



Reporting Instructions for Electronic Transmission of Member Data

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State Employees' Retirement System
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Reporting Instructions for Electronic Transmission of Member Data

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Reporting Instructions for Electronic Transmission of Member Data

1. Purpose This document provides instruction to employers that are preparing and electronically transferring retirement-related personnel and payroll information to the State Employees' Retirement System (SERS). This process is better suited for those employers with a large number of SERS-member employees, resulting in a large number of records to transfer.

SERS also offers an online employer services application for the transfer of employee data. This process involves the manual entry of data and is better suited for employers that have a small number of SERS-member employees, resulting in a small number of records to transfer. SERS' online employer services are available at <https://employers.sers.pa.gov>.

2. Responsibilities

- a. Each employer is responsible for developing procedures for creating the transaction file and ensuring that each transaction conforms to the formats outlined in this manual. Each employer is responsible for ensuring that all files are delivered to SERS by established deadlines. SERS will work to resolve any problems relating to data on the files, but may require that you submit a replacement file if errors cannot be resolved. Employers should maintain a backup of the data, or retain the capability of recreating the data, for at least six months.
- b. SERS is responsible for validating all submitted transactions to ensure the proper format and content, verifying that the control totals obtained by SERS match those submitted by the employer, and applying the transactions to SERS members' accounts in a timely manner. If errors are encountered with a file, SERS will work to resolve the problems and process the file, but SERS may request that you submit a corrected file.

3. General Guidelines

- a. Please make every effort to ensure that transaction files are processed in a timely manner. Files should arrive at SERS by the day of the payroll date being reported on the transmittal, or by such other date as mutually agreed to by SERS and the reporting agency. These guidelines are established to ensure timely update of members' records.
- b. For employment terminations, the final termination notification (transaction code 056) should be the last transaction processed for the employee. The final termination notification may be submitted on the same file as the last payroll transactions, but it should not be submitted before the final payroll transactions affecting the member's account have been submitted.
- c. Control totals must accompany each data file submitted to SERS. The control totals must be submitted as part of the data file.
- d. Except for Control Totals, all dates are in year-month-day (YYMMDD) format. All monetary amounts contain two decimal places with an assumed decimal point. All decimal points are assumed. There must be no signed numeric fields, and no packed (COMP or COMP3) fields.

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4. Acceptable Transmission Media

- a. The preferred method is electronic transfer using FTP. SERS has separate procedures for employers linked to the Commonwealth's Municipal Area Network (MAN) and for employers that are not. Employers wishing to use this method of file transmission should contact the SERS-Office of Information Technology, Technical Support Section at (717) 783-8094 for specific instructions.
- b. Other – Agencies wishing to explore other forms of transmission should contact the Technical Support Section in SERS' Office of Information Technology, at (717)783-8094.

5. Control Totals

- a. Control totals must accompany each transaction file submitted to SERS for processing. Separate totals are required for each transaction type. SERS will use the control totals to independently confirm actual data totals on the file, to help ensure accuracy of the file. Separate control totals are required for each distinct set of agency/pay date records.
- b. If submitted as a separate report, the report may be formatted at the employer's discretion but must include the **agency number** assigned by SERS, the **agency name**, the **payroll date**, and the **cycle number** of the accompanying file. A sample Control Totals Report is included as Appendix A. **This method is not available to employers that submit their transaction files using FTP.**
- c. If submitted as records within the transaction data file, the control totals records must conform to the following specifications. **This is the only method available to employers that submit their transaction files using FTP, but agencies that submit their transaction files using other media may also use this method in lieu of a separate report.**
 1. A single control totals record is required for each distinct transaction code within the member data set. For example, if there are 150 code 200 transactions and 3 code 056 transactions within the member data set, then there must be one code 200 control totals record and one code 056 control totals record. Control totals records, containing record count of zeroes, may be included for transaction codes that are not included as part of the member data set, but are not required.
 2. Control totals records must be placed in the transaction file following the set of member data records with which they are associated. If an agency submits multiple member data sets-- each consisting of a Data Information Record followed by one or more associated detail transactions--within a single transaction file, its associated control totals records must follow each member data set.
 3. Each control totals record will include the following data elements: Record type (always "TOT"), agency number, pay date, transaction code, record count, and control total. With the exception of the transaction codes identified in subsection d below, the "control total" will be zeroes.
 4. The pay date in each control totals record must represent the

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same date as the pay date in the associated Data Information Record. The difference is that, while the pay date in the Data Information Record is formatted “YYMMDD”, the pay date in the Control Totals Record is formatted “MMDDYYYY”.

- d. **Provide record counts for all transaction codes reported.** In addition to record counts, the following table describes the fields that must also be accumulated and reported as control totals.

Tran Code	Accumulate
008	Last three digits of the Social Security number
017	Sum of regular contribution refunds, SERS SSI contribution refunds, regular arrears payment refunds, and SERS SSI arrears payment refunds, added together into a single total
200	Sum of regular contributions plus regular arrears payments added together into a single total
201	Sum of SERS SSI contributions plus SERS SSI arrears payments added together into a single total
300	Sum of earnings amount.
301	Sum of earnings amount.

