)
2. Form of guidance: *Notice*
3. Brief description: *Notice by Office of Economics clarifying the proper method of reporting Rule 11 (rebilled) traffic in Quarterly and Annual QCS reports.*
4. Date of Issuance: *March 20, 2012*
5. Issuing agency, component, office, or program: *Office of Economics*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *Plans to review*
7. To the extent applicable:
 - a. The Federal Register citation: *N/A*
 - b. A hyperlink to a copy of the document: *N/A*
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document: *N/A*

Surface Transportation Board

Guidance Documents: Jan. 1, 2008 – Jan. 25, 2018

1. Title: [Message to Accounting Officers of All Class I Railroads](#)
2. Form of guidance: *Notice*
3. Brief description: *Notice by Office of Economics notice explaining the proper accounting and reporting of government subsidies, such as “Tiger Grants,” provided by federal, state, and local authorities.*
4. Date of Issuance: *June 21, 2010*
5. Issuing agency, component, office, or program: *Office of Economics*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *Plans to review*
7. To the extent applicable:
 - a. The Federal Register citation: *N/A*
 - b. A hyperlink to a copy of the document: *N/A*
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document: *N/A*

1. Title: *Delegation of Authority for the Section 106 Review of Rail Abandonment Projects*
2. Form of guidance: *Guidance*
3. Brief description: *Statement by the Section of Environmental Analysis explaining that applicants seeking authority from the Board to abandon railroad lines may act on behalf of the Board when complying with the Section 106 regulations of the National Historic Preservation Act.*
4. Date of Issuance: *December 10, 2009*
5. Issuing agency, component, office, or program: *Office of Economics, Environmental Analysis, and Administration*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *Plans to review*
7. To the extent applicable:
 - a. The Federal Register citation: *N/A*
 - b. A hyperlink to a copy of the document:
<https://www.stb.gov/stb/docs/EnvironmentalDecisions/Delegation%20of%20106%20in%20Rail%20Abandonments.pdf>
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document: *N/A*

Surface Transportation Board
Guidance Documents: Jan. 1, 2008 – Jan. 25, 2018

1. Title: [Notice to Accounting Officers of Class I Railroads](#)
2. Form of guidance: *Notice*
3. Brief description: *Notice by the Section of Economics that certain accounts may be used for recording and reporting financial information related to a single employer defined benefit plan.*
4. Date of Issuance: *October 20, 2008*
5. Issuing agency, component, office, or program: *Office of Economics, Environmental Analysis, and Administration*
6. Indication of whether:
 - a. guidance was considered significant: *No*
 - b. the agency submitted the guidance for review by the Office of Information and Regulatory Affairs: *No*
 - c. the agency submitted the guidance to Congress and GAO: *No*
 - d. the Regulatory Reform Task Force has reviewed or plans to review the guidance document: *Plans to review*
7. To the extent applicable:
 - a. The Federal Register citation: *N/A*
 - b. A hyperlink to a copy of the document: *N/A*
 - c. The Regulation Identification Number: *N/A*
 - d. Any other identification number for the document: *N/A*



SURFACE TRANSPORTATION BOARD
OFFICE OF ECONOMICS

REPORTING RULE 11 TRAFFIC IN QCS
MESSAGE TO CLASS I RAILROADS
March 20, 2012

The purpose of this message is to provide clarification regarding the proper method of reporting Rule 11 (rebilled traffic) in the Quarterly and Annual QCS reports. QCS data is an integral component input to the annual production of the Uniform Railroad Costing System (URCS). We believe that this reporting clarification will further enhance the utility of data reported.

Compliance with this instruction will ensure uniform and consistent reporting of Rule 11 traffic movements.

The following reporting instructions shall be followed for Rule 11 traffic movements. The originating carrier shall report the movement as originated and forwarded. The railroad receiving the traffic shall report the movement as received and forwarded or as received and terminated depending on the numbers of carriers involved in the movement.

Railroads are requested to comply with this directive retroactive to January 1, 2012.

Paul A. Aquilar
Branch Chief
Data Collection & Auditing Team

Message to Accounting Officers of All Class I Railroads

DATE: June 21, 2010

Accounting for Tiger Grants

The stated objectives of the American Recovery and Reinvestment Act of 2009 (Recovery Act) are to preserve and create jobs and promote economic recovery, invest in transportation infrastructure that will provide long-term economic benefits, and assist those most affected by the current economic downturn. Title XII of the Recovery Act appropriated \$1.5 billion, available through Sept. 30, 2011, for Supplementary Discretionary Grants for a National Surface Transportation System. The U.S. Department of Transportation refers to these grants as "TIGER Discretionary Grants" (Transportation Investments Generating Economic Recovery).

The purpose of this message is to remind all Class I railroads of the proper accounting and reporting for "TIGER GRANTS" as well as other grants and subsidies received from Federal, state and local authorities. For accounting purposes, the terms "TIGER GRANTS", "grants" and "subsidies" are generally synonymous.

While for simplicity we will refer to all forms of government donations as subsidies, it is important to note that this message applies to the following types of government transfers:

- (a) TIGER GRANTS
- (b) Payments of a continuing nature designed to reimburse a carrier for operating losses sustained on a specific line, in a certain region, etc. Examples are commuter operations run by railroads, and paid for in part by regional transit authorities. These may be characterized by their contractual nature; the carrier's services are dependent upon continued reimbursement.
- (c) Periodic subsidies to alleviate cash shortages.
- (d) Periodic subsidies designated for acquisition, addition to, or improvement of plant and equipment.
- (e) Periodic subsidies to be applied to operations or capital expenditures at the discretion of the recipient.

