RSA – Employer Self-Service Portal

Contribution File – Key Fields

June 23, 2017

Objectives

◆ Review key fields within the Contribution File

◆ Provide examples of acceptable values for key fields

◆ Prepare you for File Certification and data cleanup

Enrollment Record

- There are 4 fields in the Enrollment File Detail which create a unique enrollment record for an employee:
  - Employer Code
  - Contribution Group
  - Position Status
  - Enrollment Begin Date

- Every Contribution Record must correspond to an Enrollment Record within the Enrollment File. The RSA System expects certain fields to match between each file, these are listed on the next slide.

Enrollment/Contribution File

- Matching Fields:
  - The RSA 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

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Header Record – Record Type

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Record Type	Required	1	1	1	Designates this as a header, detail, or footer record	Alphanumeric H = Header

- The Record Type field designates if the fields below are Header, Detail or Footer records.

- For the Record Type field of your Header records, only use a value of H.

Header Record – Format Version

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Format Version	Required	2	4	3	Indicates which file layout format the employer is using (i.e., Enrollment-only, Contributions-only)	Alphanumeric C01

- For the Format Version field within your Enrollment File Header record, only use a value of C01.

Header Record – Employer Code

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Employer Code	Required	5	8	4	A unique system code that identifies the employer	Alphanumeric, left justified

- For the Employer Code field, ensure your RSA plan identifier is the first value; the remaining 3 values will be your agencies Unit Code.

- ERS Example – EXYZ
- TRS Example – TXYZ
- JRF Example – JXYZ

- The Employer Code value reported in this field of the Header Record must correspond to the Employer Code value reported in the Footer Record.

Header Record – Pay Date

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Pay Date	Required	9	16	8	Indicates the pay date for which the current employer is submitting the report	Numeric, MMDDYYYY

- This is the pay date which applies to all detail records within this particular <u>batch</u> of the Contribution File.
  - Batch is a combination of header, detail and footer records.

- Note: Agencies must set up payroll frequency schedules within the ESS Portal prior to submitting a Contribution File. The pay date which is set up for a specific payroll period in the ESS Portal must match the Pay Date in this field when reporting contributions for that specific payroll period.

- Multiple pay dates can be reported in the same Contribution File, however they must be in separate batches.

- Multiple pay periods can be reported in the same batch for the same pay date.

Header Record – Payroll Frequency

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Payroll Frequency	Required	17	18	2	Identifies the frequency by which an employee receives compensation for wages earned	Alphanumeric 00 = Monthly 01 = Semi-Monthly 02 = Bi-Weekly 03 = Weekly

- The Payroll Frequency value reported in this field notifies the RSA system of the frequency on which wages and contributions were paid in the detail records.

- Please ensure the Payroll Frequency you are reporting in this value is consistent with the Payroll Frequency you reported in the Enrollment File for those records in the detail below.

  - For example, if this Payroll Frequency value in the header record has notified the RSA System of a Monthly Payroll Frequency (=00), the RSA System expects all records in the detail of this file to have been set up with a Monthly Payroll Frequency in the corresponding enrollment record in the Enrollment File. An error will occur if there are any inconsistencies.

Header Record – Payroll Frequency cont.

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Payroll Frequency	Required	17	18	2	Identifies the frequency by which an employee receives compensation for wages earned	Alphanumeric 00 = Monthly 01 = Semi-Monthly 02 = Bi-Weekly 03 = Weekly

- Note: Agencies must set up payroll frequency schedules within the ESS Portal prior to submitting a Contribution File. The payroll frequency which is set up for a specific payroll period in the ESS Portal must match the Payroll Frequency in this field when reporting contributions for that specific payroll period.

Header Record – Submission Context Type

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Submission Context Type	Required	19	22	4	Identifies whether the file is a production file or a test file	Alphanumeric, left justified PROD = Production Ready TEST = Test File

- The RSA system allows agencies to upload a Contribution File as either a Production submission or Test submission.

