# Teachers' Retirement System of the State of Illinois



**REQUEST FOR PROPOSALS FOR
INFORMATION TECHNOLOGY APPLICATION DEVELOPMENT**

**Issued January 21, 2022**

**Responses due February 14, 2022, by 2:00 pm CST**

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# I. Introduction

The Teachers' Retirement System of the State of Illinois (the System or TRS) is requesting proposals from qualified vendors to provide information technology application development services in an Agile/Scrum development cycle. TRS is seeking to supplement our permanent staff and contractors by outsourcing certain application modules. The selected vendor will assist TRS personnel and contractors by working cooperatively in the development and implementation of a new pension administration system (PAS) and/or provide continual enhancements, ongoing system maintenance to the existing PAS. The objective of this Request for Proposal is to solicit, from qualified, competitive proposals containing sufficient detail to permit an objective evaluation of the proposal, which may result in a contract to provide application development services on a time and materials basis for the Teachers' Retirement System.

TRS is committed to increasing racial, ethnic, and gender diversity in all aspects of its utilization of vendors to provide goods and services to the System, to the greatest extent feasible, and within the bounds of financial and fiduciary prudence. To that end, the System strongly encourages qualified minority, female, disabled, and veteran-owned firms to submit proposals to this RFP.

A proposer's preparation and submittal of a proposal or subsequent participation in presentations or contract negotiations creates no obligation on the System to award a contract or to pay any associated costs. All proposals and related materials will be retained by the System and will be subject to disclosure as required in accordance with the Illinois Freedom of Information Act.

# II. Summary Description of TRS

The General Assembly created the Teachers' Retirement System of the State of Illinois (TRS or the System) in 1939. TRS administers a multiple-employer public pension plan to provide its members with retirement, disability, and death benefits. Membership is mandatory for all full-time, part-time, and substitute Illinois public school personnel employed outside the city of Chicago in positions requiring certification by the Illinois State Board of Education. Persons employed at certain state agencies relating to education are also TRS members. The System serves over 434,000 members and had over $64.5 billion in assets held in trust for its membership as of November 30, 2021.

The retirement system is administered as a qualified plan under the Internal Revenue Code. TRS benefits and investments are governed by Articles 1, 16, and 20 of the Illinois Pension Code, 40 ILCS 5. Funding comes from member contributions, contributions by TRS-covered employers, the state of Illinois, and investment income. The System's most recent Comprehensive Annual Financial Report as well as a variety of other information about TRS is available on the TRS website at https://www.trsil.org.

A Board of Trustees (the Board) is responsible for the general administration of the System, including the duties granted to it under Article 16 of the Illinois Pension Code, 40 ILCS 5/16. Under the direction of the Executive Director employed by the Board, the day-to-day administration of the System is delegated to the System's staff. The main office is in Springfield, Illinois and there is a satellite office in Lisle, Illinois.

# III. Services Required

## A. General Overview of Project

In 2003 TRS implemented a client-server Pension Administration System (PAS) for employer and member benefit administration known as STAR. In 2017, it was determined that STAR was aging and needed to be replaced with a modern application stack. STAR is a client-server application written mostly .Net. Shortly thereafter, work began on a new PAS, known as Gemini. Gemini is a browser-based application written in C# and Vue.js leveraging .Net Core.

Using Agile/Scrum principles, the Gemini PAS project started with the employer portion of the product. Much of the employer portion has been written. More features need to be written to fully implement the employer portion of Gemini as a replacement for STAR. Additionally, other modules are planned to be developed in Gemini to replace the member portion of STAR. Ultimately, Gemini is intended to entirely replace STAR for all employer and member benefit administration functions needed to conduct the business of the retirement system.

## B. Type of Services

STAR receives salary information from approximately 990 employers of TRS members in a one-time, annual format. See Appendix G and https://www.trsil.org/employers/annual-report/import-file-specifications for more details. STAR is the current system of record. The new system Gemini receives this salary information from the employers on a payroll basis. See Appendix H and https://www.trsil.org/employers/Gemini-Employer-Bulletins for more details. Because STAR is the system of record and expects to receive a single large file from the employers, a process needs to be created that queries the Gemini database per employer, combines the various payroll entries from multiple database tables into one, comprehensive file in the format STAR expects, and produce a report. The generated report will need to be approved by the appropriate employer, and once approved, the record must be submitted to STAR. These needed processes have been informally referred to as "employer rollup."

The purpose of this request for proposal is to outsource a team of Agile/Scrum developers and quality assurance analysts for the employer rollup portion of the Gemini development project with the possibility of outsourcing additional modules for development. TRS is seeking to select a vendor that will provide the needed designs, application development services, and testing required to build the employer rollup module, and for a limited time, post go live support The selected vendor will work closely with the TRS Product Manager, Product Owners, Architects, Project Stakeholders and other key staff members to develop certain modules of Gemini utilizing the same standards and code base that TRS's full time and contracted staff are using. Architectural

code reviews with senior TRS staff will be required. A secure connection to TRS infrastructure will be provided to access the necessary database tables and testing environments.

At this time, the Product Owners and Business Analyst are working closely with our Internal Business Units to define and understand the business needs and requirements. TRS internal Product Owners and Business Analyst will be responsible for creating and providing User Stories (Product Backlog Work Items) at start of the project and will continue to provide them throughout the duration of the engagement as needed.

## C.   Project Timeline

This project is mission-critical and very time-sensitive. Once awarded, the selected vendor must have a highly skilled team comprised of a sufficient number of reliable personnel available to devote immediate attention to the employer rollup project and immediately engage with internal resources in order to meet the tight timeline. The project timeline is as anticipated:

| | |
|---|---|
| Estimated Project Start Date | March 2022 |
| User Acceptance Testing Begin Date | May 16, 2022 |
| Employer Rollup Go Live | June 10, 2022 |
| Mitigation/Troubleshooting Completion Date | No later than June 30, 2022 |

## D.  Contract Term

The Contract term is anticipated to be for an initial term of one year, with the possibility of an extension subject to satisfactory performance, with possible term extensions to develop additional modules, in the sole discretion of TRS.

## E.  Place of Service

Services can be performed remotely; however, all work must be performed within the United States. Selected vendor personnel must work during TRS business hours to line up with internal resources (Central Time 8:00-5:00). Selected vendor personnel must also be available to participate in virtual meetings, consultations, and presentations, as determined by the System.

# IV. Proposal Content

At a minimum, the proposal must include the following information to be considered for the engagement.  For ease of review, each requirement should be addressed in a separate section preceded by an index tab to identify the subject of the section.  The proposal should be formatted on consecutively numbered pages and include a table of contents.  Failure to provide information in the prescribed format may result in rejection of the proposal.  All responses will be subject to

verification for accuracy. **Proposals containing false or misleading information will be rejected.**

## A. Cover Letter

A cover letter, which will be considered an integral part of the proposal package, in the form of a standard business letter, must be signed by an individual authorized to bind the proposer contractually. This cover letter must indicate the signer is so authorized, and must indicate the signer's title or position. An unsigned proposal will be rejected. The cover letter must also include:

a. A statement that the proposal meets all requirements of this RFP, and that the offer tendered by the proposal will remain in full force and effect until, and may be accepted by the Board of Trustees of the Teachers' Retirement System of the State of Illinois, at any time prior to June 30, 2022.

b. A statement certifying that the proposer either: (a) it is not required to register or (b) it is registered as a business entity with the State Board of Elections pursuant to the Procurement Code, 30 ILCS 500/20-160 and acknowledges a continuing duty to update such registration pursuant to the Procurement Code; and that proposer acknowledges that any Agreement awarded as a result of this RFP is voidable under Section 50-60 of the Procurement Code if the proposer fails to comply with the business entity registration requirements. **30 ILCS 500/20-160; 30 ILCS 500/50-60.**

c. A statement that the proposal is being made without fraud or collusion; that the proposer has not offered or received any finder's fees, inducements, or any other form of remuneration, monetary or non-monetary, from any individual or entity; and that the proposer has not conferred or promised to confer, on any individual or entity, any payment, loan, advance, services, or any other form of remuneration in connection with the award of this engagement.

d. A disclosure of any current business relationship or any current negotiations for prospective business with TRS, or with any member of the Board of Trustees or TRS staff, or any party currently rendering services to TRS.

e. **A statement that the proposer is willing to enter into an agreement in the form attached to the RFP as Appendix F including all certifications and representations contained therein, and that the proposer acknowledges and understands that certain provisions in the sample agreement are required to be included in contracts with agencies of the State of Illinois are not subject to negotiation**.

f. A statement that the proposer acknowledges that all documents submitted in response to this RFP and any resulting contract may be subject to disclosure under the Illinois Freedom of Information Act and/or the Illinois Open Meetings Act.

g. An attestation by the signer that the information provided in the Proposal is true and accurate, and that the signer is aware that pursuant to the Illinois Pension Code, 40 ILCS 5/1-135, any person who knowingly makes any false statement or falsifies or permits to be falsified any record of a retirement system or pension fund created under this Code (i.e., the System) in an attempt to defraud the retirement system or pension fund is guilty of a Class 3 felony.

## B. Statement of Minimum Qualifications

Proposers must complete and return the Minimum Qualifications Certification in the form contained in Appendix A.

## C. Questionnaire

The questionnaire contained in Appendix C to this RFP must be completed and returned as part of the proposal.

## D. Fee Proposal

Proposers must submit their fee in the format prescribed in Appendix E. Any deviation from the prescribed format which in the opinion of TRS is material may result in the rejection of the proposal. The proposed fee shall include all costs and expenses for providing the services to TRS as described in this RFP. Once finalists are selected, fees may be subject to a "best and final" offer process to be determined at the discretion of the System.

The fee proposal must expressly state that the proposed fees are guaranteed for the term of any resulting contract.

## E. Contract

This Request for Proposal is neither a contract nor meant to serve as a contract.

It is anticipated that one or more of the proposals submitted in response to this Request for Proposal may be selected as the basis for negotiation of a contract with the proposer. Such a contract is presently contemplated to contain, at a minimum, the terms and conditions set forth in the sample agreement included as Appendix F, but will also incorporate the terms of the proposal submitted, as finally negotiated and approved by the System. TRS reserves the right to negotiate additions, deletions, or modifications to the sample agreement and/or the terms of proposals submitted.

Certain provisions in the sample agreement are required by the State of Illinois and are therefore not subject to negotiation. **Thus it is critically important that firms submitting proposals clearly and thoroughly identify any and all contractual concerns in their written proposal. Material changes to the sample agreement may preclude the proposal from further consideration.** A proposer that waits until contract negotiation to object to TRS contract terms may be precluded from further consideration.

# V. Submission of Proposals

All proposals must be **received** at the address designated below **no later than 2:00 P.M. CST on February 14, 2022**.  Submit two (2) hard copies of the proposal and one (1) electronic copy in a sealed package to:

> Heidi Darow, Purchasing Officer
> Teachers' Retirement System of the State of Illinois
> 2815 West Washington Street
> Springfield, IL 62794-9253

All hard copies must be submitted in one or more sealed envelope/package(s). One of the hard copies must be marked as the "Master Copy" and submitted in a loose-leaf, three-ringed binder which displays the proposer's name on the outside front cover.  **Do not submit the Master Copy with spiral binding.**

Clearly identify the outside of the sealed proposal package with the proposer's name and return address in the upper left-hand corner and the statement **"SEALED PROPOSAL- DO NOT OPEN -** Response to Request for Information Technology Application Development Services, Issued January 21, 2022."  Failure to clearly identify the outside of the proposal package may result in the rejection of the proposal.  TRS is not responsible for receipt of any proposal which is improperly labeled.

TRS accepts no responsibility for lost and/or late delivery of proposals.  Whether mailed, hand-delivered, or delivered by carrier, the proposer is responsible for timely delivery on or before the above date and time.  **Proposals that arrive late for any reason whatsoever, including mail delay or any other cause beyond the control of the proposer, will not be considered and will be returned unopened.**

Except as specifically requested by TRS, submission of proposals or any portion thereof via facsimile transmission, electronic, or magnetic media will not be allowed.

The proposals become the property of TRS upon submission.  All costs for developing proposals and attending presentations and/or interviews are entirely the responsibility of the proposer and shall not be chargeable to TRS.

Only one proposal from an individual, firm, partnership, corporation, or combination thereof, will be considered for this engagement.

# VI. Evaluation Process

## A.  Pre-Evaluation Review

Each proposal package will be date-stamped when received.  Each proposal package will be inspected to ascertain that it is properly sealed and labeled.  Proposals not passing this inspection

may not be accepted. All proposals will be reviewed to determine if they contain all the required submittals specified in this RFP. Those not submitting all required information will be rejected.

## B. Proposal Evaluation

Proposals that pass the pre-evaluation review will undergo an evaluation process conducted by TRS staff and/or members of the Board of Trustees. TRS will consider the following various elements in the decision process, ranked in no specific order, and will render a decision based on the perceived best value for the engagement. Fees will be one of the determining factors in this decision but will not be the primary determinative. Proposals will be evaluated based on criteria including:

- Understanding of the services requested
- Soundness of the approach and quality of the proposes services
- Experience with Agile/Scrum methodologies
- Experience with browser-based application written in C# , Vue.js and .Net Core.
- Experience with financial or pension application development
- Cost

During the evaluation process, proposers may be requested to provide additional information and/or clarify contents of their proposal. Other than information requested by TRS, no proposer will be allowed to alter the proposal or add new information after the filing date.

# VII. Anticipated Timeline
Subject to change at TRS's discretion

| | |
|---|---|
| Date RFP Issued | January 21, 2022 |
| Deadline for Submission of Questions | February 2,2022 no later than 4:30 p.m. CST |
| Deadline for Submitting RFP Response | February 14, 2022 @ 2:00 p.m. CST |
| Proposal Evaluation & Selection | February 14–28 2022 |
| Estimated Project Start Date | March 2022 |

# VIII. General Conditions

## A. Clarification of the RFP

To maintain the integrity of the RFP process, interested proposers are expected to respond to this RFP to the best of their understanding. Proposers must not contact TRS IT staff about this RFP. If

a proposer discovers an error in this RFP, the proposer should immediately notify TRS of such error in writing to Heidi Darow at the following email address: purchasing@trsil.org.  If deemed necessary or appropriate in the System's discretion, TRS may clarify or modify any part of this RFP by posting notice on the TRS Web site prior to the proposal deadline.

Questions about this RFP are generally discouraged and should be submitted only if the proposer deems necessary after full and careful reading of this RFP. Questions must be submitted in writing (no phone calls) **on or before February 2nd, 2022 at 4:30 p.m. CST** to Heidi Darow at the following email address: purchasing@trsil.org. The System will not respond individually to a submitted question. If a response is deemed necessary or appropriate in the System's discretion, the System will post an answer along with the question submitted (without identifying the proposer) on the System's website at the same place as this RFP. Proposers are responsible for monitoring the TRS website

## B. Restrictions on Communication

Proposers must not discuss or share the contents of their proposals with other potential proposers. TRS policy and the Illinois state ethics law strictly limit communication during the search process**. Any attempt to initiate contact with TRS staff or TRS Trustees, other than as specifically stated in this RFP, may disqualify the proposer from further consideration.**

## C. Prior Deficiencies

A proposer that is or has been deficient in current or recent contract performance in dealing with TRS or other clients may be disqualified unless the deficiency is shown to have been beyond the reasonable control of the proposer.  TRS may reject a proposal from any proposer that is in default on any debt owed to, or contract with, TRS or other clients, or that is in default as surety or otherwise, upon any obligation to TRS, or has failed to perform faithfully any previous contract with TRS.  Proposers that are newly formed business concerns having substantially the same owners, officers, directors, or beneficiaries as a previously existing non-responsible proposer may be disqualified unless the new organization can prove it was not set up for the purpose of avoiding an earlier declaration of non-responsibility.

## D. Reservation of Rights

TRS reserves the right to withdraw this RFP, to accept or reject any or all proposals submitted, and to waive any immaterial deviation, defect, or irregularity, whenever it would be in the best interest of TRS to do so.  Waiver of an immaterial deviation shall in no way modify the Request for Proposal or excuse a proposer from full compliance with all RFP requirements.