However this message does not apply to government contributions in connection with routine construction projects in which government agencies and railroads participate. Instruction 2-17 of the Uniform System of Accounts for Railroads prescribes appropriate accounting for these projects and specifies which projects are covered.

Proper accounting and reporting of subsidies is necessary to prevent misinterpretation of the recipient's financial statements. Improper treatment may understate the level of losses a firm suffers, distort operating and other ratios, as well as preclude meaningful comparison with previous years' financial statements.

Proper accounting is achieved by generally viewing the receipt of subsidies as operating revenue. Subsidies are essentially payment for current or future services of the recipient, which it earns in connection with profit-directed activities.

The recognition of a subsidy as operating revenue should correspond to the duration of benefits provided by that subsidy. Accordingly, subsidies which offer benefits only to the current period should be accounted for as operating revenue when received, and subsidies which provide future benefits should be deferred when received, and recognized over several periods.

Subsidies benefiting only the current period are those given to replenish working capital, and include subsidies specifically designated for continuation of a particular service, to cover operating expenses, or those provided for use at the discretion of management. Subsidies providing future benefits are those in the form of depreciable fixed assets, or funds designated by the donor for the purchase of such assets. We believe that subsidies of this type should be recognized as operating revenue over the depreciable lives of the assets to which they apply, because the benefit of these subsidies corresponds to the usefulness of the related assets.

In certain circumstances, government transfers should be regarded as contributed capital. Such treatment is appropriate for (1) transfers in the form of, or designated for the purchase of non-depreciable assets, and (2) transfers from the Federal government to Amtrak.

Non-depreciable assets provide benefits to the recipient indefinitely and cannot be related to specific accounting periods. For these reasons, their transfer represents a contribution to the permanent capital structure of the recipient and they are appropriately accounted for as contributed capital. Capital expenditure subsidies from the Federal government to Amtrak also represent capital contributions. On 10/30/1970, Congress enacted the Rail Passenger Service Act (Pub. L. 91-578). This act of Congress, which established Amtrak, required the Federal government to occupy a position of authority in this firm. Therefore this position gives the Federal government a special economic interest in the continued financial viability of Amtrak and any such transfers are provided to protect this interest. Therefore, transfers relating to capital expenditures more closely resemble stockholder donations than payments for services.

Proper reporting of subsidies is also necessary to prevent misinterpretation of the recipient's financial statements. Therefore, subsidies should be reported in a manner which highlights their effect on the financial statements. On the income statement, subsidies should be shown as a separate classification of operating revenues.

On the balance sheet, subsidies representing deferred revenue should be shown separately from other deferred credits and donations regarded as contributed capital should also be separated from other paid-in capital. An appropriate record shall be maintained of each asset associated with these transfers illustrating: (1) original cost to the railroad, (2) accumulated depreciation, and (3) estimated salvage value, if any. The deferred revenue account will be charged periodically, and Account 503, "Railway Operating Revenues – Amortization of Deferred Transfers from Government Authorities" will be credited with amounts equal to the depreciation costs of the assets to which they apply. When these assets are retired or otherwise disposed of, the deferred revenue account shall be charged, and Account 503 concurrently credited with any remaining associated amounts (See Instruction 1-15 of 49 CFR Part 1201 – Uniform System of Accounts For Railroad Companies).

For purposes of revenue adequacy reporting, the STB subtracts accumulated deferred tax credits from the net investment base because these credits represent a zero cost source of funds. Similarly funds provided by government subsidies also have no cost and should therefore be subtracted from the net investment base in computing revenue adequacy because railroads should not earn returns on increases in asset bases generated from investments that were paid for by government subsidies. Therefore Class I railroads should disclose the amount of government funding i.e. Tiger Grants; grants; and subsidies in footnotes to Schedule 250.

We believe that reporting government transfers in this manner will facilitate analysis of the recipients' financial statements both with and without the effect of government transfers. This is necessary to fully consider the regulatory implications and to ensure accounting consistency. In our opinion the same or similar types of transactions should be accounted for in a consistent way.

Questions on this Notice should be directed to:

Mr. Paul A. Aguiar
Branch Chief
Office of Economics
Surface Transportation Board
395 E. St, S.W.
Washington, D.C. 20423



Surface Transportation Board
Washington, D.C. 20423-0001

**NOTICE TO ACCOUNTING OFFICERS
OF CLASS 1 RAILROADS**

OCTOBER 20, 2008

SECTION OF ECONOMICS

This letter is to amend the "Notice to Accounting Officers Of Class 1 Railroads," dated August 15, 2007.(Notice)

The Financial Accounting Standards Board (FASB) has issued Statement of Accounting Standard No. 158 ,(SFAS 158) Employer's Accounting for Defined Benefit Pension and Other Postretirement Plans. This statement requires an employer to recognize the over funded or under funded status of a single employer defined benefit plan as a asset or liability in its statement of financial position and to recognize changes in the fund status in the year in which the changes occur through comprehensive income of a business entity. SFAS No. 158 also requires an employer to measure the fund status as of the date of its year-end statement of financial position.

The Board's Uniform Systems of Accounts do not provide specific guidance with regard to the accounting and reporting matters contained in SFAS No. 158. The following guidance is being provided to all Class 1 Railroads to ensure proper and consistent implementation of SFAS No. 158 for R-1 financial reporting purposes beginning with the 2008 R-1 year.

Class 1 Railroads should adopt SFAS No.158 for reporting to the Surface Transportation Board (Board) and it should do so in the same manner as the Statement is adopted for stockholder reporting.

