



2019 **EMPLOYER USER GUIDE**

FILE UPLOAD
CONTRIBUTION
REPORTING

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Section One:

Introduction & Purpose

Introduction & Purpose

The Arizona State Retirement System (ASRS) utilizes paperless processes for reporting contributions. File Upload Contribution Reporting 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.

You will find more information about contribution reporting, including relevant state statutes and employer responsibilities, in the ASRS Employer Manual. This is available for download from the Employer Reference Materials page of the Employers section of the ASRS website.

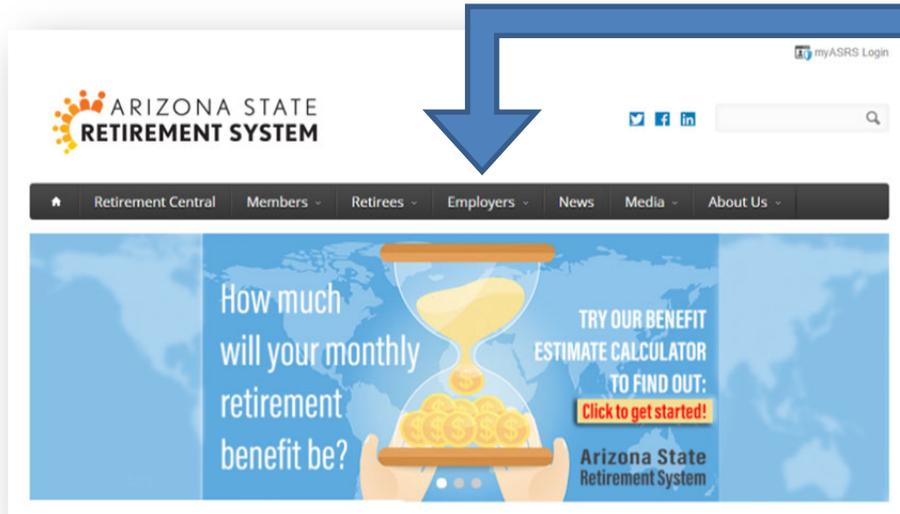
In order to access File Upload Contribution Reporting functions, employer users of the ASRS secure employer website must have the appropriate role(s). Employer users with the Employer Administrator role are responsible for managing role assignments on the Maintain Employer Users page.

Section Two:

