EMPLOYER SELF-SERVICE (ESS) PORTAL MANUAL FOR ERS EMPLOYERS

Retirement Systems of Alabama | P.O. Box 302150 Montgomery, AL 36130-2150

Employer Self-Service (ESS) Portal Manual for ERS Employers

The RSA Employer Services Division is pleased to provide employers with this ESS Portal Manual.

The purpose of this manual is to serve as a guide to assist ESS Users with navigation through the ESS Portal and the processes for reporting in the ESS Portal. We hope this manual will significantly help ESS Users with their reporting responsibilities in the ESS Portal as the employer of a retirement plan administered by the Employees' Retirement System.

This manual will be updated periodically to reflect any changes in ESS Portal procedures. We encourage users to contact our office for any questions related to the ESS Portal or for assistance.

Employer Services Contact Information

Phone: 334.517.7005, option 1

Fax: 877.517.0021 or 334.517.7001

Email: Employer.Services@rsa-al.gov

RSA Website: www.rsa-al.gov

Business Hours: 8:00 a.m. – 5:00 p.m.
Monday – Friday

The information provided in this manual is meant to be a resource to assist ESS Users with ESS Portal reporting processes. This manual will not address every scenario that users may have. For assistance, or ESS Portal related questions, please contact an Employer Services Representative.

Act 2025-367

A new Alabama law (Act 2025-367) was passed to protect the retirement contributions of public employees in the RSA. The law ensures that RSA participating employers cannot take member contributions and use them for other purposes.

Starting October 1, 2025, it will be a Class C felony to misuse retirement contributions. This includes taking funds meant for RSA and spending them elsewhere or intentionally failing to send them to the retirement system. The penalty can be up to 10 years in prison and a $15,000 fine.

Before this law, there was no specific criminal penalty for diverting retirement funds. There have been instances when a local government that participates in RSA had kept member contributions and continually refused to submit them. There was no penalty or recourse when this happened. This new law closes that gap and helps protect the integrity of the RSA. It sends a strong message: member retirement contributions must be used only for retirement – not for anything else.

This change strengthens trust in the system and helps ensure that RSA remains secure and financially sound for all its members.

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ESS Portal Administrator

For an employer to have access to the ESS Portal, they must first designate someone to be an ESS Portal Administrator. The ESS Portal Administrator is a person who is assigned by an authorized official of the employer to conduct business with the RSA. They will have full access to the ESS Portal. When possible, this person should not be the same individual who performs payroll or HR duties for the employer.

Responsibilities of an ESS Portal Administrator

The ESS Portal Administrator will be responsible for determining what other employees need to be set up as contact persons in the ESS Portal and what access these employees will need, as well as ensure the employer reporting is accurate and timely. The Administrator will be responsible for setting up and maintaining accounts for the other ESS Portal users. This includes resetting passwords, PINs, and inactivating user accounts. They will also be responsible for entering the employer addresses and bank account information in the ESS Portal. This is done from the Administrator tab in the ESS Portal, and only the ESS Portal Administrator(s) will have access to this tab. If the primary Administrator needs to be updated, an authorized official will need to notify Employer Services of this change.

Designating an ESS Portal Administrator

To establish an ESS Portal Administrator, an authorized official of the employer must complete an ESS Portal Administrator User Registration form (this can be found here: https://www.rsa-al.gov/employers/services/) and email it to essadminreg@rsa-al.gov. An employer can have multiple Administrators, however, the Administrator set up by Employer Services will be the primary administrator.

Once Employer Services has set up the Administrator in the ESS Portal the Administrator will receive three separate emails. One email contains their ESS Portal Administrator ID, which will be permanent, one email contains a temporary password, and one email contains a temporary personal identification number (PIN). The temporary password and PIN will expire after 72 hours of the email being sent so it is imperative that the Administrator creates their own permanent password and PIN within the 72 hours. If the 72 hours expires before the Administrator has created a permanent password and PIN, the Administrator will need to notify Employer Services who will validate and reset the account.

Please see page 9 for instructions on How to Log into the ESS Portal.

Changing an ESS Portal Administrator

To change the primary ESS Portal Administrator the employer will need to complete and submit two ESS Portal Administrator User Registration forms (this can be found here: https://www.rsa-al.gov/employers/services/). The first form should be marked “Remove User” to remove the previous Administrator and the second form should be marked “Add User” to name a new primary Administrator.

Once Employer Services has set up the new primary Administrator in the ESS Portal, the Administrator will receive their Administrator ID, and then receive two additional emails. One email contains a temporary password and one email contains a temporary personal identification number (PIN). The temporary password and PIN will expire after 72 hours of the email being sent so it is imperative that the Administrator creates their own permanent password and PIN within the 72 hours. If the 72 hours expires before the Administrator has created a permanent password and PIN, the Administrator will need to notify Employer Services who will validate and reset the account.

Please see page 9 for instructions on How to Log into the ESS Portal.

How to Log into the ESS Portal

- The ESS Portal Administrator and users who have been given access to the ESS Portal by their Administrator, will need to follow the instructions listed to log into the ESS Portal. Here is a link to the ESS Portal: https://ess.rsa-al.gov. This link is also available on the Employer page of the RSA website at www.rsa-al.gov, under Employer Services.
- New users will enter the User ID that was assigned to them and the temporary password they received. They will then be required to check the box indicating they agree with the terms and conditions. The user will be directed to change their password, their 4-digit PIN, and select and answer two security questions. Lastly, new users will need to edit their contact information to set up their Multi-Factor Authentication (MFA). Please see additional information regarding the MFA below.
- Current users will enter their ESS Portal login credentials to gain access to the ESS Portal. After logging in they will be prompted to authenticate their account using the Multi-Factor Authentication (MFA). Please see additional information regarding the MFA below.

Multi-Factor Authentication

The Multi-Factor Authentication (MFA) is the online security feature for ESS Users to access the ESS Portal. When new users log in to the ESS Portal, they will be prompted to edit their contact information. Next, they will select a Contact Type option to have the MFA code sent to them. Then, they will select Send Authentication Code. Once the user receives their code, they will enter it and select Validate Authentication Code. A pop-up message will display letting the user know it has been validated.

When logging in to the ESS Portal after setting up the MFA, users will enter their ESS Portal login credentials, then select the delivery method to receive the MFA code.

Note: The MFA generator will not recognize a dial-by-directory or extension, therefore, we strongly recommend providing a direct number to ensure that the user receives their MFA code to successfully gain access to the ESS Portal.

Overview of the ESS Portal Tabs

Report Tab

Submit Report

The **Submit Report** screen is where users will upload Enrollment and Contribution files. Users also have the capability of making manual changes to enrollments by selecting Enter Online under Enrollments. They can also manually enter retirement contribution submissions by selecting Enter Online under Retirement Contributions. Users can view, void, or suspend submissions that are in progress as needed.

View History

The **View History** screen allows users to view current and previous Enrollment and Contribution submissions. This screen defaults to show the last three (3) months of submissions. In the upper left-hand corner of the screen users can select to view all prior submissions. To view previously submitted Enrollment or Contribution submissions, select the Submission ID number in blue. ESS Users can view, suspend, or void submissions that are in progress prior to remitting payment.

- Users can Void an Enrollment or Contribution submission from this screen.
  - For example: if users have a lot of errors that need to be corrected in their payroll system prior to submitting payment, the report can be voided.
- Users can also Suspend a Contribution submission from this screen.
  - For example: if a change is needed on an employee's enrollment, the Contribution submission can be suspended rather than voided. Once the necessary changes have been made to the employee's enrollment, the user can navigate back to the Report tab > View History > Unsuspend the submission.
- Once the submission is Unsuspended, the system will go through the validation process again to identify any errors due to enrollment changes. The user will then be able to proceed with any additional corrections prior to submitting payment.

View Reporting Packets

The **View Reporting Packets** screen displays reports that are system generated after each contribution submission has posted. These reports cover various topics, such as Leave Without Pay, Non-Participating Part-Time Status, Post-Retirement Employment, and Overtime Limit. These reports are to be used as tools to track various information.

Download PIDs

The **Download PIDs** screen allows users to download all PIDs for their agency's active employees.

Invoices

The **Invoices** screen is where RSA sends invoices for various reasons, including, but not limited to, Employer Penalty, Service Purchases, and Manual Corrections. These invoices can be credit or debit invoices and can be applied to the contribution submission on the Summary screen.

- Users can view paid and unpaid invoices in the ESS Portal.
  - To view unpaid invoices, go to Report > Invoices. This screen will automatically show any unpaid invoices the employer may have. Users are also able to pay invoices from this screen.
  - To view any paid invoices, go to Report > Invoices > Show Paid Invoices.
- Users can pay debit invoices, such as Employer Penalty invoices.
  - To do this, select the check box next to the invoice(s) to be paid.
  - Select Pay Invoice.
  - Select Action > Edit to enter the total amount due, select Action > Apply.
  - Select Continue to Step 2, where the user will review the invoices being paid and the amount. Enter the PIN > Submit.

Payroll Schedules

The **Payroll Schedule** screen allows users to set up their payroll schedule(s) based on their payroll frequency(ies). This is to notify the RSA when wages are earned and paid by the employer. More information on Payroll Schedules can be found on pages 23 – 24.

Error Correction

The **Error Correction** screen is where uncorrected enrollment errors are displayed when a user submits and publishes an enrollment file with errors that have not yet been cleared.

- If a user receives an error message on the contribution report stating this enrollment is in Error Correction, navigate to Services > Error Correction and edit the enrollment as needed.

Services Tab

Death Notice

The **Death Notice** screen allows users to submit a Death Notice to the Retirement Systems electronically for active and retired employees who have worked for their agency. Submitting a Death Notice is a two-part process for active employees.

- Select Services > Death Notice.
- Enter a valid SSN, PID, or Last Name to retrieve the employee's information.
- Complete the death notice information and select Submit.
- Terminate the active employee's enrollment with the date of death and the enrollment end reason of Death.

Note: The Application for Survivor Benefit is available on the Death Notice screen, if needed.

For retired employees, the user will only need to fill out the death notice information.

Employer Certification

The **Employer Certification** screen allows users to certify Employee Retirement Requests. Users can also view any previous retirement requests. More information on Employer Certification can be found on pages 61 – 64.

Employee Information

The **Employee Information** screen allows users to view unaudited service credit awarded to an employee based on each plan year.