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6. **Record Layouts** This section provides record formats and explanations for each of the retirement transactions available for updating information on SERS members' accounts; the format and explanatory notes for the data information record are also included. When appropriate, field definitions accompany the individual transactions; however, where a field is used on multiple transactions, the field definition will be found in Appendix D.

a. **Data Information Record**

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
File ID	3	1 - 3	X	"RET"
Agency number	3	4 - 6	N	PIC 9(3)
Cycle number	3	7 - 9	N	PIC 9(3)
Calendar year	4	10 - 13	N	YYYY
Payroll date	6	14 - 19	N	
Blank	61	20 - 80	X	spaces

Purpose: The data information record provides confirmation to the computer operator that the file being processed is the correct one. The data information record must be the first data record on the file.

Field Definitions:

Agency number: Your SERS-assigned agency number. Refer to the list in Appendix B of this document.

Cycle number: A code to differentiate each file submitted. Reset to 001 for the first transmittal for a calendar year, and increment by 001 for each subsequent transmittal. Proper usage of this field will permit SERS to identify missing or duplicate transmittals.

Calendar year: The calendar year for the reporting period(s) included on the transmittal.

Payroll date: See Appendix D for definition of payroll date. The payroll date on this record should be the payroll date of the Contributions transactions (200, 201). All Contributions transactions reported on a single file should be for a single payroll date, unless the agency is reporting previously unreported transactions.

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b. Control Totals Record

<u>Field Description</u>	<u>Size</u>	<u>Position</u>	<u>Type</u>	<u>Comments</u>
Record Type			3	1 - 3 X "TOT" Agency Number 3 4 -
Payroll Date			6 8	N 7 - 14 N MMDDYYYY Transaction Code
Record Count	6	18 - 23	N	000000
Control Total	11	24 - 34	N	0000000000V00
Filler (not required)	46	35 - 80	X	spaces

Purpose: The Control Totals Record reports record counts and, for some transactions, a control total for each transaction type reported in the data file. It provides summary information for SERS to independently confirm that they have processed the file correctly.

Field Definitions:

Payroll Date: The payroll date associated with the data set being summarized by the Control Totals Record. Must match the payroll date in the associated Data Information Record.

Record Count: The number of the transaction code records in the data set.

Control Total: For all transaction codes except 008, 017, 200 and 201, zeroes. For transaction codes 008, 017, 200 and 201, an accumulation of detail data on the associated transactions in the data set. The data to be accumulated are identified in section 5.d.

c. Transaction Code 008 - Social Security Number Change

<u>Field Description</u>		<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number		3	1 - 3	N	
Old Social Security	number	9	4 - 12	N	
Transaction code		3	13 - 15	N	"008"
New Social Security	number	9	16 - 24	N	
Pay period end date		6	25 - 30	N	(see Appendix D)
Filler		50	31 - 80	X	spaces

Purpose: Report a change to an employee's Social Security number.

Special instructions: All other transactions processed concurrently on the same and subsequent transmittals for the same member, should contain the new Social Security number in positions 4 - 12.

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d. Transaction Code 009 - Status Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 -	3	N
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"009"
New status code	2	16 - 17	N	
Effective date of change	6	18 - 23	N	YYMMDD
Pay period end date	6	24 - 29	N	(see Appendix D)
Filler	51	30 - 80	X	spaces

Purpose: Report a change to an employee's employment status.

Special instructions: Any change in employment status, from one of the following statuses to another one. Following are valid codes:

<u>Status code</u>	<u>Definition</u>
00	Active
02	Maternity leave
03	Leave without pay
04	Military leave
05	Sabbatical leave
06	Agency transfer
07	Voluntary or involuntary termination
08	Furlough
09	Death

e. Transaction Code 015 - New Hire Record 1

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"015"
First full name	15	16 - 30	X	
Middle name	10	31 - 40	X	
Last name	20	41 - 60	X	
Name suffix	4	61 - 64	X	e.g., JR, SR, III
Birth date	6	65 - 70	N	YYMMDD
Contribution rate	4	71 - 74	N	(see Appendix D)
Contract hours override	5	75 - 79	N	(see Appendix D)
Filler	1	80 - 80	X	spaces

Purpose: Used together with the transaction codes 016 and 018, report the hiring of a new employee who is required or has elected to join SERS, and establish a member record on SERS' file.

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f. **Transaction Code 016 - New Hire Record 2**

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"016"
Mailing street address	35	16 - 50	X	
Mailing city	20	51 - 70	X	
Filler	10	71 - 80	X	spaces

Purpose: Used together with transaction codes 015 and 018 to report the hiring of a new employee who is required or has elected to join SERS, and establish a member record on SERS' file. SERS is collecting address information for distribution of membership information, such as an annual statement, informational bulletins, new member forms and information, etc.