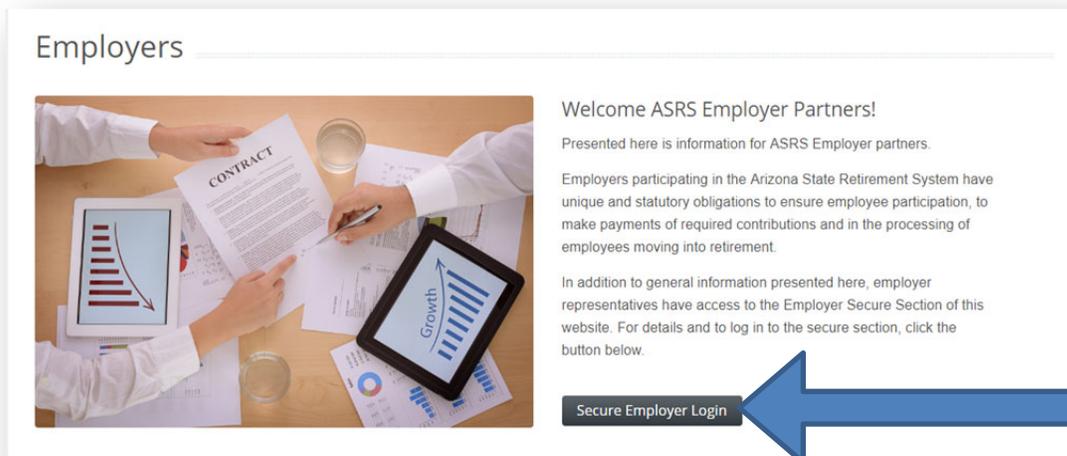
**Secure Employer Website
Login**

Secure Employer Website Login

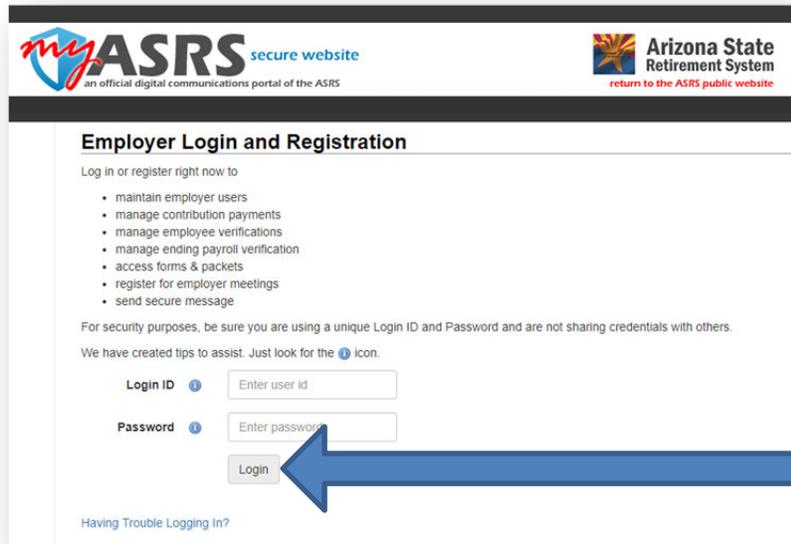
To access the applications detailed in this guide, you will need to log in to your secure employer account on the ASRS website. Visit the ASRS website at www.AzASRS.gov and click on the **Employers** tab at the top of the page.



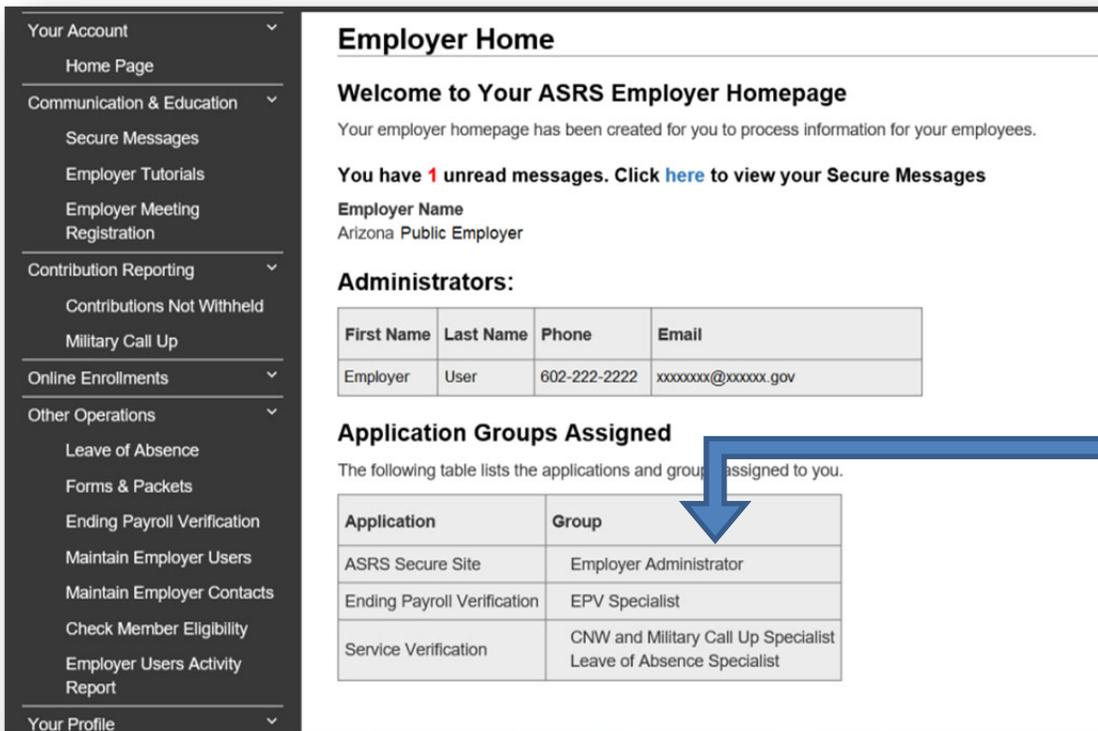
Click on **Secure Employer Login**.