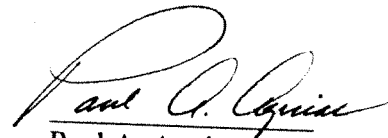
We find that language in the Notice of August 15, 2007 regarding the use of Accounts 601.5, 606, and 616 may mislead carriers on the propriety of using these accounts, specifically, use of these accounts without Board approval.

This guidance letter constitutes the required Board approval to use accounts 601.5, 606, and 616(b) for the recording and reporting implementation of the Statement and a separate approval request from the Board is not needed. Other entries to these accounts separate from SFAS No.158 still require prior approval from the Board.

Adoption of the accounting guidance in this letter is for Board accounting and reporting purposes only and may not affect any matters or determinations coming before the Board.

Questions on this Notice should be directed to:

Mr. Paul Aguiar
Branch Chief, Section of Economics
Office of Economics, Environmental Analysis, and Administration
Surface Transportation Board
395 E Street, S.W.
Washington, DC 20423-0001
[REDACTED]



Paul A. Aguiar
Branch Chief

Appendix MM

Department of Transportation

JAN 02 2018



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

Assistant Secretary
for Governmental Affairs

1200 New Jersey Ave., S.E.
Washington, DC 20590

The Honorable Trey Gowdy
Chairman
Committee on Oversight
and Government Reform
U.S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your letter of December 8, 2017, to Secretary Chao requesting a list of all guidance documents issued by the U.S. Department of Transportation since 2008.

It will take additional time for the Department to complete its response, which we will provide as soon as possible. We appreciate your patience.

A similar response has been sent to each cosigner of your letter. If your staff has questions on this or any other matter, they may contact the Secretary's Office of Governmental Affairs at [REDACTED].

Sincerely,

A handwritten signature in blue ink, appearing to read "Sean McMaster", with a long horizontal flourish extending to the right.

Sean McMaster
Deputy Assistant Secretary
Congressional Affairs

Appendix NN

Department of the Treasury

Partial List of Treasury Guidance Documents, 2008-2017

Financial Crimes Enforcement Network (FinCEN)

FinCEN's guidance documents are available at **<https://www.fincen.gov/resources/statutes-regulations/guidance>**.

FinCEN guidance documents issued between January 2008 and December 2017:

- 01/04/2017 Casinos Sharing Suspicious Activity Reports with U.S. Parents and Affiliates of Casinos
- 07/19/2016 Depository Institutions, Securities and Futures Frequently Asked Questions Regarding Customer Due Diligence Requirements for Financial Institutions
- 03/24/2016 Money Services Businesses Frequently Asked Questions regarding Prepaid Access
- 03/21/2016 Depository Institutions Interagency Guidance to Issuing Banks on Applying Customer Identification Program Requirements to Holders of Prepaid Cards
- 03/11/2016 Depository Institutions, Money Services Businesses Guidance on Existing AML Program Rule Compliance Obligations for MSB Principals with Respect to Agent Monitoring
- 02/24/2015 Depository Institutions Guidance to Encourage Financial Institutions' Youth Savings Programs and Address Related Frequently Asked Questions
- 12/24/2014 Casinos FinCEN Correspondence with the American Gaming Association Regarding Sports Betting Conducted on Behalf of Third Parties
- 08/01/2014 CMIR guidance for common carriers of currency, including armored car services
- 02/14/2014 Depository Institutions, Money Services Businesses BSA Expectations Regarding Marijuana-Related Businesses
- 01/01/2014 FinCEN Notice 2014-1 FBAR Filing Requirement - Extended Filing Date Related to Notice 2013-1
- 06/24/2013 Casinos, Depository Institutions, Insurance Industry, Money Services Businesses, Precious Metals/Jewelry Industry, Securities and Futures Administrative Difficulties in Submitting Electronic Reports to FinCEN
- 03/18/2013 Money Services Businesses Application of FinCEN's Regulations to Persons Administering, Exchanging, or Using Virtual Currencies
- 12/26/2012 FinCEN Notice (2012-2) – FBAR Filing Requirement – Extended Filing Date Related to Notice 2012-1
- 09/10/2012 Depository Institutions Definition of Motor Vehicles of Any Kind, Motor Vehicles, Vessels, Aircraft, and Farm Equipment as it Relates to Potential CTR Exemption for a Non-Listed Business
- 08/13/2012 Casinos Frequently Asked Questions Casino Recordkeeping, Reporting, and Compliance Program Requirements
- 06/11/2012 Depository Institutions Guidance on Determining Eligibility for Exemption from Currency Transaction Reporting Requirements

