

# The RSA Modernization Project



Employer Self-Service Portal

June 16, 2017



# Agenda



- Topics
  - Objectives
  - Project Overview
  - What's New?
  - What's Next?
  - Administrator User
  - Enrollment/Contribution File
  - ESS Functionality
  - Training Strategy



# Objectives



- Employer Self-Service = ESS
  - ESS is internet based and does not require you to download software
- Prepare you to submit a contribution file through ESS
  - The new contribution file format expands upon the former CRA format in an effort to more efficiently capture accurate and detailed information; several new data elements are required
  - The ESS Portal will accept a file via certified file upload or online entry
  - Discuss your role in correcting errors
  - Remitting your payment online

# Objectives



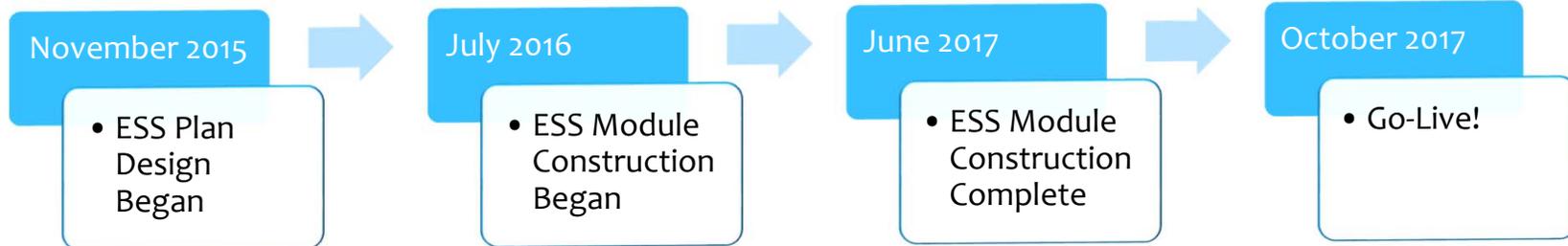
- Prepare you to submit an enrollment file through ESS
  - Enrollment data is currently provided on a Form 100, and sent to the RSA. Under the new system, employers will send enrollment data to RSA via ESS enrollment file
  - The ESS Portal will accept a file via certified file upload or online entry
  - This new enrollment process will enable the RSA to obtain employee data in a more efficient and timely manner
  - You will be required to clean up current enrollment data
    - We currently have several employees with missing dates of birth, gender, etc., due to incomplete enrollment forms

# Objectives



- Familiarize you with ESS functionality
  - Administrator User registration
  - Create and maintain your agencies ESS users
  - Updating employer location and contact information
  - Certifying member applications
- Provide you with pre and post go-live support

# Project Overview



# What's New?



- Employers will be creating an enrollment file and contribution file based on RSA file format
  - The RSA will be certifying your files beginning in July 2017
- Employers will upload/submit enrollment files through ESS Portal
  - Enrollment files can be submitted as frequently as daily
- Employers will upload/submit contribution files through ESS Portal
  - Contribution files will be submitted based on payroll frequency
- Employers will also be able to SFTP enrollment and contribution files
- TRS employers will not be required to submit information on these exempt employees:
  - Substitutes (any TRS Retiree working as a substitute must be reported)
  - Employees for which being a student is a requirement

# What's New?



- DPAS will perform business rule validations on files in real-time
  - You will be responsible for correcting the majority of errors
  - Errors related to file formatting, file layout or tier will reject a file upload
  - Business errors/warnings will not reject a file upload, however, you must fix errors or override warnings within the ESS Portal
- Payments will be made online via ESS
  - You must enter your PIN to remit payment or apply invoices
  - Please ensure that you do not have debit block on your account
  - EFT information must be set up prior to submitting initial report in DPAS

# What's New?



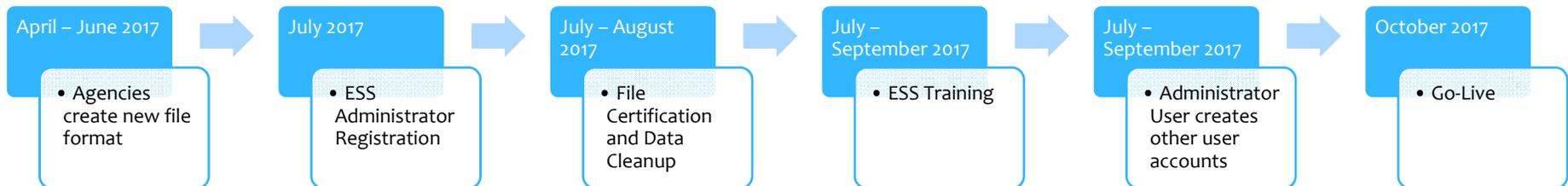
- Employers will be responsible for maintaining contact information, User IDs, passwords, and PINs for your ESS users
  - ESS requires that there is only one administrator per employer; multiple users can be created by the administrator
  - Multiple users can work in the ESS Portal simultaneously
- Employers will be able to certify employee requests through ESS
- Newly enrolled members will receive welcome packet from RSA which includes beneficiary designation

# What's New?



- Employers will be able to:
  - View current and future contribution rates once loaded in ESS
  - View salary and service information for current employees
  - Access certain financial reporting documents for your employer
  - Receive messages from the RSA via ESS Message Center
  - Report an employee as deceased via ESS
  - Look up employee tier in ESS (this functionality is currently available in CRA)
  - Download employee PIDs

# What's Next?



# Administrator User



- ESS Administrator User
  - Only 1 per employer – Each employer will receive an administrator registration form via email in late June 2017
  - This user will create and maintain other users
    - Other ESS users will only be able to access certain ESS functions (File Upload/Entry, Validation, Employee Certifications, etc.) as granted by the Administrator User
  - Upload enrollment and contribution files
  - Maintain employer contact information
  - Enter banking information for EFT payments
  - Verify prior membership
  - View employer reports
  - Receive and send secure messages from RSA

# Administrator User

This DRAFT administrator registration form is for display purposes only.  
Please do not fill out the form from this slide.