On the **Employer Login and Registration** page, type in your Login ID and password, and then click **Login**.



From the **Employer Home** page you will see the roles assigned to you listed in the **Group** column of **Application Groups Assigned**.



Section Three:
Getting Started

Getting Started

ASRS Employers may use one of two contribution reporting applications. This guide is for the File Upload Contribution Reporting application. It may be useful to familiarize yourself with the terms used in the application and within this guide. Below you will see a list of these terms, an explanation of the role assignments applicable to this process, and how to do the initial setup if you are a new ASRS employer reporting contributions for the first time.

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 January 1, 1984. See “Compensation for Pre-1984 Members” in chapter 5 of the ASRS Employer Manual.

Termination Pay Information: Report this Pay Type only for employees whose ASRS membership date is prior to January 1, 1984. See “Compensation for Pre-1984 Members” in chapter 5 of the ASRS Employer Manual.

Roles

In order to access File Upload Contribution Reporting functions, employer users of the ASRS secure employer website must have the appropriate role(s).

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.

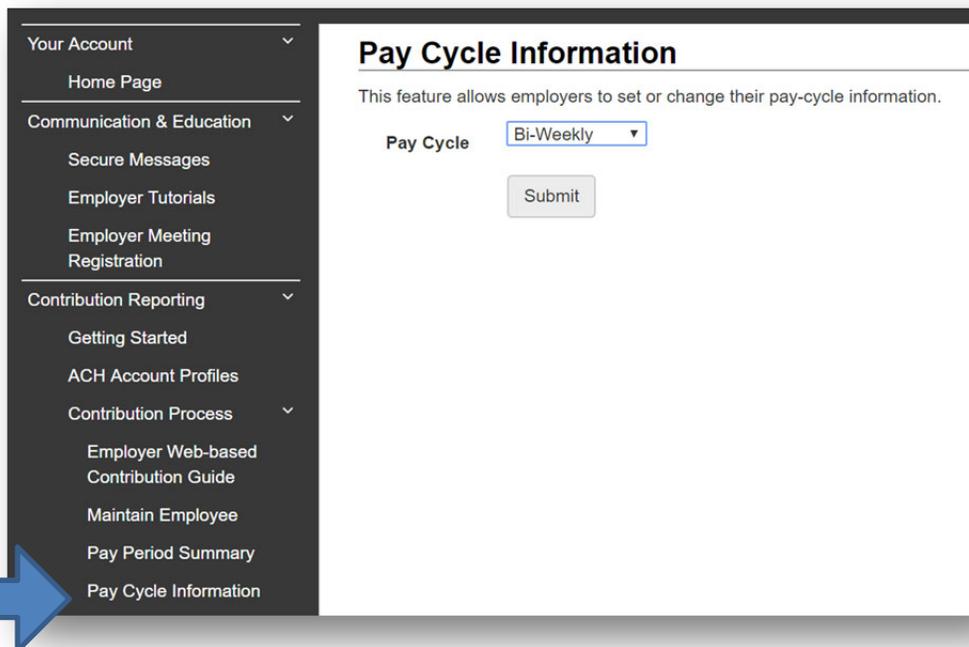
- Maintain CSR is required to create, save and submit a CSR
- Maintain Payment is required to set up and authorize an ACH payment request
- Maintain File Data is required to upload a payroll file or adjustment template

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.

To set up your pay cycle, log in to your employer user account. Click on **Pay Cycle Information** from the left side navigation menu under Contribution Process.



Click on the drop-down arrow to select Weekly, Bi-Weekly, Semi-Monthly, or Monthly as the pay cycle. Then click **Submit**.

Add ACH Bank Account

In order to submit payment for contributions to the ASRS, 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

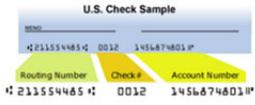
Account Type

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

U.S. Check Sample



Routing Number: 211554485
Check #: 0012
Account Number: 145674801

Section Four:

**Contribution Reporting
Process**

Contribution Reporting Process

To begin, log in to your secure employer 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 the 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** from the left navigation menu under Contribution Process. The Pay Period Summary page allows authorized users to create a Contribution Summary Report (CSR), make an ACH payment, and upload contribution and adjustment files. The summary also lists all previous pay periods, their CSRs, payments, and uploaded file status.