- This screen does not show any previous service credit from any other retirement systems (TRS or JRF), or any service that may have been purchased, refunded, or adjusted by RSA.
- The information provided will show whether the employee has enrolled with RSA-1. If enrolled with RSA-1, additional information is provided, such as the suspension end date (if the account has been suspended), the employee's RSA-1 year-to-date contributions, and the RSA-1 Contribution Limit for the calendar year.
- This screen also shows the Pensionable Wages and Employee Contributions for the logged in employer.

Search Demographics

The **Search Demographics** screen allows users to make demographic changes to their active employees, as well as create and update enrollments for new and current employees. Users can also view the employees who are currently and/or previously employed by the logged in employer.

Employer Information

The **Employer Information** screen displays the employer's Current Rates, Historical Rates, Plan Provisions, IRS Contribution Limits, Retiree Earnings Limits, and Actuarial Information.

- To view Historical Rates, select Employer Information > Current Rates and select Display Historical Rates.
  - Employer Contribution Rate changes take effect in the first pay period in which the pay period ends on or after October 1st.
- To view Plan Provisions, select the Plan Provision Information.
- The IRS Earnings Limits will show for the current and prior plan years.
- The Retiree Earning Limits will show for the current and prior calendar years.
- To generate Actuarial Documents, navigate to the Actuarial Information section at the bottom of the screen and select the appropriate document.

Reports

The **Reports** screen displays various reports available to the users, which provide detailed information regarding the agency. Information on the different reports can be found on pages 65 – 67.

Message Center

The **Message Center** allows the RSA to send communications through the ESS Portal, so users can keep their RSA communications in one place. When RSA sends a communication, users will be notified by email of a new message in their Message Center.

- Users can view deleted messages by selecting View Deleted Messages in the bottom left-hand corner.
- Users can submit a question to the RSA by selecting Submit a Question in the bottom left-hand corner.

Question Center

The **Question Center** allows users to view Frequently Asked Questions. Users can also submit a question through the Question Center to Employer Services. Employer Services monitors this daily and responds to the questions in the order in which they are received.

- To submit a question, enter the question in the box at the bottom of the screen titled "Question not answered? Submit it below", then select Submit.
- An Employer Services Representative may be reached by phone at 334.517.7005, option 1 or by email at Employer.Services@rsa-al.gov.

Account Tab

Change Password

ESS Users are required to change their password every 90 days. The ESS Portal will notify the user 14 days in advance of their password expiring and prompt them to update their password. It is important that users update their password when prompted to avoid being locked out of the ESS Portal.

- To change a password, select the Account tab > Change Password. Enter the Current Password > New Password > Retype New Password > ESS PIN > Update.

Change PIN

The PIN is the user's electronic signature in the ESS Portal. No one else should know or have access to another user's PIN. This PIN is used when paying Employer Contributions and downloading employer reports. ESS Users are not required to update their four-digit PIN after it has initially been set up. However, if users would like to update their PIN, they can do so as needed.

- To change the PIN, select the Account tab > Change PIN. Enter the Current PIN > New PIN > Retype New PIN > Update.

Change Security Questions

ESS Users are not required to update their security questions after they have initially been set up. However, if users do not remember the answers to their security questions, they can update these at any time. The answers to the security questions are case sensitive.

- To change the Security Questions, select the Account tab > Change Security Questions. Select a Security Question > Enter the Answer > Retype the Answer > ESS PIN > Update.
- Repeat the steps above for security question number 2.

Note: The RSA does not retain any log in credentials except for the User ID.

Edit Contact Information

If users need to edit their contact information for the MFA, they can do so once they log in by going to Account > Edit Contact Information.

Admin Tab

The **Admin** tab only appears on the ESS Portal menu bar for employees who have been assigned the role of ESS Administrator. Under the Admin Tab the Administrator(s) will be able to maintain the employer's demographics and bank information, as well as establish and maintain contact persons and ESS users.

Payment Account

ESS Administrator(s) can add, delete, or edit the employer's bank account(s) information. Multiple bank accounts can be set up. (Debit blocks need to be removed from these accounts.)

If the employer has changed financial institutions, remember to provide the financial institution(s) with the below ACH Company IDs:

- For Retirement: F636045055
- For RSA-1: H636045055

How to Add a Payment Account:

- Under the Admin tab, select Payment Account.
- Select Add a Payment Account.
- Select the receipt type as EFT, then enter a nickname, the ABA routing number, the account number and re-enter the account number.
- Select Continue.
- The user will enter their ESS PIN and select Submit.

How to Edit a Payment Account:

- Under the Admin tab, select Payment Account.
- Select Edit next to the payment account that needs to be edited.
- Select Edit.
- Update the Payment Account name.
- The user will enter their ESS PIN and select Update.

How to Delete a Payment Account:

- Under the Admin tab, select Payment Account.
- Select Edit next to the account that is no longer needed.
- Select Delete.
- The user will enter their ESS PIN and select Delete.

Office Location

Administrators should maintain the office location addresses. Multiple office locations can be added if the employer has ESS users in different departments or buildings, or if the employer uses a third-party preparer to submit contributions.

How to Add an Office Location:

- Under the Admin tab, select Manage Office Locations.
- Select Add Office Location.
- Enter the effective date, select the status, select the location type, enter the description and the address information.
- Select Submit.

How to Update an Office Location:

- Under the Admin tab, select Manage Office Locations.
- Select Edit next to the Office Location that needs to be updated.
- Make changes as necessary and select Update.

Manage Contact Persons

Administrators will update and add contact persons as needed. The Contact Persons information informs the RSA who the appropriate contact person is for each type, and it will eliminate the need for agencies to notify different divisions of RSA when they have contact changes. When setting up additional contact persons, a contact type must be assigned to them. An employee must first be set up as a contact person before becoming an ESS User.

<u>How to Create ESS Contact Persons:</u>

To **add** an ESS Contact Person the ESS Portal Administrator will select the Admin Tab > Manage Contact Persons > Add a Contact Person. <u>Note:</u> If the contact person being entered needs to have access to the ESS Portal, the ESS Portal Administrator will also need to add them under Manage Users.

The following information is required to create a Contact Person:

- First Name
- Last Name
- Job Title
- Office Location
- Email Address
- Work Phone Number

An employee should be set as Primary if they are the "primary contact" for the agency for that specific job duty. There can only be one primary contact for each Contact Type.

<u>How to Edit ESS Contact Persons:</u>

- To **edit** a Contact Person, an ESS Administrator will select the Admin tab > Manage Contact Persons > Edit > Edit.
- To **edit** a Contact Person's Contact Type <u>who is not a "primary contact"</u>, select the Admin tab > Manage Contact Persons > Edit > Edit and update the information and Contact Type(s) as needed.
- To **edit** a Contact Person's Contact Type <u>who is a "primary contact"</u>, the ESS Administrator will first need to designate or add another employee and set them as "primary contact".

How to Delete ESS Contact Persons:

- To **delete** a Contact Person that is not an ESS User, the ESS Administrator will select the Admin tab > Manage Contact Persons > Edit > Delete.
- To **delete** a Contact Person who is an ESS User, the ESS Administrator will select the Admin tab > Manage Users > Edit > and uncheck Active on their ESS User account. Then select the Admin tab > Manage Contact Persons > Edit > Delete.
- To **delete** a Contact Person who is an ESS User and is a "primary contact", the ESS Administrator will first need to designate or add another employee as "primary contact" for that Contact Type before inactivating the employee. Select the Admin tab > Manage Users > Edit > Edit > and uncheck Active. Then select the Admin tab > Manage Contact Persons > Edit > Delete.

ESS Contact Types	
Agency Head	Receives ad-hoc correspondence from RSA.
Disability Contact	Receives ad-hoc correspondence from RSA.
Enrollment Coordinator	Receives ad-hoc correspondence from RSA.
Human Resources Director	Receives ad-hoc correspondence from RSA.
IT	Receives ad-hoc correspondence from RSA.
Office Coordinator	Receives ad-hoc correspondence from RSA.
Reporting Official	Receives all system generated communications related to the submission of enrollment and contribution reports. This includes balance, post, and Employer Reporting Packets.
Retirement Certification	ESS Users must be assigned this contact type to receive emails regarding Retirement Certifications. The user must have the role of ESS Administrator or ESS Staff to access the Employer Certification screen in the ESS Portal.
RSA-1	Receives ad-hoc correspondence from RSA.
Service Purchases	ESS Users must be assigned this contact type to receive emails regarding Service Purchases. The user must have the role of ESS Administrator or ESS Staff to access the Employer Certification screen in the ESS Portal.
Withdrawal Certification	ESS Users must be assigned this contact type to receive emails regarding Withdrawal Certifications. The user must have the role of ESS Administrator or ESS Staff to access the Employer Certification screen in the ESS Portal.

Please note: PEEHIP Clerk is a Contact Type, however, this Contact Type is only specific to Teachers' Retirement System (TRS) employers.

Manage Users

Administrators can set up other employees as ESS Users. When setting up additional ESS Users a role(s) must be assigned to them based on what Portal access they will need.

How to Create ESS Portal Users and Assign Roles:

- The individual must be set up as a contact person before they can be added as an ESS User.
- Under the Admin tab select Manage Users.
- Select Add User.
- Select the Contact Person that was just entered and assign a User ID unique to them.
- Select the appropriate role(s) for this individual from the following options: ESS Administrator, ESS File Validation, ESS Employer Reporting, and ESS Staff.
- Select Submit and the information will be saved.
- The system will automatically send three emails to this user, which will include their ESS User ID, temporary password, and temporary PIN. These emails will expire after 72 hours. Therefore, it is imperative for the ESS user to establish their permanent password and permanent PIN within 72 hours of receiving these emails.
    - If the 72 hours expires before the ESS user has created a permanent password and PIN, the ESS Portal Administrator will need to validate and reset these records in ESS for the individual.
- Multi-Factor Authentication.
    - If any assistance is needed in editing the contact information for MFA, please refer to page 16.

ESS User Roles	
ESS Administrator	Access to all screens including Employer Certification, updating bank account information, add other users, and reset passwords. The primary Administrator can add other Administrators.
ESS File Validation	Can set up payroll schedules, upload/submit enrollment and contribution files, view and resolve errors.
ESS Employer Reporting	Access to everything listed under ESS File Validation and can submit contribution and invoice payments.
ESS Staff	Access to the Services tab, including Employer Certification and some functionality under the Report tab.