g. **Transaction Code 018 - New Hire Record 3**

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"018"
Mailing state	2	16 - 17	X	
Mailing ZIP code	9	18 - 26	X	(see notes)
Mailing country	15	27 - 41	X	(see notes)
Employment start date	6	42 - 47	N	(see Appendix D)
Payroll frequency	2	48 - 49	X	(see Appendix D)
Bargaining unit	2	50 - 51	X	(see Appendix D)
Entry date	6	52 - 57	N	(see Appendix D)
Class code	2	58 - 59	X	(see Appendix D)
Category code	1	60 - 60	X	(see Appendix D)
Coverage code	1	61 - 61	X	(see Appendix D)
Sex code	1	62 - 62	X	1=Male; 2=Female
Appropriation code	3	63 - 65	X	(see Appendix D)
Contract hours	5	66 - 70	N	(see Appendix D)
Headquarters county code	2	71 - 72	X	(see Appendix D)
Periodic salary	7	73 - 79	N	(see appendix D)
Filler	1	80 - 80	X	spaces

Purpose: Used together with transaction codes 015 and 016 to report the hiring of a new employee who is required or has elected to join SERS, and establish a member record on SERS' file.

Notes: The ZIP code should be shown as ZIP plus 4. If the plus 4 code is not known, show the 5-digit ZIP code, left justified, and filled with spaces.

If the employee resides in the U.S., the country field should contain spaces. The residence code should be reported here only when the employee resides **outside** the U.S.

All dates are year-month-day (YYMMDD) format.

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h. Transaction Code 017 - Refund of Contributions

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"017"
Regular contributions	6	16 - 21	N	(see Appendix D)
Regular arrears payment	6	22 - 27	N	(see Appendix D)
SSI pickup contributions	6	28 - 33	N	(see Appendix D)
SSI arrears payment	5	34 - 38	N	(see Appendix D)
Hours for service credit	6	39 - 44	N	(see Appendix D)
Retirement-covered earnings	7	45 - 51	N	(see Appendix D)
Payroll date	6	52 - 57	N	(see Appendix D)
Tax type	2	58 - 59	X	(see Appendix D)
PSEERS Arrears Payment (Reg)	6	60 - 65	N	(see Appendix D)
PSEERS Arrears Payment (SSI)	6	66 - 71	N	(see Appendix D)
Filler	9	72 - 80	X	spaces

Purpose: Reverse earnings, contributions, and service credit data previously reported on a code 200 and/or 201 transaction.

Note: If a correction is required to previously-reported earnings, contributions, or service credit data, please submit a code 017 transaction that completely reverses the originally-reported data. Then, if necessary, submit a new code 200-- and/or code 201-- transaction to report the correct data. The payroll date should be the payroll date of the original Contribution transaction.

i. Transaction Code 020 - Bargaining Unit Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"020"
New bargaining unit code	2	16 - 17	X	(see Appendix D)
Pay period end date	6	18 - 23	N	(see Appendix D)
Filler	57	24 - 80	X	spaces

Purpose: Report a change to an employee's collective bargaining unit.

Special Note: Used only by the State System of Higher Education, whose retired employee health care benefit coverage varies according to the employee's collective bargaining unit.

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j. Transaction Code 021 - Payroll Frequency Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"021"
New payroll frequency	2	16 - 17	X	(see Appendix D)
Pay period end date	6	18 - 23	N	(see Appendix D)
Filler	57	24 - 80	X	spaces

Purpose: Report a change to an employee's payroll frequency.

k. Transaction Code 022 - Name Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comment</u>
Agency number	3	1 - 3	N	s
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"022"
First full name	15	16 - 30	X	
Middle name	10	31 - 40	X	
Last name	20	41 - 60	X	
Name suffix	4	61 - 64	X	
Filler	16	65 - 80	X	spaces

Purpose: Report an employee's name change.

l. Transaction Code 023 - Address Change Record 1

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"023"
Mailing street address	35	16 - 50	X	
Mailing city	20	51 - 70	X	
Filler	10	71 - 80	X	spaces

Purpose: Used together with transaction code 024 to report a change to an employee's mailing address.

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m. Transaction Code 024 - Address Change Record 2

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	Transaction
code	3	13 - 15	N	"024"
Mailing state	2	16 - 17	X	
Mailing ZIP code	9	18 - 26	X	(see note at Tx 018) Mailing country
15 27 - 41	X	(see note at Tx 018)	Mailing street address line 2	35 42 - 76 X
Filler	4	77 - 80	X	spaces

Purpose: Used together with transaction code 023 to report a change to an employee's mailing address. Also used with the new hire transactions (015, 016, and 018) to add a second street address line for a new hire.

Note: To delete a second street address line, submit this transaction with either the State or Zip code present, and with spaces in the street address line 2 field.

n. Transaction Code 025 - Class Code Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"025"
New class code	2	16 - 17	X	(see Appendix D)
Pay period end date	6	18 - 23	N	(see Appendix D)
Filler	57	24 - 80	X	spaces

Purpose: Report a change to an employee's retirement class code or correct the class code.

o. Transaction Code 026 - Category Code Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"026"
New category code	1	16 - 16	X	(see Appendix D)
Pay period end date	6	17 - 22	N	(see Appendix D)
Filler	58	23 - 80	X	spaces

Purpose: Report a change to an employee's retirement category code or correct the category code.

