File Upload Contribution Reporting

Employer User Guide

Arizona State Retirement System

2016

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Section One:

Introduction

Introduction to the File Upload Contribution Reporting Guide

Purpose

The ASRS File Upload Contribution Reporting System is a file-upload application specifically for use by ASRS employers whose payroll software can generate a file that is compatible with the ASRS File Upload Contribution Reporting application. Its purpose is to manage required contribution reporting, including the ability to process payroll changes that impact employee(s) records such as pay period updates and adjustments in the areas of contributions and Service Purchase. In addition, the application allows the user to generate and view detailed reports, such as the ASRS Contribution Summary Report (CSR), that provide useful information for accomplishing the various processes.

This guide will walk you through the process of reporting contributions using the file-upload application, providing instructions on the initial set up of a new employer, the contribution reporting process, contribution adjustments, and troubleshooting.

Section Two:

Getting Started

Getting Started

Employers may use one of two contribution reporting applications. This guide is for the File Upload Contribution Reporting application.

Definitions

ACH: Automated Clearing House. This is the only method by which the ASRS can receive contributions.

Base / Leave Pay Information: This pay type includes Critical Retention Pay, Leave Pay not due to termination, Holiday Pay, Sick Leave, Annual Leave, Administrative Leave, Donated Leave, Sabbatical Pay and Compensatory time.

CSR: Contribution Summary Report

EE: Employee

ER: Employer

Non-Standard Pay Information: This pay type includes Hazardous Duty Pay, Standby Pay, Shift Differential and On Call Pay.

Performance, Bonuses, Longevity and Stability Pay Information: Do not report this Pay Type if it is due to termination.

PPE: Pay Period Ending. This is the last day of a pay period and is the date used to identify the pay period with the ASRS. Contributions are due to the ASRS within 14 calendar days of the PPE date.

Termination Incentive Pay Information: Report this Pay Type only for employees whose ASRS membership date is prior to 01/01/1984.

Termination Pay Information: Report this Pay Type only for employees whose ASRS membership date is prior to 01/01/1984.

Roles

Employers must have at least one employer user with the Employer Administrator role. The Employer Administrator is responsible for managing which employer users are assigned roles within the Contribution Reporting application. The Employer Administrator can create new employer user accounts and can assign or remove contribution reporting roles.

The roles that can be assigned are Maintain CSR, Maintain Payment, and Maintain File Data. The Employer Administrator can assign any combination of these roles to employer users and themselves.

- Maintain CSR role is required to create, save and submit a CSR
- Maintain Payment role is required to set up and authorize an ACH payment request
- Maintain File Data role is required to upload a payroll file or adjustment template

Initial Setup for a New Employer

Set Pay Cycle Indicator

Prior to initiating any transactions, the Pay Cycle Indicator must be set. An employer user with any Contribution Reporting role is able to set the Pay Cycle Indicator. If the employer's pay cycle changes, this is also the way to change the pay cycle within the contribution reporting application. Here are the steps to setting or changing your pay cycle;

1. Log in to your employer user account.
2. Click on Pay Cycle Information under the Contribution Process heading within Contribution Reporting on the left side navigation menu.
3. Click on the drop-down arrow to select Bi-Weekly, Semi-Monthly, Weekly, or Monthly as the pay cycle.
4. Click Submit.

Add ACH Bank Account

In order to submit payment for contributions to the ASRS, you must set up an ACH account. Click on ACH Account Profiles under the Contribution Reporting heading in the left side navigation menu. Click on Add Bank Account and enter the details to set up the bank account.

Employers can use one bank account for active employee contribution reporting and set up a separate account for alternate contribution rate reporting, or a single account can be used for both.

Add Bank Account

Select the Type of Account to add.
- ○ Alternate Contribution Rate Account
- ◉ Contribution Accounting

Description [ ] (Any description to Identify the account such as 'Primary Account', 'Secondary Account')

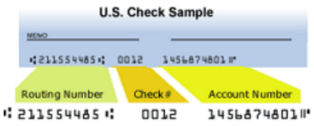
Bank Name [ ]

Account Type Checking

Routing Number [ ] (Is usually located between the symbols ⑆ on your check.)

Account Number [ ] (Typically comes before the ⑈ symbol. Its exact location and number of digits varies from bank to bank.)