Proposals that contain false or misleading statements or that provide references which do not support an attribute or condition claimed by the proposer will be rejected. Issuance of the Request for Proposal creates no obligation to award a contract or to pay any costs incurred in the preparation of a proposal.  Nothing in this RFP or any resulting contract shall preclude TRS from procuring services similar to those described herein from other sources.

**E. No Confidentiality**

Proposals and all materials submitted in response to this RFP cannot be considered confidential. All proposals and related materials will be retained by TRS and will be subject to disclosure as required in accordance with the Illinois Freedom of Information Act, 5 ILCS 140.

**F. Equal Opportunity**

TRS does not discriminate because of actual or perceived race, color, religion, sex, sexual orientation, age, marital status, pregnancy, order of protection status, military status, certain unfavorable discharges from military service, political affiliation, citizenship, ancestry, national origin, physical or mental disability, genetic information, or any other characteristic protected by law. It is the System's intent to comply with all state, federal, and local equal employment opportunity laws and public policies.

**G. Reference Checks**

Reference checks may be conducted for each finalist. Please provide reference authorization letter in the format prescribed in Appendix B.

# Appendix A: Statement of Minimum Qualifications

(Firm Name) _____ certifies that it meets the following minimum qualifications.

Please initial each as applicable.

1. _____ The Firm must have minimum 5 (Five) years of experiences in relevant field with design, development, and implementation of enterprise level web-based applications.

2. _____ 7 (Seven) years of experience working with Microsoft development environments such as Visual Studio 2017/2019, C#, ASP.Net, .Net Core 2.0/3.0, Entity Framework Core

3. _____ 5 (Five) years of experience working with HTML, JavaScript, CSS, Webpack, and other related technologies.

4. _____ 2 (Two) years of experience working with TypeScript, Vue.js or related JavaScript Frameworks

5. _____ 3 (Three) years of experience working with designing RESTful Web API, Unit Testing, and Integration Testing Frameworks

6. _____ 3 (Three) years of experience in Azure DevOps and GIT

7. _____ 3 (Three) years of experience working in a SCRUM environment

8. _____ 2 (Two) years of experience working with Microsoft SQL, SQL query writing, and Data Analysis. These skills would be needed for both Developer and Software Quality Assurance resources.

9. _____ 3 (Three) years of Functional, Integration, and White/Black box testing experience for Software Quality Assurance Analyst


Signed: _____ Date: _____

Title: _____

# Appendix B: Reference Authorization Letter

*[On prospective firm letterhead]*

[Month, Day, Year]

[Reference Name]
[Reference Title]
[Company Name]
[Reference Address]
[City, State, Zip]

Dear [Reference Name]:

*(Prospective Executive Search Firm Name)* has submitted a proposal to the Teachers' Retirement System of the State of Illinois ("System") with regard to providing information technology application development services. The System is conducting its due diligence with regard to *(Prospective Firm Name)*. Through this written authorization, *(Prospective Firm Name)* hereby authorizes any individual, business, corporation, retirement system, state agency, or other entity to release any facts and information it may have concerning *(Prospective Firm Name)*, its principals, employees and agents, to the System.

A copy of this authorization may be used as if it were an original. Thank you for your assistance.

Sincerely,

*(Prospective Vendor Name)*

*(Authorized Signature and Title)*

cc: Stan Rupnik, Executive Director
    Teachers' Retirement System of the State of Illinois

# Appendix C: Questionnaire

The following questionnaire must be completed and included with your response to this RFP. Type your responses in the same order as the questionnaire, listing the question first followed by your answer.

## A. Vendor Information

Name of Vendor: _____

Mailing Address: _____

City: _____ State: _____ Zip Code: _____

Phone: _____ Fax: _____

Federal Employer Identification Number: _____

Contact Person(s):

Name: _____ Phone: _____

Title: _____ Fax: _____

Email: _____ Website: _____

## B. General Information

1. Provide a historical overview of your company's services including ownership.

2. Explain how the firm controls the quality of service provided to the clients, the number of professionals and support staff in the firm, and the average number of clients assigned per professional. What is the maximum number of clients per year that you maintain?

3. What do you see as your organization's strongest area of expertise?

4. Does your firm provide other services besides those requested in this RFP? If so, please describe.

5. Provide the names, sizes and lengths of engagements for the client base using your services for services similar to those described in this RFP.

6. Provide organizational structure and roles used for similar engagements.

7. In addition to the areas of specific interest listed elsewhere in this questionnaire, what are the other strengths or areas of specialty in which your firm could be of assistance to TRS?

8. Do you foresee any conflicts of interest, actual or perceived, that would impact your ability to provide the services requested by this RFP? Explain in detail.

9. Are there any other disclosures or additional information that the System should be aware of to thoroughly complete the due diligence process in reviewing your proposal.

10. Describe your experience providing similar services to state government agencies and/or public pension plans.

## C. Proposed Services

1. Provide a detailed description of your proposed approach and detailed services to be provided referencing the provided timeline of events tied to proposed deliverables.

2. Identify all staff that are being proposed to work on the project. Submit resumes for all proposed staff along with the proposal.

3. Explain your ability to complete the project as required in this RFP.

# Appendix D:  Vendor Type Verification Form

Please complete the information below as it applies to you/your company.  This form must be included with your proposal.

Female Owned  Business - Must be 51% independently owned by female(s)          ———

Minority Owned Business - Must be 51% independently owned by minority(s)          ———

Persons with Disability Business - Must be 51% independently owned by
disabled person(s)          ———

Combination of Above – Any combination of one or more of the three classes
above which collectively represents at least 51% ownership          ———

Veteran Owned Business - Must be 51% independently owned by veteran(s)          ———

None of the above          ———

_____

Representative Signature                                    Date

# Appendix E: Fee Schedule Proposal

A fee schedule shall be provided and include all team members hourly rates and total hour estimations related to completion of this project.   An hourly rate cost proposal is required and must include all out-of-pocket expenses attributable to the performance of the services, i.e., all overhead and travel expense, including but not limited to lodging, transportation, meals, telephone, facsimile, Internet or other communication devices, postage, delivery, copying clerical time and overtime. TRS will not pay or reimburse these expenses.

THIS [SAMPLE] AGREEMENT FOR PROFESSIONAL SERVICES (this "Agreement") is made and entered into this _____ day of _____, 2022, by and between the Teachers' Retirement System of the State of Illinois (the "System"), a retirement system established under and pursuant to the laws of the State of Illinois, and *[INSERT NAME/ADDRESS/LEGAL STATUS OF CONTRACTOR], a *[INSERT LEGAL STATUS OF CONTRACTOR] ("Contractor").

WHEREAS, the System has need to obtain the professional services specified in this Agreement; and

WHEREAS, Contractor is qualified to and has agreed to provide such professional services; and

WHEREAS, the System has determined through the Request for Proposal (RFP) process that Contractor meets all qualifications described in the RFP to perform the services set forth herein;

NOW THEREFORE, Contractor agrees to provide the following professional services to the System as more fully detailed below:

**Services:** In accordance with the terms of this Agreement and any attachments hereto, the Request for Proposals for Executive Search Firm issued January 21, 2022 (the "RFP"), and Contractor's response to the RFP (the "RFP Response"), Contractor shall provide such services. Under the direction of the Board, Executive Director, Director of Information Technology or a designee, the services to be provided by the Contractor shall include, but are not limited to, the following: [AS AGREED]

**Compensation:**

a) [AS AGREED]

b) Such fee shall include all normal business expenses, including all overhead expenses associated with Contractor's business, such as clerical time and overtime, computer usage, telephone calls, tele-facsimiles, photocopying, and mailing an express delivery expenses.

c) All out-of-pocket expenses attributable to performance of services under this Agreement, including without limitation, transportation, lodging, and meals during the period of travel, shall be at Contractor's own expense, and the System shall have no obligation to reimburse Contractor for any such out-of-pocket expenses.

d) Unless otherwise agreed upon and stated herein, this Agreement does not allow for reimbursement of any expenses incurred by Contractor, including but not limited to

telephone, facsimile, Internet, or other communications device, computer, postage, delivery, copying, travel, transportation, lodging, food and per diem, clerical time, and overtime.

**Billing:**  Contractor shall submit quarterly invoices for services provided hereunder in accordance with terms outlined below:

a) By submitting an invoice, Contractor certifies that the professional services provided meet all requirements of the Agreement, that the amount billed is as allowed in the Agreement, and that any expenses billed are reimbursable under this Agreement.

b) Invoices shall be signed by Contractor and shall set out Contractor's social security number or FEIN.

c) Invoices submitted by Contractor for the professional services performed prior to July 1 must be presented to the System no later than July 15 of that year in order to ensure payment under this Agreement.  Failure by Contractor to seek payment of invoices prior to July 15 may require Contractor to seek payment in the Illinois Court of Claims.

d) Contractor shall not bill for any taxes unless accompanied by proof that TRS is subject to the tax.  If necessary, Contractor may request the applicable Illinois tax exemption number and federal tax exemption information.

**Payment:**  Payments will be paid in accordance with the Prompt Payment Act, 30 ILCS 540. Payment will be made in the amount earned to date of invoice, less previous partial payments. Final payment may be adjusted by the System if such adjustment is supported by a System audit. All recordkeeping shall be in accordance with sound accounting standards.  TRS shall not be liable to pay for supplies or equipment provided or services rendered, including related expenses, incurred prior to the execution of this Agreement by all parties and the beginning of the term of this Agreement.

**Term of the Agreement:**  The professional services under this Agreement shall be provided between date of execution and _____ unless earlier terminated in accordance with this Agreement.

**Amendment and Changes:**  This Agreement may be amended in writing from time to time by mutual consent of the parties.  All amendments to this Agreement must be in writing and fully executed by the parties.

**Applicable Law:**  This Agreement and Contractor's obligations and services hereunder are hereby made and must be performed in compliance with all applicable federal and state laws.  This Agreement shall be construed and governed in accordance with the laws of the State of Illinois to the extent that such laws are not pre-empted by the laws of the United States of America.  By entering into this Agreement, Contractor agrees to submit to the exclusive jurisdiction of the state and federal courts of Illinois and agrees that any action or proceeding against the System arising out of or in connection with this Agreement shall be instituted in the Illinois Court of Claims. The

System shall not enter into binding arbitration to resolve any dispute arising out of this Agreement. The System does not waive sovereign immunity by entering into this Agreement.

**Bankruptcy:** Contractor shall promptly notify the System if Contractor becomes insolvent, files a petition in bankruptcy, becomes a party to an involuntary bankruptcy proceeding, or makes an assignment for the benefit of creditors. In such an event, the System may immediately cancel all or any portion of this Agreement upon written notice.

**Building Security:** Contractor shall comply with the System's security procedures during the time Contractor's personnel are on the premises.

**Certifications and Conflicts:** Contractor certifies that it is not legally prohibited from contracting with TRS or the State of Illinois, has no known conflicts of interest, and further specifically certifies as follows:

a) **Educational Loan:** Contractor, in accordance with the Educational Loan Default Act, is not in default on an educational loan. **5 ILCS 385.**

b) **Ethics:** Contractor acknowledge that employees and trustees of TRS are subject to the State Officials and Employees Ethics Act, that TRS has adopted a gift ban more restrictive than required by state law, and agrees to refrain from bestowing or offering gifts of any monetary or non-monetary value to TRS employees or trustees. Contractor agrees to complete ethics training upon request. **5 ILCS 430.**

c) **Bribery:** Contractor has not been convicted of bribing or attempting to bribe an officer or employee of the State of Illinois or any other state, nor made an admission of guilt of such conduct that is a matter of record. TRS shall declare this Agreement void if this certification is false. **30 ILCS 500/50-5.**

d) **Felony:** If Contractor has been convicted of a felony, at least five years has passed after the date of completion of the sentence for that felony, unless no person held responsible by a prosecutorial office for the facts upon which the conviction was based continues to have any involvement with the business. TRS shall declare this Agreement void if this certification is false. **30 ILCS 500/50-10.**

e) **Sarbanes-Oxley:** If Contractor has been convicted of a felony under the Sarbanes-Oxley Act of 2002, or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953, 815 ILCS 5, at least five years has passed from the date of conviction. Contractor is not barred from being awarded a contract under 30 ILCS 500/50-10.5, and acknowledges that TRS shall declare this Agreement void if this certification is false. **30 ILCS 500/50-10.5.**

f) **Debt Delinquency:** Contractor and its affiliates are not delinquent in the payment of any debt to the State, or if delinquent, have entered into a deferred payment plan to pay off the debt. Contractor further certifies that it is not barred from being awarded a contract under 30 ILCS 500/50-11, and acknowledges that TRS may declare this Agreement void if this certification is false, or if Contractor later becomes delinquent

and has not entered into a deferred payment plan to pay off the debt. **30 ILCS 500/50-11; 30 ILCS ILCS 500/50-60.**

g) **Illinois Use Tax:** Contractor is not barred from being awarded a contract under 30 ILCS 500/50-12, and acknowledges that TRS may declare this Agreement void if this certification is false. Contractor shall collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act, and acknowledges that failure to comply can result in this Agreement being declared void. **30 ILCS 500/50-12.**

h) **Environmental Protection:** Contractor has not committed a willful or knowing violation of the Environmental Protection Act (EPA) relating to civil penalties within the last five years, and is therefore not barred from being awarded a contract. If this certification is later determined to be false, Contractor acknowledges that the System may declare this Agreement void. **30 ILCS 500/50-14.**

i) **Lead Poisoning:** Contractor is not in violation of the Illinois Procurement Code provision prohibiting owners of residential buildings who have committed a willful or knowing violation of the Lead Poisoning Prevention Act from doing business with the State until the violation is mitigated. **30 ILCS 500/50-14(c), 410 ILCS 45.**

j) **Conflict of Interest:** Contractor does not have any public or private interest, direct or indirect, and shall not acquire directly or indirectly any such interest which does or may conflict in any manner with Contractor's obligations under this Agreement. Contractor has disclosed, and agrees it is under a continuing obligation to disclose to TRS, financial or other interests, public or private, direct or indirect, that may be a potential conflict of interest or which would prohibit Contractor from entering into or continuing to perform under this Agreement. Contractor further certifies that, in the performance of this Agreement, no person having any such interest shall be employed by Contractor. If any elected or appointed State officer or employee, or spouse or minor child of same has any ownership or financial interest in Contractor or this Agreement, Contractor certifies that it has disclosed that information to TRS, and any waiver of the conflict has been issued in accordance with applicable law and rule. Membership in the Teachers' Retirement System of the State of Illinois does not constitute a conflict of interest within the meaning of this paragraph. **30 ILCS 500/50-13, 30 ILCS 500/50-15, 30 ILCS 500/50-35.**

k) **Inducement:** Contractor has not offered or paid any money or valuable thing to induce any person not to bid for a State contract, and has not accepted any money or valuable thing, or acted upon the promise of same, for not bidding on a State contract. **30 ILCS 500/50-25.**

l) **Non-Solicitation:** Contractor has not employed or retained any company or person, other than a bona fide employee working solely for Contractor, to solicit or secure this Agreement, and has not paid or agreed to pay any company or person, other than a bona fide employee working solely for Contractor, any fee, commission, percentage,

brokerage fee, gifts, or any other consideration contingent upon or resulting from the award of making of this Agreement.