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p. Transaction Code 027 - Contract Hours Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"027"
New contract hours	5	16 - 20	N	(see Appendix D)
Contract hours override	5	21 - 25	N	(see Appendix D)
Pay period end date	6	26 - 31	N	(see Appendix D)
Filler	49	32 - 80	X	spaces

Purpose: Report a change to an employee's contract hours.

Note: Agencies should avoid overuse of this transaction. The Contract hours override field should be used to indicate that the employee is working in a part-time or hourly position regularly scheduled to work less than the number of hours specified by Contract hours field. If the employee works an irregular schedule, but still mostly works part-time, this transaction should not be sent each pay period; instead, report in the Contract hours override field an average number of hours expected to be worked each pay period. Limit this transaction to report a change from full-time/salaried to part-time/hourly or vice versa.

q. Transaction Code 029 - Coverage Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"029"
New coverage code	1	16 - 16	X	(see Appendix D)
Pay period end date	6	17 - 22	N	(see Appendix D)
Filler	58	23 - 80	X	spaces

Purpose: Report a change to an employee's retirement coverage or correct the coverage code.

r. Transaction Code 033 - Contribution Rate Change

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"033"
New contribution rate	4	16 - 19	N	(see Appendix D)
Pay period end date	6	20 - 25	N	(see Appendix D)
Filler	55	26 - 80	X	spaces

Purpose: Change or correct an employee's contribution rate.

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s. **Transaction Code 051 - New SSI Arrears Liability**

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"051"
New SSI liability	7	16 - 22	N	PIC 9(5)V9(2)
Pay period end date	6	23 - 28	N	(see Appendix D)
Filler	52	29 - 80	X	spaces

Purpose: Establish or change the SSI arrears liability.

Field definition: The **new SSI liability** is the total amount remaining to be paid; e.g., if there is an existing SSI liability with \$500 remaining, and an additional SSI liability of \$300 needs to be established, report the total of \$800 as the new SSI liability. Note that this transaction is used only to report SSI liabilities; the code 145 transaction is used to establish or change a regular arrears liability.

t. **Transaction Code 056 - Termination**

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"056"
Termination notification code	2	16 - 17	X	
Effective date of termination	6	18 - 23	N	YYMMDD
Pay period end date	6	24 - 29	N	(see Appendix D)
Filler	51	30 - 80	X	spaces

Purpose: Report an employee's termination from employment. This transaction indicates the final retirement-related transaction to be processed for the employee.

Field definition:

Termination notification code: Reason for termination of employment. Following are valid termination notification codes:

<u>Code</u>	<u>Definition</u>
07	Voluntary or involuntary termination, including retirement.
08	Furlough
09	Death in service

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u. Transaction Code 059 - Change to Periodic Salary

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"059"
New periodic salary	7	16 - 22	N	(see Appendix D)
Effective date of change	6	23 - 28	N	YYMMDD
Pay period end date	6	29 - 34	N	(see Appendix D)
Filler	46	35 - 80	X	spaces

Purpose: Report a change to periodic -- i.e., weekly, biweekly, semi-monthly, monthly -- salary.

Special note: Employers must report a change to periodic salary whenever it occurs. SERS uses the data to validate actual earnings reported and to identify special circumstances, such as back-pay awards, which usually result in higher-than-normal earnings.

v. Transaction Code 099 - Sex Code Correction

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"099"
Correct sex code	1	16 - 16	N	1=Male; 2=Female
Filler	64	17 - 80	X	spaces

Purpose: Report a correction to the sex code.

w. Transaction Code 145 - New Regular Arrears Liability

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"145"
New regular liability	8	16 - 23	N	PIC 9(6)V9(2)
Pay period end date	6	24 - 29	N	(see Appendix D)
Filler	51	30 - 80	X	spaces

Purpose: Establish a regular arrears liability.

Field definition: The **new regular liability** is the total amount remaining to be paid; e.g., if there is an existing regular liability with \$500 remaining, and an additional regular liability of \$300 needs to be established, report the total of \$800 as the new regular liability. Note that this transaction is used only to report regular liabilities; the code 051 transaction is used to establish a SSI arrears liability.

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x. Transaction Code 158 - Birth Date Correction

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"158"
Correct birth date	6	16 - 21	N	YYMM
Filler	59	22 - 80	X	spaces

Purpose: To report a correction to an employee's birth date.

y. Transaction Code 200 - Regular Contributions

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"200"
Regular contributions	6	16 - 21	N	(see Appendix D)
Regular arrears payment	6	22 - 27	N	(see Appendix D)
Remaining regular liability	8	28 - 35	N	PIC 9(6)V9(2)
Hours for service credit	5	36 - 40	N	(see Appendix D)
Payroll date	6	41 - 46	N	(see Appendix D)
Retirement-covered earnings	7	47 - 53	N	(see Appendix D)
Tax type	2	54 - 55	X	(see Appendix D)
Headquarters county code	2	56 - 57	N	(see Appendix D)
Pay period end date	6	58 - 63	N	(see Appendix D)
PSEERS Arrears Payment (Reg)	6	64 - 69	N	(see Appendix D)
Filler	11	70 - 80	X	spaces

Purpose: To report earnings, regular retirement contributions, and service credits for payments of retirement-covered earnings for an employee.