Please type or print using black ink and e-mail back to the RSA.

## EMPLOYER SELF-SERVICE PORTAL ADMINISTRATOR REGISTRATION

Retirement Systems of Alabama  
P. O. Box 302150 ♦ Montgomery, Alabama 36130-2150  
(334) 517-7411 or 877.517.0020  
Fax: 334.517.7001 or 877.517.0021  
Web site: [www.rsa-al.gov](http://www.rsa-al.gov)



### Employer Self-Service Portal

The RSA has modernized their Employer Self-Service Portal as part of a new pension administration system. This ESS Portal functions in a myriad of ways to assist Agencies/School Systems by providing web based services. Functionality allows users to create/upload enrollment submissions and contribution reports, access financial statements and update agency information, just to name a few. Each Agency/School System must designate one ESS Administrator who will be responsible for setting up and maintaining their system's users with proper permissions in the ESS Portal. The ESS Administrator (where possible) should not be the same individual who performs payroll and HR duties. Please fill out the form below to register your system's designated ESS Administrator. Once complete, e-mail this form to the RSA at [ESSAdminReg@rsa-al.gov](mailto:ESSAdminReg@rsa-al.gov).

### Registration Information

*This form should be completed by the agency/school system administrator.*

Agency or School System Name: \_\_\_\_\_

Agency or School System Agency Code: \_\_\_\_\_

RSA System:  TRS  ERS  JRF

Name of Authorizing Official: \_\_\_\_\_  
First Middle Last

Title: \_\_\_\_\_

*Please complete the information below for your agency/school system's designated ESS Administrator.  
This employee will be responsible for maintaining your system's ESS Portal with RSA.*

# Enrollment File



- Enrollment File
  - Employers can submit enrollments via online entry and/or certified file upload
    - An enrollment file can be submitted as frequently as daily
    - We anticipate employers with >50 employees will submit via certified file upload
  - Each position held by an employee must have a record in the enrollment file
    - For example, an employee who holds a teacher and bus driver position
  - Multiple teaching positions will be recorded as one enrollment record
    - For example, an employee who teaches math, science, etc.
  - Employers have the ability to upload full active file or changes for each submission
    - First enrollment file in October 2017 must be a full file

# Enrollment File



- Employers role in notifying PEEHIP of new hires/terminations
  - Employers currently notify PEEHIP of new hires/terminations via the PEEHIP Portal. This functionality will cease at ESS go-live.
  - At go-live, PEEHIP will be notified of new hires/terminations via enrollment information entered online or uploaded through the ESS Portal
  - If an employee is eligible for PEEHIP, please provide enrollment information on them ASAP through the ESS Portal. This will allow PEEHIP to enroll/terminate the employee in a timely manner.

# Enrollment File



- There are 4 fields in the Enrollment File which create a unique enrollment record for an employee
  - Employer Code
  - Contribution Group
  - Position Status
  - Enrollment Begin Date
- Should any of these fields change between Enrollment File submissions, a new record should be created for the employee

# Contribution File



- Contribution File
  - Contribution Due Date
    - If pay date is in month “X”, you must upload file and submit a payment by the 10<sup>th</sup> day of month “X + 1”
  - Delinquent payments
    - Delinquent accounts shall accrue interest at the actuarial assumed investment rate beginning 30 days after the original contribution due date (Per TRS Statute 16-25-21)
    - Current investment rate is 7.75%
  - September 2017 payroll file and contributions must be received by TRS no later than October 5<sup>th</sup>

# Contribution File



- Separate contribution records should be submitted in a Contribution File when reporting multiple contribution groups for one employee
  - For example, if an employee is paid in their position as both a Teacher and a Bus Driver on the same Contribution File
    - Teacher who is contributing – Contribution Group of 011CONT
    - Bus Driver who is contributing – Contribution Group of 018CONT

# Contribution File



- Separate contribution records should be submitted in a Contribution File when reporting multiple position statuses for one employee
  - For example, if an employee is paid in their position as a regular and adjunct Teacher on the same Contribution File
    - Regular position status - 01
    - Adjunct position status - 05

# Contribution File



- Separate contribution records should be submitted when reporting multiple payroll frequencies for one employee in the Enrollment File
  - For example, if an employee is paid on a monthly payroll frequency as a Teacher and on a bi-weekly frequency as a Bus Driver
  - The RSA does not expect to receive a contribution on a consistent payroll frequency basis for non-regular employees. The system understands that seasonal, temporary, adjunct and substitute teachers may not be paid during each pay period.

# Enrollment/Contribution File



- Matching Fields
  - The system will be validating that certain fields within the Enrollment and Contribution File match
    - Contribution Group
    - Position Status
    - SSN
    - PID (if provided)
    - Scheduled Type of Units Worked on the Enrollment File needs to match with Type of Units Worked on Contribution File
    - Employer Code on header records



## ESS Functionality – Employer User Login

- Once you are granted access as an ESS User, the RSA will e-mail you a temporary User ID, Password and PIN
- Users will need to login to the ESS Portal with the RSA temporary credentials within 72 hours of receiving this e-mail and update your account with a User ID, Password and PIN of your choosing

The screenshot shows the login interface for the Retirement Systems of Alabama. At the top, there is a dark header with the RSA logo on the left, the text "The Retirement Systems of Alabama" in the center, and a "Log in to your account" link on the right. Below the header is the main content area. On the left, there is a "Log In To Your Account" form with fields for "User ID" and "Password", a "Next" button, and links for "Need to register?", "Forgot User ID or Password?", and "Need a PID? (Request PID Letter)". A note below the form states: "Note: The information contained in this site is available via a secure connection." To the right of the login form, there is a section titled "Use Member Online Services to:" with a bulleted list: "View your account details", "Update your contact information", "Make requests to the RSA", and "Check the status of your requests". Below this list are two buttons: "Employers Log In Here" and "Report a Death". Further right, there is a box for "Online Calculators" with a link for "Public Benefit Estimator". At the bottom of the page, there is a footer with navigation links (Home, Contact Us, Disclaimer, Privacy, Non-Discrimination Notice), a "Solicitation of Personal Information" warning, and contact information for The Retirement Systems of Alabama (P.O. Box 302150, Montgomery, AL 36130-2150). A copyright notice at the very bottom reads: "Copyright © 2012 Retirement System Of Alabama . All rights reserved."



