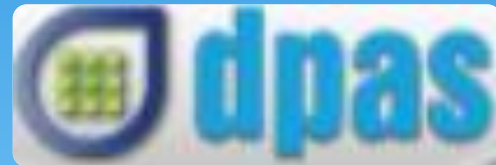


The RSA Modernization Project



Employer Self-Service Portal



August 24, 2017
Retirement Systems of Alabama

Agenda



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



Objectives



- **Employer Self-Service = ESS**
 - ESS is internet based and does not require you to download software
 - Works BEST with Internet Explorer
 - The ESS Portal will accept files via certified file upload or online entry
 - ESS requires that there is only one administrator per employer; multiple users can be created by the administrator
 - Employers will be able to certify employee requests through ESS

Objectives



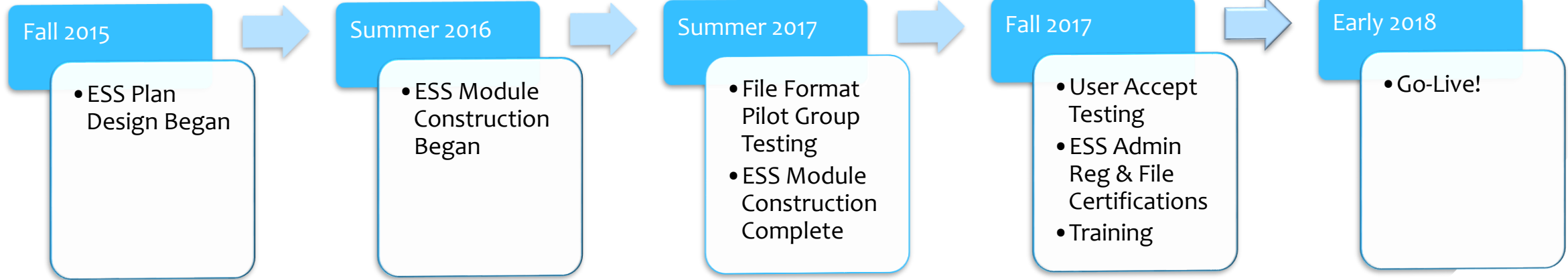
- **Enrollment files** through ESS
 - Enrollment data is currently provided on a Form 100, and sent to the RSA. Under the new system, employers will send enrollment data to RSA via ESS enrollment file
 - All employees must be reported whether contributing or not
 - Enrollment files can be submitted as frequently as daily
 - Newly enrolled members will receive welcome packet from RSA which includes beneficiary designation

Objectives



- **Contribution files** 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
 - All employees must be reported whether contributing or not
 - Contribution files will be submitted based on payroll frequency
 - Retirement contributions and RSA-1 contributions will be reported on the same file
 - Remitting your payment online

Project Overview



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 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
 - Maintain contact information, User IDs, passwords, and PINs for your ESS users

Enrollment File



- There are 4 fields in the Enrollment File which create a unique enrollment record for an employee
 - Employer Code (4 alphanumeric unit code)
 - Contribution Group

4.1.1 ERS Contribution Groups – Local Units

| Description | Position Code | Contribution Group for a Contributing Member | Contribution Group for a Non-Participating Employee |
|-------------------------|---------------|--|---|
| Firefighter | 021 | 021CONT | 021NONP |
| Law Enforcement Officer | 022 | 022CONT | 022NONP |
| Elected Official | 031 | 031CONT | 031NONP |
| County Engineer | 043 | 043CONT | 043NONP |
| Local Employee | 044 | 044CONT | 044NONP |
| FLC Dual | 099 | 099CONT | Not Applicable |

Table 4-1: ERS Contribution Groups – Local Units

- Position Status 01=regular 03=seasonal 04=temporary
- Enrollment Begin Date (normally the employee's start date for the position)
- Probate Judges have their unique Employer code and the contribution group is 068_____
- Should any of these fields change between Enrollment File submissions, a new record should be created for the employee

Contribution File



- Contribution File
 - Separate contribution records should be submitted in a Contribution File when reporting multiple contribution groups or multiple position statuses for one employee or if the employee is paid in multiple payroll frequencies.
 - Scheduled Type of Units Worked on the Enrollment File needs to match with Type of Units Worked on Contribution File
 - Contribution Due Date
 - If pay date is in month “X”, you must upload file and submit a payment by the 10th 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%

County Commission



- A majority of the Counties participate in both ERS and JRF
 - Regular and FLC members in ERS
 - Probate Judge in JRF
- If your County participates in both ERS and JRF, you will have a separate ESS login for ERS and JRF
 - Each county that participates in both ERS and JRF will be provided with two administrator user registration forms, one for ERS and one for JRF
 - You currently report ERS and JRF employees separately, this will continue in ESS

County Commission



- The RSA expects most Counties will have at least 50 employees reported under ERS
 - We recommend you provide RSA with Enrollment and Contribution data via Certified File Upload in the ESS Portal
 - If you have less than 50 employees, we recommend you provide RSA with Enrollment and Contribution data via Manual Online Entry in the ESS Portal
- The employees you report under ERS must only be uploaded/entered in the ESS Portal via your ERS login