Pay Period Summary

This feature allows authorized users to Create and View CSR, Make ACH payments and Upload details file.
Please refer to the text below the table for descriptions of the column contents and abbreviations used.

Available Operations

Fiscal Year

Add Pay Period
End Date (MM-DD-YYYY)

Pay Period Information

PPE Date	CSR Status	ACH Status	Detail Data Status	Over/(Short)	Operations Available
08/02/2019	Submitted \$345,567.68	Deposited \$345,567.68	Received	\$0.00	Create CSR Make Payment Upload Contribution Detail File
07/19/2019	Submitted \$123,345.46	Deposited \$123,345.46	Received	\$0.00	Create CSR Make Payment Upload Contribution Detail File

Add Pay Period End Date

To begin the process, the authorized user must add the most recent Pay Period End (PPE) date in the box provided. By clicking the **Add PPE** button, a new row for that PPE date appears in the Pay Period Information section. Click **Create CSR, Make Payment & Upload Detail Data**. This will walk you through all the steps to report contributions for this pay period.

Pay Period Information					
PPE Date +	CSR Status	ACH Status	Detail Data Status	Over/(Short)	Operations Available
08/20/2019 Delete					Create CSR, Make Payment & Upload Detail Data Create CSR Make Payment

Create CSR

Using the information from your payroll file, 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.

For more information on adjustments, prior to submitting the CSR please review the Adjustments section starting on page 18.

CSR Details				
RETIREMENT CONTRIBUTIONS				
	Gross Salary	EE contributions PLAN 11.94% SYSTEM 7.0%	ER contributions PLAN 11.94% SYSTEM 7.49%	Total contributions
PLAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
SYSTEM	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
Adjustments	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
Late Charges			<input type="text"/>	0.00
TOTAL	\$0.00	\$0.00	\$0.00	\$0.00

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.

LTD CONTRIBUTIONS				
	Gross Salary	EE contributions 0.17%	ER contributions 0.17%	Total contributions
PLAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
SYSTEM	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00
Adjustments	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00
Late Charges				0.00
TOTAL	\$0.00	\$0.00	\$0.00	\$0.00

Third, enter any service purchase deductions for employees who have a current Payroll Deduction Authorization (PDA) for the purchase of ASRS service credit in the SERVICE PURCHASE DEDUCTIONS section.

SERVICE PURCHASE DEDUCTIONS			
	EE Deductions	ER Deductions	Total Deductions
PLAN	<input type="text"/>		0.00
SYSTEM	<input type="text"/>		0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00
Adjustments	<input type="text"/>		0.00
Late Charges			
TOTAL	\$0.00	\$0.00	\$0.00

Comments

(Please limit the comments to a maximum of 500 characters)

characters left

Enter any special information about the CSR that would be useful for ASRS staff to properly process the contributions in the **Comments** section.

Click the **Save/Recalculate** button. If you change any information after saving, click the **Save/Recalculate** button before submitting the CSR.

Notice the employer certification on the lower part of the page. The authorized user is certifying as to the accuracy of the contribution data submitted on the CSR and to the ASRS eligibility of those employees for whom contributions are being reported. This **certification** must be checked or the CSR cannot be submitted. Once you are ready, check the certification box and click **Submit CSR**.