# ESS Functionality – Employer User Login

- Terms and Conditions will be displayed after a successful login
- Please read, understand and agree to the terms and conditions prior to continuing to the ESS Portal

The Retirement Systems of Alabama

Log in to your account

### Terms and Conditions

By using this website, you agree to the following terms.

All information provided on this website and any benefit estimate or other financial calculations are merely estimates and are not binding on the RSA. All calculations produced by this website are subject to final verification by the RSA staff to ensure accuracy. Rights, benefits, and obligations regarding the RSA are governed by Alabama law which are subject to amendment, and should a conflict arise between the information presented by this website and Alabama law, Alabama law shall prevail. The RSA's provision of information on this website is not an admission of liability or waiver of any legal rights, defenses, or arguments.

While the RSA strives to ensure that the information on this website is accurate and reliable, errors by humans or computers may occur. The RSA does not represent that the information on this website, or generated by this website, is accurate, timely, or complete and will not be responsible for any errors, omissions, or results obtained from use of this website.

The RSA is not responsible for any errors, omissions, or problems that occur if access to any part of this website is not available to authorized users when needed.

The information provided on this website is not intended to and should not serve as legal or financial advice. Users who have legal or financial questions are strongly encouraged to consult an appropriate professional.

Users who have questions regarding retirement benefits or obligations are encouraged to consult with the RSA at 334.517.7000, or toll free at 877.517.0020. Users should not rely solely upon the information provided by this website to make any decision regarding retirement or any obligations thereunder.

I have read, understand, and agree to the terms and conditions listed above.

Cancel Continue

Hours of Operation: 8:00am - 5:00pm Central Time  
Phone: 334.517.7000 or Toll Free: 877.517.0020

The Retirement Systems of Alabama

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**Solicitation of Personal Information**  
RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-activate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member\\_services@rsa-al.gov](mailto:member_services@rsa-al.gov) or call 334.517.7000, or 877.517.0020.

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P.O. Box 382109  
Montgomery, AL 36130-2150

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# ESS Functionality – Employer User Login

- After accepting the terms and conditions, you will be taken to our welcome page
- This page provides an overview of the functionality provided by our ESS Portal

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:09 PM [UserGuide](#) [Log Out](#)

Employer Home Report Services Account Admin Logout

Available Forms:  [Open](#)

Welcome to The Retirement Systems of Alabama (RSA) state-of-the-art pension administration system and new employer self service web site. This site provides employers with a number of resources to more efficiently and accurately report employee data to The Retirement Systems of Alabama (RSA). From this site, employers can interact with us in a number of ways, including:

- Reporting wages and contributions
- Processing EFT Payments
- Processing wage adjustments
- Adding/updating employer information
- Reviewing employer reports and invoices
- Downloading and completing employer forms
- Verifying Member IDs and employee contribution rate information

This tool was designed to improve the service The Retirement Systems of Alabama (RSA) provides by offering secure online access to your account information. You now have access to a modern retirement technology system that is a model for the nation.

It is our privilege to provide you this additional level of service.

Dr. David Bronner  
Chief Executive Officer

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**Solicitation of Personal Information**  
RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-estimate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member.services@rsa-al.gov](mailto:member.services@rsa-al.gov) or call 334.517.7000 or 877.517.0020.

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# ESS Functionality – Update Security Questions

- Update your security questions

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:09 PM [User Guide](#)

Employer Home Report Services Account Admin Logout

Available Forms:

## Update Security Questions

To update your Security Questions, select new questions from the drop down list, enter your answers, and click Update.

To exit without making changes, click Cancel.

Note: The questions displayed below are what we currently have on file for you.

**Security Question**

Security Question: \*

Answer: \*

Retype Your Answer: \*

RSA PIN: \*

**Security Question**

Security Question: \*

Answer: \*

Retype Your Answer: \*

RSA PIN: \*



# ESS Functionality – Add Office Location

- Employers will have the ability to add one or multiple office locations
- Location Types:
  - Primary Address
  - Mailing Address
  - Satellite Office
  - Third Party Preparer

The screenshot shows the 'Add Office Location' form in the ESS system. The header includes the Retirement Systems of Alabama logo, the user's name (Lisa Brannen), and the employer (TDLS - Dallas Co Bd Of Ed). The form fields are as follows:

Employer:	DALLAS CO BD OF ED
Effective Date:	<input type="text"/>
Status:	<input type="text"/> Select Status <input type="button" value="v"/>
Location Type:	<input type="text"/> Mailing <input type="button" value="v"/>
Description:	<input type="text"/>
Address Line 1:	<input type="text"/>
Address Line 2 (optional):	<input type="text"/>
City:	<input type="text"/>
State:	<input type="text"/> Select State <input type="button" value="v"/>
Zip Code:	<input type="text"/> - <input type="text"/> (optional)
County:	<input type="text"/> Select County <input type="button" value="v"/>

Buttons:



## ESS Functionality – Manage Office Locations

- Employers will have the ability to manage office locations

The screenshot shows the user interface for 'The Retirement Systems of Alabama'. At the top, there is a navigation bar with the following items: 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. On the right side, a user profile box displays 'Employer Self Service', 'Lisa Brannen', 'TOLS - Dallas Co Bd Of Ed', and 'Last Login: Wed, Jun 07 2017 2:09 PM'. A 'Log Out' button is also present. Below the navigation bar, there is a section titled 'Manage Office Locations' with a sub-header 'Available Forms: [dropdown] [Open]'. The main content area contains a table of office locations and a button to 'Add an Office Location'.