m) **Revolving Door:** Contractor is not in violation of the "revolving door prohibition" on procurement activity relating to a State agency. **30 ILCS 500/50-30.**

n) **Anticompetitive Practices:** Contractor will report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anticompetitive practice among any bidders, offerors, contractors, proposers, or employees of the State. **30 ILCS 500/50-40, 30 ILCS 500/50-45, 30 ILCS 500/50-50.**

o) **Business Entity Registration:** Contractor certifies either: (a) it is not required to register or (b) it is registered as a business entity with the State Board of Elections pursuant to the Procurement Code, 30 ILCS 500/20-160 and acknowledges a continuing duty to update such registration pursuant to the Procurement Code. Contractor acknowledges that this Agreement is voidable under Section 50-60 of the Procurement Code if Contractor fails to comply with the business entity registration requirements. **30 ILCS 500/20-160; 30 ILCS 500/50-60.**

p) **ERI:** Contractor has informed the System in writing if Contractor was formerly employed by the System and received an early retirement incentive prior to 1993 under 40 ILCS 5/14-108.3 or 16-133.3 of the Illinois Pension Code, and acknowledges that contracts made without the appropriate filing with the Auditor General are not payable from the "contractual services" or other appropriation line items. Contractor has not received an early retirement incentive in or after 2002 under 40 ILCS 5/14-108.3 or 40 ILCS 5/16-133.3 of the Illinois Pension Code, and acknowledges that contracts in violation of Section 15a of the State Finance Act are not payable from the "contractual services" or other appropriation line items. **30 ILCS 105/15a.**

q) **Drug Free Workplace:** Contractor will provide a drug free workplace and will not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance during the performance of this Agreement. This certification applies to contracts of $5,000 or more with individuals, and to entities with 25 or more employees. **30 ILCS 580.**

r) **International Boycott:** Neither Contractor, nor any substantially owned affiliate, is or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or applicable regulations of the U.S. Department of Commerce. This certification applies to contracts that exceed $10,000. **30 ILCS 582.**

s) **Forced Labor:** In accordance with the State Prohibition of Goods from Forced Labor Act, no foreign-made equipment, materials, or supplies furnished under this Agreement have been or will be produced in whole or in part by forced labor, convict labor, or indentured labor under penal sanction. **30 ILCS 583.**

t) **Child Labor:** In accordance with the State Prohibition of Goods from Child Labor Act, no foreign-made equipment, materials, or supplies furnished under this Agreement

have been or will be produced in whole or part by the labor of any child under the age of 12. **30 ILCS 584.**

u) **Bid Rigging/Rotating:** Contractor has not been convicted of bid rigging or bid rotating or any similar offense of any state or of the United States. **720 ILCS 5/33E-3, E-4.**

v) **Nondiscrimination/Equal Employment Opportunity:** Contractor will comply with applicable provisions of the State and Federal constitutions, laws, and regulations pertaining to unlawful discrimination, harassment, and equal employment opportunity, including but not limited to the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, the Americans with Disabilities Act, the Public Works Employment Discrimination Act, and the Illinois Human Rights Act. **42 USC 12101** *et seq.***, 775 ILCS 5, 775 ILCS 10.**

w) **Discriminatory Club:** Contractor does not pay dues or fees, or subsidize or otherwise reimburse its employees or agents for any dues or fees to any discriminatory club. **775 ILCS 25.**

x) **Affiliates:** Contractor shall disclose the names and addresses of (i) itself; (ii) any entity that is a parent of, or owns a controlling interest in Contractor; (iii) any entity that is a subsidiary of, or in which a controlling interest is owned by, Contractor; (iv) any persons who have an ownership or distributive income share in Contractor that is in excess of 7.5%; or (v) who serves as an executive officer of Contractor. **40 ILCS 5/1-113.14(c)(5).**

**Confidential Data and Information:** Contractor, including its personnel, agents, and subcontractors, may have access to, collect, or receive confidential data, member records, or other information owned or maintained by the System in the course of carrying out its responsibilities under this Agreement. The System hereby designates all information received or accessed pursuant to this Agreement as confidential unless otherwise designated in writing by the System. Contractor shall not unnecessarily communicate such data or information within Contractor's operations. No such data or information shall be used for competitive purposes nor disclosed or disseminated except as authorized by law and with the written consent of the System, either during the period of this Agreement or thereafter. Contractor must return all such data and information, in whatever form it is maintained, promptly at the end of the Agreement or earlier at the request of the System, or shall notify the System in writing of its destruction. The foregoing obligations do not apply to confidential data or information lawfully in the receiving party's possession prior to acquisition under this Agreement, received in good faith from a third party not subject to any confidentiality obligation, that is or becomes publicly known through no breach of confidentiality obligation, or that is independently developed by the receiving party without the use or benefit of the System's data or information.

**Employment Status:**

a) Contractor and all personnel that Contractor assigns to perform services under this Agreement are not employees of the System and amounts paid pursuant to this Agreement do not constitute compensation paid to any employee of the System. The

System assumes no liability for actions of Contractor or its personnel under this Agreement and this Agreement is not subject to the State Employee Indemnification Act, as amended, 5 ILCS 350.

b) Contractor represents, warrants, and agrees that all professionals who provide services pursuant to this Agreement are partners or employees of Contractor, are treated as partners or employees of Contractor for tax reporting purposes, and are provided all benefits of such partnership or employment that are provided or accrue to Contractor's partners and employees, including, without limitation, health insurance, life insurance, disability insurance, workers' compensation, vacation, paid holidays, sick leave, and the like.

**Entire Agreement:**  This Agreement, together with any exhibits or attachments hereto, constitutes the entire agreement between the parties concerning the subject matter of this Agreement, and supersedes all prior proposals and contracts between the parties concerning the subject matter of this Agreement.  Any provision of this Agreement officially declared void, unenforceable, or against public policy, shall be ignored and the remaining provisions shall be interpreted, as far as possible, to give effect to the parties' intent.  All provisions that by their nature would be expected to survive, shall survive termination.  In the event of a conflict between the System's and Contractor's terms, conditions, and attachments, the System's terms, conditions, and attachments shall prevail.

**Execution of Originals:**  This Agreement may be executed in two or more counterparts, any one of which shall be an original without reference to the others.

**FEIN Certification:**  Under penalties of perjury, Contractor certifies that the legal name of business, taxpayer identification number, and legal status listed below are correct.

Contractor's legal name of business:  _____

Taxpayer Identification Number:  _____

Legal status of business:  _____

Tax classification:                           S = S Corporation
*[Check only if legal status is*           C = Corporation
*a limited liability company]*            P = Partnership

**Inability to Perform:**  Contractor agrees that if, due to death, illness, departure, or any other occurrence, any principal or principals of Contractor become unable to perform the services set forth in this Agreement, neither Contractor nor the surviving principals shall be relieved of their obligations to complete performance hereunder.  Contractor may substitute other professionals to perform such services only upon approval of the System.  Contractor shall immediately notify the System of any occurrence resulting in the inability of any principal or principals of Contractor to

perform the services set forth in this Agreement, in which event the System, at its own option, may immediately terminate this Agreement upon written notice to Contractor.

**Indemnification:** Contractor shall indemnify, defend, save and hold harmless the System, its board members, trustees, officers, agents and employees, in both individual and official capacities, from and against any and all suits, actions, claims, demands, damages, losses, costs, and expenses, including attorney's fees and all expenses, which are the result of an error, omission or negligent act of Contractor or any of its employees or agents arising out of or resulting from the provision of Goods and/or performance of services under this Agreement, except where such is due to the active negligence of the party seeking to be indemnified. This paragraph is applicable to the full extent allowed by the laws of the State of Illinois and not beyond any extent that would render this paragraph void or unenforceable.

**Independent Contractor:** Contractor is an independent contractor in the performance of this Agreement, and is not an agent, employee, partner, or in joint venture with the System. All payments by the System shall be made on that basis. Contractor and its employees are not employees of the System and amounts paid pursuant to this Agreement do not constitute compensation paid to an employee of the System. All personnel performing services pursuant to this Agreement are employees of Contractor, are treated as employees of Contractor for tax reporting purposes, and are provided all benefits of such employment that are provided or accrue to Contractor's employees, including, without limitation, health insurance, life insurance, disability insurance, workers' compensation, vacation, paid holidays, sick leave, and the like. The System assumes no liability for actions of Contractor or its employees under this Agreement and this Agreement is not subject to the State Employee Indemnification Act, 5 ILCS 350.

**Information Technology Accessibility:** All electronic and information technology provided under this Agreement must comply with the applicable requirements of the Illinois Information Technology Accessibility Act, 30 ILCS 587, and any standards promulgated thereunder.

**Insurance:** Contractor shall, at its sole cost and expense, procure and maintain in full force and effect during the term of this Agreement, a Certificate of Insurance naming the System ad additional insured for all required bonds and insurance. Certificates may not be modified or canceled until at least 30 days' notice has been provided to the System. Contractor shall provide in the following minimum amounts: (a) General Commercial Liability-occurrence form in the amount of $1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage) and $2,000,000 Annual Aggregate; (b) Auto Liability, including Hired Auto and Non-owned Auto, in the amount of $1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage); and (c) Worker's Compensation Insurance in the amount required by law. Insurance shall not limit Contractor's obligation to indemnify, defend, or settle any claims.

**Nonexclusive Agreement:** Contractor understands, acknowledges, and agrees that Contractor does not have an exclusive agreement with the System to provide the supplies, equipment, and/or services hereunder, and that the System may engage others to provide the same or similar goods and/or services without any obligation to Contractor.

**Notices:**  Notices and any other communication provided for herein shall be given in writing to the contacts designated below by registered or certified mail, return receipt requested, by receipted hand delivery, by courier (UPS, Federal Express, or other similar and reliable carrier), by email, or by fax showing the date and time of successful receipt.  Each such notice shall be deemed to have been provided at the time it is actually received.  By giving notice, either party may change the following contact information:

Contractor:    [Company Name]
               Attention:
               [Mailing Address]
               [City, State  Zip Code]
               Phone:
               Fax:
               Email:

TRS:        Teachers' Retirement System of the State of Illinois
               Attention: Heidi Darow, Purchasing Officer
               2815 W. Washington St., P.O. Box 19253
               Springfield, Illinois 62794-9253
               Phone:  217-814-2049
               Fax:  217-753-0969
               Email: Purchasing@trsil.org

**No Waiver:**  Except as specifically waived in writing, failure by either party to exercise or enforce a right or obligation under this Agreement shall not affect any subsequent ability to exercise or enforce a right or obligation.

**Records Retention:** Contractor and its subcontractors agree to comply with Section 20-65 of the Illinois Procurement Code, 30 ILCS 500/20-65, and shall maintain adequate books and records relating to the performance of this Agreement and necessary to support amounts charged to the System under this Agreement.  Books and records, including information stored in databases or other computer systems, shall be maintained by Contractor and its subcontractors for a period of three years from the later of the date of final payment under the Agreement or completion of the Agreement.  Such three-year period shall be extended for the duration of any audit in progress at the time of that period's expiration.  Such books and records shall be available for review or audit by the Illinois Auditor General, other governmental entities with monitoring authority, and the System, upon reasonable notice and during normal business hours.  Contractor and its subcontractors shall cooperate fully with any such review or audit. Failure to maintain such books and records shall establish a presumption in favor of the System for the recovery of any funds paid by the System under this Agreement for which adequate books and records are not available. Contractor shall not impose a charge or pass on fees or costs for review or audit of such books and records.  Contractor shall take reasonable steps to ensure that its subcontractors are in compliance with this provision.

**RFP or Bid:**  The System's Request for Proposal (RFP), Invitation to Bid, or any similar document soliciting contractors for the work set forth herein, and Contractor' response thereto, are hereby

incorporated by reference into this Agreement as though fully set forth herein. To the extent that there are any conflicts between the RFP or bid document and this Agreement, this Agreement shall prevail.

**Severability:** Any provision, covenant, or condition of this Agreement which is held by a court of competent jurisdiction to be invalid or not enforceable in any jurisdiction, shall be ineffective to the extent of such invalidity or unenforceability without invalidating or rendering unenforceable the remaining provisions hereof and any such invalidity or unenforceability in any jurisdiction shall not invalidate or render unenforceable such provision in any other jurisdiction.

**Subcontracting and Assignment:**

a) This Agreement may not be assigned or transferred in whole or in part without a written amendment duly executed by both parties.

b) If Contractor intends to utilize one or more subcontractors in performance of this Agreement, Contractor shall provide prior written notice to the System identifying the names and addresses of all such subcontractors to be utilized by Contractor in the performance of this Agreement, together with a description of the work to be performed by the subcontractor and the anticipated amount of money that each subcontractor will receive from Contractor for such work. This Agreement shall apply to and bind all subcontractors utilized by Contractor in the performance of this Agreement as fully and completely as Contractor is hereby bound and obligated. For purposes of this section, subcontractors are those specifically hired to perform all or part of the work or to provide equipment or supplies covered by the Agreement.

**Termination:**

a) This Agreement may be terminated at any time by the mutual consent of the System and Contractor.

b) Either party may, without the consent of the other party, terminate this Agreement upon 30 days' prior written notice to the other party.

c) Notwithstanding any contrary provision in this Agreement, this Agreement may be terminated at the option of the System whenever the System determines that such termination is in its best interests, upon 30 days' prior written notice to Contractor.

d) Upon notice of termination, Contractor shall cease work under this Agreement except work that TRS directs in writing to be completed, and take all necessary or appropriate steps to limit disbursements and minimize costs, and cooperate in good faith with TRS during the transition period between notification of termination and substitution of any replacement contractor. Contractor shall be entitled to payment for satisfactory supplies, equipment and/or services provided under the Agreement. In the event the System and Contractor cannot agree to the amount of payment due Contractor, Contractor will receive a percentage of payment provided under the Agreement equal

to the percentage of work completed prior to termination of the Agreement. Contractor shall immediately return to TRS any payments for supplies, equipment, or services that were not rendered by Contractor.

e) Termination of this Agreement shall not relieve either party of any obligations hereunder which were incurred prior to the date upon which the termination is effective.

**Third Parties Operating Policy:**  Contractor shall also comply with the System's Third Parties Operating Policy which shall be provided to Contractor and their personnel.

**Use and Ownership:**  All work performed or created by Contractor under this Agreement, whether written documents or data, goods, or deliverables of any kind, shall be deemed work-for-hire under copyright law and all intellectual property and other laws, and the System is granted sole and exclusive ownership to all such work, unless otherwise agreed to herein.  Contractor hereby assigns to the System all right, title, and interest in and to any such work including any related intellectual property rights, and/or waives any and all claims that Contractor may have to such work including the so-called "moral rights" in connection with the work.  Confidential data or information contained in such work shall be subject to all confidentiality provisions of this Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement as of the date first above written.

[SIGNATURE BLOCK]

## Appendix G: Star Import File Specifications

The files specified below may be imported into the Annual Report to save data entry time. TRS strongly recommends that employers verify the accuracy of the data prior to completing and submitting the Annual Report.

**The required fields are:**

| FIELD NAME | FIELD TYPE | COMMENTS |
|---|---|---|
| Social Security Number | Number | Up to 9 digits in length |
| Name | Text | Maximum 30 characters |
| Gender | Text | M or F |
| Date of Birth | Text | MMDDYYYY, MM-DD-YYYY, MM/DD/YYYY |
| Type of Employment | Text | F, P, S, H, or E |
| Number of Days in Employment Agreement | Number | Up to 3 digits in length |
| Total Number of Days Paid | Number | Up to 3 digits in length |
| Annual Salary Rate | Number | |
| Creditable Earnings | Number | |
| Member TRS Contributions | Number | |
| Federal Funds | Number | |
| Full-time Equivalency Percent | Number | From 0 to 100 |

**The web ARS import system will accept the following file types:**
Microsoft Excel Spreadsheet (XML format)
Microsoft Excel Spreadsheet (.xlsx format)
XML data
Tab-delimited data
Comma-delimited data
Fixed-length data

For more information: https://www.trsil.org/employers/annual-report/import-file-specifications

# Gemini Project

## Employer Reporting File Format

Version 1.50

December 15, 2020

Teachers' Retirement System of the State of Illinois



30

# Contents

# Introduction

TRS is in the process of replacing its current in-house pension administration software and the associated online reporting, employer access, and member access systems with a solution we are calling Gemini. Gemini will facilitate outreach to TRS members and employers and provide an interactive user experience, that increases self-service with secure, efficient access to reliable, accurate data. As part of this effort, in conjunction with legislative requirements for implementing defined contribution plans within TRS, we will be transitioning from annual employer reporting to employers reporting each pay period.

# Purpose & Scope

This document provides the technical format and data requirements which are to be included in the Employer Reporting File layout. The file layout includes individual specifications for header, footer, and detail records that will be contained within the file. Additionally, the document includes a definition of key terminology used in the Employer Reporting File layout, general business rules pertaining to the file format, the fixed length of the file format as well as the details of the layout, fields and key rules for each individual data field.