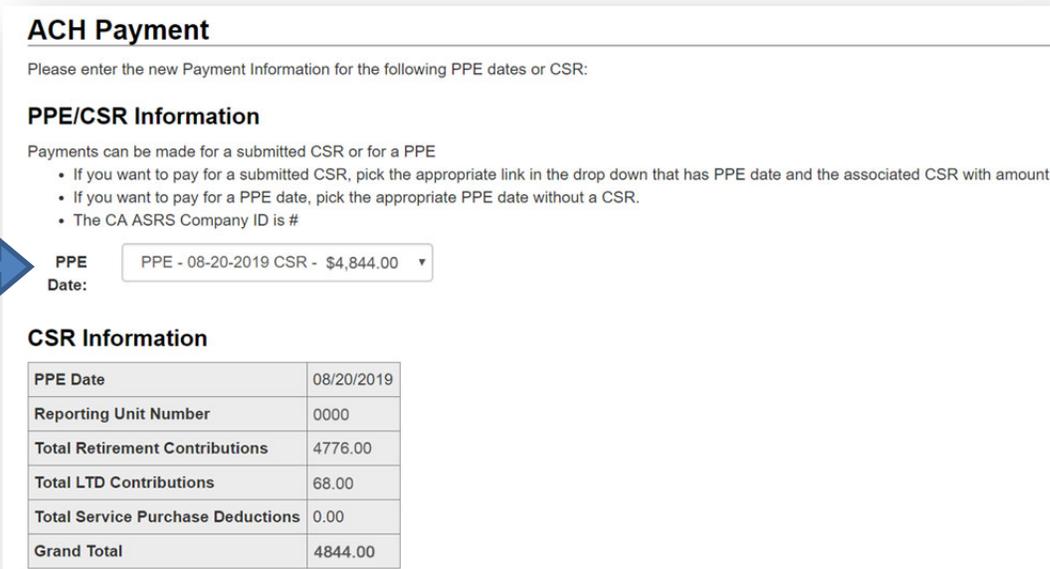


The employer certifies to the accuracy of the contribution data submitted on this CSR and to the ASRS eligibility of those employees for whom contributions are reported.

Save/Recalculate Submit CSR Cancel

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.



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

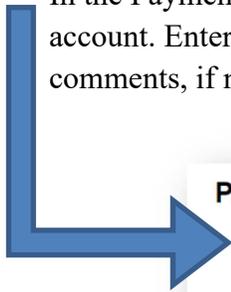
- If you want to pay for a submitted CSR, pick the appropriate link in the drop down that has PPE date and the associated CSR with amount.
- If you want to pay for a PPE date, pick the appropriate PPE date without a CSR.
- The CA ASRS Company ID is #

PPE Date:

CSR Information

PPE Date	08/20/2019
Reporting Unit Number	0000
Total Retirement Contributions	4776.00
Total LTD Contributions	68.00
Total Service Purchase Deductions	0.00
Grand Total	4844.00

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.



Payment Information

Account to Debit CA-Payroll:*****8900 (Default) ▾

Requested Deposit Date

Amount

Comments

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

250 characters left

Save ACH Submit ACH Cancel

Then you can save the payment if you are not ready to submit it, or click **Submit ACH** to complete the payment. Once the payment has been submitted, it must be authorized. The Authorize screen will appear immediately following submission.

Some employers require two different users to make the payment. If that is the method your employer uses, then the first user would save the payment and the second would submit and authorize the payment. Here are the actual steps:

User 1: Click **Make Payment** from the Pay Period Summary screen and complete the details as described above. Click **Save ACH**.

User 2: Log in and visit the Pay Period Summary screen. Click on the **Saved** link under the ACH Status column for the appropriate PPE Date. On the ACH Payment screen, click **Submit ACH**. The Authorize ACH Payment screen will appear. Confirm the information and click **Authorize Payment**.

If you clicked **Create CSR, Make Payment & Upload Detail Data** and authorized the ACH payment (instead of having a second user submit and authorize the ACH payment), then the next step is to upload your data file(s).