Office Locations	
<b>Primary Location</b> Main Office 429 LAUDERDALE ST SELMA, AL 36701	Effective Date: 6/1/2017 Status: ACTIVE <a href="#">Edit</a>   <a href="#">Delete</a>
<b>Mailing</b> Main Office 429 LAUDERDALE ST SELMA, AL 36701	Effective Date: 6/1/2017 Status: ACTIVE <a href="#">Edit</a>   <a href="#">Delete</a>

[Add an Office Location](#)



# ESS Functionality – Add Contact Person

- Each employer will manage their contact information
- Employers may assign multiple contacts with different contact types
- A contact must be established prior to the Administrator User assigning a User role for that contact

The screenshot shows the 'Add a Contact Person' form within the Retirement Systems of Alabama portal. The header includes the portal logo, navigation tabs (Employer Home, Report, Services, Account, Admin, Logout), and user information (Employer Self Service, Last Logged In, TDLs - Dallas Co Bd Of Ed, Last Login: Wed, Jun 07 2017 2:00 PM, User Guide). A dropdown menu for 'Available Forms' is set to 'Open'.

**Add a Contact Person**

Enter the required details for the new contact person, choose the appropriate contact type(s), and click **Submit**.

**Please Note:** An employee must be set up as a contact person to be assigned an ESS account. To view or maintain ESS accounts, please refer to the Manage Users screen.

**Name**

First Name:   
Middle Name:   
Last Name:   
Suffix:   
Job Title:

**Contact Information**

Office Location:   
E-mail:   
Work Phone:  ext.   
Alternate Phone:  ext.   
Fax:

**Contact Type(s)**

Agency Head  
 DC Contact  
 IT  
 Reporting Official



## ESS Functionality – Add User Roles

- Your employer's Administrator User will assign an ESS user role to contacts at your employer
- Note: you must be entered as a contact for your employer prior to being assigned an ESS user role

The screenshot shows the 'Add User' form within the ESS interface. At the top, the header includes the Retirement Systems of Alabama logo, the text 'The Retirement Systems of Alabama', and a user profile for Lisa Brannen with a 'Log Out' button. A navigation menu contains 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. Below the menu is a dropdown for 'Available Forms' with an 'Open' button. The main form area is titled 'Add User' and contains the following fields and options:

- Choose a contact person, enter a unique User ID, select the appropriate security role(s) and click Submit.**
- Please Note:** Only those employees that have been set up as Contact Persons may be assigned an ESS account.
- New User** section:
  - Contact Person:** A dropdown menu with 'Select Contact Person' selected.
  - User ID:** A text input field.
  - Roles:** A row of checkboxes for 'ESS Administrator', 'ESS Employer Reporting', 'ESS File Validation', 'ESS Staff', 'PEEHIP', and 'RSA-1'. The 'ESS Administrator' checkbox is checked.
  - E-mail:** A text input field.
  - Active:** A checkbox that is checked.
  - Buttons for 'Cancel' and 'Submit' are located at the bottom of the form.



# ESS Functionality – Manage User Roles

- Your employer’s Administrator User will manage other users within your employer

The screenshot shows the 'Manage Users' page in the ESS system. At the top, there is a navigation bar with the Retirement Systems of Alabama logo and the text 'The Retirement Systems of Alabama'. On the right side of the navigation bar, there is a user profile for 'Lisa Brannen' with a 'Log Out' button. Below the navigation bar, there are several menu items: 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A dropdown menu for 'Available Forms' is also visible.

### Manage Users

The Manage Users module allows the employer administrator to manage ESS user accounts. Current accounts are displayed in the Manage Users grid. To edit an existing user account, click on the User ID link. To add new ESS user accounts, click **Add User**.

**Users**

Filter By:  Items Per Page:

User ID	Name	Assigned Roles	Last Login	Active	Account Locked	RSA PIN Locked
<a href="#">TDL\$001</a>	BRANNEN, LISA	ESS Administrator	6/7/2017 2:11:26 PM	Yes		



# ESS Functionality – Payroll Scheduling

- Prior to uploading or manually entering a Contribution File, employers will need to set up payroll schedules within the ESS Portal
- ESS has the ability to accept Contribution Files on 4 different payroll frequencies
  - Monthly, Semi-Monthly, Bi-Weekly and Weekly

The screenshot shows the 'Payroll Schedule' page in the ESS portal. At the top, there is a navigation bar with 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A user profile for Lisa Brannen is visible in the top right corner. The main content area is titled 'Payroll Schedule' and contains a table with the following columns: Calendar Year, Retirement System, Payroll Frequency, Initial Pay Date, Arrears, and Generate. The table lists payroll schedules for the year 2017, specifically for the 'Teacher's Retirement System of Alabama' with a 'Monthly' frequency and an 'Initial Pay Date' of 01/01/2017. The 'Arrears' column is set to 'Current'. The table lists 12 rows of payroll periods, each with a 'Pay Date', 'Pay Period Begin Date', 'Pay Period End Date', and a 'Skip Report' checkbox. The dates range from 12/30/2016 to 12/29/2017. At the bottom of the table, there are dropdown menus for 'Calendar Year', 'Retirement System', 'Payroll Frequency', and 'Initial Pay Date', along with a 'Generate' button.