- 03/29/2012 Casinos, Depository Institutions, Insurance Industry, Money Services Businesses, Precious Metals/Jewelry Industry, Securities and Futures Filing FinCEN's new Currency Transaction Report and Suspicious Activity Report
- 03/16/2012 | Depository Institutions, Money Services Businesses, Securities and Futures Currency Transaction Report Aggregation for Businesses with Common Ownership
- 02/14/2012 FinCEN Notice (2012-1) FBAR Filing Requirement – Extended Filing Date Related to Notices 2011-1 and 2011-2
- 11/02/2011 Depository Institutions, Money Services Businesses Final Rule – Definitions and Other Regulations Relating to Prepaid Access
- 10/11/2011 Reports of Foreign Financial Accounts (“FBARs”) Requirements for Former Employees that had Signature or Other Authority over a Foreign Financial Account of a Former Employer
- 06/17/2011 FinCEN Notice (2011-2) – FBAR Filing Requirement – Extended Filing Date Relating to Officers or Employees of Investment Advisors Registered With the SEC
- 05/31/2011 FBAR Filing Requirement--Extended Filing Date Related to Exceptions Described in 31 CFR 1010.350(f)(2) - Revised 06/06/11
- 04/12/2011 Securities and Futures Preparation Guidelines for completing the March 2011 version of FinCEN Form 101, Suspicious Activity Report by the Securities and Futures Industries.
- 04/12/2011 Casinos Preparation Guidelines for completing the March 2011 version of FinCEN Form 103, Currency Transaction Report by Casinos.
- 03/24/2011 Depository Institutions Interagency Guidance on Accepting Accounts from Foreign Embassies, Consulates and Missions
- 11/23/2010 Depository Institutions Sharing Suspicious Activity Reports by Depository Institutions with Certain U.S. Affiliates
- 11/23/2010 Securities and Futures Sharing Suspicious Activity Reports by Securities Broker-Dealers, Mutual Funds, Futures Commission Merchants, and Introducing Brokers in Commodities with Certain U.S. Affiliates
- 11/09/2010 Casinos, Depository Institutions, Money Services Businesses, Securities and Futures Funds “Travel” Regulations: Questions & Answers
- 06/30/2010 Casinos Casino or Card Club Risk-Based Compliance Indicators
- 06/30/2010 Casinos Casino or Card Club Compliance Program Assessment
- 03/05/2010 Casinos, Depository Institutions, Insurance Industry, Money Services Businesses, Precious Metals/Jewelry Industry, Securities and Futures Guidance on Obtaining and Retaining Beneficial Ownership Information
- 12/10/2009 FIN-2009-G005 - Requirements for Correcting Errors in Electronically Batch-Filed Suspicious Activity Reports
- 09/30/2009 Casinos Frequently Asked Questions Casino Record keeping, Reporting, and Compliance Program Requirements
- 08/31/2009 Depository Institutions FinCEN Guidance (FIN-2009-G003) on Determining Eligibility for Exemption from Currency Transaction Reporting Requirements
- 06/16/2009 Guidance on the Scope of Permissible Information Sharing Covered by Section 314(b) Safe Harbor of the USA PATRIOT Act

- 04/27/2009 Guidance on Supporting Information Suitable for Determining the Portion of a Business Customer's Annual Gross Revenues that is Derived from Activities Ineligible for Exemption from Currency Transaction Reporting Requirements
- 04/06/2009 Guidance to Financial Institutions on Filing Suspicious Activity Reports regarding Loan Modification/Foreclosure Rescue Scams
- 01/15/2009 Depository Institutions Revision of the CTR Exemption Rule Effective January 5, 2009 Completion of FinCEN Form 110
- 01/09/2009 Money Services Businesses Notice to Registered Money Services Businesses
- 11/13/2008 Money Services Businesses Notice to Registered Money Services Businesses
- 09/10/2008 Money Services Businesses Application of the Definition of Money Transmitter to Brokers and Dealers in Currency and Other Commodities
- 08/01/2008 Casinos Recognizing Suspicious Activity - Red Flags for Casinos and Card Clubs
- 05/02/2008 Money Services Businesses Preparation Guidelines for Use of Special Response "XX" in FinCEN Form 109, Suspicious Activity Report by Money Services Business (Form Date March 31, 2007)
- 04/17/2008 Money Services Businesses Guidance to Financial Institutions on Filing Suspicious Activity Reports regarding the Proceeds of Foreign Corruption
- 03/20/2008 Insurance Industry Frequently Asked Questions Anti-Money Laundering Program and Suspicious Activity Reporting Requirements for Insurance Companies
- 03/19/2008 Depository Institutions Whether a Foreign Exchange Consultant is a Currency Dealer or Exchanger or Money Transmitter
- 03/18/2008 Depository Institutions Whether a Foreign Exchange Dealer is a Currency Dealer or Exchanger or Money Transmitter
- 03/18/2008 Depository Institutions Whether a Person That is Engaged in the Business of Foreign Exchange Risk Management is a Currency Dealer or Exchanger or Money Transmitter
- 03/10/2008 Depository Institutions Whether Certain Reloadable Card Operations are Money Services Businesses
- 03/10/2008 Precious Metals/Jewelry Industry Guidance for Dealers, Including Certain Retailers, of Precious Metals, Precious Stones, or Jewels, on Conducting a Risk Assessment of Their Foreign Suppliers
- 03/04/2008 Securities and Futures Customer Identification Program Rule No-Action Position Respecting Broker-Dealers Operating Under Fully Disclosed Clearing Agreements According to Certain Functional Allocations
- 01/30/2008 Depository Institutions, Securities and Futures Application of Correspondent Account Rules to the Presentation of Negotiable Instruments Received by a Covered Financial Institution for Payment
- 01/25/2008 Reporting of Certain Currency Transactions for Sole Proprietorships and Legal Entities Operating Under a "Doing Business As" ("DBA") Name

Alcohol and Tobacco Tax and Trade Bureau (TTB)

TTB's guidance is available at https://ttb.gov/regulation_guidance/index.shtml.

