

RSA – Employer Self-Service Portal



Enrollment File – Key Fields

June 23, 2017



Objectives



- ◆ Review key fields within the Enrollment 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
- Should any of these fields change between Enrollment File submissions, a new record should be created for the employee.

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



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 E01

- For the Format Version field within your Enrollment File Header record, only use a value of E01.



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.



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 – Enrollment Begin Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Enrollment Begin Date	Required	28	35	8	Represents the employee's start date associated with this specific employer for a specific contribution group and position status	Numeric, MMDDYYYY

- Your initial Enrollment File should report an Enrollment Begin Date as the first hire date for the employee's applicable classification code within your system.
- During the File Certification process in July and August, RSA will work with agencies to correct any inconsistencies between your system's data and the RSA system's data.



Detail Record – Enrollment End Reason

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Enrollment End Reason	Conditional	44	45	2	Represents reason employee terminated enrollment or changed Contribution Group or Position Status	Alphanumeric Available Values are presented in the Process Enrollment/Contribution File Formats document

- Enrollment End Reason (along with Enrollment End Date) must be reported when an employee’s enrollment record is ended due to change in Contribution Group, Position Status, retirement, termination, death or transfer.



Detail Record – Enrollment End Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Enrollment End Date	Conditional	36	43	8	Represents date the employee terminated employment or the enrollment ends due to a change in contribution group or position status	Numeric, MMDDYYYY

- An Enrollment End Date must be reported along with an Enrollment End Reason.
- Enrollment End Dates pertaining to retirements or death should reflect the last date of paid employment.



Detail Record – LOA Status

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
LOA Status	Required	54	55	2	Represents the status of an employee's unpaid leave of absence.	Available Values are presented in the Process Enrollment/Contribution File Formats document

- For employees who are not on unpaid leave, LOA Status = 00 (Not on Unpaid Leave).
- This LOA Status is required to be updated whenever an employees goes on, or returns from, an approved unpaid leave.
- If the LOA Status Effective Date is changed within an Enrollment File record, the RSA system expects a change to the LOA Status as well.
- Use the most appropriate LOA Status available if your system does not hold specific leave of absence reasons.



Detail Record – LOA Status Effective Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
LOA Status Effective Date	Required	46	53	8	Represents the effective date of the employee's approved unpaid leave of absence	Numeric, MMDDYYYY

- Your initial Enrollment File should report a LOA Status Effective Date for the most recent LOA Status change unless currently on unpaid LOA.
- If an employee has never been on unpaid leave for a specific classification code, the LOA Status Date for the corresponding enrollment record should equal their Enrollment Begin Date.
- If the LOA Status field is changed in an Enrollment File record, the RSA system expects an update to the LOA Status Effective Date to reflect the date of this change.

Detail Records – Scheduled Units



- The next four fields are related to the units an employee is expected to work.
 - Scheduled Units Effective Date
 - Scheduled Type of Units Worked
 - Scheduled Units to Work per week
 - Scheduled Full Time Units per week
- These four fields combine to allow the RSA system to understand the employee's expected work schedule and administer retirement service credit, if applicable.

Detail Records – Scheduled Units



- These four fields are also very important for PEEHIP participating employers.
 - Fields are used to determine the PEEHIP per member per month cost to PEEHIP participating employers employer contribution.
 - Fields are used to determine eligibility for PEEHIP eligible members.
 - See the Employer Contributions page of the PEEHIP member handbook for coverage qualifications. Link: <http://www.rsa-al.gov/index.php/members/peehip/>



Detail Record – Scheduled Type of Units Worked

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Scheduled Type of Units Worked	Required	64	65	2	Represents the type of units worked for the employee in this position	00 = Days 01 = Shifts 02 = Hours

- This field allows the RSA system to validate an employee’s type of units worked, which will be used to calculate retirement service credit, if applicable.
- This field must match Type of Units Worked for any contribution record (in Contribution File) reported for this enrollment record.
- PEEHIP participating employers must report TRS positions labeled as Support Workers in Hours.
- Bus Drivers must be reported in Shifts.