- A test submission will allow you to check for format, layout and/or business rule errors prior to submitting a production ready file.

Detail Record – Record Type

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Record Type	Required	1	1	1	Designates this as a header, detail, or footer record	Alphanumeric D = Detail

- The Record Type field designates if the fields below are Header, Detail or Footer records.

- For the Record Type field of your Detail records, only use a value of D.

Detail Record – Contribution Group

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Contribution Group	Required	2	8	7	Represents the Contribution Group of the Employee	Alphanumeric, left justified, right filled with spaces

- Please refer to the Contribution Group appendices tables within the Process Enrollment/Contribution File formats for acceptable values. This document is available on our ESS Training website.

- A mapping from the current CRA Member Classification Codes to the New ESS Contribution Groups is available on our ESS Training website, titled Appendix I – Position Mapping.

- Link to ESS Training Website: http://www.rsa-al.gov/index.php/employers/ess-portal/ess-training/

- Every employee in your Enrollment File must have a Contribution Group, whether in a contributing or non-participating group.

Detail Record – Contribution Group cont.

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Contribution Group	Required	2	8	7	Represents the Contribution Group of the Employee	Alphanumeric, left justified, right filled with spaces

- Please review CRA File Fields 5-6 (Member Classification Codes) within your agency's data to ensure no incorrect or null values are currently being reported. Any incorrect values must be corrected within your system prior to the first Enrollment File upload; this will greatly reduce any errors you will need to fix related to this field in your first Enrollment File upload.

- It is of the utmost importance that you begin to fix these incorrect or null values now.

Detail Record – Contribution Group cont.

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Contribution Group	Required	2	8	7	Represents the Contribution Group of the Employee	Alphanumeric, left justified, right filled with spaces

- For a record reported in the Contribution File, the Contribution Group value in this field of the Enrollment File must agree with the Contribution Group value of the Contribution File for an employee with the same Position Status.

- Please refer to the Contribution Group appendices tables within the Process Enrollment/Contribution File Formats for acceptable values.

- Example: TRS/ERS contributing employee - Firefighter
    - Enrollment File Record – Contribution Group = 021CONT
    - Enrollment File Record – Position Status = 01
  - When a contribution is reported for this employee in the Contribution File :
    - Contribution File Record – Contribution Group = 021CONT
    - Contribution File Record – Position Status = 01

Detail Record – Position Status

| Field Name | Optional/ Conditional/ Required | Columns | | | Description | Format/Available Values |
		From	To	Length		
Position Status	Required	9	10	2	Lists the employee's position status	Alphanumeric 01 = Regular 03 = Seasonal 04 = Temporary 05 = Adjunct 06 = Substitute Teacher

- The Position Status field notifies the RSA system on what frequency basis the employee is expected to work.

- The RSA system expects to receive a contribution on a consistent payroll frequency basis for employees coded as a position status of Regular (01).

- The RSA does not expect to receive a contribution on a consistent payroll frequency basis for non-regular employees. The RSA system understands that seasonal (03), temporary (04), adjunct (05) and substitute teachers (06) may not be paid during each pay period.

Detail Record – SSN

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
SSN	Conditional	11	19	9	Refers to the SSN of the employee being reported	Numeric, right justified, left filled with zeros

- Agencies must report a valid SSN for all employees, as shown on the employee's Social Security Card.

- If an employee does not have a valid SSN, do not report an invalid SSN. This may result in contributions posting to the wrong employee's account or an invalid employee record being created.

- If an employee does not have a valid SSN, agencies have the ability to enroll them via RSA's PID. Agencies can download member RSA PIDs via functionality within the ESS Portal.
    - RSA PID = Personal Identification Number

Detail Record – PID

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
PID	Conditional	20	27	8	PID refers to the unique identifier of the employee	Numeric, right justified, left filled with zeros

- In the event you do not have a valid SSN available for an employee, an RSA PID may be reported as an alternative.