Note: A separate code 200 transaction is required for each tax type.

Field definitions:

Remaining regular liability: The amount of the regular liability remaining after the regular arrears payment has been deducted from the previous balance. This field must be present if the regular arrears payment field is not zero and, except for the final arrears payment, must be non-zero.

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z. Transaction Code 201 - SSI Contributions

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"201"
SSI contributions	6	16 - 21	N	(see Appendix D)
SSI arrears payment	5	22 - 26	N	(see Appendix D)
Remaining SSI liability	7	27 - 33	N	PIC 9(5)V9(2)
Payroll date	6	34 - 39	N	(see Appendix D)
Tax type	2	40 - 41	X	(see Appendix D)
Pay period end date	6	42 - 47	N	(see Appendix D)
PSEERS Arrears Payment (SSI)	6	48 - 53	N	(see Appendix D)
Filler	27	54 - 80	X	spaces

Purpose: To report SSI retirement contributions deducted from payments of an employee's retirement-covered earnings.

Field definitions:

Remaining SSI liability: The amount of the SSI liability remaining after the SSI arrears payment has been deducted from the previous balance. This field must be present if the SSI arrears payment field is not zero and, except for the final arrears payment, must be non-zero.

aa. Transaction Code 205 - Change to Appropriation Code

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"205"
Appropriation code	3	16 - 18	X	(see Appendix D)
Pay period end date	6	19 - 24	N	(see Appendix D)
Filler	56	25 - 80	X	spaces

Purpose: To **change the** appropriation code on an employee's account.

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ab. Transaction Code 300 – Military Leave Pay

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"300"
Military Leave Code	2	16 – 17	X	(see notes)
Pay Date	6	18 – 23	N	YYMMDD
Pay Period End Date	6	24 – 29	N	YYMMDD
Earnings Amount	8	30 – 37	N	999999V99
Hours	7	38 – 44	N	99999V99
Stipend Amount	8	45 – 52	N	999999V99

Purpose: To report earnings and hours attributable to paid and unpaid military leave absences.

Field Definitions:

Military Leave Code – Type of military leave absence. Valid codes are 02, 03, 04 and 05.

<u>Code</u>	<u>Description</u>
02	USERRA MLWP, non-contributory
03	USERRA MLWOP
04	Non-USERRA MLWP, non-contributory
05	Non-USERRA MLWOP

Pay Date – The date on which the employee actually received payment (in the case of MLWP) or would have received payment (in the case of MLWOP) for the period of absence had he or she not been deployed.

Pay Period End Date – The ending date for the pay period covering the military leave absence.

Earnings Amount – The amount of retirement-covered earnings actually paid or to which the employee would have been entitled if he or she had been regularly employed during the period of military leave absence.

Hours – The normal work hours that the employee would have been expected to work during the period of military leave absence had he or she not been deployed.

Stipend Amount – The amount of any stipend paid due to the military deployment.

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ac. Transaction Code 301 – Military Leave Pay Reversal

<u>Field Description</u>	<u>Field Size</u>	<u>Position</u>	<u>Data Type</u>	<u>Comments</u>
Agency number	3	1 - 3	N	
Social Security number	9	4 - 12	N	
Transaction code	3	13 - 15	N	"301"
Military Leave Code	2	16 – 17	X	(see notes)
Pay Date	6	18 – 23	N	YYMMDD
Pay Period End Date	6	24 – 29	N	YYMMDD
Earnings Amount	8	30 – 37	N	999999V99
Hours	7	38 – 44	N	99999V99
Stipend Amount	8	45 – 52	N	999999V99

Purpose: Used to reverse or correct previously-reported Military Leave Pay. For example, to correct a Military Leave Pay transaction (code 300) that had reported 80 hours as military leave type ‘02’ (USERRA MLWP, non-contributory) but that should have reported 40 hours as military leave type ‘02’ and 40 hours as military leave type ‘03’ (USERRA MLWOP). In this case you would submit a code 301 transaction with military leave code ‘02’, with the pay date and pay period end date of the original code 300 transaction and with 40 hours and an appropriate earnings amount for the 40 hours that should have been reported as military leave type ‘03’; and concurrently submit a new code 300 transaction for the 40 hours of military leave type ‘03’

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APPENDIX A

Sample Format for Control Totals Report

CONTROL TOTALS REPORT			
Agency #	Agency	Cycle	File ID
Payroll Date			
Transaction	Record Count	Control Total	
008 - SSN CHANGE			
009 - STATUS CHANGE			
015 - NEW HIRE 1			
016 - NEW HIRE 2			
018 - NEW HIRE 3			
017 - REFUNDS			
020 - BARGAINING UNIT			
021 - PAYROLL FREQUENCY			
022 - NAME CHANGE			
023 - ADDRESS 1			
024 - ADDRESS 2			
025 - CLASS CHANGE			
026 - CATEGORY CHANGE			
027 - CONTRACT HOURS CHANGE			
029 - COVERAGE CHANGE			
033 - CONTRIBUTION RATE CHANGE			
051 - SSI LIABILITY			
056 - TERMINATION			
059 - PERIODIC SALARY			
099 - SEX CODE			
145 - REGULAR LIABILITY			
158 - BIRTH DATE			
200 - REG CONTRIBUTIONS - REG LIABILITIES			
201 - SSI CONTRIBUTIONS - SSI LIABILITIES			
205 - APPROPRIATION CODE			
300 - Military Leave Pay			
301 - Military Leave Pay Reversal			