**NOTICE:** Accuracy in reporting and payment is vital because benefits from TRS are based on service credit, creditable earnings, and contributions reported by employers. TRS's effectiveness in benefit administration rests largely on the reports provided by employers. By submitting your information using the format prescribed below, you are certifying the accuracy of the data. Although every effort has been made to ensure that the contents of this publication fully comply with the Illinois Pension Code (40 ILCS 5/16) and the Illinois Administrative Code (80IL Adm Code), this document does not have the authority to bind the System to any action contrary to law. Laws are subject to change. TRS is not responsible for any advice and/or guidance regarding any TRS matter received from a non-TRS source. Any TRS member or employer who relies upon non-TRS advice and/or guidance does so at his, her, or its risk. To be safe, advice and/or guidance from non-TRS sources should be confirmed with TRS. Please remember, the application of TRS laws and rules and the federal statutes and regulations governing TRS can be quite complicated and not fully understood nor appreciated by those who do not deal with TRS matters on a daily basis.

# Version History

Version 1.5 includes more detailed information on reporting for the voluntary defined contribution plan, hereafter referred to as the Supplemental Savings Plan (SSP). There are also updates to wording, rules and examples for greater clarity and new available values for some fields. **The actual layout has not been altered.**

| Section | Item | Change | Link |
|---|---|---|---|
| Key Terminology | Job Category | Removed references to "Other" job category that were left in v1.0 by mistake | View |
| Key Terminology | Contribution Category | Removed references to Tier 3; Added SSP specific information; Clarified wording on reporting retirees and member's whose Tier is unknown | View |
| Key Terminology | Adjustments | Added language clarifying how adjustments to non-dollar amount fields are to be handled and how to report adjustments to information originally reported on an Annual Report (pre-Gemini); Added rules for reporting missed SSP contributions as Adjustments | View |
| Key Terminology | Employment Begin Date | Clarified the definition with regards to rehires and when it should be reported | View |
| General Rules | Rule Three | Removed sentence about forthcoming Administrative Rules regarding reporting/accelerating the withholding of member contributions as they became effective July 1, 2020 (Section 1650 TRS Administrative Rules) | View |
| General Rules | Rule Four | Reworded language regarding the acceleration of contribution withholding to reflect that rules are now effective as of July 1, 2020 | View |
| General Rules | Rule Five | Removed reference to the ability to submit information via API as TRS no longer plans to have this option available at the go-live date of pay period reporting | View |
| General Rules | Rule 12 | Moved bullet about contact information updates for members from Rule 18 to Rule 12; Added clarification on the reporting of email addresses and how TRS will handle new emails | View |
| General Rules | Rule 17 | Added language regarding the Employer Packet that will be sent to employers by TRS after the submission of a report | View |
| General Rules | Rule 18 | Updated language to reflect the correct name of the external Gemini access point for employers "Employer Portal"; Added sentence clarifying how to report adjustments to information originally reported on an Annual Report (pre-Gemini); Moved a bullet regarding contact information updates for members to Rule 12 | View |
| General Rules | Rule 22 | Completely removed original rule as it was not an accurate reflection of requirements; Added new rule clarifying how certain fields should be reported when a member has multiple records for the same pay period | View |
| General Rules | Rule 23 | Changed wording to reflect relaxed rules regarding file names | View |
| Supplemental Savings Plan Rules | -- | Added completely new section with rules related to reporting contributions for Supplemental Savings Plan | View |

| Section | Item | Change | Link |
|---|---|---|---|
| Header Record Format | Report Type | Changed the name of "02" value to reflect SSP branding ; Removed "03 – Tier 3 Defined Contribution" as it is no longer valid | View |
| Detail Record Format | First Name | Added allowable characters | View |
| Detail Record Format | Middle Name | Added allowable characters; Added clarification regarding reporting just middle initials | View |
| Detail Record Format | Last Name | Added allowable characters | View |
| Detail Record Format | Pay Period Begin Date | Removed a bullet point from Rules and Additional Information that was causing confusion | View |
| Detail Record Format | Pay Period End Date | Removed a bullet point from Rules and Additional Information that was causing confusion | View |
| Detail Record Format | Employment Begin Date | Field is now *required* for both DB and DC files; Clarified description and added a new example to Rules and Additional Information regarding employees who move from a non-covered position to a TRS-covered position | View |
| Detail Record Format | Employment End Date | Added language clarifying that when left "blank" we will accept either all zeros or all spaces | View |
| Detail Record Format | Employment Type | Field is now *required* for both DB and DC files | View |
| Detail Record Format | Job Category | Renamed "03 = Counseling" to "03 = Medical/Counseling" for clarity | View |
| Detail Record Format | Contract Days | Clarified that "000" is an available value; Added examples for administrators to Rules and Additional Information | View |
| Detail Record Format | Contribution Category | Removed generic value for "Voluntary DC" as well as all values for Tier 3; Added six new values for the available contribution types for the Supplemental Savings Plan; Removed references to Tier 3 from Rules and Additional Information; Removed bullet regarding Disability Retirements | View |
| Detail Record Format | Payment Reason | Added clarification that BS reason should be used for both active and retired members; Added an additional example for the LS payment reason; Clarified that NC payment reason should not be used for retirees | View |
| Detail Record Format | Deferred | Changed language in Rules and Additional Information to clarify when the Deferred flag is to be used | View |
| Detail Record Format | Earnings | Added link to Employer Guide that lists factors used for "board paid" member contributions | View |
| Detail Record Format | Earnings that Exceed Salary Limits | Removed a reference to "board paid" member contributions from Rules and Additional Information as member's do not pay contributions on these earnings; Added definition of a Tier 2 member | View |

| Section | Item | Change | Link |
|---|---|---|---|
| Detail Record Format | Docked Days | Added new example for combining half or partial days into full day equivalents and added language to Rules and Additional Information regarding the same; Added clarification to Rules and Additional Information regarding members on an approved, unpaid leave of absence | View |
| Detail Record Format | Sick Leave/ Personal Days | Added an example of rounding days to a single decimal place | View |
| Detail Record Format | Balanced Calendar | Added clarification to Rules and Additional Information about what TRS defines as "Balanced Calendar" | View |
| Detail Record Format | Email Address | Added language to the Description to clarify we want the email address the employer has on file for the member regardless of whether it is a work email or a personal one | View |
| Detail Record Format | Address Line 1 | Added link to new Address Standards appendix | View |
| Detail Record Format | Address Line 2 | Added link to new Address Standards appendix | View |
| Detail Record Format | City | Added link to new Address Standards appendix | View |
| Footer Record Format | Record Type | Corrected a type that incorrectly referred to Header records | View |
| Footer Record Format | Report Type | Changed the name of "02" value to reflect SSP branding ; Removed "03 – Tier 3 Defined Contribution" as it is no longer valid | View |
| Footer Record Format | Total Earnings that Exceed Salary Limits | Removed a reference to "board paid" member contributions from Rules and Additional Information as member's do not pay contributions on these earnings; Added definition of a Tier 2 member | View |
| Footer Record Format | Total Contributions | Removed references to omitting contributions for retirees as that is only relevant on individual Detail records | View |
| Frequently Asked Questions | -- | This entire section was moved to the TRS website to keep it as up to date as possible | View |
| Payroll Reporting Examples | Back Wage Reporting | Added a new example illustrating reporting using the BW Payment Reason | View |
| Payroll Reporting Examples | Deferred Field | Added a new example illustrating non-typical uses of the Deferred field to report Earnings with zero Days Paid | View |
| Address Standards | -- | Added new appendix with information on address reporting standards | View |
| General Updates | -- | Updated all dates in examples to be more current | -- |

# Key Terminology

| Terminology | Description | Example(s) |
|---|---|---|
| Report Date | A Report Date represents the period for which the employer is submitting a payroll report | • The Report Date that an employer will use will vary based upon their payroll frequency and their chosen reporting frequency<br>• Employers will have the opportunity to submit reports every pay period or to report on a monthly basis, combining all payrolls that occurred during the month into one report<br>• Further information and examples for Report Date can be found under General Rule #7 |
| Report Type | The Report Type indicates whether the report contains defined benefit information or defined contribution information | • An employer will include separate reports as part of their file if they have both defined benefit and defined contribution information to report.  The report type will indicate whether the information being reported in the detail records below is for DB or DC purposes |
| Job Category | This field will indicate to what job category the referenced member belongs | • An employer will be responsible for determining which of the available Job Categories best fits each member<br>• Current options include Teacher, Administrator, and Medical/Counseling<br>• Teacher includes contractual, non-contractual, and substitute teachers<br>• Medical/Counseling would include School Counselors, Social Workers, School Nurses, Speech Pathologist, etc. |

| Terminology | Description | Example(s) |
|---|---|---|
| Contribution Category | Contribution Category is a field within the file layout which is used to "organize" members into different TRS contribution categories. Each member reported to TRS must belong to a Contribution Category which will be used to validate the contribution amounts. Currently, Tiers 1 and 2 have the same contribution rate of nine percent. However, it will allow for future changes to current contribution rates or the introduction of new Tiers. There are six different Contribution Categories available to members participating in the Supplemental Savings Plan. Contribution Category will also be used to differentiate between active members and retired members who have not exceeded their post-retirement employment limits. | • Tier 1 vs Tier 2 status is determined by TRS and does not currently result in a change to the member's or employer's contribution rates<br>• New members should be reported as Tier 2 if their Tier is unknown<br>• Depending on the member's choices, there are six different SSP Contribution Categories that can be used for reporting: SSP, SSP Catch-up, SSP Special Catch-up, SSP Roth, SSP Roth Catch-up, and SSP Roth Special Catch-up<br>• Retired members must be reported as such to prevent unnecessary contributions from being remitted or withheld |

| Terminology | Description | Example(s) |
|---|---|---|
| Adjustments | Adjustments are identified as transactions submitted to rectify information previously submitted. The Pay Period Begin and End Dates will indicate the payroll to which the correction is to be applied. Corrections to dollar amount fields must be submitted as the difference between the original amount and the adjusted amount. Corrections to all other fields (including numeric non-currency fields like Days Paid) should be submitted as the new correct value, not a difference. | • An employer who submitted a report for a member with incorrect information may correct the transaction in a subsequent report. The correction must include Pay Period Begin and End Dates that match the Pay Period Begin and End Dates of the original transaction<br><br>• Example: For a payroll spanning January 15$^{th}$ to January 31$^{st}$, 2022 wages for a specific member were originally reported as $1,250.00 but should have been reported as $1,500.00. The difference in salary of $250.00, along with the appropriate contributions, must be reported as an adjustment with a Pay Period Begin Date of 01152022 and a Pay Period End Date of 01312022 in a subsequent report<br><br>• An employer with a monthly payroll frequency submitting a report for November 2022 that includes corrections (which were never reported) for June 2022, July 2022, and August 2022 must report three separate records with corresponding Pay Period Begin and End Dates for the original transactions, reflecting the missed contributions in addition to the regular contributions being reported for November 2022<br><br>• Adjustments can only be made to payroll reports submitted using Gemini. For adjustments to a prior year's information reported on an Annual Report, TRS must be emailed the information directly<br><br>• Adjustments for SSP contributions would come in the form of reporting missed contributions from prior pay periods where the member's contributions were not withheld or were not reported and remitted. When reporting these contributions, they would need to be reported as separate records for each pay period missed. A member's total SSP contributions for a single pay period cannot deviate from their elected deferral amount. |

| Terminology | Description | Example(s) |
|---|---|---|
| Employment Begin Date | First day physically at work in a TRS-covered position. This field should **not** be used to report the member's hire date. | <ul><li>Must be reported for all employees including new hires and rehires</li><li>This date should be the first date the member is physically at work</li><li>For a current employee who has previously only worked in a non-TRS covered position, you will report their first day worked in their new TRS-covered position</li><li>For rehires, this date should be the most recent date they started working, not their original start date</li><li>For substitutes, a new Employment Begin Date should be reported if they have gone a full school year without working for your employer</li></ul> |
| Employment End Date | Last day paid for a terminated member. This date should be reported as the last day for which the member was paid (inclusive of any used vacation, sick, or personal leave days), not the date any such final payments were issued. | <ul><li>Must be reported for members who will no longer be employed by the district</li></ul> |
| Payment Reason | The Payment Reason field allows TRS to parse out the different sources that will make up a member's total creditable earnings. This will allow TRS to validate that everything included in total creditable earnings are, in fact, creditable. | <ul><li>An Employer must report an additional detail record for each payment reason for each member</li><li>See the TRS *Employer Guide* Chapter Three for further information regarding reportable earnings</li><li>Leave of Absence is used to report the work days the member is missing while on unpaid leave, even though there are no earnings to report</li><li>Examples for different Payment Reasons can be found in Appendix A</li></ul> |

# General Rules – Employer File Layout

1. Gemini requires all enrollment and contribution data to be submitted for processing in the new Gemini Contribution File format. This new format is necessary to allow for the transition from annual to per-pay period reporting. The Gemini Contribution File Layout is only supported in a fixed-length format.

2. Employers must report Demographic, Enrollment and Contribution information for all their TRS-covered employees to TRS in the manner prescribed in this record layout. The file layout below is a comprehensive list of fields for all the information which is needed by TRS for per-pay period reporting.

3. Employers will be required to inform TRS of their preferred reporting frequency of their payroll data. Employers will have the option of reporting per-pay period or reporting monthly. Once an employer chooses a reporting frequency, they must submit the appropriate number of reports based on their selection. For example, if an employer chooses to report per-pay period, the employer must report separate files for each pay period based upon the payroll schedule they submitted to TRS at the beginning of the fiscal year. Those who chose to report monthly must include all payrolls that occurred each month in a single monthly report.

4. All contributions for each fiscal year are due to TRS by July 10th. To allow employers to remit the appropriate contributions to TRS by this deadline, they should report all of their payrolls that will cover the work performed during the fiscal year at the end of June, even if they will not be actually paying their members until July or August. Member contributions will be balanced with each report to make sure that TRS has received no more or less than the applicable member contribution rate of the reported creditable earnings. Previously, some employers have accelerated the payment of member contributions throughout the year in order to meet the July 10th deadline. The acceleration of contributions is no longer permitted as of July 1, 2020. This applies to the acceleration of both THIS Fund and 0.58% Employer Contributions as well.

5. Employers can submit their files via TRS's Employer Portal. The file size must be smaller than 20MB in order to upload via the website. Employers also will have the option of entering their payroll information directly through the Employer Portal.

6. All records in a file will be processed sequentially by Gemini. They must be submitted in the following order:     (Illustrated below)

   - Header Record – This will include information such as Employer, Report Date, Report Type, etc. There should be only one header row for the combination of Employer and Report Type, and Report Date in the file.
   - Detail Transaction Record(s) – The details follow the header row. Details should include demographic, enrollment and contribution data for all members being reported for the specific Employer and Report Type combination.
   - Footer Record – The footer record will provide totals and employer contributions for the data reported. There must be only one footer row for the combination of Employer and Report Type, and Report Date in the file.



Header Record

Detail Transaction Record
Detail Transaction Record
Detail Transaction Record

...

Footer Record
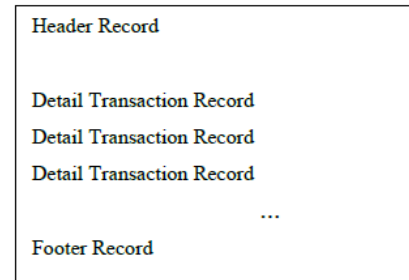
7.  Each Report (Header-Detail-Footer) must be a unique combination of TRS Code, Report Date, and Report Type. For example, if the employer's reporting frequency (to TRS) is monthly, but they run payroll on a bi-weekly basis, then the file should contain one report; this report might contain two or more records, one per pay period for each member.  The chart below explains how the Report Date differentiating each report will vary based on the employer's payroll frequency and chosen reporting frequency.

| Payroll Frequency | Reporting Frequency | Report Date | Example(s) |
|---|---|---|---|
| Monthly | Monthly | First of the month | For the payroll run in December of 2021 the Report Date would be 12012021. |
| Semi-Monthly | Semi-Monthly | Pay date for each payroll | Members are paid twice a month on the 15th and the last day of the month.  For November of 2021 the Report Dates would be 11152021 and 11302021. |
| | Monthly | First of the month | Members are paid twice a month on the 15th and the last day of the month.  For November of 2021 these would be combined into one report with a Report Date of 11012021. |
| Bi-Weekly | Bi-Weekly | Pay date for each payroll | Members are paid every other Friday.  For May of 2022 the Report Dates would be 05012022, 05152022, and 05292022. |
| | Monthly | First of the month | Members are paid every other Friday.  For May of 2022 the Report Date would be 05012022 with detail records for three separate payrolls in the report. |
| Weekly | Weekly | Pay date for each payroll | Members are paid every Wednesday.  For August of 2021, Report Dates would be 08072021, 08142021, 08212021, and 08282021. |
| | Monthly | First of the month | Members are paid every Wednesday.  For August of 2021 the Report Date would be 08012021 with detail records for four separate payrolls in the report. |
| Multiple | Each pay period | Pay date for each payroll | Some members are paid bi-weekly (every other Friday) and others are paid semi-monthly (15th and end of the month).  For November of 2021, Report Dates for the bi-weekly payrolls would be 11062021 and 11202021.  Report Dates for the semi-monthly payrolls would be 11152021 and 11302021. |
| | Monthly | First of the month | Some members are paid bi-weekly (every other Friday) and others are paid semi-monthly (15th and end of the month).  The Report Date for November of 2021 would be 11012021 with detail records for four separate payrolls in the report. |

8. Files that are improperly formatted or contain invalid data (e.g., text data in numeric field) cannot be processed. TRS will reject the file and require the employer to resubmit the file in the correct format with valid data.