- The ESS Portal will have a download RSA PID functionality which allows employers to determine an employee's RSA PID.

- RSA PID = Personal Identification Number

Detail Record – Pay Period Begin Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Pay Period Begin Date	Required	28	35	8	Indicates the pay period begin date for which the employee is being reported	Numeric, MMDDYYYY

- The value reported for Pay Period Begin Date will determine the begin date to which records in this detail will be posted.

- Please ensure the value reported for Pay Period Begin Date corresponds to a Payroll Frequency Pay Period Begin Date which are established within the ESS Portal.

- Please ensure the values of Pay Period Begin Date and Pay Period End Date correspond to the Payroll Frequency you have reported in the Header Record.

Detail Record – Pay Period End Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Pay Period End Date	Required	36	43	8	Indicates the pay period end date for which the employee is being reported	Numeric, MMDDYYYY

- The value reported for Pay Period End Date will determine the end date to which records in this detail will be posted.

- Please ensure the value reported for Pay Period End Date corresponds to a Payroll Frequency Pay Period End Date which are established within the ESS Portal.

- Please ensure the values of Pay Period Begin Date and Pay Period End Date correspond to the Payroll Frequency you have reported in the Header Record.

Detail Record – Summer Position

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Summer Position	Required	44	44	1	Indicates whether the Wages reported is attributable to summer employment.	Alphanumeric 0 = No 1 = Yes

- Applies to TRS only. Wages being reported for an employee employed in a summer school position must be accompanied by a Summer Position value = 1 (Yes).

- ERS or JRF employers should report all employees as 0 (No).

Detail Record – Payment Reason

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Payment Reason	Required	45	46	2	Explains the type of reported pensionable or non-pensionable compensation	Alphanumeric See Process Enrollment/ Contribution File Formats for Acceptable Values

- The value reported in this field will enable the RSA system to validate appropriate employee and employer contributions, if applicable, for the pay period.

- If an employee has been paid wages during this pay period for more than one Payment Reason, a separate detail record must be reported for each pay reason.

- Example provided on next slide.

Detail Record – Payment Reason cont.

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Payment Reason	Required	45	46	2	Explains the type of reported pensionable or non-pensionable compensation	Alphanumeric See Process Enrollment/ Contribution File Formats for Acceptable Values

- Example: A ERS contributing Law Enforcement Officer who was paid regular wages of $2,000 and overtime wages of $200 this pay period.
- Payment Reason of Regular Pay (01) creates one detail record including:
  - Payment Reason = 01
  - Wages = 002000.00
- Payment Reason of Overtime (02) creates a second detail record including:
  - Payment Reason = 02
  - Wages = 000200.00

Detail Record – Type of Rate of Pay

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Type of Rate of Pay	Required	57	58	2	Identifies the employee's Rate of Pay	Numeric

- This field is used to indicate the Type of Rate of Pay for an employee. This field should not be confused with the Payroll Frequency field.

- If the Scheduled Type of Units Worked on the Enrollment Record is Shift, the Type of Rate of Pay must be Shift in the corresponding Contribution File record.

- Examples of this field, which works in conjunction with Rate of Pay, are given on the next slide.

Detail Record – Rate of Pay

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Rate of Pay	Required	47	56	10	Represents the employee's rate of pay	Numeric, zero filled, right justified, two decimal positions, include decimal point

- Report only an employee's base rate of pay. Do Not accumulate any additional pay such as overtime in this field.

- Example: A lunchroom worker earns $15.00 per hour.
    - Rate of Pay = 0000015.00
    - Type of Rate of Pay = 00 (Hourly)

- Example: A mechanic is salaried and earns $30,000 per year.
    - Rate of Pay = 0030000.00
    - Type of Rate of Pay = 02 (Yearly)

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Detail Record – Wages

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Wages	Required	60	68	9	Represents employee's wages attributable to the selected Payment Reason	Numeric, zero filled, right justified, two decimal positions, include decimal point

- Employee contribution amounts will be verified against the wage using the applicable contribution rate as determined by the contribution group.