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APPENDIX B

Electronic Reporting Agencies

<u>Agency #</u>	<u>Agency</u>
757	ADMINISTRATIVE OFFICE OF PENNSYLVANIA COURTS
743	CAPITOL PRESERVATION COMMITTEE
747	CENTER FOR RURAL PENNSYLVANIA
988	DELAWARE RIVER JOINT TOLL BRIDGE COMMISSION
990	DELAWARE RIVER PORT AUTHORITY
989	DELAWARE VALLEY REGIONAL PLANNING COMMISSION
753	HOUSE APPROPRIATION COMMITTEE (D)
951	HOUSE APPROPRIATION COMMITTEE (R)
742	HOUSE OF REPRESENTATIVES
966	INDEPENDENT FISCAL OFFICE
754	INDEPENDENT REGULATORY REVIEW COMMISSION
755	JOINT LEGISLATIVE CONSERVATION COMMITTEE
781	JOINT STATE GOVERNMENT COMMISSION
776	LEGISLATIVE BUDGET & FINANCE COMMITTEE
745	LEGISLATIVE DATA PROCESSING CENTER
744	LEGISLATIVE REFERENCE BUREAU
775	LOCAL GOVERNMENT COMMISSION
917	PA COLLEGE OF TECHNOLOGY
791	PA TURNPIKE COMMISSION
039	PENNSYLVANIA HIGHER EDUCATION ASSISTANCE AGENCY
786	PENNSYLVANIA STATE UNIVERSITY
904	PORT AUTHORITY TRANSIT CORPORATION
741	SENATE
790	STATE SYSTEM OF HIGHER EDUCATION
798	STATE PUBLIC SCHOOL BUILDING AUTHORITY
003	TREASURY DEPARTMENT
916	WESTMORELAND COUNTY COMMUNITY COLLEGE

Reporting Instructions for Electronic Transmission of Member Data

APPENDIX C

County Code Table

<u>County Name</u>	<u>Code</u>	<u>County Name</u>	<u>Code</u>
Adams	01	Lackawanna	35
Allegheny	02	Lancaster	36
Armstrong	03	Lawrence	37
Beaver	04	Lebanon	38
Bedford	05	Lehigh	39
Berks	06	Luzerne	40
Blair	07	Lycoming	41
Bradford	08	McKean	42
Bucks	09	Mercer	43
Butler	10	Mifflin	44
Cambria	11	Monroe	45
Cameron	12	Montgomery	46
Carbon	13	Montour	47
Centre	14	Northampton	48
Chester	15	Northumberland	49
Clarion	16	Perry	50
Clearfield	17	Philadelphia	51
Clinton	18	Pike	52
Columbia	19	Potter	53
Crawford	20	Schuylkill	54
Cumberland	21	Snyder	55
Dauphin	22	Somerset	56
Delaware	23	Sullivan	57
Elk	24	Susquehanna	58
Erie	25	Tioga	59
Fayette	26	Union	60
Forest	27	Venango	61
Franklin	28	Warren	62
Fulton	29	Washington	63
Greene	30	Wayne	64
Huntingdon	31	Westmoreland	65
Indiana	32	Wyoming	66
Jefferson	33	York	67
Juniata	34		

Reporting Instructions for Electronic Transmission of Member Data

APPENDIX D

GLOSSARY

Appropriation code: The appropriation code assigned by the employer to the position held by the employee/member. Reporting of this field is not mandatory, except for those agencies who have a need for SERS to produce summary reports at a level intermediate to member and agency; e.g., an agency may report member and/or employer-share contributions through different appropriations or funds for different employees, and wish to have SERS invoice quarterly employer contributions at the appropriation level. The field is 3 alphanumeric characters.

Bargaining unit: A code identifying the collective bargaining unit of the employee/member. Used for members employed by the State System of Higher Education, whose entitlement to retired employee health care coverage varies dependent upon collective bargaining unit. The field is two alphanumeric characters.

Category code: A code designating an employee's category of service for purposes of determining his or her superannuation age (SupAge). The field is one numeric character. The following defines the available valid category codes:

<u>Category</u>	<u>SupAge</u>	<u>Definition</u>
0 (zero)	60	Any employee who is employed in a position not described by any of the other categories.
1	50	Correction officer with the Department of Corrections; psychiatric security aide with the Department of Public Welfare; Delaware River Port Authority police; or Port Authority Transit Corporation police.
2	50	Member of the General Assembly.
3	60	Judge.
4	60	District justice.
5	50	Pennsylvania State Police officer.
6	50	Liquor law enforcement officer.
7	50*	Capitol Police. * Age 60 if less than 20 years of Capitol Police service.
8	50	Enforcement officer employed by Attorney General or Probation and Parole.