Please note: PEEHIP is an ESS Role, however, this role is only specific to Teachers' Retirement System (TRS) employers.

Payroll Schedules

Payroll Schedules must be set up prior to the beginning of each plan year, for each type of payroll frequency. These should be generated prior to July 1st of each year. **<u>Note:</u> ERS cannot process retirement applications or member withdrawals until an ESS User has entered this information for the next plan year (October 1st – September 30th).**

- A payroll schedule is a schedule created based on an employer's pay frequency and is used to identify when employees are paid and inform the RSA of when contributions are to be expected.
- Payroll frequency is how often the employees receive compensation. Separate payroll schedules should be added for each payroll frequency the agency has.
- A supplemental payroll does not need to be created in the portal but should be reported with the next scheduled contribution submission.
- **Employer Contribution Rate** changes take effect in the first pay period in which the pay period ends on or after October 1st.

<u>How to Create Payroll Schedules:</u>

- Under the Report Tab select Payroll Schedule.
- In the open boxes below, select the following:
    - Plan Year.
    - Payroll Frequency.
    - The initial pay date will be the first pay date in which the pay period ends on or after October 1st.
    - Days in Arrears are the number of days between when the pay period ends and the pay date.
    - Select Generate.
        - <u>Note:</u> When generating the payroll schedule(s), users may see a few dates highlighted in yellow. This is to let them know that the date either fell on the weekend or holiday and the system moved the pay date to the previous business day.
- Some agencies may require a custom payroll schedule.
- Users can make any changes needed to payroll schedules if no wages or contributions have been posted for the date in question. However, changes cannot be made when an enrollment or contribution file is in progress.
- Be sure to review each payroll and make any edits that are needed.

How to Edit Payroll Schedules:

- Steps to edit the criteria used to generate the payroll schedule, like the initial pay date or the number of days in arrears:
    - Select Action > Edit.
    - Make any necessary edits and select Generate to create the new payroll schedule based on the criteria that was changed.

- Steps to edit the payroll information after the schedule is created:
    - Open the payroll schedule by selecting the plus sign.
    - Select Action > Edit next to the pay period needing updates. Users can also skip a pay period if needed.
    - After changes are made, select Action > Save. Users also have options to Delete a pay period or Cancel making any changes.

Enrollments

An enrollment informs the Retirement Systems that an employee is working for a specific agency, their position status, their contribution group, and how much they are expected to work. Enrollments in the ESS Portal have taken the place of the Form 100 that was previously used. Enrollments need to be entered in a timely manner.

Mandatory Participation

Participation in the Employees' Retirement System is mandatory per the *Code of Alabama, 1975* Section 36-27-4(a)(1) as a condition of employment with an ERS participating employer. If someone is hired as a Temporary employee or an employee who works less than half-time, and they do not have an existing ERS account, the law prohibits that person from participating in the ERS. Once an employee begins participation in the ERS, he or she is required to continue contributing on future employment even if the employment is of Temporary, Seasonal/Irregular, or Part-Time status.

Employees who meet the above eligibility requirements must participate in the ERS. This means they will begin participating immediately, even if they are under a probationary period with the agency.

If a member terminates their participation with the ERS, any future employment would be the same as "starting over." In other words, if someone withdraws their account or it closes after 5 years of inactivity, that person would not be required to submit contributions on future employment that is less than half time or that is Temporary.

Temporary ERS Employees

A temporary employee is someone who is employed for a specified time period, not exceeding one year. If that employee is working at least half time, they must begin participation in the Employees' Retirement System (ERS) at the beginning of the second year of employment.

Employees That Need to Be Enrolled in the ESS Portal

All employees, including non-participating employees, need to be enrolled and reported.

When a new participating employee is enrolled in the ESS Portal the employee will receive a Welcome Packet containing a beneficiary form from the Employees' Retirement System.

The employing agency can provide and notarize the beneficiary form if they wish to do so.

Tier Status

Tier status can be determined by entering an employee's PID or SSN and selecting Search on the Search Demographics screen. Once the employee is located, select Maintain > Enrollments. The employee's tier status will now be displayed on the right-hand side of the screen.

Tier 1 Employees

Any member of the Retirement Systems who had service for which they received credit in the Employees' Retirement System or in the Teachers' Retirement System prior to January 1, 2013.

Tier 2 Employees

Any member of the Retirement Systems who first began eligible employment with an Employees' Retirement System or a Teachers' Retirement System participating employer on or after January 1, 2013, and who had no eligible service in the Employees' Retirement System or the Teachers' Retirement System prior to January 1, 2013.

If your agency has adopted the provision to allow Tier 2 employees to participate in Tier 1 benefit plans (T2 to T1), their tier status will remain as Tier 2. If the employee should terminate employment with your agency and begin employment with an agency that has not adopted this provision, they will go back to participating in Tier 2 benefit plans.

Tier 99 Employees

If a member should have their tier listed as Tier 99, this means the employee has not established eligibility to contribute to the RSA. If the employee establishes eligibility, their Tier Status will change to Tier 2.

FLC Employees

FLC stands for Firefighter, Law Enforcement, or Correctional Officer*.

<u>Those working in an FLC position must meet the criteria below:</u>

- Certified.
- Working in a position that **requires certification**.
    - These certifications must be obtained and registered within the State of Alabama.
- Working **full-time** with at least one ERS participating employer in an FLC Position.

Employees who do not meet all three of the above requirements must contribute as a Local Employee.

Emergency Medical Services Personnel (EMSP): As of October 1, 2024, EMSPs can now contribute under the FLC plan. They should also meet the requirements listed above.

Working in a part-time FLC capacity: Employees who are certified, working less than full-time, in an FLC capacity and have a full-time FLC job with another ERS participating employer must contribute at the FLC rate. These employees should be enrolled as either Firefighter, Law Enforcement, or Emergency Medical Services Personnel.

Working part-time in a non-FLC capacity: Employees who are certified and working full-time in an FLC capacity with another ERS participating employer and are working with your agency in a non-FLC capacity, must contribute at the FLC rate under the contribution group FLC Dual.

**The only employer who will use Correctional Officer is the Alabama Department of Corrections.*

Postretirement Employment

Retirees who are receiving retirement benefits from the ERS and are employed with an agency that participates in the ERS or TRS, are subject to limitations on the compensation they can receive without an adverse impact on their retirement benefits.

A retiree of the ERS who is restored to active service with an ERS or TRS member agency may continue to receive a full retirement benefit provided that the retired member meets both of the following conditions:

- Retiree must not be employed in a permanent, full-time capacity.
- Retiree's compensation cannot exceed the annual earnings limitation, which is based on a calendar year.
    - Compensation is defined as, but not limited to, wages, salary, consulting fees, or contract payments or expenses, other than reimbursement for expenses which are normally reimbursable employee expenses.

(The limit may increase during subsequent calendar years depending on increases in the Consumer Price Index.)

NOTE: FAILURE TO ADHERE TO BOTH OF THE ABOVE RESTRICTIONS WILL RESULT IN THE SUSPENSION OF RETIREMENT BENEFITS.

If an ERS retiree plans to return to work on a part-time basis with an ERS participating employer, they must wait at least 30 days before returning to work.

Retirees are to be enrolled with non-participating contribution groups and reported with pensionable payment reasons (Regular Pay, Lump Sum/Longevity) so they show on the Postretirement Employment Report.

Please refer to pages 39 – 40 on how to create enrollments for employees working postretirement.

File vs Manual Submission

Enrollments can be submitted by uploading an enrollment file or by manually entering an employee's information into the ESS Portal.

File Submission

- An agency must be file certified before uploading enrollment files into the ESS Portal. To learn more about enrollment file uploads, please contact the Employer Services Division.
- An Enrollment file can be generated from the agency's software system and uploaded into the ESS Portal notifying the RSA of new hires or changes to existing employees.
    - To upload an Enrollment File, select Report > Submit Report. Select Upload File under the Enrollment section.
- Once users submit their initial full enrollment file they will only need to submit an enrollment file when there are any changes or new employees to enroll. This is called a partial enrollment submission.
- After the business and load validations run and the file is accepted, select Continue.
- Select the employer's name in blue text, from there users will be able to work and clear any remaining errors they may have.

<u>Examples of when to make an enrollment change via file submission:</u>

- Hiring a new employee.
- Existing employee has a change to their contribution group or position status.
- Existing employee goes on or returns from Unpaid Leave.
- Updating an Employee's Scheduled Work Units.
- Terminating an employee.

Manual Submission

ESS Users who submit their enrollments manually will enter each enrollment via Search Demographics for a new employee or edit an existing employee.

Examples of when to make enrollment changes via manual entry:

- Hiring a new employee.
- Existing employee has a change to their contribution group or position status.
- Existing employee goes on or returns from Unpaid Leave.
- Updating an Employee's Scheduled Work Units.
- Terminating an employee.

How to add a New Employee (No Prior RSA Participation):

- If the new employee has never contributed to the RSA previously, this employee will automatically be a Tier 2 employee.
- First the user will need to select Add New Employee on the Search Demographics screen.
- Follow the steps to enter the demographic information, select Save Changes > Go To Enrollments.
- Select Add New Enrollment. The enrollment information screen will appear. The user will enter the enrollment information needed to create the new enrollment.
  - Note: If the employee works less than half time with no prior RSA participation they will need to be enrolled as Non-Participating.
  - Note: If the employee works at least half time in a permanent position, they will need to be enrolled as Contributing.

How to add a New Employee (Prior RSA Participation):

- If the new employee has prior RSA participation, they will contribute at their established tier rate.
- The user will search the new employee's SSN or PID in Search Demographics. Next to the employee's name, select Maintain > Enrollments.
- This brings up the enrollment screen where their enrollment history can be viewed. Select Add New Enrollment.
- The enrollment information screen will appear. The user will enter the enrollment information needed to create the new enrollment, select Save Changes.

How to update a Contribution Group or Position Status:

- If an employee has a change in their Contribution Group or Position Status, a new enrollment is required for the employee.
- End the previous enrollment with the last day the employee worked under this contribution group or position status, with the Enrollment End Reason of Change in Contribution Group or Change in Position Status.
- Select Add New Enrollment to enter the information for the new enrollment with the Enrollment Begin Date as the first day under the new Contribution Group or Position Status.