- You must still report wages for non-participating contribution groups.

- Once an employee's pensionable wages (for the plan year) exceed the 401(a)(17) IRS annual compensation limit, all subsequent wages must be reported in Wages that Exceed IRS Limit field.

Detail Record – Employee Contribution

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Employee Contribution	Required	70	78	9	Represents portion of the employee contribution based on the employee's Wages for the pay period	Numeric, zero filled, right justified, two decimal positions, include decimal point

- Only report <u>employee</u> contributions in this field. Report zero in this field if the employee does not have any employee contributions.

- Contributions must equal the Wages times the applicable contribution rate based on the Contribution Group reported.

- Contributions should not be deducted if the employee is in a non-participating group, and this field should be reported as 0 for such an employee.

Detail Record – Type of Units Worked

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Type of Units Worked	Required	89	90	2	Represents the type of units worked for the employee	00 = Days 01 = Shifts 02 = Hours

- This value indicates if the units worked by the employee are in days, shifts or hours.

- This value must match Scheduled Type of Units worked from this employee's corresponding enrollment record in the Enrollment File.

- PEEHIP participating employers must report TRS positions labeled as Support Workers in Hours.

- Bus Drivers should be reported in Shifts.

Detail Record – Actual Units Worked

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Actual Units Worked	Required	91	96	6	Represents the actual number of units worked by employee in this reporting period	Numeric, zero filled, right justified, two decimal positions, include decimal point

- The value in this field indicates the actual units worked by the employee based on the Type of Units Worked during the pay period.

- Example: A ERS contributing Local Employee worked 20 hours in the pay period
  - Type of Units Worked = 02 (Hours)
  - Actual Units Worked = 020.00

- This field will assist the RSA system in calculating retirement credit for the reporting period.

Detail Record – Full Time Units

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Full Time Units	Required	97	102	6	Represents the number of units an employee would have worked to have been considered a Full-Time Employee in this reporting period	Numeric, zero filled, right justified, two decimal positions, include decimal point

- The value in this field indicates the units required to be worked in this pay period to be considered full time in this position.

- Example: A TRS contributing Teacher is reported on a monthly payroll frequency as working 35 hours. The Full-Time Units required to be a FTE during this monthly reporting period is 35 hours.

  - Type of Units Worked = 02 (Hours)
  - Actual Units Worked = 035.00
  - Full Time Units = 035.00

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Detail Record – RSA-1 Contribution

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
RSA-1 Contribution	Optional	103	111	9	Represents the employee's	Numeric, right justified, left filled with zeros

- If the employee has elected to participate in the optional RSA-1 plan, the amount deducted from their wages during this pay period should be reported in this field.

- Only positive numbers can be reported in this field.

Footer Record – Record Type

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Record Type	Required	1	1	1	Designates this as a header, detail, or footer record	Alphanumeric H = Header

- The Record Type field designates if the fields below are Header, Detail or Footer records.

- For the Record Type field of your Footer records, only use a value of F.

Footer Record – Employer Code

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Employer Code	Required	2	5	4	A unique system code that identifies the employer	Alphanumeric, left justified

- For the Employer Code field, ensure your RSA plan identifier is the first value; the remaining 3 values will be your agencies Unit Code.

- ERS Example – EXYZ
- TRS Example – TXYZ
- JRF Example – JXYZ

- The Employer Code value reported in this field of the Footer Record <u>must</u> correspond to the Employer Code value reported in the Header Record.

Footer Record – Payroll Frequency

Field Name	Optional/Conditional/Required	Columns			Description	Format/Available Values
		From	To	Length		
Payroll Frequency	Required	6	7	2	Identifies the frequency by which an employee receives compensation for earned wages	Alphanumeric 00 = Monthly 01 = Semi-Monthly 02 = Bi-Weekly 03 = Weekly

- Please ensure the value reported in the Payroll Frequency of the Footer Record matches the value reported in the Header Record