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Class code: The code designating the class of service. The field is two alphanumeric characters, left-justified and space-filled. The following defines the classes of service and class of service multipliers (COSM):

<u>Class</u>	<u>COSM</u>	<u>Definition</u>
A	1	<p>Prior to 7/1/2001, any member who did not elect a special class of service.</p> <p>After 6/30/2001, any member who is eligible to elect special class (C, D3, E1 or E2) but does not elect special class; and any member who was an active member on 6/30/2001 and 7/1/2001 and is not eligible to elect a special class (C, D3, E1 or E2), but who did not elect to convert to Class AA or D4, and who has not had a break in service of at least 14 days since 7/1/2001.</p>
AA	**	<p>Except for members eligible to elect a special class (C, D3, D4, E1 or E2) or members required to join as Class A-3 or A-4 members, any employee joining SERS after 6/30/2001; any employee who was a member of SERS on 6/30/2001 and 7/1/2001 who elected to convert to Class AA; and any employee who was eligible to elect Class AA or D4 but refused such election and who has a break in service of at least 14 days after 7/1/2001.</p> <p>** For purposes of determining contribution rate, COSM is 1 for earnings paid prior to 1/1/2002, 1.25 for earnings paid after 12/31/2001.</p>
A3	1.25	<p>Except for members of the judiciary, and members who elect Class A-4, any employee who first becomes a member of SERS on or after (1) 12/1/2010 for members of the General Assembly; (2) 7/1/2011 for Capitol Police Officers and Park Rangers; (3) 7/1/2012 for State Police Troopers; and (4) 1/1/2011 for all others.</p>
A4	1.86	<p>Any employee who, except for their election of Class A-4, would otherwise be required to be a Class A-3 member.</p>
C	1	<p>Officers of the Pennsylvania State Police or Enforcement Officers who were Class C members prior to 3/1/74.</p>
D3	3.75	<p>Members of the General Assembly who were Class D3 members prior to 3/1/74.</p>
D4	1.5	<p>Any member of the General Assembly who was a Class A member of SERS prior to 7/1/2001 and elected to convert to Class D4; any current or former member of SERS who becomes a member of the General Assembly after 6/30/2001 and before 12/1/2010; and any member returning as a member of the General Assembly after 11/30/2010 who had service credited as a Class D4 member prior to 12/1/2010.</p>

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<u>Class</u>	<u>COSM</u>	<u>Definition</u>
E1	*	Judges who elect class E or E-1. * Class of service multiplier is 2 for the first ten years of judicial service, and 1.5 for each subsequent year of judicial service.
E2	1.5	District justices who elect class E-2.

Contract hours: The number of hours for which a full-time employee in the position is contracted to work during a pay period. Reporting of this field is mandatory and will be used by SERS to help determine whether the employee's earnings must be annualized in the calculation of a retirement benefit. As with "hours for service credit" (see definition below), if an employee works in a position in which pay is not based on number of hours worked, please report a number of hours which, when multiplied by the number of pay periods in a year, will yield at least 1650 hours. The field is numeric, with two decimal places and an assumed decimal point.

Contract hour's override: The number of hours regularly scheduled during a pay period for an employee who is not employed full-time. Report the number of hours regularly scheduled for a full-time employee in the position as **contract hours**. If the employee in that position is employed full-time, report zeros in this field. If the employee working in the position is not employed full-time, report the actual number of hours regularly scheduled during a pay period. For example, a full-time professor on a monthly pay cycle would have 137.50 hours reported as contract hours. If his schedule was reduced to 30% of full-time, contract hours would still be 137.50 hours, but contract hours override would be 41.25 hours. If the employee is expected to work an irregular schedule which is still normally less than full-time, report an average number of hours that the employee will be anticipated to work. The field is numeric, with two decimal places and an assumed decimal point.

Contribution rate: The member basic contribution rate, unreduced by the offset factor, multiplied by the class of service multiplier (see under **Class code**), and increased by any additional contribution rate, if applicable. Except as adjusted for joint coverage members, it is the actual rate applied to gross earnings to determine regular pickup contributions. The field is a four-place decimal with an assumed decimal point; e.g., 5% is reported as 0500.

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Coverage code: Indicates the type of retirement coverage under which retirement pickup contributions are made. The field is one alphanumeric character. The following defines the available codes:

<u>Coverage</u>	<u>Definition</u>
0 (zero)	Not available to anyone joining SERS, or returning to work with a SERS-covered employer, after 12/31/65. Joint, with no SSI. The basic contribution rate is 5%. The contribution rate is reduced by the SERS offset factor on annual earnings up to the Social Security maximum taxable wages. The full contribution rate applies to earnings in excess of the Social Security maximum taxable wages.
1	Full, with no SSI. The basic contribution rate is 5%.
3	Not available to anyone joining SERS, or returning to work with a SERS-covered employer, after 12/31/65. Joint, with SSI. The basic contribution rate is 5%. The contribution rate is reduced by the SERS offset factor on annual earnings up to the Social Security maximum taxable wages. On earnings in excess of the Social Security maximum taxable wages, SSI contributions at the rate of 5% are required in addition to regular contributions.
4	No available to anyone except judges and district justices joining SERS after 2/28/74; is available for vested members and annuitants who return to service and who maintained their SSI coverage during a break in employment. Full, with SSI. The basic contribution rate is 5%. On earnings in excess of the Social Security maximum taxable wages, SERS SSI contributions at the rate of 5% are required in addition to regular contributions.