TTB guidance documents issued between January 2008 and December 2017:

Industry Circulars

- TTB Industry Circular 2017-4, Voluntary Beverage Alcohol Recalls
- TTB Industry Circular 2017-3, Pinot Noir from the Languedoc-Roussillon Region of France; Cancellation of Declaration Requirement
- TTB Industry Circular 2017-2, Amendments to the Criteria for the Hard Cider Tax Rate and Information on Other Requirements that Apply to Wine that is Eligible for the Hard Cider Tax Rate
- TTB Industry Circular 2017-1, Levels of Lead in Wine
- TTB Industry Circular 2016-2, Internal Revenue Code Amendments Eliminating Bond Requirements and Adding Annual Tax Return Periods for Eligible Alcohol Taxpayers
- TTB Industry Circular 2016-1, Elimination of Certain Pre-COLA Product Evaluation Requirements (Formulas or Laboratory Analysis) for Certain Alcohol Beverage Product
- TTB Industry Circular 2015-1, Automated Commercial Environment Pilot Program; Alternate Method for Participants to Fulfill TTB Requirements for Importation
- TTB Industry Circular 2014-2, Expansion of Allowable Revisions to Approved Alcohol Beverage Labels
- TTB Industry Circular 2014-1, New Argentine Wine Labeling Rules and Certificate of Label Approval Requirements
- TTB Industry Circular 2013-1, Use of Social Media in the Advertising of Alcohol Beverages
- TTB Industry Circular 2012-3, Electronically Processing Paper Certificate of Label Approval (COLA) Applications
- TTB Industry Circular 2012-2, Tie-In Sales - An Unlawful Trade Practice
- TTB Industry Circular 2012-1, Guidance Regarding Industry Members' Participation in Retail Programs
- TTB Industry Circular 2011-4, Streamlining the Certificate of Label Approval Review Process
- TTB Industry Circular 2011-3, Importation of Tobacco Products and Calculating the Tax on Imported Large Cigars
- TTB Industry Circular 2011-2, Application of Alcohol Beverage Advertising Regulations to Television Advertising
- TTB Industry Circular 2011-1, Application of Alcohol Beverage Advertising Regulations to Media Personality Sponsorships
- TTB Industry Circular 2010-8, Alcohol Beverages Containing Added Caffeine
- TTB Industry Circular 2010-7, Changes to Firearms and Ammunition Excise Tax Method of Payment
- TTB Industry Circular 2010-4, Country of Origin Certification Requirements for Imported Wines and Distilled Spirits
- TTB Industry Circular 2010-3, Brunello di Montalcino Wine

- TTB Industry Circular 2010–2, Unauthorized Pesticide Verification and Enforcement Program for Wine
- TTB Industry Circular 2009–1, Increase in Federal Excise Tax and Imposition of Floor Stocks Tax on Tobacco Products, Cigarette Papers, and Cigarette Tubes
- TTB Industry Circular 2008–4, Alternating Proprietors at Bonded Wine Premises
- TTB Industry Circular 2008–3, Non-Compliant Flavored Malt Beverages

TTB Procedures

- 2014-1 Testing of Chewing Tobacco and Snuff Products
- 2011-1 Payment of Tax by Electronic Fund Transfer
- 2010-1 Certification for the Analysis of Wine or Distilled Spirits for Export
- 2009-1 Procedure for Certain Tobacco Products and Cigarette Papers and Tubes Withdrawn from the Market

TTB Rulings

- 2017-2 Revised - Freshness Dating and Allowable Returns of Malt Beverage Products under the FAA Act
- 2017-1 Revoking Obsolete Guidance Documents Concerning Completely Denatured Alcohol and Specially Denatured Spirits
- 2016-3 TTB Approves General-Use Formulas for Certain Distilled Spirits Produced Using Harmless Coloring, Flavoring, or Blending Materials
- 2016-2 TTB Approves General-Use Formulas for Certain Agricultural Wines
- 2016-1 The Shelf Plan and Shelf Schematic Exception to the "Tied House" Prohibition, and Activities Outside Such Exception
 - Frequently Asked Questions on TTB Ruling 2016-1
- 2015-1 Ingredients and Processes Used in the Production of Beer Not Subject to Formula Requirements
 - Exempt Ingredients and Processes Determined to be Traditional Under TTB Ruling 2015–1
 - Examples of Adequate and Inadequate Designations in Accordance with Trade Understanding
- 2014-5 Cover Over of Taxes Collected on Certain Distilled Spirits Transported to the United States from Puerto Rico and the U.S. Virgin Islands
- 2014-3 **[SUSPENDED]** Bottling Taxpaid Wine in Growlers or Similar Containers for Consumption Off of the Premises (Suspended per TTB April 25, 2014 **Announcement**)
- 2014-2 Revised Interim Policy on Gluten Content Statements in the Labeling and Advertising of Wine, Distilled Spirits, and Malt Beverages
- 2014-1 Tax Classification of Snuff and Chewing Tobacco, Specifically as Related to "Gutkha" Products
- 2013-2 Voluntary Nutrient Content Statements in the Labeling and Advertising of Wines, Distilled Spirits, and Malt Beverages
 - Frequently Asked Questions on TTB Ruling 2013-2
 - Frequently Asked Questions on Optional Alcohol Facts Statements

- Frequently Asked Questions on Sugar Content Statements
- 2013-1 Malt Beverages Sold Exclusively in Intrastate Commerce
- 2012-3 Recognition of Andong Soju and Gyeongju Beopju as Distinctive Products of Korea (supersedes Ruling 2012-1)
- 2010-4 Cigarette-making Machines in Retail Establishments
 - May 12, 2014: TTB Announcement, "Ongoing Enforcement in Connection with Cigarette-Making Machines"
 - August 26, 2013: TTB Announcement, "Enforcement Efforts in Connection with Cigarette-Making Machines"
 - October 4, 2012: TTB G 2012-3, "Cigarette-Making Machines and Other Tobacco Product Machines Made Available For Use By Consumers"
 - August 28, 2012 Notice
 - July 25, 2012 Notice
 - July 10, 2012 Notice
 - December 17, 2010 Notice
- 2010-2 Consolidated Imports of Personal Purchases of Alcohol Beverage Products
- 2010-1 Use of Propylene Glycol Monomethyl Ether (PGME) as a Prescribed Ingredient in Special Industrial Solvents
- 2009-1 Taxable Weight of Tobacco Products
- 2008-3 Classification of Brewed Products
- 2008-1 Standards of Identity and the Use of Semi-generic Designations and Retsina on Certain European Wines Imported into the U.S.