9. Certain fields are optional if TRS can process the record without the field being populated by the employer. Optional fields must be reported with spaces if no data is reported.

10. Certain fields are conditional, meaning that if one field is populated for the record, another field will also be required. For example, if the Employment End Date field is populated, the Employment End Reason field must also be populated.

11. If certain fields are required, TRS will not be able to process the record if those required fields are not reported or if they are reported incorrectly. (Note: Whether a field is Optional (O), Conditional (C), Required (R) for either a Defined Benefit (DB) report or Defined Contribution (DC) report is indicated in the column called O/C/R in the field description below.)

12. Members will be enrolled with TRS electronically; Employers must provide SSN, Name, Date of Birth, Address, and the Employment details for a member's enrollment. Employment details are required when a member is hired or rehired or upon any change in employment which required a change in Job Category, Employment Type, Contribution Category, Payroll Frequency, Full Annual Rate, Full Time Equivalent Percentage, and Contract Days. Please pay special attention to rehires; submit the employment details when the member is rehired using the most recent employment date, not the original date (when they were first hired) of employment.
    - Name and address changes for existing members must be reported electronically by Employers. Gemini will update the information in the member's TRS record when a change is detected between the existing member's information and the reported data from the employer. The member's email address will only be updated if they do not have one on file with TRS to avoid issues with multiple employers or members who want TRS to use their personal email address.

13. All alphanumeric fields must be left-justified and right-filled with spaces.

14. Numeric (amount, hours etc.) fields such as Contributions must be zero-filled, right-justified, use two decimal positions (unless otherwise specified in the individual field), and include a decimal point. For example, if the member's contribution is $143.75, then 000143.75 must be placed in the Contributions field. In addition, if the member contribution is a whole dollar amount, such as $143.00, then 000143.00 must be placed in Contributions.

15. Employer Contributions are not required to be reported in Defined Benefit reports. For the Defined Benefit Plan, employer contributions (Member Benefit Increase currently 0.58% and Employer THIS Fund contributions currently 0.92%) will be calculated by Gemini based on the Earnings and Contribution Category of a member.

16. Do not include the (+/-) sign in an amount field. A separate corresponding sign field exists for every amount field in the detail record format.

17. The Gemini system will perform various validations on the data reported by Employers to determine if the amounts can be posted to individual member accounts. When certain discrepancies are found the system will assign an error code requiring the Employers to resolve the errors prior to the information being accepted by TRS. After a report is submitted, TRS will provide an Employer Packet containing any validations that relate to information we think is relevant to an employer as well as a summary of any changes made to any records by TRS after it was submitted.

18. Adjustments to previously reported data which affects salary and contributions must be submitted in the file as the difference between the original amount and the adjusted amount. If corrections are required to anything other than salary and contributions, adjustments should be reported as the correct amount or value, rather than the change in the amount or value. Changes can also be made using the Employer Portal or by contacting TRS who can make them on behalf of the employer.  Continue to email TRS for corrections to a prior year's information that was originally reported on an Annual Report.

19. Highly compensated members may receive salary in a plan year that exceeds limits for the member and employer contributions to qualified TRS retirement plans as set forth in IRC 401 (a)(17). These limits apply to employees who established TRS membership after June 30, 1996.  These limits vary per plan year and can be found on the TRS and IRS website. The portion of salary that exceeds the limit for that plan year should be reported in the Earnings that exceed Salary Limits field with no contributions, while still reporting Days Paid.

20. Highly compensated members may receive salary in a plan year that exceeds limits for the member and employer contributions to TRS for Tier 2 members.  These limits vary per plan year and can be found on the TRS website. The portion of salary that exceeds the limit for that plan year should be reported in the Earnings that exceed Salary Limits field with no contributions, while still reporting Days Paid.

21. Employers / File Providers may report multiple combinations of Employer, Report Type, and Report Date in one file. Each combination must be separated out into a unique Header – Detail – Footer. For example, an employer who has members who participate in a TRS associated Defined Contribution plan can report the details related to those members in different reports within the same file (differentiated by Report Type). The file must contain multiple sets (Header – Detail – Footer) for each combination; one Header – Detail – Footer for all Defined Benefit Details for their members and another Header – Detail – Footer containing the Defined Contribution details for their members who participate.

22. The following fields must be kept "in-sync" and reported as the same values for all records for the same person and same pay period within a report:
    - Prefix, First Name, Middle Name, Last Name, Suffix, Gender, Date of Birth, Payroll Frequency, Employment Begin Date, Employment End Date, Employment End Reason, Employment Type, Job Category, Contract Days, FTE Percentage, Full Annual Rate, Sick Leave/Personal Days, Balanced Calendar, Email Address, Phone, Address Line 1, Address Line 2, City, State, Zip Code, and Country
    - For numeric fields not listed above, we will consider the cumulative total of the amounts in all records for a member in a given pay period to be reflective of their correct amount of work and earnings in that period (Ex: Earnings, Contributions, Days Paid, Docked Days, etc.)

23. Employer Contribution files being submitted electronically must be named as follows: 'yyyymmddXXXAAAAAAA_OptionalSuffix' or yyyymmdd-XXX-AAAAAAA_OptionalSuffix
    - The file name must include the date the file is being uploaded (today's date) in the yyyymmdd format.
    - XXX in the file name should be a numeric value (Ex. 001) which will make the file name unique for each submission. If the file is submitted to TRS multiple times during the same day, this number will allow the file name to be unique.
    - The AAAAAAA is the TRS Code that is set at seven digits in length. Each Employer or File Provider (employer that reports for multiple Employers) is assigned a TRS Code which must be included in the name of the file.
    - Optionally, dashes can be used as separators between the date, submission number, and TRS to make the name more readable
    - After the TRS Code and optional suffix can be added with a preceding underscore to add any notation needed for the employer.  TRS will ignore this suffix.
    - For example, the file name for the November 2021 Payroll Report which is uploaded by 084-1860 – Springfield School District 186  on November 16th, 2021 must be named '202111160010841860.txt' or '20211116-001-0841860_NovemberPayroll1.txt'.

# Supplemental Savings Plan Rules

1. Employers must sign the SSP Participation Agreement before employees will be allowed to contribute to the Supplemental Savings Plan.

2. Deferral elections for the Supplemental Savings Plan will be specific dollar amounts, not a percentage of the member's earnings.

3. Non-governmental employers are not eligible for participation in the SSP per IRC 457(b). TRS-covered employers that would be considered "non-governmental" would be labor organizations and associations.

4. Only Full Time or Part-Time Contractual members working in TRS-covered positions at eligible employers are eligible to participate in the Supplemental Savings Plan.

5. SSP Contributions must be reported promptly and will be subject to employer penalties if contributions are not remitted in a timely manner.

6. SSP deferral elections must be processed by the employer on the first available payroll after the contribution effective date provided by TRS.

7. Deferrals/deductions should not be initiated, changed, or discontinued for an employee unless indicated on the Supplemental Savings Plan Deferrals Report provided by TRS whenever changes or new enrollments have been received from the third-party administrator.

8. Members cannot simultaneously contribute to either SSP Catch-up or SSP Roth Catch-up with either SSP Special Catch-up or SSP Roth Special Catch-up. Employer Defined Contributions are not permitted for any of the "after tax" Contribution Categories (SSP Roth, SSP Roth Catch-up or SSP Roth Special Catch-up).

9. For SSP Special Catch-up and SSP Roth Special Catch-up, 60 will be considered normal retirement age for Tier 1 members, 67 for Tier 2 members.

10. For eligible employees on a paid Leave of Absence, SSP deferral should continue to the extent to which compensation continues and based on deduction hierarchy.

11. If, for whatever reason, a member's contributions were not withheld or were not reported and remitted, these contributions would need reported to TRS as retroactive adjustments. When reporting these contributions, they would need to be reported as separate records for each pay period missed. A member's total SSP contributions for a single pay period cannot deviate from their elected deferral amount.

# Header Record Format

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Length | | | | |
| Record Type | DB = R DC = R | 1 | 1 | 1 | Field that designates this as a header, detail, or footer record | A | **H** = Header | • This field must contain a value of H since this is a header record. |
| Report Type | DB = R DC = R | 2 | 3 | 2 | Indicates the grouping of data on Defined Benefit vs. Defined Contribution | N | **01** = Defined Benefit **02** = SSP Defined Contribution | • Separate reports must be submitted for each report type. |
| Format Version | DB = R DC = R | 4 | 6 | 3 | Indicates which file layout format the employer is using | N | 000 | • This field must contain a value of 000 since this is currently the only acceptable file format. |
| TRS Code | DB = R DC = R | 7 | 13 | 7 | A unique number that identifies the employer | N | | • A unique number assigned by TRS that identifies the employer. • This number is fixed at seven digits. • The first three characters are based upon the county the employer is located in. • The last four are based on the employer's school district number. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Length | | | | |
| Report Date | DB = R DC = R | 14 | 21 | 8 | Represents the year, month and day of the contribution report being submitted. | N | MMDDYYYY Example: November 15, 2021 would be reported as **11152021** | • A Report Date is the period for which the employer is submitting the contribution report. This will coincide with the pay dates provided by the employer to TRS during the beginning of the fiscal year when payroll schedules are reported through the Employer Portal.<br>• If reporting each payroll separately, the Report Date should be the pay date of the payroll being reported.<br>• If combining multiple payrolls into monthly reports, the Report Date should be the first of the month being reported. |
| File Creation Date | DB = R DC = R | 22 | 29 | 8 | Date the submitted file was created | N | MMDDYYYY Example: November 27, 2021 would be reported as **11272021** | • This date should not be modified based upon payroll frequency or reporting frequency. It must strictly be the date the file was created. |

*O/C/R = Optional/Conditional/Required

## Detail Record Format

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Record Type | DB = R<br>DC = R | 1 | 1 | 1 | Field that designates this as a header, detail, or footer record | A | **D** = Detail | • This field must contain a value of D since this is a detail record. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| SSN | DB = R DC = R | 2 | 10 | 9 | Represents the Social Security Number of member being reported | N | 000000000 – 899999999

Per the Social Security Administration, the following combination are not used in valid SSNs:

First Three Digits: 000,666, or 900-999

Middle Two Digits: 00

Last Four Digits: 0000 | • Employers must report a valid SSN for all members, as shown on the member's Social Security card.
• SSNs reported with invalid combinations will result in the transaction receiving an error status, which can delay contributions and service being posted to the member's account.
• Incorrect SSNs may result in contributions posting to the wrong member's account or an invalid member account being created.
• SSN will not be considered valid if it is reported as the same digit repeated (ex. 111111111). |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Prefix | DB = O DC = O | 11 | 13 | 3 | Represents the prefix of the member's name | A | **MR** = Mr. <br> **MRS** = Mrs. <br> **MS** = Miss <br> **MZ** = Ms. <br> **DR** = Doctor <br> **SR** = Sister <br> **FR** = Father | • This field must be left justified filled with spaces to the right. <br> • If no data is reported, fill with spaces. |
| First Name | DB = R DC = R | 14 | 63 | 50 | Represents the member's first name | A | A-Z <br> a-z <br> Space <br> Dash or hyphen <br> Period <br> Apostrophe | • This field must reflect the member's legal name as maintained on the member's employment record. <br> • This field must be left justified filled with spaces to the right. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Middle Name | DB = O DC = O | 64 | 113 | 50 | Represents the member's middle name(s) | A | A-Z a-z Space Dash or hyphen Period Apostrophe | • This field must reflect the member's legal name as maintained on the member's employment record. • This field must be left justified filled with spaces to the right. • If reporting only a middle initial, do not include a period on the end. • If no data is reported, fill with spaces. |
| Last Name | DB = R DC = R | 114 | 163 | 50 | Represents the member's last name(s) | A | A-Z a-z Space Dash or hyphen Period Apostrophe | • This field must reflect the member's legal name as maintained on the member's employment record. • This field must be left justified filled with spaces to the right. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Suffix | DB = O<br>DC = O | 164 | 166 | 3 | Represents the suffix of the member's name | A | **JR** = Junior<br>**SR** = Senior<br>**I** = First<br>**II** = Second<br>**III** = Third<br>**IV** = Fourth<br>**V** = Fifth<br>**VI** = Sixth<br>**ESQ** = Esquire<br>**PHD** = Ph.D | • If no data is reported, fill with spaces.<br>• This field must be left justified filled with spaces to the right. |
| Gender | DB = R<br>DC = R | 167 | 168 | 2 | Represents the member's gender | N | **01 =** Female<br>**02 =** Male | • The member's gender is used by TRS for actuarial valuations and for retiree health insurance. |
| Date of Birth | DB = R<br>DC = R | 169 | 176 | 8 | Represents the member's date of birth | N | MMDDYYYY<br><br>Example:<br><br>April 27, 1948 would be reported as **04271948** | • A member's birth date is required to enroll new members and for all records going forward.<br>• A blank or 00000000 will result in an error. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Pay Period Begin Date | DB = R DC = R | 177 | 184 | 8 | Represents the date the pay period began | N | MMDDYYYY

Example:

November 15, 2021 would be reported as **11152021** | • This date must match the payroll schedule that was submitted at the beginning of the fiscal year.
• Pay Period Begin Date provides a means for employers to report adjustments to previously reported data. Adjustments must have a Pay Period Begin Date in the past as compared to the Report Date.
• If payroll is supplemental, Pay Period Dates should still be reflective of the payroll schedule. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Pay Period End Date | DB = R<br>DC = R | 185 | 192 | 8 | Represents the date the pay period ended | N | MMDDYYYY<br><br>Example:<br><br>November 30, 2021 would be reported as **11302021** | • This date must match the payroll schedule that was submitted at the beginning of the fiscal year.<br>• Pay Period End Date provides a means for employers to report adjustments to previously reported data. Adjustments must have a pay period end date in the past as compared to the Report Date.<br>• If payroll is supplemental, Pay Period Dates should still be reflective of the payroll schedule. |
| Pay Date | DB = R<br>DC = R | 193 | 200 | 8 | Represents the actual date of payment for the pay period | N | MMDDYYYY<br><br>Example:<br><br>November 30, 2021 would be reported as **11302021** | • This date will be used to match with the Payroll Schedule(s) that employers will submit to TRS annually through the Employer Portal |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Payroll Frequency | DB = R DC = R | 201 | 202 | 2 | Represents how frequently the member is paid | N | **01** = Monthly<br>**02** = Semi-monthly<br>**03** = Bi-weekly<br>**04** = Weekly | • This value must correspond to the member's pay schedule.<br>• This will allow TRS to validate the dates each member is being paid, even if an employer has different payment frequencies for different members. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Employment Begin Date | DB = R DC = R | 203 | 210 | 8 | First day physically at work in a TRS-covered position | N | MMDDYYYY<br><br>Example:<br><br>November 15, 2021 would be reported as **11152021** | • This date must be reported for all employees including new hires and rehires.<br>• This date should be the first date the member is physically at work in a TRS-covered position.<br>• For a current employee who has previously only worked in a non-TRS covered position, you will report their first day worked in their new TRS-covered position.<br>• For rehires, this date should be the most recent date they started working, not their original start date. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Employment End Date | DB = C DC = C | 211 | 218 | 8 | Last day paid for a terminated member (inclusive of all used vacation, sick, and personal leave days) | N | MMDDYYYY<br><br>Example:<br><br>November 15, 2021 would be reported as **11152021** | • This date must be reported for members who will no longer be employed by the district.<br>• If no data is reported, fill with all zeros or all spaces |
| Employment End Reason | DB = C DC = C | 219 | 220 | 2 | Reason for end of current employment | N | **01** = Terminated<br>**02** = Death | • This field must be reported for members with an Employment End Date.<br>• Terminated is used for any reason for leaving besides death (terminated, resigned, RIFed, separated, etc.).<br>• If no data is reported, fill with spaces. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Employment Type | DB = R DC = R | 221 | 221 | 1 | Type of employment based upon TRS definitions | A | **F** = Full Time<br>**P** = Part-Time Contractual<br>**S** = Substitute<br>**H** = Part-Time Non-Contractual (Hourly)<br>**E** = Extra-Duty | • If a member concurrently works under multiple types, report all work as the highest type as listed in the order in Available Values.<br>• **Full Time:** Employed for four or more clock hours per day and for five days a week (Monday through Friday) with an employment agreement to work a specified period with an established annual salary rate.<br>• **Part-Time Contractual:** Employed for fewer than four clock hours per day or five days per week with an employment agreement to work a specified period with an established annual salary rate.<br>• **Substitute:** Employed as a temporary replacement of another teacher, regardless of the length of employment or rate of pay.<br>• **Part-Time Non-Contractual(Hourly):** Employed for fewer than four clock hours per day or five days per week, while paid on an hourly or daily basis without an established annual salary rate.<br>• **Extra-Duty:** Performs only extra duties that do not require licensure while also employed as a contractual teacher (F or P) by another TRS-covered employer. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Job Category | DB = R DC = R | 222 | 223 | 2 | Represents to what category the member's position belongs | N | **01** = Teacher **02** = Administrator **03** = Medical/Counseling | • The employer should provide the Job Category that best describes the member's position. • Teacher includes contractual, non-contractual, and substitute teachers. • Medical/Counseling includes School Counselors, Social Workers, School Nurses, Psychologists, Speech/Language Pathologist, etc. |
| Contract Days | DB = C DC = C | 224 | 226 | 3 | Number of days in the school term or the member's employment agreement, whichever is greater | N | 180-265 or 000 | • This field is required for **F** and **P** Employment Types. • This value cannot be less than 180 for **F** and **P** Employment Types. • Leave this field as 000 for **S, H** and **E** Employment Types. • Ten, eleven, or twelve month Administrators will typically be reported as 220, 240 or 260 days respectively. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|------------|--------|---------|---|---|-------------|--------|------------------|----------------------------------|
| | | From | To | Len | | | | |
| Contribution Category | DB = R DC = R | 227 | 228 | 2 | Represents the contributory status of the member and under which they should be contributing | N | **01** = Tier 1 DB **02** = Tier 2 DB **03** = SSP **04** = SSP Catch-Up **05** = SSP Special Catch-Up **06** = Roth SSP **07** = Roth SSP Catch-Up **08** = Roth SSP Special Catch-Up **99** = Retired | • Tier 1 vs Tier 2 status is determined by TRS and does not currently result in a change to the member's or employer's contribution rates. • New members should be reported as Tier 2 if the Tier is unknown. |
| FTE Percentage | DB = C DC = C | 229 | 231 | 3 | Whole number percentage of the Full Time Equivalent salary the member is receiving | N | 10-100 Example: A member receiving 50% of their Full Time Equivalent salary would be reported as **050** | • This field must include whole numbers only. • This field is only required for **F** and **P** Employment Types. • This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Full Annual Rate | DB = C<br>DC = C | 232 | 240 | 9 | Full rate member is expected to receive for the full year | N | 000000.00 – 999999.99<br><br>Example A:<br>A member whose base salary rate for the year is $100,000 and who does not have any portion of their TRS contributions paid by their employer would be reported as **100000.00**<br><br>Example B:<br>A member whose base salary rate for the year is $90,000 and whose employer pays the full 9% factor of their TRS contributions would be reported as **098901.09** (90,000 x 1.098901) | • This field is only required for **F** and **P** Employment Types.<br>• For **P** Employment Types the Full Annual Rate must be representative of the part-time schedule.<br>• Full Annual Rate should include any board-paid TRS contributions.<br>• This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Payment Reason | DB = R<br>DC = O | 241 | 242 | 2 | Reason for salary reported in this payment record | A | **BS** = Base Salary<br>Ex: Salary for regular contractual teaching duties (active or retired) for **F** and **P** Employment Types or wages for **H** and **S** Employment Types<br>**ED** = Extra-Duty/Stipends<br>Ex: Payments for extra duties that are related to teaching or the academic program or involve supervising students<br>**LE** = Licensed Extra-Duty Outside Contract Calendar<br>Ex: Licensed extra-duty performed outside the member's normal calendar for which days worked are reportable for service credit<br>**FB** = Flexible Benefit Plan<br>Ex: Salary option offered in lieu of health insurance coverage<br>**TX** = Board Payments to a qualified tax-deferred plan<br>Ex: Contributions to qualified plans eligible for tax-deferral under the Internal Revenue Code, Sections 401(a), 403(b), and 457(b)<br>**LS** = Lump Sum Payments<br>Ex: Severance Payments, Bonuses, Payment for unused vacation, sick, or personal leave days, Employer payment of member's Optional Service balance.<br>**SS** = Summer School earnings<br>Ex: Wages for performing summer duties that require teacher licensure<br>**BW** = Back Wage Settlement Payment<br>Ex: Payment made due to retroactive contract settlements, corrections to salary schedule placement, or settlement agreements<br>**LA** = Unpaid Leave of Absence<br>Ex: Member is on a board approved unpaid leave of absence<br>**SB** = Sabbatical<br>Ex: Member is on an approved sabbatical under the terms of the Illinois School Code<br>**ML** = Military Service<br>Ex: Member is absent due to military service<br>**NC** = Non-Contributory<br>Ex: Earnings on a member's paycheck that is not reportable to TRS | • The employer must report an additional detail record for each payment reason for each member.<br>• See the TRS *Employer Guide* Chapter Three for further information regarding reportable earnings.<br>• **LA** is used to report the work days the member is missing while on unpaid leave, even though there are no earnings to report.<br>• **LE** should be used when the member performed extra duties requiring licensure during the pay period so the Days Paid can be reported for service credit. **ED** should not have Days Paid reported with it. Ex: a member who does Behind the Wheel during the school year on days they already worked should be reported as **ED** with no Days Paid associated with it. A member who does Behind the Wheel on weekdays during winter break would be reported as **LE** with their Days Paid reported as well.<br>• **NC** should only be used to report non-contributory earnings for a non-retired member who also has contributory earnings within the same reporting period. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Deferred | DB = R<br>DC = O | 243 | 243 | 1 | Indicates if earnings reported under the preceding Payment Reason were deferred | A | **Y** = Yes<br>**N** = No | • This field is used to flag earnings for a member that does not have any Days Paid during the same pay period. This can be due to mid-year breaks lining up with an entire pay period, the member getting paid before they have started working, or for earnings paid out over the summer after their working days for the school year are done.<br>• For example, a full-time member is a regular 180 day teacher but their pay for the school year is spread out over the employer's 12 month fiscal year. The pay the employee receives in the summer months (ex. July and August) after they are done working for the school year should be marked as Deferred. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Earnings | DB = R DC = O | 244 | 244 | 1 | Indicates whether reported earnings are a positive or negative amount | A | +      = Positive/Increase <br> −      = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. <br> • When reporting negative earnings, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| Earnings | DB = R DC = O | 245 | 253 | 9 | Money earned for the specified Payment Reason | N | 000000.00 – 999999.99 <br><br> Example A: <br> A member whose base salary earnings for the pay period are $4,000 and who does not have any portion of their TRS contributions paid by their employer would be reported as **004000.00** <br><br> Example B: <br> A member whose base salary earnings for the pay period are $4,000 and whose employer pays the full 9% factor of their TRS contributions on base salary would be reported as **004395.60** (4,000 x 1.098901) | • Earnings must include any board-paid TRS contributions using the appropriate factor, rather than benefit number from payroll. (Refer to Chapter Three of the Employer Guide for a list of factors) |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Earnings that exceed Salary Limits | DB = R<br>DC = O | 254 | 254 | 1 | Indicates whether reported excess earnings are a positive or negative amount | A | +　= Positive/Increase<br>−　= Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields.<br>• When reporting negative excess earnings, the adjustment must reflect Pay Period Dates prior to the Report Date. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Earnings that exceed Salary Limits | DB = R DC = O | 255 | 263 | 9 | Earnings paid after the member has exceeded either the IRS 401(a)(17) or TRS Tier 2 pensionable limits for the fiscal year | N | 000000.00 – 999999.99<br><br>Example A:<br>A member whose base salary earnings that exceeded annual IRS limits for the pay period are $6,000 and who does not have any portion of their TRS contributions paid by their employer would be reported as **006000.00**<br><br>Example B:<br>A member whose base salary earnings that exceeded annual TRS Tier 2 limits for the pay period are $3,000 and who does not have any portion of their TRS contributions paid by their employer would be reported as **003000.00** | • This field is only required if a member's total creditable earnings for the current fiscal year have exceeded either the IRS or Tier 2 limitations for that year.<br>• The portion of a member's earnings that exceeds the limits in a Pay Period must be calculated by adding up all the creditable earnings reported to TRS in a fiscal year and comparing that total against the IRS limit for that fiscal year.<br>• IRS 401(a)(17) limits only apply to employees who established TRS membership after June 30, 1996. Tier 2 limits apply to members with no service in TRS or another reciprocal system before January 1, 2011. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Contributions | DB = R DC = R | 264 | 264 | 1 | Indicates whether reported contributions are a positive or negative amount | A | + = Positive/Increase<br>– = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields.<br>• When reporting negative contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Contributions | DB = R DC = R | 265 | 273 | 9 | The amount of contributions paid by the member or, for DB plans only, on the member's behalf | N | 000000.00 – 999999.99<br><br>Example A:<br>A member earned $2,000 in TRS creditable earnings in the pay period.  The member's 9% contribution would be reported as **000180.00**<br><br>Example B:<br>A member earned $2,197.80 in TRS creditable earnings in the pay period, including their full 9% factor of board-paid TRS contributions.  The member's 9% contribution would be reported as **000197.80** | • This field is required for all Contribution Categories other than **99** (Retired).<br>• TRS expects the exact member contribution rate of the reported creditable earnings in this field. Accelerating Contributions is not permitted with this new reporting format.<br>• Any non-zero amount would result in an error if the member is retired.<br>• This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease THIS Contributions | DB = R DC = O | 274 | 274 | 1 | Indicates whether reported THIS Contributions are a positive or negative amount | A | + = Positive/Increase − = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. • When reporting negative THIS Contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| THIS Contributions | DB = R DC = O | 275 | 283 | 9 | The amount of the member's contribution to the THIS Fund | N | 000000.00 – 999999.99  Example: A member earned $3,000 in TRS creditable earnings during the pay period. Their (currently) 1.24% THIS Fund Contribution would be reported as **000037.20** | • Any non-zero amount would result in an error if the member is retired. • TRS expects current THIS Fund rate of the member's reported creditable earnings in this field. Accelerating Contributions is not permitted with this new reporting format. • This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Employer Defined Contributions | DB = O DC = R | 284 | 284 | 1 | Indicates whether reported employer defined contributions are a positive or negative amount | A | +  = Positive/Increase −  = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. • When reporting negative employer defined contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| Employer Defined Contributions | DB = O DC = R | 285 | 293 | 9 | Contributions made to a TRS connected DC plan by the employer | N | 000000.00 – 999999.99  Example: An employer contributes $200 to a member's TRS Defined Contribution Plan.  It would be reported as **000200.00** | • This field will be used for reporting contributions made by employers to TRS associated defined contribution plans. • The type of plan will be determined using the Contribution Category and Report Type. • This field must be right justified with leading zeros |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Docked Days | DB = R DC = O | 294 | 299 | 6 | Number of days in period for which member was docked | N | 000.00 – 999.99<br><br>Example A:<br>A member is docked 2.5 days during the pay period. This would be reported as **002.50**<br><br>Example B:<br>A member is docked 3 half days during the pay period. This would be reported as **001.50** | • This field represents total docked days in the pay period, rounded out to two decimal places.<br>• The field must be right justified with leading zero.<br>• Combine partial docked days into full day equivalents for Docked Days field only, never for Days Paid.<br>• This field does not need to be adjusted to the specific pay period in which the day(s) was actually missed. Instead it can be reported with the payroll when the member's pay is docked. However, it must be adjusted to at least be in the correct fiscal year when the day(s) was missed.<br>• Docked Days should only be reported with the BS (Base Salary) Payment Reason. They do not need repeated with every payment reason.<br>• Docked Days should not be reported with a member who is on an approved Leave of Absence (LA). Those missed days should be reported through the Days Paid field instead. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Sick Leave/Personal Days | DB = R DC = O | 300 | 305 | 6 | Current combined balance of sick leave and personal time, reported as days | N | 0000.0 – 9999.9  Example A: A member's current balance of sick leave and personal days is 83.5.  This would be reported as **0083.5**  Example B: A member's current balance of sick leave and personal days is 113.75.  This would be reported as **0113.8** | • The field represents the number of days rounded to the nearest tenth by the employer. • If the employer tracks leave time in hours, it is their responsibility to determine what that translates to in days. • This field must be right justified with leading zeros. • Personal Leave days should only be included in this total if they are available to use as Sick Leave at the given employer |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Days Paid | DB = R DC = O | 306 | 307 | 2 | Number of days for which the member was paid during the pay period | N | 00 – 99<br><br>Example A:<br>A member worked six full days and two half days. Their Days Paid should be reported as **08**<br><br>Example B:<br>A member worked 12 partial days. Their Days Paid should be reported as **12**<br><br>Example C:<br>A member is on an unpaid leave of absence. During this pay period they missed 15 days for which they would have been paid. Their Payment Reason should be reported as **LA** and their Days Paid as **15**<br><br>Example D:<br>A member started an unpaid leave of absence in the middle of the pay period. They were paid for seven days and then missed eight more work days while on leave. Their employer should include two detail records for the member, one for their base salary reported as **BS** in the Payment Reason field with Days Paid of **07,** and a second detail record with **LA** reported in the Payment Reason Field with a Days Paid reported as **08.** | • This field must contain whole number days only.<br>• Report the total number of days, Monday through Friday, during the school year for which the member performed duties requiring licensure. See the TRS Employer Guide Chapter Six for further information on days that earn service credit.<br>• Do not combine partial days into full day equivalents.<br>• Do not include:<br> o Unpaid snow days<br> o Unpaid holidays and vacations<br> o Days during which only extra duties not requiring licensure were performed<br> o Saturdays, unless the day qualifies as a day of service and the service was required due to a lawful day of attendance<br> o Days paid by lump sum but not worked, such as accumulated vacation and sick days or contract buy-outs<br>• If payment reason is **LA,** this field should be used to report the days for which the member would have been paid were they not on leave (Work days missed). |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Post-Retirement Hours | DB = C<br>DC = O | 308 | 313 | 6 | Number of hours a retired member worked in the pay period. Any days during which the member worked more than five hours, should only be recorded as five hours. | N | 000.00 – 999.99<br><br>Example:<br><br>A retired TRS member works five days in the pay period working four, three, seven, four, and seven hours respectively. Their total hours worked during the pay period should be reported as **021.00** | • This field is only required if the Contribution Category is Retired.<br>• This field must only include work that counts towards TRS post-retirement limitations.  See the TRS Employer Guide Chapter 10 for further information on post-retirement employment.<br>• If a member works more than five hours in any one day, their number of hours worked that day must only be recorded as five hours.<br>• Status would need to be changed from retired, the beginning of the pay period following the 601$^{st}$ (variable maximum) hour of post-retirement work.<br>• This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
| | | From | To | Len | | | | |
|---|---|---|---|---|---|---|---|---|
| Balanced Calendar | DB = C<br>DC = O | 314 | 314 | 1 | Indicates whether the member is working on a balanced (year-round) calendar | A | Y = Yes<br>N = No | • This field is only required for Employment Types F and P.<br>• This refers to the school calendar, not an individual's contract days. If the school calendar runs July – June with no true summer break, then it is "Balanced". If you are on a traditional school calendar, i.e. begin in August, end in May with a summer break, you are not "Balanced".<br>• Generally, the concept of a Balanced Calendar will not apply to Administrators. |
| Email Address | DB = O<br>DC = O | 315 | 389 | 75 | Member's current email address on file with their employer | A | | • This field must be left justified with spaces to the right. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Phone | DB = R<br>DC = O | 390 | 399 | 10 | Member's contact phone number | N | | • If the employer does not have phone number for the employee this field can be filled with zeros, otherwise, a Ten-digit phone number is required. |
| Address Line 1 | DB = R<br>DC = O | 400 | 449 | 50 | Member's current mailing address | A | Valid characters are:<br>A-Z<br>0-9<br>Space<br>Dash or Hyphen<br>Forward Slash | • Post Office Boxes or Care Of (C/O:) should always be reported in Address Line 1.<br>• See Appendix D: Address Standards |
| Address Line 2 | DB = O<br>DC = O | 450 | 499 | 50 | Member's current mailing address | A | Valid characters are:<br>A-Z<br>0-9<br>Space<br>Dash or Hyphen<br>Forward Slash | • See Appendix D: Address Standards |
| City | DB = R<br>DC = O | 500 | 524 | 25 | Member's current mailing address | A | | • See Appendix D: Address Standards |
| State | DB = R<br>DC = O | 525 | 526 | 2 | Member's current mailing address | A | A list available state values can be found in Appendix B | • This field must be a valid United States Postal Code for any US State, Territory, Possession, or Armed Forces Office (APO/FPO/DPO). |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Zip Code | DB = R DC = O | 527 | 535 | 9 | Member's current mailing address | A | Left justified with spaces to the right | • Must be AT LEAST five digits |
| Country | DB = O DC = O | 536 | 537 | 2 | Member's current mailing address | A | A list of available country codes can be found in Appendix C | • This field is only required if entering a foreign address. |