Detail Record – Scheduled Units Effective Date

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Scheduled Units Effective Date	Required	56	63	8	Represents the date on which the employee's Scheduled Units to Work per week took effect	Numeric, MMDDYYYY

- This field allows the RSA system to keep track of changes to an employee's expected work schedule.
- The initial Scheduled Units Effective Date for an employee should match the date of most recent scheduled units changed for that enrollment record.
- If an employee has never had a change in scheduled units for a specific classification code, the corresponding enrollment record's Scheduled Units Effective Date should equal Enrollment Begin Date.
- Any change in the Scheduled Units to Work per week field should result in a change to this field.



Detail Record – Scheduled Units to Work per week

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Scheduled Units to Work per week	Required	66	71	6	Represents the number of units scheduled to work by employee in this position	Numeric, zero filled, right justified, two decimal positions, include decimal point 000.00 to 999.99

- The value reported in this field must correspond with the Scheduled Type of Units Worked field.
- Example:
 - If an employee is scheduled to work 5 days per week, and is reported on a Daily Scheduled Type of Units Worked (= 00), Scheduled Units to Work per week = 005.00
 - If an employee is scheduled to work 40 hours per week, and is reported on a Hourly Scheduled Type of Units Worked (=02), Scheduled Units to Work per week = 040.00



Detail Record – Scheduled Full Time Units per week

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Scheduled Full Time Units per week	Required	72	77	6	Represents the number of units an employee would have to work per week to be considered a Full Time Employee	Numeric, zero filled, right justified, two decimal positions, include decimal point 000.00 to 999.99

- This field allows the RSA system to determine what number units would constitute full time employment for this employee’s enrollment record in one week.
- Example:
 - If the employee would be considered a FTE at 30 hours per week, the Scheduled Full Time Units per week should report 030.00.

Detail Records – Scheduled Units



- Example: A new employee is scheduled to begin work on June 1, 2018 as an hourly employee who works 35 hours per week. Full-time employment for this enrollment record is considered to be 35 hours per week.
 - Scheduled Units Effective Date = 06012018
 - Scheduled Type of Units Worked = 02
 - Scheduled Units to Work per week = 035.00
 - Scheduled Full Time Units per week = 035.00



Detail Record – Payroll Frequency

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Payroll Frequency	Required	78	79	2	Identifies the frequency by which an employee receives compensation for wages earned	Alphanumeric 00 = Monthly 01 = Semi-Monthly 02 = Bi-Weekly 03 = Weekly

- This value represents the frequency with which wages and contributions, if applicable, will be reported on the Contribution File for this employee’s specific enrollment record.
- The RSA system will validate contributions received via a Contribution File corresponding to the payroll frequency value reported in this field of the employee’s enrollment record. Any inconsistencies between the Files will result in an error.
- Note: Agencies must set up a payroll frequency schedule within the ESS Portal prior to submitting a Contribution File.



Detail Record – Payroll Frequency cont.

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Payroll Frequency	Required	78	79	2	Identifies the frequency by which an employee receives compensation for wages earned	Alphanumeric 00 = Monthly 01 = Semi-Monthly 02 = Bi-Weekly 03 = Weekly

- Example: An ERS Regular Local employee who is paid on a bi-weekly payroll frequency
 - Contribution Group = 044CONT
 - Position Status = 01
 - Payroll Frequency = 02
- The RSA system will expect a contribution for this employee to come through the Contribution File on a bi-weekly basis.



Detail Record – Tier/Group

Field Name	Optional/ Conditional/ Required	Columns			Description	Format/Available Values
		From	To	Length		
Tier/Group	Required	442	443	2	Represents the tier or group of an employee	Alphanumeric Available Values are presented in the Process Enrollment/Contribution File Formats document

- Remember: RSA establishes the Tier/Group. If your agency reports a Tier/Group value for an employee which does not correspond to the Tier/Group status maintained by RSA for that employee, the RSA system will not accept your Enrollment File.
- Please make corrections within your system if you receive an error on the Tier/Group, this will ensure the RSA system will not reject your file again in the future for that record.
- Agencies currently have the ability to check Tier/Group status via CRA functionality; this functionality will continue to be available in the ESS Portal at go-live.



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 F = Footer

- 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 letter 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 must correspond to the Employer Code value reported in the Header Record.