Retype Account Number [ ]



[Add Bank Account] [Cancel]

Section Three:

Contribution Reporting Process

Contribution Reporting Process

To begin, log in to your account. We'll look at the overview of the steps and then look at each step individually.

Quick Overview: Submitting Contributions

These are the general steps to take when submitting contributions for a pay period to the ASRS.

1. Generate your software's payroll file and take note of the totals
2. Log in to your secure employer account and visit Pay Period Summary
    a. Add the Pay Period End Date
    b. Create CSR and submit it
    c. Make Payment
    d. Upload Contribution Detail File
    e. Upload Adjustments (if applicable)

Pay Period Summary

Once you have generated your payroll file and are familiar with the totals it contains, click on Pay Period Summary. The Pay Period Summary link is found in the left side navigation menu under Contribution Process. The Pay Period Summary page allows authorized users to generate a Contribution Summary Report (CSR), view a CSR report, view adjustments, and make an ACH payment. The summary also lists all previous CSRs detailing their statuses and viewing reports and adjustments.

Add Pay Period End Date

Check the Fiscal Year to ensure it is pointing to the correct year. If it isn't, choose the correct fiscal year by clicking the drop-down arrow and selecting the correct year. Then begin by entering a Pay Period End Date and click **Add PPE**.

A new row will display in the Pay Period Information table with the PPE Date you just added. Click *Create CSR, Make Payment & Upload Detail Data*. This will take you through all the steps to report contributions for this pay period.

Create CSR

Using the information from your payroll file, you will enter the information in the CSR Details.

NOTE: PLAN refers to the current Arizona State Retirement System Defined Benefit Plan. SYSTEM refers to the former Arizona State Retirement System, which closed to new membership in 1971. Most employers no longer have employees who are System members, and therefore should not enter contribution information for rows labeled SYSTEM.

First, enter the total gross salary, employee contributions, and employer contributions for retirement in the RETIREMENT CONTRIBUTIONS section (the contribution rates are listed for your convenience).

If you are reporting any adjustments to retirement contributions on a prior pay period, enter that information in the Adjustments row on the CSR. For more information on Adjustments, please review the Adjustments section starting on page 17 prior to submitting the CSR.

Next, enter the total gross salary, employee contributions, and employer contributions for Long Term Disability in the LTD CONTRIBUTIONS section. Include any adjustments as applicable.

Third, enter any service purchase deductions for employees who have a current Payroll Deduction Agreement for the purchase of ASRS service credit.

Enter any comments that would be useful for ASRS staff to properly process the contributions.

Click the **Save/Recalculate** button. If you have changed any information after saving, click the **Save/Recalculate** button before submitting the CSR. Once you are ready, check the certification box and click **Submit CSR**.

Make Payment

The next step is to set up the payment. On the ACH Payment page, check to make sure the PPE Date showing is the correct date and the amount is the correct amount from your CSR. If you arrived on this page because you clicked on *Make Payment* from the PPE Summary page, then the PPE Date should correspond to the pay period row from which you clicked on *Make Payment*. If you arrived on this page because you clicked *Create CSR, Make Payment & Upload Detail Data*, then the PPE and CSR totals should match the CSR you just created.

In the Payment Information section, ensure your **Account to Debit** is set to the correct bank account. Enter your Requested Deposit Date, the total amount of your payment, and any comments, if necessary.

ACH Payment

Please enter the new Payment Information for the following PPE dates or CSR:

PPE/CSR Information

Payments can be made for a submitted CSR or for a PPE

- If you want to pay for a submitted CSR, pick the appropriate link in the drop down that has PPE date and the associated CSR with amount.
- If you want to pay for a PPE date, pick the appropriate PPE date without a CSR.
- The CA ASRS Company ID is #2860250939

PPE Date:

CSR Information

PPE Date	06-18-2016
Reporting Unit Number	0000
Total Retirement Contributions	1135
Total LTD Contributions	12.00
Total Service Purchase Deductions	0.00
Grand Total	1147.00

Payment Information

Account to Debit

Requested Deposit Date

Amount

Comments

(Please limit the comments to a maximum of 250 characters)

250 characters left

Save ACH | Submit ACH | Cancel

If your employer does not require a separation of duties for submitting a payment, then click **Submit ACH**. If your employer does require that one person sets up the payment and a different person submits it, click on **Save ACH**. The other individual will then log in to their employer user account, click on *Pay Period Summary*, find the appropriate pay period in the table, and click *Make Payment*. They will submit the ACH. Regardless of which person clicks **Submit ACH**, the last step to make the payment is to confirm the payment information and click **Authorize Payment**.