*O/C/R = Optional/Conditional/Required

## Footer Record Format

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Record Type | DB = R<br>DC = R | 1 | 1 | 1 | Field that designates this as a header, detail, or footer record | A | **F** = Footer | • This field must contain a value of F since this is a footer record. |
| Report Type | DB = R<br>DC = R | 2 | 3 | 2 | Indicates the grouping of data on Defined Benefit vs. Defined Contribution | N | **01** = Defined Benefit<br>**02 =** SSP Defined Contribution | • Separate reports must be submitted for each report type. |
| Format Version | DB = R<br>DC = R | 4 | 6 | 3 | Indicates which file layout format the employer is using | N | 000 | • This field must contain a value of 000 since this is currently the only acceptable file format. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| TRS Code | DB = R<br>DC = R | 7 | 13 | 7 | A unique number that identifies the employer | N | | • A unique number assigned by TRS that identifies the employer.<br>• This number is fixed at seven digits.<br>• The first three characters are based upon the county the employer is located in.<br>• The last four are based on the employer's school district number. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Report Date | DB = R<br>DC = R | 14 | 21 | 8 | Represents the year, month and day of the contribution report being submitted. | N | MMDDYYYY<br><br>Example:<br><br>November 15, 2021 would be reported as **11152021** | • A Report Date is the period for which the employer is submitting the contribution report. This will coincide with the pay dates provided by the employer to TRS during the beginning of the fiscal year when payroll schedules are reported through the Employer Portal.<br>• If reporting each payroll separately, the Report Date should be the pay date of the payroll being reported.<br>• If combining multiple payrolls into monthly reports, the Report Date should be the first of the month being reported. |
| Record Count | DB = R<br>DC = R | 22 | 27 | 6 | Indicates the total number of detail records reported | N | | • This count should only include records marked as **D**. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Total Earnings | DB = R DC = O | 28 | 28 | 1 | Indicates whether reported earnings are a positive or negative amount | A | + = Positive/Increase <br> – = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. <br> • When reporting negative earnings, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| Total Earnings | DB = R DC = O | 29 | 41 | 13 | Total Monies earned for all Payment Reasons | N | 0000000000.00 – 9999999999.99 | • This field must include any board-paid TRS contributions using the appropriate factor, rather than benefit number from payroll. <br> • This field must be right justified with leading zeros. |
| Increase/Decrease Total Earnings that exceed Salary Limits | DB = R DC = O | 42 | 42 | 1 | Indicates whether reported excess earnings are a positive or negative amount | A | + = Positive/Increase <br> – = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. <br> • When reporting negative excess earnings, the adjustment must reflect Pay Period Dates prior to the Report Date. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Total Earnings that exceed Salary Limits | DB = C DC = O | 43 | 55 | 13 | Total Earnings paid after the member has exceeded the IRS pensionable limits for the fiscal year | N | 0000000000.00 – 9999999999.99 | • This field is only required if any member's total creditable earnings for the current fiscal year have exceeded the IRS or Tier 2 limitations for that year. • The portion of any member's earnings that exceeds the applicable limit in a Pay Period must be calculated by adding up all the creditable earnings reported to TRS in a fiscal year and comparing that total against the limit for that fiscal year. |
| Increase/Decrease Total Contributions | DB = R DC = R | 56 | 56 | 1 | Indicates whether reported contributions are a positive or negative amount | A | +  = Positive/Increase –  = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields. • When reporting negative contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
| | | From | To | Len | | | | |
|---|---|---|---|---|---|---|---|---|
| Total Contributions | DB = R<br>DC = R | 57 | 69 | 13 | The total amount of contributions paid by all members | N | 0000000000.00 – 9999999999.99 | • This field must be right justified with leading zeros. |
| Increase/Decrease Total THIS Contributions | DB = R<br>DC = O | 70 | 70 | 1 | Indicates whether reported total THIS Contributions are a positive or negative amount | A | + = Positive/Increase<br>– = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields.<br>• When reporting negative THIS Contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| Total THIS Contributions | DB = R<br>DC = O | 71 | 83 | 13 | The total amount of the members' contribution to the THIS Fund | N | 0000000000.00 – 9999999999.99 | • This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| Increase/Decrease Total Employer Defined Contributions | DB = O<br>DC = R | 84 | 84 | 1 | Indicates whether reported total employer defined contributions are a positive or negative amount | A | +  = Positive/Increase<br>–  = Negative/Decrease | • Negative values are used to facilitate the reporting of adjustments to certain fields.<br>• When reporting negative employer defined contributions, the adjustment must reflect Pay Period Dates prior to the Report Date. |
| Total Employer Defined Contributions | DB = O<br>DC = R | 85 | 97 | 13 | Total Contributions made to a TRS connected DC plan by the employer | N | 0000000000.00 – 9999999999.99 | • This field will be used for reporting contributions made by employers to TRS associated defined contribution plans.<br>• The type of plan will be determined using the Contribution Category and Report Type.<br>• This field must be right justified with leading zeros. |

| Field Name | O/C/R* | Columns | | | Description | Format | Available Values | Rules and Additional Information |
|---|---|---|---|---|---|---|---|---|
| | | From | To | Len | | | | |
| File Creation Date | DB = R DC = R | 98 | 105 | 8 | Date the submitted file was created | N | MMDDYYYY Example: November 27, 2021 would be reported as **11272021** | • This date should not be modified based upon payroll frequency or reporting frequency. It must strictly be the date the file was created. |

*O/C/R = Optional/Conditional/Required

## Frequently Asked Questions

This section has been moved to the public area of the TRS website so that it can be kept as up to date as possible.

It can be found at the following address: https://www.trsil.org/employers/GeminiFAQs

# Appendices

## Appendix A: Payroll File Examples

The examples depicted below do not include all detail fields, nor are they in the correct order.  Each example only contains those fields necessary to illustrate each concept.

### Contribution Category

| SSN | Prefix | First Name | Middle Name | Last Name | Contribution Category | F |
|-----|--------|-----------|-------------|-----------|----------------------|---|
| 123456789 | MR | Holden | | Caufield | 01 | |
| 123456788 | MS | Jane | | Eyre | 02 | |
| 123456787 | DR | Leopold | | Bloom | 99 | |

This illustration shows detail records for three different members. Holden Caufield is being reported as Tier 1, Jane Eyre is being reported as Tier 2, and Leopold Bloom is being reported as retired.

### Payment Reason

| SSN | Prefix | First Name | Middle Name | Last Name | Payment Reason | +/- | Earnings | |
|-----|--------|-----------|-------------|-----------|----------------|-----|----------|---|
| 123456786 | MS | Elizabeth | | Bennet | BS | + | 004000.00 | |
| 123456786 | MS | Elizabeth | | Bennet | ED | + | 000200.00 | |
| 123456786 | MS | Elizabeth | | Bennet | TX | + | 000100.00 | |

This illustration shows three different detail records all for the same member.  Each detail has a different Payment Reason.  This pay period, Elizabeth Bennet received $4,000 in Base Salary, $200 from Extra Duty, and her employer contributed $100 to a qualified tax-deferred plan on her behalf.

## Board Paid TRS

| SSN | Prefix | First Name | Middle Name | Last Name | +/- | Earnings | +/- | Cotributions | + |
|-----|--------|-----------|-------------|-----------|-----|----------|-----|-------------|---|
| 123456785 | MS | Jo | | March | + | 004000.00 | + | 000360.00 | |
| 123456784 | MS | Jean | Louise | Finch | + | 002000.00 | + | 000180.00 | |

| SSN | Prefix | First Name | Middle Name | Last Name | +/- | Earnings | +/- | Cotributions | + |
|-----|--------|-----------|-------------|-----------|-----|----------|-----|-------------|---|
| 123456783 | MR | Jay | | Gatsby | + | 004395.60 | + | 000395.60 | |
| 123456782 | MS | Holly | | Golightly | + | 002197.80 | + | 000197.80 | |

This figure illustrates the reporting difference between those employers who pay for all or a portion of their members TRS contributions. Jo March and Jean Finch pay their own contributions. Jay Gatsby and Holly Golightly have the full 9% factor paid by their employer. Jay and Holly's Earnings correctly include the board-paid TRS amounts. Their Contribution fields also correctly include the full 9% without regard to who paid the contribution.

## Non-Contributory Earnings

| SSN | Prefix | First Name | Middle Name | Last Name | Payment Reason | +/- | Earnings | +/- | Cotributions | + |
|-----|--------|-----------|-------------|-----------|----------------|-----|----------|-----|-------------|---|
| 123456777 | MS | Anna | | Karenina | BS | + | 004000.00 | + | 000360.00 | |
| 123456777 | MS | Anna | | Karenina | ED | + | 000200.00 | + | 000018.00 | |
| 123456777 | MS | Anna | | Karenina | TX | + | 000100.00 | + | 000009.00 | |
| 123456777 | MS | Anna | | Karenina | NC | + | 000300.00 | + | 000000.00 | |

This figure illustrates the concept of reporting Non-Contributory Earnings to TRS. Anna was paid a total of $4,600 during the pay period, however, $300 of it was for work that is not reportable to TRS. The remaining $4,300 is reported regularly, separated by Payment Reason.

## Docked Days

| SSN | Prefix | First Name | Middle Name | Last Name | Docked Days | Days Paid | F |
|-----|--------|-----------|-------------|-----------|-------------|-----------|---|
| 123456772 | MR | Guy | | Montag | 003.50 | 13 | |
| 123456771 | MS | Brett | | Ashley | 001.00 | 12 | |

This figure illustrates how docked days should be reported and how they relate to Days Paid. Guy was docked 3.5 full day equivalents during the pay period, but he missed seven half days, so he still gets his Days Paid reported as the whole 13 in the pay period. Brett was docked 1.00 day which was a whole day she missed so her Days Paid would be reported as only 12.

## Leave of Absence Reporting

| SSN | Prefix | First Name | Middle Name | Last Name | Payment Reason | +/- | Earnings | +/- | Cotributions | +/- | THIS Contribution | Days Paid |
|-----|--------|-----------|-------------|-----------|----------------|-----|----------|-----|--------------|-----|-------------------|-----------|
| 123456776 | MS | Vesper | | Lynd | LA | + | 000000.00 | + | 000000.00 | + | 000000.00 | 12 |

The above figure illustrates the concept of Leave of Absence reporting as it will exist in the new reporting system. Vesper was on a board approved leave of absence for the entire pay period. She is still reported to TRS using the value LA in the Payment Reason field to indicate she is on a leave. Because the Payment Reason has been reported as LA, the Days Paid field should indicate the number of days Vesper would have worked, had she not been on leave. Asking for this information up front will allow TRS to award purchasable leave credit to members without having to ask for further information from their employers years after the leave occurred.

| SSN | Prefix | First Name | Middle Name | Last Name | Payment Reason | +/- | Earnings | +/- | Cotributions | +/- | THIS Contribution | Days Paid |
|-----|--------|-----------|-------------|-----------|----------------|-----|----------|-----|--------------|-----|-------------------|-----------|
| 123456775 | MR | Tom | | Joad | BS | + | 001850.00 | + | 000166.50 | + | 000022.94 | 05 |
| 123456775 | MR | Tom | | Joad | LA | + | 000000.00 | + | 000000.00 | + | 000000.00 | 07 |

The above figure contains a second example for Leave of Absence reporting. Tom started a board approved leave in the middle of a 12 day pay period. Tom worked the first five work days of the period and earned $1,850.00. Then he started his leave which caused him to miss the remaining seven work days in the pay period.

## End of Fiscal Year Reporting

| SSN | Prefix | First Name | Middle Name | Last Name | Pay Period Begin Date | Pay Period End Date | Payment Reason | +/- | Earnings | Deferred |
|-----|--------|-----------|-------------|-----------|----------------------|---------------------|----------------|-----|----------|----------|
| 123456770 | DR | John | H | Watson | 06082021 | 06212021 | BS | + | 002450.00 | N |
| 123456770 | DR | John | H | Watson | 06082021 | 06212021 | ED | + | 000200.00 | N |
| 123456770 | DR | John | H | Watson | 06222021 | 07052021 | BS | + | 002450.00 | Y |
| 123456770 | DR | John | H | Watson | 06222021 | 07052021 | ED | + | 000200.00 | Y |
| 123456770 | DR | John | H | Watson | 07062021 | 07192021 | BS | + | 002450.00 | Y |
| 123456770 | DR | John | H | Watson | 07202021 | 08022021 | BS | + | 002450.00 | Y |
| 123456770 | DR | John | H | Watson | 08032021 | 08162021 | BS | + | 002450.00 | Y |
| 123456770 | DR | John | H | Watson | 08172021 | 08302021 | BS | + | 002450.00 | Y |

The above figure illustrates the concept of reporting the pay periods after the member has stopped working for the year but still has deferred earnings to be paid out. This will allow employers to collect and remit all required contributions to TRS by the end of the fiscal year. Dr. Watson's employer starts their new year September 1. His contract days stopped on June 15th, all future pay periods for the fiscal year (including those in July and August) should then be reported together with the last payroll in June and marked as deferred. All payments made for work during the previous school year, after that employee's work year is over, should be marked as deferred.

## Deferred Field

| SSN | Prefix | First Name | Last Name | Pay Period Begin Date | Pay Period End Date | Deferred | Days Paid |
|-----|--------|------------|-----------|----------------------|---------------------|----------|-----------|
| 123456768 | MZ | Annie | Wilkes | 08012021 | 08152021 | Y | 00 |
| 123456768 | MZ | Annie | Wilkes | 08162021 | 08312021 | N | 12 |

| SSN | Prefix | First Name | Last Name | Pay Period Begin Date | Pay Period End Date | Deferred | Days Paid |
|-----|--------|------------|-----------|----------------------|---------------------|----------|-----------|
| 123456767 | MR | Paul | Sheldon | 12042021 | 12172021 | N | 10 |
| 123456767 | MR | Paul | Sheldon | 12182021 | 12312021 | Y | 00 |
| 123456767 | MR | Paul | Sheldon | 01012022 | 01142022 | N | 10 |

This figure illustrates two different examples of when the Deferred flag might be used outside of the normal summer time frame. Annie works for a district that has a pay period in the new school year that is before they have started to work that year. This first period would be reported with her Earnings for that paycheck and Days Paid as zero, meaning it must be marked as Deferred. For Paul, this year his school's winter break happens to line up with an entire pay period. For this period, he would also be reported with Days Paid equal to zero and his Earnings marked as Deferred.