County Commission



- The RSA expects each County will have one or two Probate Judge(s) participating in JRF
 - We recommend you provide RSA with Enrollment and Contribution data via Manual Online Entry in the ESS Portal
- Your JRF participating member(s) must only be entered in the ESS Portal via your JRF login

County Commission



- The Unit Code with which you report JRF participating Probate Judges will change in the ESS system
 - You currently report Probate Judges under the JZPJ Unit Code via your CRA File
 - The new system will require you to report Probate Judges under a Unit Code in this form : JXYZ. The XYZ represents your ERS Unit Code.
 - Example: Autauga County must report ERS employees under a EAUT Unit Code in ESS. Autauga County must report JRF participating Probate Judges under a JAUT Unit Code in ESS.



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 displays the website interface for The Retirement Systems of Alabama. At the top right, there is a "Log in to your account" link. The main header features the RSA logo and the text "The Retirement Systems of Alabama". A central "Log In To Your Account" form includes fields for "User ID" and "Password", a "Next" button, and links for "Need to register?", "Forgot User ID or Password?", and "Need a PIN? (Request PIN Letter)". Below the form is a note: "Note: The information contained in this site is available via a secure connection." To the right of the login form, a box titled "Use Member Online Services to:" lists: "View your account details", "Update your contact information", "Make requests to the RSA", and "Check the status of your requests". Further right, there are buttons for "Online Calculators" and "Public Benefit Estimator". Below these, there are buttons for "Employers Log In Here" and "Report a Death". At the bottom, the "Hours of Operation" are listed as 8:00am - 5:00pm Central Time, with contact numbers 334.517.7000 or Toll Free: 877.517.0020. The footer contains navigation links (Home, Contact Us, Disclaimer, Privacy, Non-Discrimination Notice), a "Solicitation of Personal Information" warning, and the physical address: The Retirement Systems of Alabama, P.O. Box 302150, Montgomery, AL 36130-2150. A copyright notice at the bottom right states "Copyright © 2012 Retirement System Of Alabama . All rights reserved."



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 in the ESS system. At the top, there is a navigation bar with the logo and the text 'The Retirement Systems of Alabama'. On the right, a user profile for 'Lisa Brannen' is visible, including a 'Log Out' button and 'Last Login' information. Below the navigation bar are tabs for 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A dropdown menu for 'Available Forms' is set to 'Open'. 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: *
 - User ID: *
 - Roles: * ESS Administrator ESS Employer Reporting ESS File Validation ESS Staff PEEHIP RSA-1
 - E-mail:
 - Active:
- Buttons:



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. The page header includes the 'The Retirement Systems of Alabama' logo and navigation tabs: 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. A user profile box in the top right identifies the user as 'Employer Self Service Lisa Brannen' from 'TDLS - Dallas Co Bd Of Ed', with a last login of 'Wed, Jun 07 2017 2:09 PM'. A dropdown menu for 'Available Forms' is set to 'Open'. The main content area is titled 'Payroll Schedule' and contains a table with the following data:

| Calendar Year | Retirement System | Payroll Frequency | Initial Pay Date | Arrears | Generate | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|---------------------|--------------------------|--------------------------|--|----------|-----------------------|---------------------|-------------|------------|------------|------------|--------------------------|------------|------------|------------|--------------------------|------------|------------|------------|--------------------------|------------|------------|------------|--------------------------|------------|------------|------------|--------------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|----------------------|------------|------------|------------|--------------------------|
| 2017 | Teacher's Retirement System of Alabama | Monthly | 01/01/2017 | Current | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | <table border="1"><thead><tr><th>Pay Date</th><th>Pay Period Begin Date</th><th>Pay Period End Date</th><th>Skip Report</th></tr></thead><tbody><tr><td>12/30/2016</td><td>12/01/2016</td><td>12/31/2016</td><td><input type="checkbox"/></td></tr><tr><td>01/31/2017</td><td>01/01/2017</td><td>01/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>02/28/2017</td><td>02/01/2017</td><td>02/28/2017</td><td><input type="checkbox"/></td></tr><tr><td>03/31/2017</td><td>03/01/2017</td><td>03/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>04/28/2017</td><td>04/01/2017</td><td>04/30/2017</td><td><input type="checkbox"/></td></tr><tr><td>05/31/2017</td><td>05/01/2017</td><td>05/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>06/30/2017</td><td>06/01/2017</td><td>06/30/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>07/31/2017</td><td>07/01/2017</td><td>07/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>08/31/2017</td><td>08/01/2017</td><td>08/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>09/29/2017</td><td>09/01/2017</td><td>09/30/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>10/31/2017</td><td>10/01/2017</td><td>10/31/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>11/30/2017</td><td>11/01/2017</td><td>11/30/2017</td><td><input type="checkbox"/></td></tr><tr><td>Edit</td><td>12/29/2017</td><td>12/01/2017</td><td>12/31/2017</td><td><input type="checkbox"/></td></tr></tbody></table> | 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"/> | Edit | 06/30/2017 | 06/01/2017 | 06/30/2017 | <input type="checkbox"/> | Edit | 07/31/2017 | 07/01/2017 | 07/31/2017 | <input type="checkbox"/> | Edit | 08/31/2017 | 08/01/2017 | 08/31/2017 | <input type="checkbox"/> | Edit | 09/29/2017 | 09/01/2017 | 09/30/2017 | <input type="checkbox"/> | Edit | 10/31/2017 | 10/01/2017 | 10/31/2017 | <input type="checkbox"/> | Edit | 11/30/2017 | 11/01/2017 | 11/30/2017 | <input type="checkbox"/> | Edit | 12/29/2017 | 12/01/2017 | 12/31/2017 | <input type="checkbox"/> |
| 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"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 06/30/2017 | 06/01/2017 | 06/30/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 07/31/2017 | 07/01/2017 | 07/31/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 08/31/2017 | 08/01/2017 | 08/31/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 09/29/2017 | 09/01/2017 | 09/30/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 10/31/2017 | 10/01/2017 | 10/31/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 11/30/2017 | 11/01/2017 | 11/30/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Edit | 12/29/2017 | 12/01/2017 | 12/31/2017 | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| * [dropdown] * Teacher's Retirement System of Alabama * [dropdown] * [input] * [dropdown] | | | | | Generate | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |



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 site name, and user information for Lisa Brannen (TDLS - Dallas Co Bd Of Ed) with a Log Out button. Below the navigation bar are tabs for Employer Home, Report, Services, Account, Admin, and Logout. The Report tab is active, showing a breadcrumb trail: Getting Started > Details > Summary > Payments > Results. The main content area is divided into two columns: Enrollments and Contributions. Each column has an 'Upload File' and 'Enter Online' button. The Enrollments section states: '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.' The Contributions section states: '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.' A 'View History' button is located at the bottom right of the main content area. The footer contains a 'Solicitation of Personal Information' notice, contact information for The Retirement Systems of Alabama (P.O. Box 302150, Montgomery, AL 36130-2150), and a copyright notice for 2012.



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

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
Log Out
UserGuide

Employer Home Report Services Account Admin Logout

Available Forms: [v] 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: SSN [v] * 001010031 [Search]

| 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 [v] |
| 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 – Contribution via Online Entry

- If you have less than 50 employees, we recommend you provide RSA with Enrollment and Contribution data via Manual Online Entry in the ESS Portal

The screenshot displays the user interface of the Retirement Systems of Alabama (RSA) ESS portal. At the top, the RSA logo is on the left, and the user's name 'Lisa Brannen' and role 'TDLS - Dallas Co Bd Of Ed' are on the right. Below the header is a navigation menu with options like 'Employer Home', 'Report', 'Services', 'Account', 'Admin', and 'Logout'. The main content area is divided into two sections: 'Enrollments' and 'Contributions'. The 'Contributions' section is highlighted with a red border and contains the text: '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.' Below this text are two buttons: 'Upload File' and 'Enter Online'. The 'Enter Online' button is highlighted with a red box. At the bottom of the page, there is a footer with contact information and a copyright notice.



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

The screenshot displays a web interface for file validation. At the top, there are navigation tabs: 'Getting Started', 'Details' (selected), 'Summary', 'Payments', and 'Results'. Below the tabs, a summary row shows: Report #: 7123, Submission Date: 03/31/2016, Type: Contributions, Mode: File Upload, and Status: In Process.

A yellow note box contains the following text: "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."

The main content area is titled 'Contributions' and contains two validation progress bars:

- Contribution layout validations:** A blue progress bar is at 100%. Below it, the text reads: "Lines: Total (7) | Processed (6) | Errors (1)". A note below states: "Note: The total record count includes the Header and Footer rows also."
- Contribution business validations:** A blue progress bar is at 100%. Below it, the text reads: "Records: Total (4) | Passed (3) | Errored (1) | Pending (0)".

At the bottom of the interface, there are two buttons: a green 'Back' button and a grey 'Void Report' button.



ESS Functionality – Manage Payment Accounts

- Employers will have the ability to add and manage payment accounts

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 Services Account Admin Logout

Available Forms:

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 | |
|-------------------------|------------------|---------------------|--------------|------------------------|
| PAYROLL | WELLS FARGO BANK | ...3456 | EFT | Delete |



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.

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

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 fall 2017
 - Training will be provided at various locations around the state
 - Online training Videos will be available on RSA's website to walk you through multiple functions of ESS prior to go-live and afterwards for your viewing convenience
- ESS Training Website
 - <http://www.rsa-al.gov/index.php/employers/ess-portal/ess-training/>
- Dedicated staff to help navigate you through ESS
- Dedicated email to address questions
 - DPAS_4C@rsa-al.gov



What's Next?