Authorize ACH Payment

Please confirm the Payment Information given below.

CSR Information

PPE Date	06-18-2016
Reporting Unit Number	0000
Total Retirement Contributions	1135.00
Total LTD Contributions	12.00
Total Service Purchase Deductions	0.00
Grand Total	1147.00

Payment Information

Requested Deposit Date	06-30-2016
Routing Number	000000000
Account Number	000000000
ACH Amount	1147.00

Authorize Payment Cancel

If you have clicked *Create CSR, Make Payment & Upload Detail Data* and authorized the ACH payment, you will see a summary of your ACH payment information. The next step is to click **Upload Data** to upload your file(s).

ACH Payment

Thank you for using ASRS online contribution payment system. Your request has been scheduled for 06/30/2016.
Here is a summary of your request. You can print a copy of this page and keep it for your records.
A pending ACH payment must be stopped before any changes can be made.

PPE date	06/18/2016
Requested Deposit Date	06/30/2016
Reporting Unit	0000
Account Description	Active
Routing Number	0000000000
Account Number	0000000000
Amount	1147.00

Upload Data

Back To Pay Period Summary

Upload Contribution Detail File

Now that the CSR has been submitted and the payment has been authorized, the final piece of the process is to upload your file or files. **NOTE:** if you have any adjustments to include, you will find more information about this starting on page 17.

If you clicked *Create CSR, Make Payment & Upload Detail Data*, then clicking the **Upload Data** after authorizing the payment will bring you to the File Upload Report page. Otherwise, clicking *Upload Contribution Detail File* from the appropriate pay period on the Pay Period Summary page will bring you to the File Upload Report page.

The CSR information is displayed first. In the File Upload Information section, first click to browse/choose your file. If you have multiple files to upload for this pay period, you must upload them separately. Indicate what type of file you are uploading in the Content area. **NOTE**: If your payroll software provides a file containing both contributions and service purchase deductions, check both boxes for Contribution and Service Purchase. If you need to add comments, you may do so with the Comments box. Comments are not required for Contribution or Service Purchase files, but a comment is required for an Adjustment file.

Sample File Upload Report

File Upload Report

Upload the file you want to send us.

The file has been uploaded successfully. Additional files can be uploaded if required.

CSR Information

PPE Date	06/18/2016
Reporting Unit Number	0000
Retirement Contributions	1135.00
LTD Contributions	12.00
Service Purchase Deductions	0.00
Grand Total	1147.00

File Upload Information

Attn: New adjustment template is available for download.

File Name Browse...

Content
- ☐ Contribution
- ☐ Service Purchase
- ☑ Adjustment

Comments

(Please limit the comments to a maximum of 250 characters)

250 characters left

Upload File

Online Adjustment Template

This feature allows authorized users to download the adjustment template, key in required data and upload the file along with the details file.

Instructions to report adjustments:

1. If you are adjusting a payroll that was not reported on the details file submitted, tell us if you are backing out the contributions or adding contributions to a PPE date.
2. If you have reported contributions on the details file, you must back it out and breakdown the contributions by Pay Period to Adjust.

NOTE: You must indicate "Adjustment" in the **Content** of the "File Upload Information" section.

Click to download new Adjustment Template

Loaded Files

File Name	Content	Status	Upload Date	Comments
FileName.xlsx	CNT	Received	06/24/2016	

Return to Pay Period Summary

Click **Upload File**. Once all applicable files have been uploaded for this pay period, you have finished the process. You may wish to return to the Pay Period Summary page to review the status of the three elements for the pay period (CSR, ACH payment, File data).

Adjustments

Corrections to a current pay period report after it has been prepared should be reflected on the file and on the CSR prior to submission. If the changes are made before submission, no further correction should be necessary. If an error is identified after the CSR has been submitted, an adjustment must be made in the same detail as other reported transactions.