Calendar Year	Retirement System	Payroll Frequency	Initial Pay Date	Arrears	Generate		
2017	Teacher's Retirement System of Alabama	Monthly	01/01/2017	Current			
				Pay Date	Pay Period Begin Date	Pay Period End Date	Skip Report
				12/30/2016	12/01/2016	12/31/2016	<input type="checkbox"/>
				01/31/2017	01/01/2017	01/31/2017	<input type="checkbox"/>
				02/28/2017	02/01/2017	02/28/2017	<input type="checkbox"/>
				03/31/2017	03/01/2017	03/31/2017	<input type="checkbox"/>
				04/28/2017	04/01/2017	04/30/2017	<input type="checkbox"/>
				05/31/2017	05/01/2017	05/31/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 06/30/2017	06/01/2017	06/30/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 07/31/2017	07/01/2017	07/31/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 08/31/2017	08/01/2017	08/31/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 09/29/2017	09/01/2017	09/30/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 10/31/2017	10/01/2017	10/31/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 11/30/2017	11/01/2017	11/30/2017	<input type="checkbox"/>
				<a href="#">Edit</a> 12/29/2017	12/01/2017	12/31/2017	<input type="checkbox"/>



## ESS Functionality - Enrollment/Contribution Submission

- Enrollment /Contribution File Submission functions are located under the “Report” tab
- The ESS Portal allows agencies to upload a file via certified file upload or by manual online entry

The screenshot displays the ESS Portal interface for The Retirement Systems of Alabama. The top navigation bar includes the RSA logo, the text 'The Retirement Systems of Alabama', and a user profile for Lisa Brannen (TDLS - Dallas Co Bd Of Ed) with a 'Log Out' button. Below the navigation bar, the 'Report' tab is selected, and a 'Submit Report' button is highlighted. The main content area is divided into two columns: 'Enrollments' and 'Contributions'. Each column provides instructions on how to upload files and includes 'Upload File' and 'Enter Online' buttons. A 'View History' button is located at the bottom right of the main content area. The footer contains contact information for The Retirement Systems of Alabama, including a solicitation of personal information notice and the address: P.O. Box 302150, Montgomery, AL 36130-2150. Copyright © 2012 Retirement System Of Alabama. All rights reserved.



## ESS Functionality – Enrollment via File Upload

- When you are ready to upload your Enrollment File, select the “Upload File” button below Enrollments

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:00 PM

Employer Home Report Services Account Admin Logout

Getting Started > Details > Summary > Payments > Results

Available Forms: [Dropdown] Open

### Enrollments

Choose this option to upload **only enrollments** in a file.  
You can upload multiple enrollment files per month as needed to enroll new members or update enrollment information for existing members.

[Upload File](#) [Enter Online](#)

### Contributions

Choose this option to upload **only contributions** in a file.  
Once an enrollment has been created for an employee, you can upload a contribution file to report contribution details. An enrollment must exist before contributions being reported for an employee.

[Upload File](#) [Enter Online](#)

[View History](#)

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Solicitation of Personal Information  
RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-activate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member.services@rsa-al.gov](mailto:member.services@rsa-al.gov) or call 334.517.7000 or 877.517.0020.

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P.O. Box 302150  
Montgomery, AL 36130-2150

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## ESS Functionality - Enrollment via File Upload

- Employers will have the ability to upload an Enrollment File from your network
- Supported file type is “.ENRL”
- Files are limited to 20 MB

The screenshot displays the Employer Self Service interface for The Retirement Systems of Alabama. The user is logged in as Lisa Brannen, TDLS - Dallas Co Bd Of Ed, with a last login on Wed, Jun 07 2017 2:09 PM. The navigation menu includes Employer Home, Report, Services, Account, Admin, and Logout. The current page is titled 'File Upload' and shows a 'Report #' field, a 'Type' dropdown set to 'Enrollments Only', a 'Mode' dropdown set to 'File Upload', and a 'Status' field. Below these fields is a 'File Upload' section with a 'Select File' input field and a 'Browse...' button. A message indicates that the supported file type is '.ENRL' and that files are limited to 20 MB. There is an 'Upload File' button with a document icon. At the bottom of the page, there are links for 'Back', 'Void Report', and 'Submit Details'. The footer contains contact information for The Retirement Systems of Alabama and a solicitation of personal information notice.



## ESS Functionality – Enrollment via Online Entry

- When you are ready to enter records for your Enrollment File, select the “Enter Online” button below Enrollments

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:00 PM

Employer Home Report Services Account Admin Logout

Getting Started > Details > Summary > Payments > Results

Available Forms: [Dropdown] Open

### Enrollments

Choose this option to upload **only enrollments** in a file.  
You can upload multiple enrollment files per month as needed to enroll new members or update enrollment information for existing members.

Upload File Enter Online

### Contributions

Choose this option to upload **only contributions** in a file.  
Once an enrollment has been created for an employee, you can upload a contribution file to report contribution details. An enrollment must exist before contributions being reported for an employee.

Upload File Enter Online

View History

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RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-activate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member.services@rsa-al.gov](mailto:member.services@rsa-al.gov) or call 334.517.7000 or 877.517.0020.

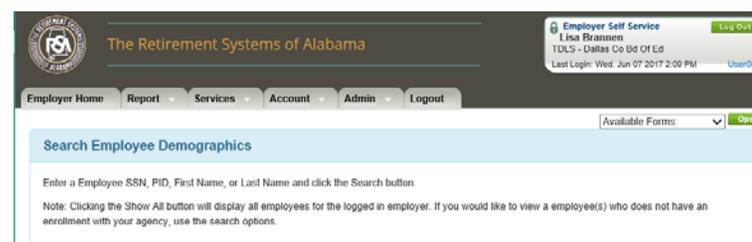
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## ESS Functionality – Enrollment via Online Entry

- Agencies will have the ability to manually enter/change enrollment records through the ESS Portal
- Agencies will also be able to search for an employee to determine if they have participated in RSA prior to employment with your employer



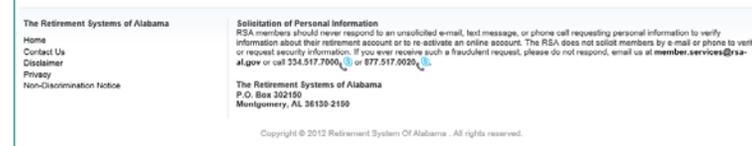
Search Employee

Employee SSN:  PID:

First Name:  Last Name:

Advanced Search

Display Records:





## ESS Functionality – Employee Tier Search

- Agencies currently have the ability to check an employee's Tier status through CRA, this functionality will also be available in the ESS Portal
- This functionality is located under the “Services” tab

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:09 PM [UserGuide](#)

Employer Home Report Ser **Services** min Logout

Available Forms:  [Open](#)

### Employee Information

Enter Employee Information

Enter the employee's information that you wish to work with and then click on the Search button.