Examples:

- If a Non-Participating Local Employee changes to a Contributing Local Employee, this would be a change in Contribution Group.
- If a Regular Local Employee changes to a Seasonal/Irregular Local Employee, this would be a change in Position Status.

How to correct an enrollment with the wrong Position Status or Contribution Group (No contributions linked to the enrollment):

- This can be done via an enrollment file or manual entry.
- The user will search the employee's SSN or PID in Search Demographics. Select Maintain > Enrollments next to the employee's name.
- Select Edit by the incorrect enrollment and enter an End Date that matches the Enrollment Begin Date. Enter an End Reason of Hired in Error > Save Changes > Exit.
- Create the new enrollment by selecting Add New Enrollment. Enter the information for the new enrollment and select Save Changes > Exit.

How to correct an enrollment with the wrong Position Status or Contribution Group (With contributions linked to the enrollment):

- This can be done via an enrollment file or manual entry.
- The user will search the employee's SSN or PID in Search Demographics. Select Maintain > Enrollments next to the employee's name.
- Select Edit next to the incorrect enrollment. End the enrollment with the Enrollment End Date as the previous pay period end date, with the Enrollment End Reason of Change in Contribution Group or Change in Position Status. Select Save Changes > Exit.

- Select Add New Enrollment and enter the information for the new enrollment. Select Save Changes > Exit.

Information that is needed for an Enrollment

- **Retirement Plan** tells the RSA which plan an employee will be a part of. This will also help determine the Tier Status of an employee.

Below are the options for Retirement Plans:

- ERS T1 CONT Local FLC
- ERS T1 CONT Local Regular
- ERS T2 CONT Local FLC
- ERS T2 CONT Local Regular
- ERS T2 to T1 CONT Local FLC (only available to employers who adopted Act 2019-132)
- ERS T2 to T1 CONT Local Regular (only available to employers who adopted Act 2019-132)
- ERS NONP Local FLC
- ERS NONP Local Regular

- **Contribution Group** tells the RSA what kind of job this person will be doing for an agency. Please use the table below to help determine what Contribution Group should be used when enrolling an employee.

Contribution Group Codes and Descriptions	
Alphanumeric Code	**Description**
021 – Firefighter	This should be used for employees who are working full-time, are certified as a Firefighter, and the position requires certification.
022 – Law Enforcement	This should be used for employees who are working full-time, are certified as a Law Enforcement officer, and the position requires certification.
026 – Emergency Medical Services Personnel	This should be used for employees who are working full-time, are certified as Emergency Medical Services Personnel, and the position requires certification.
029 – Retiree – School Resource Officer*	This should be used for a retiree who is APOST certified, participated in ERS or TRS as a law enforcement officer sometime prior to retirement, and has returned to work (full-time or part-time) as a school resource officer.
031 – Elected Official	This should be used for all elected officials. (e.g., Mayor, City Council or County Commissioners)
032 – FLC Elected Official	This should be used for employees who are elected to work in an FLC type position. (i.e., Sherriff)
033 – Retiree – Fire Medic**	This should be used for an ERS retiree who has both (certification from the Fire College and certification from the State Board of Health as an emergency medical services personnel), sometime prior to retirement, can return to work (full-time or part-time) as a Fire Medic.
044 – Local Employee	This should be used for anyone working in a non-FLC capacity.
099 – FLC Dual	This should be used for enrollments where an employee works in an FLC capacity, but also has a job in a non-FLC capacity.

**The School Resource Officer position under Act 2025-409, is set to expire on 12/31/2030.*
***The Fire Medic position under Act 2025-409, is retroactive to 1/1/2023 and is set to expire on 12/31/2030.*

- **Position Status** tells the RSA in what capacity an employee will be working for an agency. Please use the table below to help determine what Position Status should be used when enrolling an employee.

Position Status Codes and Descriptions	
Alphanumeric Code	**Description**
01 – Regular	Should be used for employees who have a regular work schedule. Can be used for both full-time and part-time employees.
03 – Seasonal/Irregular	Should be used for employees who do not have a regular work schedule. This should be used for retirees who have returned to work part-time.
04 – Temporary	Should be used for employees who are hired with a pre-determined termination date that is less than one year from their start date.
08 – Ineligible to Contribute	Should be used for employees that are hired in a position that is never eligible for participation regardless of any previous eligibility or full-time/part-time status.

- **Scheduled Units to Work and Full-Time Units**
  - **Scheduled Units to Work per Week** represents the number of units the employee is scheduled to work <u>per week</u>.
  - **Scheduled Full-Time Units per Week** represents the number of units an employee would have to work <u>per week</u> to be considered a full-time employee regardless of whether that employee works full-time or not.
- **Scheduled Type of Units Worked** represents the type of units worked for the employee in this position (Days or Hours).
- **Payroll Frequency** identifies the frequency by which an employee receives compensation for wages earned (Monthly, Semi-Monthly, Bi-Weekly, Weekly).
- **Enrollment Begin Date** represents the date an employee began working for an agency or began working under a new contribution group or position status.

- **Enrollment End Date** represents the date an employee terminated employment with an agency or stopped working under a specific contribution group or position status.
    - Enrollment end dates can be future dated and ended prior to an employee receiving their final paycheck. The ESS Portal will accept contributions on wages earned through the employee's end date.
    - Users can terminate enrollments greater than 11 months in the past, as long as no contributions have been posted since the date the employee terminated employment.

- **Enrollment End Reason** represents the reason an employee's enrollment is terminated. Refer to the definitions below to help determine what enrollment end reason should be used when terminating an enrollment.

Enrollment End Reasons and Descriptions	
Alphanumeric Code	**Description**
00 – Change in Contribution Group	Is used when an employee changes Contribution Groups, such as going from a Local Employee to a Firefighter.
01 – Retirement	Is used when an employee is retiring.
02 – Death	Is used when an active employee passes away.
03 – Change in Position Status	Is used when an employee changes Position Status, such as going from Seasonal/Irregular to Regular.
04 – Transfer	Is primarily used for PEEHIP, if an employee works in a PEEHIP participating system and they move to another PEEHIP participating system, this would be considered a transfer.
05 – Hired in Error	Is used when an enrollment was created in error. To use Hired in Error the Enrollment End Date must match the Enrollment Begin Date. If the enrollment has an End Reason of Hired in Error, the system will not map any wages/contributions to that enrollment.
06 – Voluntary Termination	Is used when an employee leaves employment of his or her own volition.
07 – Involuntary Termination	Is used when an employee is dismissed from the agency

08 – Gross Misconduct	Is used when an agency determines an offense by an employee is deemed "gross misconduct".
Merged Employer	Is only used by the RSA when a current agency merges with another existing agency.
Split Employer	Is only used by the RSA when an agency splits into multiple agencies.
Withdrawn Employer	Is only used by the RSA when an agency withdraws participation from the RSA.

LOA Status History

A Leave of Absence (LOA) is when an employee goes on unpaid leave (excluding Admin leave) that lasts longer than a pay period. This includes but is not limited to, Unpaid Maternity Leave and Unpaid Medical Leave.

In this section, a new line should be created each time an employee goes on or comes off LOA. This allows the employer and RSA to maintain a history of an employee's LOA.

- To place an employee on LOA, navigate to the Services tab > Search Demographics. Select the employee's name > Maintain > Enrollments.
- In the section titled LOA Status History enter the effective date, LOA Status, and select Save > Save.
    - The effective date is the date the employee went on LOA and/or when the employee came off LOA. This informs the RSA when wages and contributions should/should not be expected for an employee.
    - Once the employee returns to work or changes LOA status, create a new line with the new effective date and status.

LOA Status Codes	
Alphanumeric Code	**Description**
00 – Not on Unpaid Leave	Is used when an employee returns from an unpaid leave of absence.
01 – Unpaid FMLA	Is used for employees who are approved for Unpaid FMLA. This LOA status should be updated to Unpaid Medical, Unpaid Workman's Comp, or Other Unpaid Leave when FMLA expires, if the employee is still on unpaid leave.
02 – Unpaid Maternity Leave	Is used for employees who are approved for Unpaid Maternity Leave.
03 – Unpaid Medical Leave	Is used for employees who are approved for Unpaid Medical Leave.
04 – Unpaid Military Leave	Is used for employees who are approved for Unpaid Military Leave or who are receiving pay that includes <u>any</u> unpaid days.
05 – Unpaid Workman's Comp	Is used for employees who are approved for Unpaid Workman's Comp.
06 – Other Unpaid Leave	Is used for employees who are approved for Other Unpaid Leave.
07 – Unpaid Maternity FMLA	Is used for employees who are approved for Unpaid FMLA Maternity. This LOA Status should be updated to Unpaid Maternity when FMLA expires, if the employee is still on unpaid leave.
08 – Administrative Leave	Is used for employees who are placed on paid or unpaid Administrative Leave.

Enrollment Work Units History

The Enrollment Work Units History keeps a record of when an employee has a permanent change in their work schedule. This history shows how many units (days or hours) an employee is expected to work and the full-time units (days or hours) an employee is expected to work <u>per week</u> to be considered full-time.

- A new enrollment is **NOT** necessary to update an employee's work schedule.
- Use Search Demographics > Maintain > Enrollments to find the employee's work units history.

For file submitters:

- This information can be updated in the agency's software system and will be updated in ESS when an enrollment file is published.

For manual entry:

- Navigate to the Services tab > Search Demographics. Locate the employee's name, select Maintain > Enrollments.
    - Fill in the empty boxes below the current scheduled units effective date.
    - Enter the date their new work schedule became effective with their units to work per week, full-time units per week, etc.
- Select Save > Save.

What is Considered Full-Time

- Each agency determines how many hours an employee must work to be considered full-time for each job position.
- This is based on the job position, not the individual employee.
- Two people who are in the same position cannot work a different number of hours and both be considered full-time.

Retirees Who Return to Work Full-Time

If the ERS retiree works in a full-time position for a period of two consecutive years as Non-Participating, the retiree may petition the ERS Board of Control to permit the resumption of participation in the ERS. Upon approval, the member would pay the contributions of the two-year period of non-contributing service and begin contributing on future compensation.

If a TRS retiree returns to work for an ERS participating employer in a full-time capacity, they must begin contributing to ERS immediately.

How to Create New Enrollments for Retirees Who Return to Work

If an incorrect active enrollment currently exists, users will need to end this enrollment using the Enrollment End Reason of "Change in Position Status" and create a new enrollment effective immediately.