The adjustment template is an addition to your payroll file. Be aware of the data on your payroll file first so you can identify the necessary correction.

NOTE: If you are doing an off-cycle or special payroll you can report that payroll separately with its own PPE date. If you choose not to report it on a separate PPE date, and it is not on the regular payroll file, then just add it to the adjustment template.

To report adjustments, use the Online Adjustment Template, which is available for download on the ASRS secure website by choosing *Upload Contribution Detail File* within the Pay Period Summary screen. (See sample on page 18)

Enter a separate transaction line including the employee's SSN and name and the affected PPE date for each adjustment. First, back out the incorrect compensation and contribution amounts previously reported. Then enter the correct compensation and contribution amounts. When indicating a credit, use a leading negative sign before the dollar amounts.

The template will automatically calculate the total adjustments. Upload the adjustment file in the Upload Contribution Detail File screen.

Example Online Contribution Adjustment Template

ARIZONA STATE RETIREMENT SYSTEM (ASRS)
Online Contribution Adjustment Template

INSTRUCTIONS:
Instructions have been moved to the Instructions worksheet within this file so we can provide additional information about the allowable values for the new Pay Type data we are collecting.

Notes:
* A thorough validation of the information you provide will happen when you save this workbook.
* You must **enable macros** for the validation capabilities of this workbook to function.
* Please be careful about where you save this file because it contains sensitive, personally identifying information.
* If you have questions or problems, please contact ASRS Contribution Accounting.

Total Adjustments	
Gross Salary	$1,500.00
EE Amount	$0.00
ER Amount	$0.00

Validation Successful

SSN	Last Name	Middle Name	First Name	Gross Salary	EE Amount	ER Amount	Pay Type	Hours Worked	Pay Period to Adjust
000-00-0000	One	A	Employee	-$1,500.00	-$340.50	-$340.50	Base / Leave	80.00	7/15/2016
000-00-0000	One	A	Employee	$1,500.00	$170.25	$170.25	Base / Leave	80.00	7/15/2016
000-00-0000	One	A	Employee	$1,500.00	$170.25	$170.25	Base / Leave	80.00	7/1/2016

In this example, Employee One's contributions for PPE 7/1/2016 were not reported to the ASRS. On the adjustment template, the employer provided the contributions that are on the payroll file for PPE 7/15/2016 and used negative signs to indicate the amounts should be reversed. On the next row, the employer provided the correct amounts for PPE 7/15/2016. On the third row, the employer provided the information that should have been reported for PPE 7/1/2016. In this example, the employer is providing a correction to the payroll file so there is no additional amount to be paid. Therefore, the total adjustments in the upper right corner show $0 for the employee and employer contributions.

You must indicate "Adjustment" in the Content of the "File Upload Information" section. (See sample on page 16)

After completing the adjustment screens, update the CSR of the current PPE date to include the adjustment amounts and any late charge amounts in the appropriate fields. Then submit the CSR.

When adjustments are entered on the CSR, the total net contributions due for the current PPE date will be automatically calculated to reflect any additional contributions due to the ASRS (for previously omitted amounts) or any contributions for which the employer receives a credit (for

overpayments of contributions previously submitted in error). The amount remitted on the ACH should equal the totals reported on the CSR.

Minor adjustments that merely change a dollar amount previously reported, either to partially increase or reduce contributions, may be reported as indicated for current fiscal year corrections. You must clearly indicate the PPE date and the fiscal year to which the adjustment applies.

NOTE: Do not report prior year adjustments as part of or with a regular contribution report without ASRS authorization.

Troubleshooting

- The application will not allow you to add the same PPE date multiple times. If you have multiple payroll runs for the same PPE date, create a new CSR for each payroll run. After creating a new CSR, the pay period summary will show a new row in the table.

- Double check your payroll file extension. If it is .CSV, this is likely your ACR file, which is reported using the ACR process, which is a different application.

- If you are doing an off-cycle or special payroll you can report that payroll separately with its own PPE date. If you choose not to report it on a separate PPE date, and it is not on the regular payroll file, then add it to the adjustment template.

- Submit your CSR before uploading your file or setting up a payment. The CSR creates a framework for the files and payment and enables the ASRS to see the appropriate detail for the payroll.