Search By:

PID	SSN	Employee Name	Date of Birth	Address
11569042	XXX-XX-0031	MARTHA WASHINGTON	07/04/1985	201 SOUTH UNION ST, MONTGOMERY, AL-36120

View Account History  
Employee Name : MARTHA WASHINGTON Employee SSN : XXX-XX-0031 PID : 11569042 Date Of Birth : 07/04/1985

### Account Information

Retirement System :	Teacher's Retirement System of Alabama
Tier/Group :	Tier 2
Most Recent Contribution Group :	Contributing Teacher
Most Recent Employer :	DALLAS CO BD OF ED
Membership Status :	Active
Earliest Entry Date :	06/01/2017
Begin Date :	06/01/2017
End Date :	PRESENT
Date of Last Contribution :	

[Eligibility Questions?](#)

Account History: No contribution history for this employer found for this account. If the member has never worked for the logged in employer, the member details will not display.



## ESS Functionality – Enrollment via Online Entry

- If previous information is available on the employee you are searching, additional demographic data will display on the next screen
- If you select to add a new employee, you will need to fill out this additional demographic data

A screenshot of the 'Add Employee Demographics' form in the ESS system. The form is titled 'Add Employee Demographics' and includes sections for 'Demographics Validation Errors', 'Employee Information', 'Personal Information', and 'Address Information'. The 'Employee Information' section contains fields for SSN (001010031), Date of Birth (11/19/80), and a checkbox for 'Foreign National with no SSN'. The 'Personal Information' section includes fields for First Name, Middle Name, Last Name, Suffix, and Gender. The 'Address Information' section includes fields for Address Line 1, Address Line 2, City, State, Zip Code, and Address Effective Date. A 'Back' button is located at the bottom left, and a 'Save Changes' button is at the bottom right.



## ESS Functionality – Enrollment via Online Entry

- You will receive a success notification after saving valid changes for an employee

A screenshot of the 'Add Employee Demographics' form in the ESS system. The form is titled 'Add Employee Demographics' and includes a success notification: 'New Employee Record Created successfully.' The form is divided into several sections: 'Demographics Validation Errors' (which is empty), 'Employee Information' (with fields for SSN: 001010031, Date of Birth: 7/4/1985, and a 'Verify SSN and State of Birth' button), 'Personal Information' (with fields for First Name: Martha, Middle Name: J, Last Name: Washington, Gender: Female, and a 'Select Suffix' dropdown), and 'Address Information' (with fields for Address Line 1: 201 South Union St, State: Alabama, Address Line 2, City: Montgomery, Zip Code: 36125, and Address Effective Date: 6/7/2017). At the bottom, there is a 'Save Changes' button and a 'Go to Enrollments' button.



## ESS Functionality – Enrollment via Online Entry

- After entering demographic data on an employee, you will need to add enrollment data
- Click the “Add New Enrollment” button to view the next screen

The screenshot shows the 'Add/Edit Enrollments' page in the ESS. The header includes the Retirement Systems of Alabama logo, the title 'The Retirement Systems of Alabama', and user information for Lisa Brannen (TDLs - Dallas Co Bd Of Ed) with a 'Log Out' button. A navigation bar contains 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A dropdown menu for 'Available Forms' is set to 'Open'. The main content area is titled 'Add/Edit Enrollments' and contains several sections:

- Personal Information:** A form with fields for First Name (MARTHA), Middle Name (J), Last Name (WASHINGTON), Suffix, SSN (XXX-XX-0031), PID (11569042), and Tier/Group.
- Employee Details:** A table with columns: Contribution Group, Employer, Position Status, LOA Status, LOA Status Effective Date, Enrollment Begin Date, Enrollment End Date, Enrollment End Reason, and Action. Below the table, it states 'No records to display.'
- LOA Status History:** A section with a table that also states 'No records to display.'
- Enrollment Work Units History:** A section with a table that also states 'No records to display.'

At the bottom of the page, there are two buttons: a blue 'Back' button and a blue 'Add New Employee' button with a plus icon.



## ESS Functionality – Enrollment via Online Entry

- On this screen, you will enter the remaining enrollment data for your employee
- After saving this information by selecting the “save changes” button, you will be taken to the enrollment record for this employee

**New Enrollment**

Enrollment Validation Errors

**Enrollment Information**

Retirement Plan: TRS T2 Regular

Contribution Group: Contributing Teacher

Position Status: Regular

Job Position: TEACHER

Scheduled Units Effective Date: 6/1/2017

Scheduled Type of Units Worked: Days

Scheduled Full Time Units per week: 5

Scheduled Units to Work per week: 5

Payroll Frequency: Monthly

Days Annually Contracted to Work: 250

Number of Months Paid: 12

Enrollment Begin Date: 6/1/2017

Enrollment End Date: [Calendar: June 2017]

Enrollment End Reason: [Dropdown]

LOA Status: [Dropdown]

LOA Status Effective Date: [Dropdown]

Today: June 7, 2017

Cancel Save Changes



## ESS Functionality – Enrollment via Online Entry

- Once you submit new information or changes for an employee, their enrollment record will be visible under Employee Details grid
- From this screen, you will also be able to add an additional enrollment for this member