If an ERS retiree begins working **full-time** with an ERS employer:

- Contribution Group: Must be Non-Participating (due to the two-year waiting period for reinstatement).
- Position Status: **Regular.**
- Scheduled Units to Work should reflect full-time requirements for that position.
- **RSA ACTION: ERS retirement benefits will be suspended as of the Enrollment Begin Date.** Users will not submit retirement contributions for two years; however, earnings are still required to be reported in ESS.

If an ERS or TRS retiree begins working **temporarily full-time**:

- Contribution Group: Must be Non-Participating.
- Position Status: **Temporary**.
- Scheduled Units to Work should reflect full-time requirements for that position.
- **RSA ACTION: Retirement benefits will not be suspended as of the Enrollment Begin Date.** An Enrollment End Date MUST be entered at the time of enrollment creation and must be less than one year. This is a one-time-only occurrence and cannot be utilized again later with the same employer or another employer.

If this is a **Post-DROP** member:

- Contribution Group: Must be Participating.
- Position Status: **Regular.**
- Scheduled Units to Work should reflect full-time requirements for that position.
- **RSA ACTION: Retirement benefits will be suspended as of the Enrollment Begin Date.** Retirement contributions are required to be submitted IMMEDIATELY. There is no two-year waiting period for Post-DROP members.

If a **TRS retiree** begins working **full-time** with an ERS employer:

- Contribution Group: Must be Participating.
- Position Status: **Regular.**
- Scheduled Units to Work should reflect full-time requirements for that position.
- **RSA ACTION: TRS retirement benefits will be suspended as of the Enrollment Begin Date.** ERS retirement contributions are required to be submitted IMMEDIATELY. There is no two-year waiting period for members who retire in TRS and return to full-time work in ERS. This information also applies to ERS members who return to full-time work with TRS.

If an ERS or a TRS retiree begins working **part-time** with an ERS employer:

- Contribution Group: Non-Participating.
- Position Status: **Seasonal/Irregular**.
- Scheduled Units to Work must be less than the Scheduled Full-Time Units Per Week.
  - For example: If a full-time local employee position requires 40 hours per week and a retiree returns to work at 20 hours per week, the units scheduled will be 20 while the full-time units will be 40.
- **RSA ACTION: Retirement benefits will continue unless the Post-Retirement Restrictions are not met.** Users will not submit retirement contributions; however, earnings are still required to be reported in ESS. This information also applies to Post-DROP and ERS Retirees.

Note: All earnings paid to a retiree must be reported in ESS using the payment reason of Regular or Lump-Sum. This includes wages paid by a third-party employer.

Demographic Changes

How to Update an Address in the ESS Portal:

- This information can be updated by an enrollment file or manual entry.
- Navigate to Services, then select Search Demographics.
- Search for the employee by entering their SSN, PID, or search through the list of active employees.
- Locate the employee's name > select Maintain > Demographics.
- Under Address Information, select Display Future Addresses > Add New.
- This populates the Add Address box where users will add the new address information and enter the Effective Date as today's date or a future date, select Save Changes.
    - If an address is entered that RSA has marked invalid (mail has been returned from that address), users will receive an error message and the address will not be updated. Validate the address with the employee, and if correct, the employee will need to submit an updated change of address form to the RSA.

How to Update a Name in the ESS Portal:

- This information can be updated by an enrollment file or manual entry.
- Navigate to Services, select Search Demographics.
- Search for the employee by entering their SSN, PID, or search through the list of active employees.
- Locate the employee's name, select Maintain > Demographics.
- Under the Personal Information section, users will see the employee's name. This is where they will be able to update the employee's last name, select Save Changes.

Note: Only employees who have a name change due to marriage or divorce can be changed in the ESS Portal. Please contact Employer Services if there is another reason for a name change or if this is for a full name change.

For changes to an employee's Date of Birth, Gender, or Social Security Number, please contact the Employer Services Division as proper documentation will be required to make these changes.

Severity of Errors on Enrollments

- An **Error** notification will require the agency to fix the problem in the file and re-upload or edit this record via manual entry within the ESS Portal.
- A **Warning** notification will require the agency to review the entry, then override the warning within the ESS Portal if the information displayed is correct.
- An **Informational** notification requires no action from the agency to continue to load the file in the ESS Portal. However, the user should review the information to determine if any changes are necessary.

Most Common Enrollment Errors and How to Correct Them

ER0210: “FLC employees cannot be reported as Part-Time.”

This error message occurs when a user tries to enroll a part-time employee under an FLC Contribution Group or when they put the incorrect Scheduled Units to Work Per Week.

<u>To correct this:</u>

- If the employee is working part-time, they must be enrolled as a Local Employee.
- If the employee is working full-time in an FLC position, the Scheduled Units to Work Per Week and Scheduled Full-Time Units Per Week should reflect this.
- Employees who are working less than full-time and have a full-time FLC position with another employer must contribute at the FLC rate.

ER0211: "Employee has already established eligibility to participate with the RSA: contributions must be deducted."

This error message occurs when a user attempts to enroll a new employee as Non-Participating when they previously established eligibility to contribute.

To correct this:

- A contributing enrollment must be created in order to be able to report contributions.

ER0212: "Employee is participating in another System. Please either update the employee as Non-Participating or contact the RSA to confirm the end date with the other employer."

This error message occurs when a user attempts to enroll a new employee that recently worked under a different Retirement System and the previous employer has not terminated their enrollment yet.

To correct this:

- If the employee has terminated with their previous employer under another retirement system, send Employer Services an email requesting confirmation on the enrollment end date.
- If the employee is still employed under another retirement system other than ERS, they will need to be enrolled as a Non-Participating employee with the agency.

ER0215: "This employee is working in an FLC position under at least one other enrollment, so the employee must contribute at the FLC rate for this enrollment as well. Please use a 099CONT Contribution Group for this employee."

This error message occurs when a user attempts to enroll a new employee under a non-FLC Contribution Group.

To correct this:

- The new employee will need to be enrolled as either a Firefighter, Law Enforcement, or FLC Dual (if they are working for your agency in a non-FLC capacity).

ER0244: "The employee has an Enrollment End Reason which requires a new enrollment. Please verify the Enrollment End Reason; if it is valid, please create a new enrollment for the employee."

This warning message occurs when a user attempts to terminate an enrollment with the Enrollment End Reason of Change in Contribution Group or Change in Position Status.

If the Enrollment End Reason is correct, the user may proceed with overriding the warning message, save the changes and create the new enrollment.

If the Enrollment End Reason is incorrect, the user will need to update or remove the Enrollment End Reason.

ER0267: "The Enrollment Begin Date cannot be more than 11 months in the past or more than 12 months in the future. If the date is in the past, it cannot overlap with a period of time when the employee was Retired, T-Sectioned, or received a refund for previous contributions."

This error message occurs under the two following scenarios:

- When a new employee was not enrolled within 11 months of their start date.
- If the Enrollment Begin Date provided on the enrollment is incorrect. The user will need to send a statement on letterhead defining the enrollment details and email this information to Employer Services.

ER0312: "The RSA has processed a retirement or refund application for this employee, so this Enrollment End Date cannot be changed. Please contact the RSA if the member is canceling their termination."

This error message only occurs when a user uploads an enrollment file and the record in error does not have the Enrollment End Date or Enrollment End Reason listed on the file.

To correct this:

Manually enter the Enrollment End Date and the Enrollment End Reason that was entered previously, or delete the enrollment record from the enrollment file, as we already have the Enrollment End Date or Enrollment End Reason on file.

Retirement Contributions

Retirement Contributions must equal the wages multiplied by the applicable contribution rate based on the contribution group reported. Retirement Contributions should not be deducted if the employee is in a non-participating contribution group. However, non-participating employees will still have their wages and work information reported.

Pursuant to the provisions of Section 36-27-24(g), *Code of Alabama 1975*, as an ERS employer, your organization is required to submit its employer retirement contributions together with member contributions to the ERS on the first day of the month following the month in which the related member salary was paid (the due date).

Retirement Contributions not submitted within 30 days of the due date are considered to be delinquent and shall accrue interest on a per annum basis at the actuarial assumed investment rate.

For example: A member's retirement contributions deducted from their paychecks in July along with the employer retirement contributions for July are due August 1. If the ERS does not receive the required retirement contributions by August 31, interest at a per annum rate will be levied upon the delinquent balance after the monies are received following August 31.

Act 2025-367

A new Alabama law (Act 2025-367) was passed to protect the retirement contributions of public employees in the RSA. The law ensures that RSA participating employers cannot take member contributions and use them for other purposes.

Starting October 1, 2025, it will be a Class C felony to misuse retirement contributions. This includes taking funds meant for RSA and spending them elsewhere or intentionally failing to send them to the retirement system. The penalty can be up to 10 years in prison and a $15,000 fine.

Before this law, there was no specific criminal penalty for diverting retirement funds. There have been instances when a local government that participates in RSA had kept member contributions and continually refused to submit them. There was no penalty or recourse when this happened. This new law closes that gap and helps protect the integrity of the RSA. It sends a strong message: member retirement contributions must be used only for retirement – not for anything else.

This change strengthens trust in the system and helps ensure that RSA remains secure and financially sound for all its members.

File Vs Manual Submission

Retirement Contributions can be submitted by uploading a contribution file or by manually entering employees' wages and work information.

File Submission

- An agency must be file certified before uploading retirement contribution files into the ESS Portal. If an agency wants to learn more about retirement contribution file uploads, please contact the Employer Services Division.
- A retirement contribution file can be generated from the agency's software system and uploaded into the ESS Portal notifying the RSA of the employees' wages and retirement contributions for that pay period.
    - To upload a retirement contribution file, select Report > Submit Report.
    - Select Upload File under the Contributions section.
- After the business and load validations run and the file is accepted, select Continue.
- Select the employer's name in blue text; from there users will be able to work and clear any remaining errors they may have.

Manual Submission

ESS Users who submit their retirement contributions manually will navigate to the Report tab > Submit Report. Then, users will select Enter Online under Retirement Contributions.

Examples of what can be done through a manual retirement contribution submission:

- Reporting employees' wages and contributions by pay period.
- Prior pay period adjustments (Retro pay or correction).
- Adding missing employees.