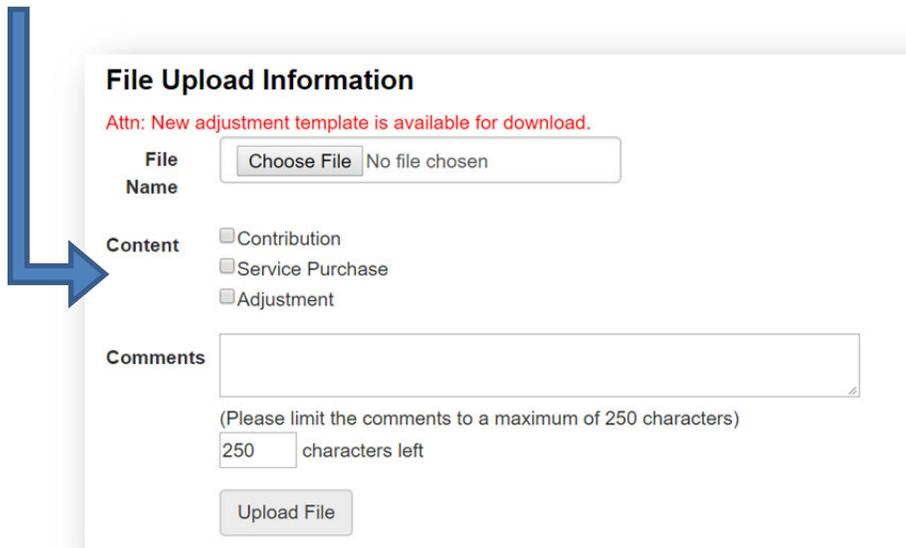
Upload Contribution Detail File

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 beginning on page 18.*

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

The CSR information is displayed first. In the File Upload Information section, first click **Choose File** in the File Name field to select your file. If you have multiple files to upload for this pay period, you must upload them separately.

Indicate the type of file you are uploading by checking the appropriate box 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.*



File Upload Information

Attn: New adjustment template is available for download.

File Name No file chosen

Content

- Contribution
- Service Purchase
- Adjustment

Comments

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

250 characters left

If you need to add comments, you may do so with the Comments box. A comment is not required for Contribution or Service Purchase files, but is required for an Adjustment file.

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

When *less* than the appropriate contributions have been submitted, there are two ways this error may be corrected for a pay period in the current fiscal year. One way is by using the Contributions Not Withheld (CNW) process, which would involve the CNW online application instead of an adjustment to a CSR. (Note: **Errors outside of the current fiscal year must be processed as a CNW**, not an adjustment.)

The other way to correct this error is by performing an adjustment to submit the payment and detail to the ASRS. The adjustment must be completed within the same fiscal year that the contributions were originally due. Before you perform the adjustment, you must obtain written consent from the employee to make the adjustment to their paycheck.

When *more* than the appropriate contributions have been submitted in error, an adjustment should be performed by the employer to take a credit for the overpayment to the ASRS, regardless of whether the error occurred in the current or a prior fiscal year.

Corrections to a current pay period report after it has been prepared should be reflected on the file and 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 Pay Period Summary page when you click **Upload Contribution Detail 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](#)

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 on the payroll file being submitted. 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. Here is an example of an adjustment file:



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 Required

	SSN	Last Name	Middle Name	First Name	Gross Salary	EE Amount	ER Amount	Pay Type	Hours Worked	Pay Period to Adjust
1	000-00-0000	One	A	Employee	-\$1,500.00	-\$358.20	-\$358.20	Base / Leave	80.00	7/15/2019
2	000-00-0000	One	A	Employee	\$1,500.00	\$179.10	\$179.10	Base / Leave	80.00	7/15/2019
3	000-00-0000	One	A	Employee	\$1,500.00	\$179.10	\$179.10	Base / Leave	80.00	7/1/2019
4										
5										

In this example, Employee One’s contributions for PPE 7/1/2019 were not reported to the ASRS.

- On the first row of the adjustment template, the employer provided the contributions that are on the payroll file for PPE 7/15/2019 and used negative signs to indicate the amounts should be reversed.
- On the next row, the employer provided the correct amounts for PPE 7/15/2019.
- On the third row, the employer provided the information that should have been reported for PPE 7/1/2019.

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.

Upload the adjustment file in the Upload Contribution Detail File screen. You must indicate **Adjustment** in the Content of the File Upload Information section by checking the appropriate box.



File Upload Information

Attn: New adjustment template is available for download.

File Name No file chosen

Content Contribution
 Service Purchase
 Adjustment

After completing the adjustment, 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 credit adjustments as part of, or with, a regular contribution report without ASRS authorization.

Section Five:
Troubleshooting

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 in 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.
- If you are having trouble entering a new PPE date, check the fiscal year to ensure it is displaying the correct year. If it isn't, choose the correct year by clicking the drop-down arrow and selecting it.
- Use the correct date format when adding a new PPE date: MM-DD-YYYY. Do not use slashes or fewer than the correct digits.