Frequently Asked Questions by Category

Alcohol

- Alcohol Beverages Containing Added Caffeine
- Alcohol Facts Statements
- Beer
- Business Operations
- Cider
- Distilled Spirits
- Export Certificate Program
- Extraction Products
- Flavored Malt Beverages
- Fuel Alcohol
- General
- Honey Wine (Mead)
- Kombucha
- Natural Disasters
- Organic Alcohol
- Serving Facts
- Shelf Schematics
- Sugar Content Statements
- Wine

Firearms Excise Tax

- Ammunition Reloaders
- Background
- Claims
- Gunsmiths
- Employer Identification Number
- Importers
- Forms
- Manufacturers and Producers
- Sales
- Small Manufacturers Exemptions
- Tax Rates and Statistics
- Taxes

Advertising, Labeling, and Formulation

- Beverage Alcohol Samples
- COLAs Online
- COLAs Retention Requirements for Wholesalers
- Importing Samples for Trade Shows and/or for Soliciting Orders

Permits

- Contacts
- Importing Alcohol Beverages into the U.S.
- International Import/Export Requirements

Tobacco

- Tobacco General
- Floor Stocks Tax
 - General Questions
 - Inventory
 - Requirements
 - Filing
 - Controlled Groups
 - Credits
 - Miscellaneous
- "Roll-your-own cigarette machines" and other tobacco product machines used by consumers

Other TTB Guidance

- TTB G 2017-9 – Distilled Spirits Example Formulas
- TTB G 2017-8 – Wine Example Formulas

- TTB G 2017-7 – Malt Beverage Example Formulas
- TTB G 2017-6 - Limited Ingredient Calculation Worksheet: Guidance and Examples
- TTB G 2017-5 - Alcohol Beverage Formula Approval with Lab Sample Analysis
- TTB G 2017-4 – Flavor Ingredient Data Sheet (FIDS): Guidance and Examples
- TTB G 2017-3 – Ingredient Specification Sheet (Spec Sheet): Guidance and Examples
- TTB G 2017-2 – Personalized Labels
- TTB G 2017-1 – Flavor Unfitness Worksheet
- TTB G 2016-4, Information for Alcohol Excise Taxpayers and Applicants for Permits and Brewers' Notices Regarding Internal Revenue Code Amendments Affecting Excise Tax Due Dates and Bond Requirements
- TTB G 2016-3, Pre-COLA Product Evaluations for Distilled Spirits Products
- TTB G 2016-2, Pre-COLA Product Evaluations for Wine Products
- TTB G 2016-1A, Beers and Malt Beverages that Require Either Formula Approval or Formula Approval with Laboratory Sample Analysis
- TTB G 2015-4 - Retail Beverage Alcohol Dealers
- TTB G 2015-3 - Importing Bottled Alcohol Beverages Into the United States.
- TTB G 2015-2 – Getting Started in a TTB-Regulated Business
- TTB G 2015-1, How do I file Excise Tax Returns and Wine Operations Reports annually?
- TTB G 2014-2 - Permits Online Tutorial
- TTB G 2014-1 - Approval of Alternative Devices for Determination of Proof of Distilled Spirits For Tax Determination Purposes; Guidance and Performance Standards
- TTB G 2013-3 – General Instructions for the Wine Export Certificate for U.S. Wine Products Exported from the United States to the People's Republic of China
- TTB G 2013-2 - Claiming Drawback on Taxpaid Distilled Spirits Used in Manufacturing Nonbeverage Products
- TTB G 2013-1 - Ingredients and Processes Exempt from Formula Requirements under 27 CFR part 25
- TTB G 2012-3 – Public Guidance on Cigarette-Making Machines Made Available for Use by Consumers
- TTB G 2012-2 – Updated Certificate of Label Approval Application Form
- TTB G 2012-1 – Common Compliance and Tax Issues Found During Brewery Audits
- TTB G 2011–5 Personalized Labels
- TTB G 2011–4 American Grape Variety Names (updated 11/29/11)
- TTB G 2011–3 Tied House Exceptions
- TTB G 2011–2 Requirements for Establishing an Alcohol Fuel Plant (AFP)
- TTB G 2011–1 Key Distinctions Between Alcohol Fuel Plants and Typical Distilled Spirits Plants
- TTB G 2010–20 Electronic Fund Transfer (EFT) Tax Payment Information for TTB Procedure 2011–1
- TTB G 2010-19 – Not issued
- TTB G 2010–18 Wine and Juice Treating Materials and Processes for Domestic Wine Production
- TTB G 2010–17 Exporting Wine from the U.S. - Wholesaler Exporting Untaxpaid Wine
- TTB G 2010–16 Certificate of Age and Origin Requirements for Imported Alcohol Beverages
- TTB G 2010–15 Exporting Wine from the U.S. - Wholesaler Exporting Taxpaid Wine