The screenshot shows the 'Add/Edit Enrollments' page in the ESS system. The header includes the Retirement Systems of Alabama logo, the user's name (Lisa Brannen), and their role (TOLS - Dallas Co Bd Of Ed). The main content area is titled 'Add/Edit Enrollments' and contains a 'Personal Information' section with fields for First Name (MARTHA), Middle Name (J), Last Name (WASHINGTON), SSN (XXX-XX-0031), and Tier/Group (11569042). Below this is the 'Employee Details' section, which is highlighted with a red border. It contains a table with columns for Contribution Group, Employer, Position Status, LOA Status, LOA Status Effective Date, Enrollment Begin Date, Enrollment End Date, Enrollment End Reason, and Action. The table shows one enrollment record for a Contributing Teacher at DALLAS CO BD OF ED, with a position status of Regular and a LOA status of Not on Unpaid Leave. Below the table are two history sections: 'LOA Status History' and 'Enrollment Work Units History'. The 'LOA Status History' table shows a record for Not on Unpaid Leave starting on 06/01/2017. The 'Enrollment Work Units History' table shows a record for 5.00 Scheduled Units to Work per week, 5.00 Scheduled Full Time Units per week, and a Scheduled Type of Days, effective from 06/01/2017. At the bottom of the page, there are 'Back' and 'Add New Enrollment' buttons.

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Employer Home Report Services Account Admin Logout

Available Forms: Open

### Add/Edit Enrollments

Personal Information

First Name: MARTHA  
Middle Name: J  
Last Name: WASHINGTON  
Suffix:  
SSN: XXX-XX-0031  
PID: 11569042  
Tier/Group:

### Employee Details

Contribution Group	Employer	Position Status	LOA Status	LOA Status Effective Date	Enrollment Begin Date	Enrollment End Date	Enrollment End Reason	Action
Contributing Teacher	DALLAS CO BD OF ED	Regular	Not on Unpaid Leave	06/01/2017	06/01/2017			Edit

LOA Status History

LOA Status	LOA Status Effective Date
Not on Unpaid Leave	06/01/2017

Enrollment Work Units History

Scheduled Units to Work per week	Scheduled Full Time Units per week	Scheduled Type of Units Worked	Scheduled Units Effective Date
5.00	5.00	Days	06/01/2017

Back Add New Enrollment



## ESS Functionality – Contribution via File Upload

- When you are ready to upload your Contribution File, select the “Upload File” button below Contributions

The Retirement Systems of Alabama

Employer Self Service  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:00 PM

Employer Home Report Services Account Admin Logout

Getting Started > Details > Summary > Payments > Results

Enrollments

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Upload File Enter Online

Contributions

Choose this option to upload **only contributions** in a file.  
Once an enrollment has been created for an employee, you can upload a contribution file to report contribution details. An enrollment must exist before contributions being reported for an employee.

Upload File Enter Online

View History

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RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-activate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member.services@rsa-al.gov](mailto:member.services@rsa-al.gov) or call 334.517.7000 or 877.517.0020.

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## ESS Functionality – Contribution via File Upload

- Employers will have the ability to upload a Contribution File from your network
- Supported file type is “.CONT”
- Files are limited to 20 MB

A screenshot of the Employer Self Service (ESS) interface for The Retirement Systems of Alabama. The page title is "The Retirement Systems of Alabama". The user is logged in as Lisa Brannen, TDLS - Dallas Co Bd Of Ed, with a last login of Wednesday, June 07, 2017 at 2:09 PM. The navigation menu includes Employer Home, Report, Services, Account, Admin, and Logout. The main content area shows a breadcrumb trail: Getting Started > Details > Summary > Payments > Results. Below this, there are fields for Report #, Submission Date (06/07/2017), Type (Contributions Only), Mode (File Upload), and Status. The "File Upload" section contains a "Select File:" label, a file selection input field with a "Browse..." button, and a note: "Supported file type is '.CONT'. Files are limited to 20 MB." There is an "Upload File" button with a paper plane icon. A "Back" button is located at the bottom left of the form area.



## ESS Functionality – Contribution via Online Entry

- When you are ready to enter records in your Contribution File, select the “Enter Online” button below Contributions

The Retirement Systems of Alabama

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TDLS - Dallas Co Bd Of Ed  
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Getting Started > Details > Summary > Payments > Results

Enrollments

Choose this option to upload **only enrollments** in a file.  
You can upload multiple enrollment files per month as needed to enroll new members or update enrollment information for existing members.

Upload File Enter Online

Contributions

Choose this option to upload **only contributions** in a file.  
Once an enrollment has been created for an employee, you can upload a contribution file to report contribution details. An enrollment must exist before contributions being reported for an employee.

Upload File Enter Online

View History

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Solicitation of Personal Information  
RSA members should never respond to an unsolicited e-mail, text message, or phone call requesting personal information to verify information about their retirement account or to re-activate an online account. The RSA does not solicit members by e-mail or phone to verify or request security information. If you ever receive such a fraudulent request, please do not respond, email us at [member.services@rsa-al.gov](mailto:member.services@rsa-al.gov) or call 334.517.7000 or 877.517.0020.

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## ESS Functionality – Contribution via Online Entry

- After selecting the “Enter Online” button, you will be taken to this screen
- Certain information will be prepopulated based on payroll frequencies you have set up
- You must set up payroll schedules as seen earlier in this presentation prior to submitting a Contribution File

Getting Started > Details > Summary > Payments > Results

Employer Selection

Please select from the following:

Select the Employer:\* ECOA-City Of Athens

Select Reporting Frequency:\* Biweekly

Pay Period:\* 2/15/2016 - 2/29/2016

Report Date:\* 3/2/2016

Continue >



## ESS Functionality – File Validations

- Our system will run immediate validations against your file submission
- Any errors in your file will be itemized on another screen

Getting Started > Details > Summary > Payments > Results

Report #: 7123      Submission Date: 03/31/2016      Type: Contributions      Mode: File Upload      Status: In Process

Note! The page is set to auto-refresh every 5 seconds and provide progress. You may manually refresh the page at any time (may take a few seconds for the correct status be displayed).  
On successful completion of file and business validations, you will be redirected to the details page. In case of failures, you will be redirected to the file upload page.