How to Submit Retirement Contributions Manually:

- Navigate to the Report tab > Submit Report > Enter Online under Retirement Contributions.
- Select the Employer the submission is for.
- Select the Reporting Frequency.
- Select the Pay Period.
- Select the Pay Date.
- Once the screen refreshes, select the previous pay period to copy the Regular Payment Lines.
- After the business validations run, select Continue.
- Select the employer's name in blue text; from there users will be able to work and clear any remaining errors they may have.

Global Changes:

- Wages Multiplier: This multiplier will be used to increase the wages of all employees from the prior retirement contribution submission by a set percentage.
    - For example: A 2 percent raise awarded to all employees would be entered as 1.02
- Rate of Pay Multiplier: This multiplier will be used to increase the Rate of Pay for all employees from the prior retirement contribution submission by a set percentage.
    - For example: A 2 percent raise awarded to all employees would be entered as 1.02

Note: When submitting retirement contributions manually, users can copy over the Regular Pay payment reasons. All other payment reasons (i.e. Overtime, Lump Sum/Longevity, etc.) will need to be entered for each employee as needed.

Information that is needed on a Contribution Record

- **Payment Reasons:** Use the table below to determine which Payment Reason should be used when reporting wages and retirement contributions.

Payment Reasons and Descriptions	
Alphanumeric Code	**Description**
00 – Regular Pay	Includes straight time pay, shift differential pay, call-back pay, vacation and sick leave used in place of working.
01 – Lump Sum/Longevity and Other Pensionable	Includes pensionable bonuses and other one-time payments, as well as pensionable longevity pay for an employee.
02 – Overtime	Includes wages for time worked over and above the normal full-time work schedule in accordance with the Fair Labor Standards Act (FLSA). It would not include overtime wages which have exceeded the pensionable overtime limit. The pensionable overtime limit is applied on a fiscal year basis.
97 – Non-Pensionable Overtime	Once an employee exceeds the pensionable overtime limit, those earnings in excess should be reported as Non-Pensionable Overtime. The pensionable overtime limit is applied on a fiscal year basis.
98 – Non-Pensionable Lump Sum/Longevity	Includes non-pensionable lump sum comp time payouts, bonuses, or other one-time payments.
99 – Other Non-Pensionable	Once an employee exceeds the earnable compensation limit, those earnings in excess of the earnable compensation limit should be reported as Non-Pensionable Overtime (recommended) or Other Non-Pensionable Wages because they are no longer pensionable.

- **Actual Units Worked** represents how much the employee actually worked in the pay period being reported.
    - How many hours or days a particular employee worked in the pay period being reported. (Including sick and vacation leave being used in the place of working hours.)
    - The ratio between the Actual Units Worked and Full-Time Units is what calculates the service credit an employee earns. It is imperative that the Actual Units Worked and the Full-Time Units are reported correctly for the employee to earn the appropriate amount of service credit.
- **Type of Units Worked** represents the type of units worked for the employee in this position (Days or Hours).
- **Full-Time Units** represents the number of days or hours an employee is required to work to be considered full-time in the pay period being reported.
    - The ratio between the Actual Units Worked and Full-Time Units is what calculates the service credit an employee earns. It is imperative that the Actual Units Worked and the Full-Time Units are reported correctly for the employee to earn the appropriate amount of service credit.
- **Excess of IRS** represents the portion of wages that is in excess of the IRS limit.
    - The portion of the wages that exceed the IRS limit in a certain month must be calculated by adding up all the wages reported on a plan year basis and compared against the IRS limit for that plan year.
- **Employee Contributions** represents the portion of the employee contribution based on the employee's wages for the pay period.
    - Contributions must equal the wages multiplied by the applicable contribution rate based on the employee's tier status and contribution group.
- **Employer Contributions** are calculated by the ESS Portal based on the wages reported for that particular employee.
- **Rate of Pay** represents the employee's current pay rate.
    - Report only an employee's base rate of pay.
    - Do <u>NOT</u> include any additional pay, such as overtime or lump sums, in this field.
- **Type of Rate of Pay** identifies the employee's Rate of Pay as Hourly, Monthly, or Yearly.

Prior Pay Period Adjustments

Prior Pay Period Adjustments are made in the portal when necessary to correct what was previously reported or left off of a prior pay period's submission.

Users can only process prior pay period adjustments when a contribution submission is actively in progress. It is best practice to process these adjustments as soon as possible.

How to Enter a Prior Pay Period Adjustment

What to do when an employee has been left off a prior pay period:

- With an active contribution submission, select Add Contribution.
- Enter either the SSN, PID, or Last Name for the employee that needs to be corrected.
- Select the Plan Year and Payroll Period in which the contributions were earned, select Search.
- Select Add a New Record with the Information I Entered, select Continue.
- This will bring up a blank contribution record to add the pay information that is being reported, select Submit.

What to do when wages were reported in error:

- With an active contribution submission in progress, select Add Contribution.
- Enter either the SSN, PID, or Last Name for the employee that needs to be corrected.
- Select the Plan Year and Payroll Period the adjustment occurs on, select Search.
- Select the radio button next to the payment record that needs to be adjusted, select Continue.
    - If there are multiple records that need to be corrected, users will follow this process for each payment record.
- This will bring up the payment record screen. Correct the contribution information to what should have been reported, select Submit.

Option for File Submitters:

- If File Submitters would like to process a Prior Pay Period Adjustment in their contribution file, the file will need to have a separate record for each pay period and payment reason they are trying to correct.
    - The file needs to contain the **DIFFERENCE** (variance) in what they are trying to adjust.
    - Example: If the user submitted wages of $500 and they should have submitted $400 in wages, the file needs to contain the difference which is -$100.
    - The screen will display the new net amount of $400.

For information on how to do a prior pay period adjustment for RSA-1 contributions, please refer to page 8 in the ESS Portal Manual for RSA-1.

Overtime Limits

For Tier 1 employees, the pensionable overtime limit is 120% of their base pay. For Tier 2 employees, the pensionable overtime limit is 125% of their base pay. Once an employee reaches their pensionable overtime limit, the overtime wages in excess must be reported as Non-Pensionable Overtime. If there are wages and contributions submitted over the pensionable Overtime Limit, users may need to do Prior Pay Period Adjustments to remove these wages and retirement contributions or update the payment reason.

If the agency allows employees to be paid at straight pay for their overtime, this must be reported as Regular Pay. **The only salary that counts toward the overtime limit is the salary that is paid at the rate of time and a half in compliance with FLSA.**

Examples:

- A Tier 1 employee earns $50,000/year. Their limit on pensionable overtime wages is $10,000.
- A Tier 2 employee earns $50,000/year. Their limit on pensionable overtime wages is $12,500.

If your agency has adopted a provision to allow Tier 2 employees to receive Tier 1 benefits, they will have the same Overtime Limitation as a Tier 1 employee.

Missing Employees

To view the **Missing Employee(s)**, under the section titled View Contribution Container Details, users will see a table that shows various information regarding the retirement contribution submission. There is a section in this table titled Number of Missing Employees. Underneath this section there will be a number in the form of a hyperlink. Once the user selects the hyperlink, it will download a PDF document showing the employee(s) who are missing.

Reasons an employee might be missing:

- The employee is a new employee and did not copy over from the previous submission.
- LOA Status has not been updated.
- The employee's enrollment has not been terminated.
  - Note: a file does not have to be voided to enter a termination date.
- The data on the enrollment record does not match the data on the retirement contribution submission so the system is unable to map to the matching enrollment.
  - Users may see ER0086 as a result of this.
  - For example: The employee is enrolled as a Local Employee but is listed on the retirement contribution submission as a Firefighter.

How to Correct a Missing Employee

If the missing employee is a new hire:

- In the retirement contribution submission, select Add Contribution.
- Enter the missing employee's SSN, PID, or Last Name.
- Select the current Plan Year and Payroll Period, select Search.
- Select Add a New Record with the Information I Entered, select Continue.
- This will bring up a blank retirement contribution record to add the pay information for the missing employee, select Submit.

If the missing employee’s LOA Status has not been updated:

- Navigate to the Services tab > Search Demographics.
- Locate the employee’s name or search with the SSN or PID, select Maintain > Enrollments.
- The employee’s enrollment information will display. Navigate to the LOA Status History section. In the blank boxes towards the bottom of the LOA section, enter the date the employee went on unpaid leave and the LOA Status. Select Save > Save.
- Go back to the retirement contribution submission, the employee will no longer be listed as missing.

If the missing employee’s enrollment has not been terminated:

- Navigate to the Services tab > Search Demographics.
- Locate the employee’s name or search with the SSN or PID, select Maintain > Enrollments.
- The employee’s enrollment information will display. Select Edit next to the employee’s enrollment with the agency, enter the Enrollment End Date and Enrollment End Reason, select Save Changes.
- Go back to the retirement contribution submission, the employee will no longer be listed as missing.

If ER0086 populates due to a mismatch between enrollment and retirement contribution data:

- Example: If the employee is truly a Local Employee, but they are on the retirement contribution file as a Firefighter, follow the below steps to correct:
  - Select Edit next to the employee's retirement contribution record.
  - Select the drop-down menu for the section titled Contribution Group, select Contributing Local Employee > Save Changes.

- Example: If the employee works under a Seasonal/Irregular position status, but they are on the retirement contribution file with a Regular position status, follow the below steps to correct:
  - Select Edit next to the employee's retirement contribution record.
  - Select the drop-down menu for the section titled Position Status > select Seasonal/Irregular > Save Changes.

- Example: If the employee should be a Firefighter, but they were enrolled as a Local Employee, follow the below steps to correct:
  - Suspend the retirement contribution submission.
  - Navigate to the Services tab > Search Demographics.
  - Locate the employee's name or search with the SSN or PID, select Maintain > Enrollments.
  - The employee's enrollment history will display.
    - If retirement contributions are not linked to the current enrollment: Select Edit next to the employee's enrollment with the agency. The Enrollment Begin and End dates need to match with the Enrollment End Reason of Hired in Error, select Save Changes.
    - If retirement contributions are linked to the current enrollment: Select Edit next to the current enrollment. Terminate the enrollment with the Enrollment End Date being the end date for the previous pay period with the Enrollment End Reason of Change in Contribution Group, select Save Changes.
  - Select Add New Enrollment. Enter the information for the Firefighter enrollment, select Save Changes.
  - Go back to the retirement contribution submission in progress by navigating to Report > View History > select Unsuspend Report and select the Submission Number.