- TTB G 2010–14 Exporting Wine from the U.S. - Bonded Wine Premises Exporting Unpaid Wine
- TTB G 2010–13 Exporting Wine from the U.S. - Bonded Wine Premises Exporting Paid Wine
- TTB G 2010–12 Exporting Distilled Spirits from the U.S. - Wholesaler Exporting Paid Distilled Spirits
- TTB G 2010–11 Exporting Distilled Spirits from the U.S. - Wholesaler Exporting Unpaid Distilled Spirits
- TTB G 2010–10 Exporting Distilled Spirits from the U.S. - Distilled Spirits Plant Exporting Paid Distilled Spirits
- TTB G 2010–9 Exporting Distilled Spirits from the U.S. - Distilled Spirits Plant Exporting Unpaid Distilled Spirits
- TTB G 2010–8 Exporting Beer from the U.S. - Breweries Exporting Unpaid Beer
- TTB G 2010–7 Exporting Beer from the U.S. - Breweries Exporting Paid Beer
- TTB G 2010–6 Common Compliance and Tax Issues Found During Distilled Spirits Plant (DSP) Audits (updated Dec. 21, 2011)
- TTB G 2010–5 TTB Guidance Regarding Physical Inventory of Beer and Cereal Beverages
- TTB G 2010–4 Exporting Beer from the U.S. - Wholesalers Exporting Paid Beer
- TTB G 2010–3 Kombucha Questions and Answers
- TTB G: 2010–2 Country of Origin Certification Requirements – replaced by TTB G 2010–16
- TTB G: 2010–1 Personalized Labels – replaced by TTB G 2011-5

Bureau of the Fiscal Service (BFS)

BFS guidance is available at **https://www.fiscal.treasury.gov/fsreports/fs_reference.htm**.

BFS guidance documents issued between January 2008 and December 2017:

- Agency Self-Certification Guide
Supplement to TFM Volume I, Part 4-10000
- Annual Fiscal Service Letters
- Automated Clearinghouse
CARS Reference and Guidance
- EFTPS Marketing Materials
- FAST Book
- Federal Credit Bureau Program Guide
- Fiscal Service Data Registry
- Financial Management and Budget Standardization
- Gold Book
- Green Book
- Request for Waiver of 31 CFR 208.6 and 210.5 for Split Travel Disbursements
- United States Standard General Ledger (USSGL)
- Surety Bonds
- Treasury Financial Manual
- BFS Frequently Asked Questions

Internal Revenue Service

The number of IRS documents that could be responsive to the request is extremely large. The Committee requested a list of all guidance documents issued by the IRS since January 1, 2008. Congress previously made a similar request to the Government Accountability Office (GAO) and, on September 6, 2016, GAO released a report (GAO-16-720) that reviewed how the IRS communicates its interpretation of tax laws to the public and the various types of guidance that the IRS issues. The report explained that the IRS publishes tax regulations and certain other guidance in the weekly Internal Revenue Bulletin (IRB), annually publishing about 2,000 pages of regulations and other guidance documents. The report also explained that, in addition to guidance published in the Federal Register and the IRB, thousands of other documents that provide information to taxpayers are available on the IRS's website. These include, in part, IRS Publications, IRS Forms, Tax Topics, Tax Trails, Tax FAQs, Chief Counsel Notices, Internal Revenue Manual provisions, Chief Counsel Advice (CCA), Priority Guidance Plans, Action on Decisions, Appeals Settlement Guidelines, General Counsel Memoranda, Technical Advice Memorandums, Legal Advice issued by Associate Chief Counsel, and Program Manager Technical Advice. The IRS's "Electronic Reading Room" provides links to databases containing these documents and other publicly available information. It can be accessed via this link: **<https://www.irs.gov/privacy-disclosure/electronic-reading-room>**. Two screenshots showing the various databases available via the Electronic Reading Room are below. Many of these databases contain tens of thousands of documents (if not more) that were released in the past ten years.

In addition, every year the IRS publishes its Priority Guidance Plan (PGP). The PGP identifies the projects that were priorities for allocation of resources during the period and includes a brief summary of every project listed. The PGP is updated quarterly with publication information and to add new guidance items that became priorities during the year. The Fourth Quarter update for each PGP contains every guidance project published by the IRS during that plan year. Each update to the PGP is available online via this link: **<https://www.irs.gov/privacy-disclosure/priority-guidance-plan>**. A screenshot showing the links to each of these updates for the past 10 years is below.

Regarding the specific information about each document that you requested, all of the documents that are available via the resources described above can be accessed individually. When accessed, each show the document's title, the name of the form of guidance, a description of the subject, the date of issuance, the issuing agency, the Regulation Identification Number (if applicable), and any other identification number (Items 1-5 and 7 on your list). The IRS meets its Congressional Review Act notice requirement (item 6(c)) for regulations by submitting a Congressional Review Act form (CRA form), the regulation, and other attachments, to Congressional and GAO representatives.

Electronic Reading Room

English

[Volunteer](#)

[Tax Statistics](#)

[Procurement](#)

[Privacy Policy](#)

[Freedom of Information Act](#)

[Civil Rights](#)

[Criminal Investigation](#)

Below you will find a comprehensive list of documents and other information available electronically on the IRS.gov site, listed by subject category:

[About the Electronic Reading Room](#)

Published Tax Guidance

- [Advance Releases](#)
Early distribution of some IRB materials before they are published in the IRB.
- [Applicable Federal Rate \(AFR\) revenue rulings](#)
- [Final or Temporary Regulations \(Treasury Decisions\) and Proposed Regulations](#)
- [IRS Publications & Notices](#)
- [Internal Revenue Bulletins \(IRB\)](#)
Weekly compilations of Revenue Rulings, Revenue Procedures, Announcements, and Notices.
...[PDF format](#) (1996 to present)
...[HTML format](#) (July 7, 2003 to present)