Contributions

Contribution layout validations 100%

Lines: Total (7) | Processed (6) | Errors (1)  
Note: The total record count includes the Header and Footer rows also.

Contribution business validations 100%

Records: Total (4) | Passed (3) | Errored (1) | Pending (0)

< Back      C Void Report



## ESS Functionality – File Errors

- Any errors will be highlighted within the record in which they occurred

Report #: 7123    Submission Date: 03/31/2016    Type: Contributions    Mode: File Upload    Status: Processed

Error Report

Show errors with severity:  Error     Warning     Information    Show errors from:  File Errors     Contribution Errors     Enrollment Errors    Refresh

Error Code	Severity	Message	Line #	Col # From	Col # To
Employer: 0089560 - DOUGLAS CHEROKEE ECONOMIC AUTHORITY					
ER0029	Error	SSN Required or Is Not valid.	6	11	19

Record Text

D000051CONT 11641522000000002016020120160229000200100000010000+00100000+000055.00+00000000+000123.20201202030000912120019580203MBILL CRYSTAL 2

Page Number 1 of 1



# ESS Functionality – Manage Payment Accounts

- Employers will have the ability to manage payment accounts

The screenshot shows the 'Manage Payment Accounts' page in the Employer Self Service (ESS) system. The page header includes the logo for 'The Retirement Systems of Alabama' and the user's name, Lisa Brannen, with a 'Log Out' button. A navigation menu contains 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A dropdown menu for 'Available Forms' is set to 'Open'. The main content area is titled 'Manage Payment Accounts' and contains a paragraph explaining the module's purpose. Below this is a table of existing payment accounts.

**Manage Payment Accounts**

The Payment Accounts module allows employers to manage various methods for payment. Accounts entered through this module will be available for use on the Submit Monthly Summary and Invoices screens of Employer Self Service. Users will click the Nickname of the account to update entered account information. New account information can be entered using the Add a Payment Account button.

Existing Payment Accounts			
Nickname	Bank Name	Bank Account Number	Receipt Type
<a href="#">PAYROLL</a>	WELLS FARGO BANK	...3456	EFT <a href="#">Delete</a>

[Add a Payment Account](#)



## ESS Functionality – Edit Payment Accounts

- Employers will have the ability to add payment accounts

The Retirement Systems of Alabama

Employer Self Service [Log Out](#)  
Lisa Brannen  
TDLS - Dallas Co Bd Of Ed  
Last Login: Wed, Jun 07 2017 2:09 PM [UserGuide](#)

[Employer Home](#) [Report](#) [Services](#) [Account](#) [Admin](#) [Logout](#)

Available Forms: [Open](#)

### Edit a Payment Account

Provide a nickname for the account below.  
When you have finished, click **Update**  
To cancel without saving, click **Cancel**.

Nickname:  (e.g. My Checking Account)  
Bank Name: WELLS FARGO BANK  
ABA Routing Number: 061000227  
Bank Account number: ...3456  
Receipt Type: EFT  
RSA PIN: \*

[Cancel](#) [Update](#)



# ESS Functionality – Death Notice

- Agencies will be able to submit death information to the RSA via the ESS Portal

The screenshot displays the user interface of the Retirement Systems of Alabama ESS portal. At the top, the RSA logo is on the left, and the text 'The Retirement Systems of Alabama' is in the center. On the right, a user profile box shows 'Employer Self Service', 'Lisa Brannen', 'TDLs - Dallas Co Bd Of Ed', and 'Last Login: Wed, Jun 07 2017 2:09 PM'. Below this is a navigation bar with buttons for 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A dropdown menu for 'Available Forms:' is set to 'Open'. The main content area is titled 'Death Notice' and contains a paragraph explaining that the module allows users to submit death information electronically, provided the employee has worked for the logged-in employer. It instructs users to enter a valid SSN to retrieve employee information, complete the death notice, and click 'Submit'. Below the text is a 'Death Notification' form with a 'Search By:' dropdown menu currently set to 'SSN', a red asterisk, an empty text input field, and a green 'Search' button.



## ESS Functionality – Employer Certification

- Agencies will be able to certify employee requests via the ESS Portal
- The RSA is currently reviewing the process by which employers will certify employee requests via the ESS Portal. Once the process is finalized, the RSA will notify Agencies.

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Employer Home Report Services Account Admin Logout

### Employer Certification

Employee Retirement Request	Show All: <input type="checkbox"/>
Employee Service Purchase Requests	Show All: <input type="checkbox"/>
Employee Refund Requests	Show All: <input type="checkbox"/>

# Training Strategy



- Training Sessions in late summer 2017
  - Training will be provided at various locations around the state in August and September
  - WebEx presentations will be conducted and placed on RSA's website for your viewing convenience
- Online training videos
  - Videos will be available on RSA's website to walk you through multiple functions of ESS prior to go-live and afterwards
- Dedicated staff to help navigate you through ESS
- Dedicated email to address questions
  - [DPAS\\_4C@rsa-al.gov](mailto:DPAS_4C@rsa-al.gov)



# Training Strategy



- Provide Resources Prior to Go-Live in October 2017:
  - ESS Training Website
    - <http://www.rsa-al.gov/index.php/employers/ess-portal/ess-training/>
  - ESS User Guides
  - FAQ's – The first FAQ was uploaded to our training website on June 1, 2017.
  - Quick Reference Guides
    - Error messages and corrections
    - New fields required in Contribution File