- <u>Example:</u> If the employee should be enrolled with a Seasonal/Irregular position status, but they are enrolled with a Regular position status, follow the below steps to correct:
    - Suspend the retirement contribution submission.
    - Navigate to the Services tab > Search Demographics.
    - Locate the employee's name or search with the SSN or PID, select Maintain > Enrollments.
    - The employee's enrollment information will display.
        - If retirement contributions <u>are not linked</u> to the current enrollment: Select Edit next to the employee's enrollment with the agency. The Enrollment Begin and End dates need to match with the Enrollment End Reason of Hired in Error, select Save Changes.
        - If retirement contributions <u>are linked</u> to the current enrollment: Select Edit next to the current enrollment. Terminate the enrollment with the Enrollment End Date being the end date for the previous pay period with the Enrollment End Reason of Change in Position Status, select Save Changes.
    - Select Add New Enrollment. Enter the information for the Seasonal/Irregular enrollment, select Save Changes.
    - Go back to the retirement contribution submission in progress by navigating to Report > View History > select Unsuspend Report and select the Submission Number.

How to Apply an Invoice to a Retirement Contribution Submission

Once the user has completed making all corrections, select Submit Details.

- Under the Invoices section, select the box(es) to the left of each invoice to apply them to the retirement contribution submission.
    - Credit invoices will deduct the invoice amount from the total amount of Employee/Employer contributions owed.
    - Debit invoices will increase the total amount of Employee/Employer contributions owed.

Payment Screen

The Payment screen is the last screen users will see prior to submitting payment for retirement contributions. On this screen, users will enter the total amount of Employee/Employer retirement contributions owed.

- Enter the total amount owed under the Remit Your Employee/Employer Retirement Contributions and Invoice Payments.
- The user will enter their ESS PIN > Submit Your Payment.
    - There will be a pop up stating, “Once you click OK, the submission will be finalized and no more edits can be made. Would you like to continue?” If the submission is ready to be finalized, select OK. If the submission is not ready to be finalized, select Cancel to go back and make any necessary corrections.

Results Screen

Once the user has finalized their retirement contribution submission, they will be taken to the Results screen. This screen will show users a table with a breakdown of retirement contributions similar to the Summary screen on the retirement contribution submission. Users are able to print this screen as is, or they can select **Remittance Advice** in the bottom right-hand corner of the table. Doing this will download the Remittance Advice in a PDF format.

Severity of Errors on Retirement Contributions

- An **Error** notification will require the agency to fix the problem in the file and re-upload or edit this record via manual entry within the ESS Portal.
- A **Warning** notification will require the agency to review the entry, then override the warning within the ESS Portal if the information displayed is correct.
- An **Informational** notification requires no action from the agency to continue to load the file in the ESS Portal. However, the user should review the information to determine if any changes are necessary.

Most Common Retirement Contribution Errors and How to Correct Them

ER0086: "The employee was reported with contributions but either does not have an enrollment or the Pay Period End Date is earlier than the Enrollment Begin Date."

This error message typically occurs on contribution files when an enrollment has not been created for this employee or the enrollment information does not match what was previously reported.

<u>To correct this:</u>

- The user will need to either create an enrollment for this employee or validate the enrollment information is correct. Refer to pages 55 – 56 for more information on ER0086.

ER0265: "The Type of Units Worked does not match the Type of Units Worked on the employee's enrollment record."

This error message occurs when the Type of Units Worked is blank or incorrect.

<u>To correct this:</u>

- The user must change the Type of Units Worked to reflect the Type of Units Worked on the employee's enrollment.

ER0272: "The employee is working in an FLC position under at least one other enrollment, so the employee must contribute at an FLC rate for this enrollment as well. Please create a new enrollment for this employee using a 099CONT Contribution Group before providing any additional wages or contributions."

This error message occurs when an FLC enrollment has been created for an employee with another ERS participating employer or they are still enrolled as FLC with their prior employer whom they no longer are employed by.

To correct this:

- The user will need to delete the current contribution record from the submission and terminate the previous enrollment. They will then create a new enrollment as either Contributing Firefighter, Contributing Law Enforcement, or Contributing FLC Dual (if working for current employer in a non-FLC capacity). Once the FLC enrollment has been created, the user can go back to the contribution submission and add the employee back under their new Contribution Group.

ER0317: "This employee is or will be contributing in an FLC position under at least one other enrollment. The system will allow this employee to contribute at the local rate for this pay period, although if this employee is going to continue to work with this agency, please end the current enrollment and create a new FLC Dual enrollment. Keep in mind the FLC Dual will require contributions at a higher rate in the next reporting period after the FLC enrollment begins. Contact the RSA if you have any questions."

This warning message occurs when an FLC enrollment has been created for an employee with a future begin date, either with the logged in employer or another employer under the same Retirement System. This warning can be overriden. It is recommended that if the FLC enrollment is not under the logged in employer, the user will need to terminate the previous enrollment and begin a new FLC enrollment beginning with the next pay period.

ER0320: "The Actual Units Worked are more (or less) than expected based on the Scheduled Units Worked per Week."

This warning message occurs when the Actual Units Worked is more or less than what is expected of the employee to work per their Enrollment.

To correct this:

- If the information reported is correct, the user can select Override Warnings and Save Changes. If not, the user will need to correct the Actual Units Worked to what the employee worked in the given pay period.

Retirement Contribution Scenario

How to report contributions for an employee who went from being a Local Employee to a Firefighter (or Law Enforcement) in the middle of a pay period? While it is preferred that users wait to transition an employee from Local to FLC at the beginning of the following pay period, they can split the pay period as needed. It is recommended to follow the steps below:

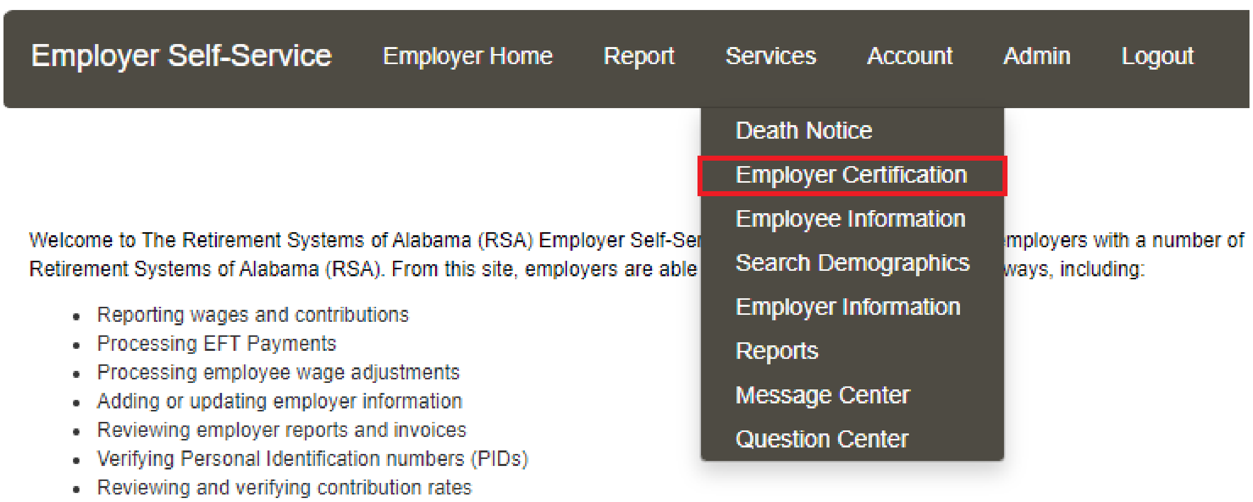
- Make sure the Local Employee enrollment is on the contribution submission with the correct amount of hours worked, wages, and contributions they earned for this enrollment.
- Suspend the contribution submission.
- Navigate to the Services tab > Search Demographics.
- Locate the employee's name or search with the SSN or PID, select Maintain > Enrollments.
- Select Edit next to the Local Employee enrollment. Enter the Enrollment End Date as the last day this employee worked under this enrollment, with the Enrollment End Reason of Change in Contribution Group.
    - Warning message ER0244 will appear. Select the box to Override Warnings > Save Changes.
- Select Add New Enrollment to create a new enrollment for the FLC position with the Enrollment Begin Date being the date the employee began working under the new enrollment.
- Go back to the contribution submission in progress by navigating to Report > View History > select Unsuspend Report and select the Submission Number.
- Select Add Contribution.
    - Enter the missing employee's SSN, PID, or Last Name.
    - Select the current Plan Year and Payroll Period, select Search.
    - Select Add a New Record with the Information I Entered, select Continue.
    - This will bring up a blank contribution record to add the pay information for the new enrollment, select Submit.

Employer Certification

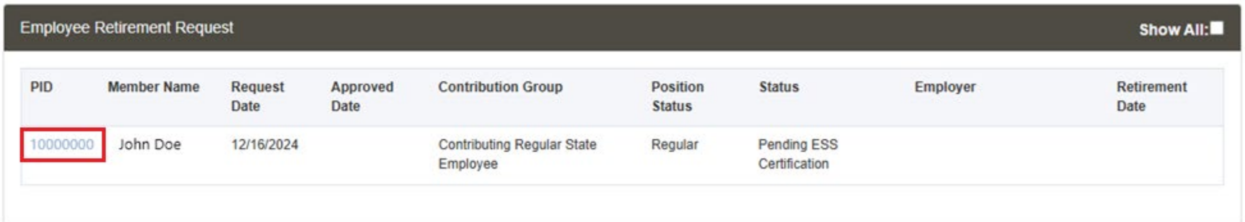
- Users must certify pensionable wages and work units within the ESS Portal prior to the employee's retirement.
- It is imperative that the Employer Certifications are accurate. Any deviations from the projected salary/wages on the certification can result in changes in service, average final salary, and may reduce the employee's benefits or change their eligibility to retire.

Accessing an Employer Certification in ESS

- The agency will be notified via email when an *Application for Retirement* needs an Employer Certification. Users can also view the message in the ESS Portal Message Center.
- For ESS Users to receive communications regarding Employer Certifications in the ESS Portal, they must have the role of either "Administrator" or "Staff" and the contact type of "Retirement Certification."
- To access certification requests, select Services > Employer Certification.



- The Employer Certification screen will then display. If the status of the request is Pending ESS Certification, action must be taken to complete the certification.
- To begin certifying, select the PID hyperlink to open the Retirement Certification screen.