Admin Manuals & Instructions

- [Appeals Coordinated Issues \(ACI\)](#)
- [Chief Counsel \(CC\) Notices](#)
- [Internal Revenue Manual \(IRM\)](#)
 - [Recent Del Orders/Policy Statements](#)
 - [Recent Interim Guidance to Staff](#)
- [LB&I Industry Director Guidance](#)
- [Taxpayer Advocate Service Level Agreements](#)
- [Tax Exempt and Government Entities Directives](#)

Program Plans & Reports

- [Annual Performance Plan](#)
- [Annual Report to Joint Committee on Taxation – Disclosures of Tax Information](#)
- [Art Appraisal Services Annual Summary Reports](#)
- [Emailed CCA Reports](#)
- [FOIA Annual Reports](#)
- [IRS Strategic Plan](#)
- [Office of Chief Counsel Report on Professionalism](#)
- [Priority Guidance Plan](#)
- [Privacy Impact Assessments](#)
- [Treasury Inspector General for Tax Admin. \(TIGTA\) Annual Audit Plans](#)

Non-precedential Rulings & Advice

- [Actions on Decisions \(AOD\)](#)
- [Appeals Settlement Guidelines](#)
- [Chief Counsel Bulletins](#)
- [General Counsel Memoranda](#)
- [Information Letters](#)
- [IRS Written Determinations](#)
Private Letter Rulings (PLR), Technical Advice Memorandum (TAM), & Chief Counsel Advice (CCA).
- [Legal Advice Issued by Associate Chief Counsel](#)
- [Legal Advice Issued by Field Attorneys](#)
- [Legal Advice Issued to Program Managers](#)

Training & Reference Materials

- [CCA Check Training Material](#)
- [Chief Counsel Advice \(CCA\) Training Materials](#)
- [Chief Counsel Collection Due Process Desk Guide](#)
- [Disclosure & Privacy Law Reference Guide](#)
- [EO Tax Law Training Articles](#)
- [Global Awareness Training for International Tax Examiners](#)
- [IRS Chief Counsel Procedure & Administration Desk Guide](#)
- [IRS FOIA Logs](#)
- [IRS Records Control Schedules](#)
- [IRS Records Schedules](#)
- [Market Segment Specialization Program \(Audit Techniques Guides\)](#)
- [Practice Units](#)
- [Tax Crimes Handbook](#)
- [Tax Exempt and Government Entities Issue Snapshots](#)
- [2012 GLI Training Materials](#)

Priority Guidance Plans

Current Year:

- [2017-2018, Initial Version](#), released October 20, 2017
- [2016-2017, First Quarter Update](#), released October 31, 2016
- [2016-2017, Initial Version](#), released August 15, 2016

Prior Years:

- [2015-2016, Fourth Quarter Update](#), released August 15, 2016
- [2015-2016, Third Quarter Update](#), released April 29, 2016
- [2015-2016, Second Quarter Update](#), released February 5, 2016
- [2015-2016, First Quarter Update](#), released October 23, 2015
- [2015-2016, Initial Version](#), released July 31, 2015
- [2014-2015, Fourth Quarter Update](#), released July 31, 2015
- [2014-2015, Third Quarter Update](#), released April 28, 2015
- [2014-2015, Second Quarter Update](#), released January 29, 2015
- [2014-2015, First Quarter Update](#), released November 7, 2014
- [2014-2015, Initial Version](#), released August 26, 2014
- [2013-2014, Fourth Quarter Update](#), released August 26, 2014
- [2013-2014, Third Quarter Update](#), released April 21, 2014
- [2013-2014, Second Quarter Update](#), released January 29, 2014
- [2013-2014, First Quarter Update](#), released November 20, 2013
- [2013-2014, Initial Version](#), released August 9, 2013
- [2012-2013, Fourth Quarter Update](#), released August 9, 2013.
- [2012-2013, Third Quarter Update](#), released May 2, 2013.
- [2012-2013, Second Quarter Update](#), released February 5, 2013.
- [2012-2013, Initial Version](#), released November 19, 2012
- [2011-2012, Fourth Quarter Update](#), released November 19, 2012.
- [2011-2012, Third Quarter Update](#), released April 27, 2012.
- [2011-2012, Second Quarter Update](#), released January 25, 2012.
- [2011-2012, First Quarter Update](#), released October 31, 2011.
- [2011-2012, Initial Version](#), released September 2, 2011.
- [2010-2011, Year End Update](#), released September 2, 2011.
- [2010-2011, Initial Version](#), released December 7, 2010.
- [2009-2010, First Periodic Update](#), released March 16, 2010.
- [2009-2010, Initial Version](#), released November 24, 2009.
- [2008-2009](#), released September 10, 2008.
- [2007-2008, First Periodic Update](#), released April 22, 2008.

Significant Guidance Documents

The Department has issued two guidance documents since 2008 that OMB designated as “significant guidance documents” under its Bulletin for Agency Good Guidance Practices (72 FR 3432):

1. Departmental Offices; Interim Guidance Concerning the Terrorism Risk Insurance Reauthorization Act of 2007 **https://www.treasury.gov/resource-center/fin-mkts/Documents/interim_guidance_01282008.pdf**
2. Best Practices for Residential Covered Bonds.
<https://www.treasury.gov/about/organizational-structure/offices/General-Counsel/Documents/USCoveredBondBestPractices.pdf>

Departmental Offices (DO)

DO guidance is available by office or program at **<https://www.treasury.gov/resource-center/Pages/default.aspx>**. A list of DO guidance documents is forthcoming.