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Employment start date: The most recent employment start date with this employer. Format is YYMMDD.

Entry date: The date that payroll deductions for retirement begin for this period of employment. Format is YYMMDD.

Headquarters county code: The numerical code representing the county where the employee reports to work. This code is used to assign the member to a SERS Regional Counseling Center. Refer to the county code table in Appendix C to determine the correct code. The field is two numeric characters.

Hours for service credit: The number of hours associated with the retirement-covered earnings being reported. SERS credits an employee with one full year of service for the first 1650 hours reported during a calendar year. If an employee works in a position in which pay is not based on number of hours worked, you should report a number of hours which, when multiplied by the number of pay periods in a year, will yield at least 1650 hours for a full-time employee, or a corresponding fractional portion of full-time hours for an employee who cannot reasonably be considered to be employed full time. The field is numeric, with two decimal places and an assumed decimal point.

Pay period: The duration of a payroll cycle.

Pay period end date: The last day of the pay period in which a change occurs; or, for pay transactions (codes 200 and 201) the last day of the pay period for which the information is being reported. Format is YYMMDD.

Payroll date: The constructive pay date on which the employee is slated to receive the payment of salary or wages being reported. May be the same as pay period end date for on-time payrolls, or may differ from pay period end date for after-the-fact payrolls. Format is YYMMDD.

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Payroll frequency: The frequency with which the employee is normally paid; e.g., weekly, biweekly, semi-monthly, monthly, etc. The field is two alphabetic characters. The following codes shall be used to report the pay frequency:

<u>Payroll frequency</u>	<u>Code</u>
Daily	DY
Weekly	WY
Biweekly	BW
Semimonthly	SM
Monthly	MY
Bimonthly	BM
Quarterly	QY
Biannually	BA
Annually	YY
Biennially	BE

Periodic salary: The contract salary for a standard pay period for the employee. The field is numeric, with two decimal places and an assumed decimal point.

PSERS Arrears Payment (Reg): The regular member contributions deducted to purchase service with the Public School Employees' Retirement System for a SERS member who elects multiple service and requests to purchase PSERS service in installments.

PSERS Arrears Payment (SSI): The SSI member contributions deducted to purchase service with the Public School Employees' Retirement System for a SERS member who elects multiple service and requests to purchase PSERS service in installments.

Regular arrears payment: The amount of member contributions deducted for payment of a retirement-related regular liability. These contributions are not considered "pickup" contributions and are therefore not tax-deferred; for this reason they must be reported separately from regular pickup contributions. This does not include contributions deducted for payment of a SERS SSI liability. The field is numeric, with two decimal places and an assumed decimal point.

Regular contributions: Amount of regular contributions made on behalf of the member for current service. These contributions are considered "pickup" contributions and are tax-deferred for federal income tax purposes. The amount is determined by applying the contribution rate to the **retirement-covered earnings**. This amount does not include SERS SSI pickup contributions or regular or SERS SSI arrears payments. The field is numeric, with two decimal places and an assumed decimal point.

Retirement-covered earnings: The actual gross retirement-covered earnings included in the payment that generated the transaction. The field is numeric, with two decimal places and an assumed decimal point.

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SSI arrears payment: The amount of member contributions deducted for payment of a retirement-related SERS SSI liability. These contributions are not considered "pickup" contributions and are therefore not tax-deferred; for this reason they must be reported separately from SERS SSI pickup contributions. This does not include contributions deducted for payment of a regular liability. The field is numeric, with two decimal places and an assumed decimal point.

SSI contributions: Amount of contributions made on behalf of the employee as a member of SERS' social security integration (SSI) coverage group for current service only. This includes pickup contributions taken at 5% on **retirement-covered earnings** in excess of the maximum covered by Social Security for only those members who are currently active in the SSI program (retirement coverage codes 3 or 4). These contributions are tax-deferred for federal income tax purposes. This amount does not include regular pickup contributions or regular or SERS SSI arrears payments. The field is numeric, with two decimal places and an assumed decimal point.

Tax type: The taxable nature of the regular contributions (on a code 200 or 017 transaction) or SERS SSI contributions (on a code 201 or 017 transaction). In most cases, regular and SSI contributions will be tax-deferred on a current basis, and therefore taxable in the member's retirement account. Where IRS regulations permit, however, certain disability payments are tax-exempt; therefore, the retirement contributions on those salary or wage payments must also remain tax-exempt, and should be reported as non-taxable. If a single salary or wage payment consists of multiple tax types, a separate code 200, 201, and/or 017 transaction must be used to report these payments and the associated contributions. The field is two alphanumeric characters, left justified and space filled. The following codes shall be used by employers to report the tax type:

<u>Tax type</u>	<u>Code</u>
Taxable (Tax-deferred)	1
Non-taxable	3