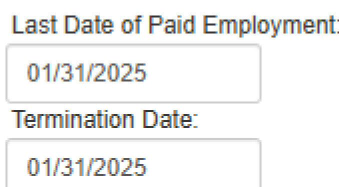


Employee Retirement Request — Show All:

PID	Member Name	Request Date	Approved Date	Contribution Group	Position Status	Status	Employer	Retirement Date
10000000	John Doe	12/16/2024		Contributing Regular State Employee	Regular	Pending ESS Certification		

Last Date of Paid Employment and the Termination Date

- The 'Last Date of Paid Employment' is the last day for which the employee is paid. This day is <u>not</u> the date they receive their final paycheck.
- The 'Termination Date' is the employee's last day of employment, paid or unpaid. The termination date is always prior to the effective date of retirement. The effective date of retirement is the 1st day of the month in which the employee is to retire.
- On the certification screen, these two dates are populated with the last day of the month prior to the listed retirement date. Verify the dates are accurate and make changes if necessary.



Breakdown of Final Wages

- The certification screen will populate all pay periods from the initial request date through the retirement date.
- Proceed with entering the <u>projected</u> base wages, the Type of Units Worked, the <u>projected</u> Actual Units Worked, and the Full-Time Units for each pay period listed.
- Once one contribution row is completed, users can copy the information entered for Wages, Units Worked, and Full-Time Units by clicking this button on the associated row. Users can then paste this information to another contribution row if the information is the same for that particular pay period by selecting this button .

- Users can delete a row that is not needed by checking the box for that row and then selecting **Delete** in the bottom left-hand corner.
- Users can also add a row if needed by selecting **Add Line Item** in the bottom left-hand corner.
- When the employee's last day of employment falls in the middle of a pay period, ensure the Wages and Actual Units Worked are prorated accordingly for the partial pay period prior to their last day.
- Once the requested payroll periods have been accurately projected, select **Calculate** for the ESS Portal to calculate the employee contributions.
- Select **Save** in the bottom right-hand corner afterward to see if any errors occur or if the salary breakdown was accepted successfully.

Payroll Frequency	Pay Period Begin Date	Pay Period End Date	Pay Date	Payment Reason	Wages	Employee Contribution	Employer Contribution	Type of Units Worked	Actual Units Worked	Full Time Units
Bi-Weekly	11/22/2024	12/05/2024	12/13/2024	Regular pay	$2,500.00	$187.50	$505.25	Hours	80	80
Bi-Weekly	12/06/2024	12/19/2024	12/27/2024	Regular pay	$2,500.00	$187.50	$505.25	Hours	80	80
Bi-Weekly	12/20/2024	01/02/2025	01/10/2025	Regular pay	$2,500.00	$187.50	$505.25	Hours	80	80
Bi-Weekly	01/03/2025	01/16/2025	01/24/2025	Regular pay	$2,500.00	$187.50	$505.25	Hours	80	80
Bi-Weekly	01/17/2025	01/30/2025	02/07/2025	Regular pay	$2,500.00	$187.50	$505.25	Hours	80	80
Bi-Weekly	01/31/2025	02/13/2025	02/21/2025	Regular pay	$250.00	$18.75	$50.53	Hours	8	80

Delete Add Line Item Calculate

Final Sick Leave Certification

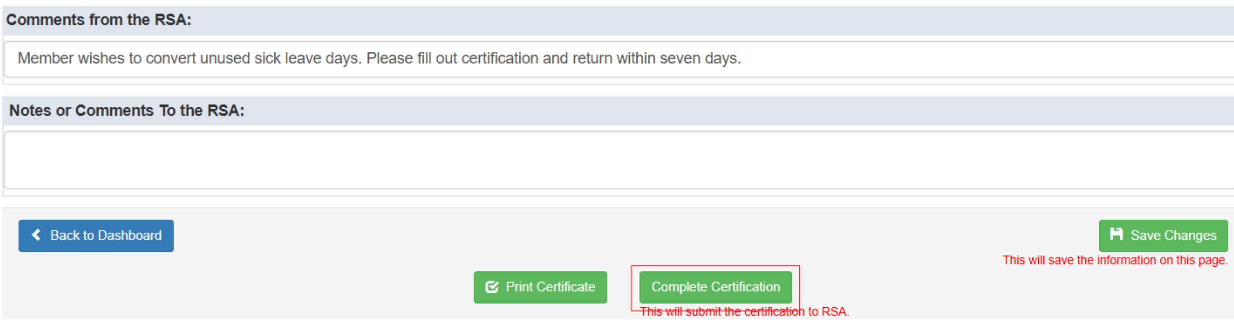
- The Final Sick Leave Certification box will only be displayed if the agency has adopted the Unused Sick Leave Conversion Provision and the member elects to convert unused sick days toward retirement service credit.
- Enter the projected unused sick leave the employee will have at the time of retirement in days, not hours.

Final Sick Leave Certification:

Unused Sick Leave Days at Retirement : 0

Comments Section & Completing the Certification

- Review comments from the RSA staff regarding the employee's retirement application, conversion of sick days, etc.
- There is a section, Notes or Comments To the RSA. This text box is used to explain any unusual circumstances or provide further details for a retirement counselor to review.
- To finalize the employer certification, select **Complete Certification**.



- To print a copy of what has been certified, select **Print Certificate**.
- Any errors or changes that occur once the certification has been completed must be reported to ERS in writing. This can be emailed to Employer Services at employer.services@rsa-al.gov.

Reports

The ESS Portal provides various reports available to the users, which contain detailed information regarding the agency. To generate a report, the user will go to the Services tab > Reports. They will then select the report name from the drop-down menu. Below are some of the most common reports used by users.

Report Name	Description
Agency Retirement Eligibility	Displays retirement eligibility information for employees.
Annual Checklist Report for ERS	Generates a list of employees contributing under the previous plan year for an ERS employer. Note: Data displayed in the report is in real time. Any adjustments/changes made after the original report was run are reflected in this report.
Contribution Adjustment	Provides the users with a list of employees for whom an adjustment (positive or negative) was made between two dates. Note: Data displayed in the report is in real time. Any adjustments/changes made after the original report was run are reflected in this report.
Current Contribution Submission	Provides a list of employees in a selected contribution submission, along with the original wages from the file and the difference in the current/posted amounts if changes were made for Wages, and employee contribution amounts (EECON), so changes can be identified. If users need to see beyond 24 months, they will need to check the box for “Include Archived Data?” Note: Data displayed in the report is displayed in real-time. Any adjustments/changes made after the original report was run are reflected in this report.
Current Enrollment Detail	Displays details of the enrollments for all current employees (having non-ended enrollments) for the selected employer, including Contribution Groups, Position Status, Scheduled Units, Full-Time Units, Units Annually Contracted, Demographic and Address information, and Tier status.
Current Enrollment Summary	Displays a summary of the enrollments for all current employees (having non-ended enrollments) for the selected employer.

Demographic Errors	Lists all demographic errors for the selected period of an employer, such as address, name, etc.
Earnable Compensation Limit	Displays employees that are near, have met, or exceeded the IRS Wage Limit per the selected Plan Year.
Employer Invoice Report	This report allows users to view the list of credit and debit invoices available for the selected employer.
Employer Remittance	This report is commonly requested by auditors to get an overall view of your agency's RSA contribution reporting. When generating this report, a date range must be entered. This report will include information on contributions/wages reported and any invoices generated or applied during the period entered, separated by contribution submission(s).
Enrollment Submission Summary Report	Provides a breakdown of the number of new enrollments created by the Publish process, the number of existing enrollments updated by the Publish process, and enrollment records pending the Publish process due to the number of errors.
ERS – Annual Statement Listing	This report provides employers with an overview of their employees' Member Account Balances and Beneficiary Data as of the end of the previous fiscal year. If this information is incorrect then they would need to notify RSA as soon as possible to get this information updated.
Error Summary	This report shows a summary of errors within a specific report period.
Exception Report for ERS	Lists all ERS employees who have not received full-service credit for the plan year.
Hired in Error Enrollments	Lists member enrollments marked as Hired in Error or invalid members with outstanding balance.
Invalid Address	This report lists all Invalid addresses for all active employees with an agency. This includes the PID, name, effective date of the address and the address deemed inactive.
Leave Without Pay	Displays all employees for the selected employer who were on an approved unpaid leave of absence for at least one day between the selected begin and end dates.
Member Enrollment	Displays member enrollment information by Retirement system and Employer.
Missing Employees from Contribution	This report displays contributing regular employees who are expected to be reported by an employer for a particular payroll frequency and pay period, but who are not included in that submission.

Missing Employees from Posted Contribution	This report displays missing contributions for regular employees whose enrollment was created for a period for which a contribution report has already been posted and the member contributions are missing.
Non-Participating Part-Time Status	Displays all employees reported in a non-participating group reported under one employer, as well as all non-participating employees reported by more than one employer.
Outstanding Edit Errors	Provides the user with the list of outstanding Edit errors by employer code and submission ID.
Outstanding Load Errors	Provides the user with records that triggered a Load validation.
Overtime Limit	Provides a summary of employee wages for the purposes of tracking the pensionable overtime limit for employees of a specified employer.
Post-Retirement Employment	Lists all working retirees for an employer and the wage limitation that applies to the retirees. This report will also indicate if a post-retiree is working for more than one agency.
Retirees by Employer	List all retirees by employer.
Retirement Requests	This report is to show all Retirement requests that are either in progress/pending or approved.
Temporary Employment	Provides a list of Temporary employees who are being enrolled in multiple temporary enrollments (e.g., to avoid the 1-year Temporary employment limit).
Wages and Contributions	Displays wages and contributions broken down by Contributed Wages (pensionable), Non-Contributed Wages (non-pensionable), Employee and Employer Contributions, RSA Calculated Contributions (based on tier group), and the Difference in Contributions. This can be used to assist in identifying differences in contribution amounts during reconciling. This report can also be compared against the Payroll Deduction Report generated from your payroll software. This is the only report available in ESS that contains an employee's full Social Security Number. Note: Data displayed in the report is displayed in real-time. Any adjustments/changes made after the original report was run are reflected in this report.

The information provided in this manual is meant to be a resource to assist ESS Users with ESS Portal reporting processes. This manual will not address every scenario that users may have. We also encourage employers to periodically refer to the RSA website for important ERS information.

If you have any questions, please contact the Employer Services Division at 334.517.7005, option 1, or by email at Employer.Services@rsa-al.gov.