## Back Wage Reporting

| SSN | Prefix | First Name | Last Name | Pay Period Begin Date | Pay Period End Date | Payment Reason | +/- | Earnings |
|-----|--------|------------|-----------|----------------------|---------------------|----------------|-----|----------|
| 123456769 | MRS | Lobelia | Sackville-Baggins | 12012021 | 123120201 | BW | + | 002500.00 |

| SSN | Prefix | First Name | Last Name | Pay Period Begin Date | Pay Period End Date | Payment Reason | +/- | Earnings |
|-----|--------|------------|-----------|----------------------|---------------------|----------------|-----|----------|
| 123456769 | MRS | Lobelia | Sackville-Baggins | 07012021 | 07312021 | BW | + | 000500.00 |
| 123456769 | MRS | Lobelia | Sackville-Baggins | 08012021 | 08312021 | BW | + | 000500.00 |
| 123456769 | MRS | Lobelia | Sackville-Baggins | 09012021 | 09302021 | BW | + | 000500.00 |
| 123456769 | MRS | Lobelia | Sackville-Baggins | 10012021 | 10312021 | BW | + | 000500.00 |
| 123456769 | MRS | Lobelia | Sackville-Baggins | 11012021 | 11302021 | BW | + | 000500.00 |

This figure illustrates two different ways that back wages can be reported. Due to being placed incorrectly on the salary schedule, Lobelia is owed a total of $2,500 in back wages. This amount can be reported as one lump sum or split out into the individual pay periods where she would have received the extra pay. If reporting as one lump sum, the pay period *must* reflect the correct fiscal year in which the back wages were earned.

## Appendix B: State, Territory, Possession, Associated States, and Armed Forces Abbreviations

| | | | | |
|---|---|---|---|---|
| Alabama | AL | New York | NY |
| Alaska | AK | North Carolina | NC |
| Arizona | AZ | North Dakota | ND |
| Arkansas | AR | Ohio | OH |
| California | CA | Oklahoma | OK |
| Colorado | CO | Oregon | OR |
| Connecticut | CT | Pennsylvania | PA |
| Delaware | DE | Rhode Island | RI |
| Florida | FL | South Carolina | SC |
| Georgia | GA | South Dakota | SD |
| Hawaii | HI | Tennessee | TN |
| Idaho | ID | Texas | TX |
| Illinois | IL | Utah | UT |
| Indiana | IN | Vermont | VT |
| Iowa | IA | Virginia | VA |
| Kansas | KS | Washington | WA |
| Kentucky | KY | West Virginia | WV |
| Louisiana | LA | Wisconsin | WI |
| Maine | ME | Wyoming | WY |
| Maryland | MD | District of Columbia | DC |
| Massachusetts | MA | American Samoa | AS |
| Michigan | MI | Guam | GU |
| Minnesota | MN | Northern Mariana Islands | MP |
| Mississippi | MS | Puerto Rico | PR |
| Missouri | MO | U.S. Virgin Islands | VI |
| Montana | MT | Micronesia, Federated States of | FM |
| Nebraska | NE | Marshall Islands, Republic of the | MH |
| Nevada | NV | Palau, Republic of | PW |
| New Hampshire | NH | Armed Forces – Americas | AA |
| New Jersey | NJ | Armed Forces – Europe | AE |
| New Mexico | NM | Armed Forces – Pacific | AP |

# Appendix C: Country Codes

These codes come from the International Standards Organization (ISO 3166-1 alpha-2).

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| AD | Andorra | BQ | Bonaire, Sint Eustatius and Saba | DJ | Djibouti |
| AE | United Arab Emirates | BR | Brazil | DK | Denmark |
| AF | Afghanistan | BS | Bahamas | DM | Dominica |
| AG | Antigua and Barbuda | BT | Bhutan | DO | Dominican Republic |
| AI | Anguilla | BV | Bouvet Island | DZ | Algeria |
| AL | Albania | BW | Botswana | EC | Ecuador |
| AM | Armenia | BY | Belarus | EE | Estonia |
| AO | Angola | BZ | Belize | EG | Egypt |
| AQ | Antarctica | CA | Canada | EH | Western Sahara |
| AR | Argentina | CC | Cocos (Keeling) Islands | ER | Eritrea |
| AT | Austria | CD | Congo, the Democratic Republic of the | ES | Spain |
| AU | Australia | CF | Central African Republic | ET | Ethiopia |
| AW | Aruba | CG | Congo | FI | Finland |
| AX | Åland Islands | CH | Switzerland | FJ | Fiji |
| AZ | Azerbaijan | CI | Côte d'Ivoire | FK | Falkland Islands (Malvinas) |
| BA | Bosnia and Herzegovina | CK | Cook Islands | FM | Micronesia, Federated States of |
| BB | Barbados | CL | Chile | FO | Faroe Islands |
| BD | Bangladesh | CM | Cameroon | FR | France |
| BE | Belgium | CN | China | GA | Gabon |
| BF | Burkina Faso | CO | Colombia | GB | United Kingdom of Great Britain and Northern Ireland |
| BG | Bulgaria | CR | Costa Rica | GD | Grenada |
| BH | Bahrain | CU | Cuba | GE | Georgia |
| BI | Burundi | CV | Cabo Verde | GF | French Guiana |
| BJ | Benin | CW | Curaçao | GG | Guernsey |
| BL | Saint Barthélemy | CX | Christmas Island | GH | Ghana |
| BM | Bermuda | CY | Cyprus | GI | Gibraltar |
| BN | Brunei Darussalam | CZ | Czechia | GL | Greenland |
| BO | Bolivia, Plurinational State of | DE | Germany | GM | Gambia |

| | | | | | | |
|---|---|---|---|---|---|---|---|
| GN | Guinea | | KM | Comoros | | MS | Montserrat |
| GP | Guadeloupe | | KN | Saint Kitts and Nevis | | MT | Malta |
| GQ | Equatorial Guinea | | KP | Korea, Democratic People's Republic of | | MU | Mauritius |
| GR | Greece | | KR | Korea, Republic of | | MV | Maldives |
| GS | South Georgia and the South Sandwich Islands | | KW | Kuwait | | MW | Malawi |
| GT | Guatemala | | KY | Cayman Islands | | MX | Mexico |
| GW | Guinea-Bissau | | KZ | Kazakhstan | | MY | Malaysia |
| GY | Guyana | | LA | Lao People's Democratic Republic | | MZ | Mozambique |
| HK | Hong Kong | | LB | Lebanon | | NA | Namibia |
| HM | Heard Island and McDonald Islands | | LC | Saint Lucia | | NC | New Caledonia |
| HN | Honduras | | LI | Liechtenstein | | NE | Niger |
| HR | Croatia | | LK | Sri Lanka | | NF | Norfolk Island |
| HT | Haiti | | LR | Liberia | | NG | Nigeria |
| HU | Hungary | | LS | Lesotho | | NI | Nicaragua |
| ID | Indonesia | | LT | Lithuania | | NL | Netherlands |
| IE | Ireland | | LU | Luxembourg | | NO | Norway |
| IL | Israel | | LV | Latvia | | NP | Nepal |
| IM | Isle of Man | | LY | Libya | | NR | Nauru |
| IN | India | | MA | Morocco | | NU | Niue |
| IO | British Indian Ocean Territory | | MC | Monaco | | NZ | New Zealand |
| IQ | Iraq | | MD | Moldova, Republic of | | OM | Oman |
| IR | Iran, Islamic Republic of | | ME | Montenegro | | PA | Panama |
| IS | Iceland | | MF | Saint Martin (French part) | | PE | Peru |
| IT | Italy | | MG | Madagascar | | PF | French Polynesia |
| JE | Jersey | | MH | Marshall Islands | | PG | Papua New Guinea |
| JM | Jamaica | | MK | North Macedonia, Republic of | | PH | Philippines |
| JO | Jordan | | ML | Mali | | PK | Pakistan |
| JP | Japan | | MM | Myanmar | | PL | Poland |
| KE | Kenya | | MN | Mongolia | | PM | Saint Pierre and Miquelon |
| KG | Kyrgyzstan | | MO | Macao | | PN | Pitcairn |
| KH | Cambodia | | MQ | Martinique | | PS | Palestine, State of |
| KI | Kiribati | | MR | Mauritania | | PT | Portugal |

| | |
|---|---|
| PW | Palau |
| PY | Paraguay |
| QA | Qatar |
| RE | Réunion |
| RO | Romania |
| RS | Serbia |
| RU | Russian Federation |
| RW | Rwanda |
| SA | Saudi Arabia |
| SB | Solomon Islands |
| SC | Seychelles |
| SD | Sudan |
| SE | Sweden |
| SG | Singapore |
| SH | Saint Helena, Ascension and Tristan da Cunha |
| SI | Slovenia |
| SJ | Svalbard and Jan Mayen |
| SK | Slovakia |
| SL | Sierra Leone |
| SM | San Marino |
| SN | Senegal |
| SO | Somalia |

| | |
|---|---|
| SR | Suriname |
| SS | South Sudan |
| ST | Sao Tome and Principe |
| SV | El Salvador |
| SX | Sint Maarten (Dutch part) |
| SY | Syrian Arab Republic |
| SZ | Eswatini |
| TC | Turks and Caicos Islands |
| TD | Chad |
| TF | French Southern Territories |
| TG | Togo |
| TH | Thailand |
| TJ | Tajikistan |
| TK | Tokelau |
| TL | Timor-Leste |
| TM | Turkmenistan |
| TN | Tunisia |
| TO | Tonga |
| TR | Turkey |
| TT | Trinidad and Tobago |
| TV | Tuvalu |
| TW | Taiwan, Province of China |

| | |
|---|---|
| TZ | Tanzania, United Republic of |
| UA | Ukraine |
| UG | Uganda |
| UM | United States Minor Outlying Islands |
| US | United States of America |
| UY | Uruguay |
| UZ | Uzbekistan |
| VA | Holy See |
| VC | Saint Vincent and the Grenadines |
| VE | Venezuela, Bolivarian Republic of |
| VG | Virgin Islands, British |
| VN | Viet Nam |
| VU | Vanuatu |
| WF | Wallis and Futuna |
| WS | Samoa |
| YE | Yemen |
| YT | Mayotte |
| ZA | South Africa |
| ZM | Zambia |
| ZW | Zimbabwe |

# Appendix D: Address Standards

When submitting member addresses to TRS, please try to adhere to USPS standards (detailed briefly below) as much as possible to avoid issues attempting to compare reported addresses with those already on file for members.

- Do not use punctuation of any kind other than dashes or forward slashes in addresses.  This includes omitting periods at the end of abbreviations.
- Be sure to include any apartment numbers or similar using Address Line 2.  See list of USPS standard abbreviations for common unit designations below.  The pound sign (#) should not be used if the proper unit designation is known.

| Unit Designation | USPS Standard Abbreviation | Unit Designation | USPS Standard Abbreviation |
|---|---|---|---|
| Apartment | APT | Penthouse | PH |
| Basement | BSMT | Pier | PIER |
| Building | BLDG | Rear | REAR |
| Department | DEPT | Room | RM |
| Floor | FL | Side | SIDE |
| Front | FRNT | Slip | SLIP |
| Hanger | HNGR | Space | SPC |
| Key | KEY | Stop | STOP |
| Lobby | LBBY | Suite | STE |
| Lot | LOT | Trailer | TRLR |
| Lower | LOWR | Unit | UNIT |
| Office | OFC | Upper | UPPR |

- Post Office Boxes should be listed in Address Line 1 in the format "PO Box" with no periods.
- Use "RR" rather than spelling out Rural Route
- Abbreviate directionals unless they are a part of the streets primary name (Ex. N Main St instead of North Main St).
- Ordinal streets should generally always be reported in abbreviated format (Ex: 7th St instead Seventh St).
- City names should not be abbreviated (Ex: Arlington Heights not Arlington Hts) unless it part of the actual name of the city (Ex: East St. Louis not E St. Louis or East Saint Louis)
- Use the USPS standard abbreviations on the below pages for Address Lines 1 and 2:

| Primary Street Suffix Name | USPS Standard Suffix Abbreviation | Primary Street Suffix Name | USPS Standard Suffix Abbreviation | Primary Street Suffix Name | USPS Standard Suffix Abbreviation |
|---|---|---|---|---|---|
| ALLEY | **ALY** | CORNER | **COR** | FORD | **FRD** |
| ANEX | **ANX** | CORNERS | **CORS** | FORDS | **FRDS** |
| ARCADE | **ARC** | COURSE | **CRSE** | FOREST | **FRST** |
| AVENUE | **AVE** | COURT | **CT** | FORGE | **FRG** |
| BAYOU | **BYU** | COURTS | **CTS** | FORGES | **FRGS** |
| BEACH | **BCH** | COVE | **CV** | FORK | **FRK** |
| BEND | **BND** | COVES | **CVS** | FORKS | **FRKS** |
| BLUFF | **BLF** | CREEK | **CRK** | FORT | **FT** |
| BLUFFS | **BLFS** | CRESCENT | **CRES** | FREEWAY | **FWY** |
| BOTTOM | **BTM** | CREST | **CRST** | GARDEN | **GDN** |
| BOULEVARD | **BLVD** | CROSSING | **XING** | GARDENS | **GDNS** |
| BRANCH | **BR** | CROSSROAD | **XRD** | GATEWAY | **GTWY** |
| BRIDGE | **BRG** | CROSSROADS | **XRDS** | GLEN | **GLN** |
| BROOK | **BRK** | CURVE | **CURV** | GLENS | **GLNS** |
| BROOKS | **BRKS** | DALE | **DL** | GREEN | **GRN** |
| BURG | **BG** | DAM | **DM** | GREENS | **GRNS** |
| BURGS | **BGS** | DIVIDE | **DV** | GROVE | **GRV** |
| BYPASS | **BYP** | DRIVE | **DR** | GROVES | **GRVS** |
| CAMP | **CP** | DRIVES | **DRS** | HARBOR | **HBR** |
| CANYON | **CYN** | ESTATE | **EST** | HARBORS | **HBRS** |
| CAPE | **CPE** | ESTATES | **ESTS** | HAVEN | **HVN** |
| CAUSEWAY | **CSWY** | EXPRESSWAY | **EXPY** | HEIGHTS | **HTS** |
| CENTER | **CTR** | EXTENSION | **EXT** | HIGHWAY | **HWY** |
| CENTERS | **CTRS** | EXTENSIONS | **EXTS** | HILL | **HL** |
| CIRCLE | **CIR** | FALL | **FALL** | HILLS | **HLS** |
| CIRCLES | **CIRS** | FALLS | **FLS** | HOLLOW | **HOLW** |
| CLIFF | **CLF** | FERRY | **FRY** | INLET | **INLT** |
| CLIFFS | **CLFS** | FIELD | **FLD** | ISLAND | **IS** |
| CLUB | **CLB** | FIELDS | **FLDS** | ISLANDS | **ISS** |
| COMMON | **CMN** | FLAT | **FLT** | ISLE | **ISLE** |
| COMMONS | **CMNS** | FLATS | **FLTS** | JUNCTION | **JCT** |

| Primary Street Suffix Name | USPS Standard Suffix Abbreviation | Primary Street Suffix Name | USPS Standard Suffix Abbreviation | Primary Street Suffix Name | USPS Standard Suffix Abbreviation |
|---|---|---|---|---|---|
| JUNCTIONS | **JCTS** | ORCHARD | **ORCH** | ROAD | **RD** |
| KEY | **KY** | OVAL | **OVAL** | ROADS | **RDS** |
| KEYS | **KYS** | OVERPASS | **OPAS** | ROUTE | **RTE** |
| KNOLL | **KNL** | PARK | **PARK** | ROW | **ROW** |
| KNOLLS | **KNLS** | PARKS | **PARK** | RUE | **RUE** |
| LAKE | **LK** | PARKWAY | **PKWY** | RUN | **RUN** |
| LAKES | **LKS** | PARKWAYS | **PKWY** | SHOAL | **SHL** |
| LAND | **LAND** | PASS | **PASS** | SHOALS | **SHLS** |
| LANDING | **LNDG** | PASSAGE | **PSGE** | SHORE | **SHR** |
| LANE | **LN** | PATH | **PATH** | SHORES | **SHRS** |
| LIGHT | **LGT** | PIKE | **PIKE** | SKYWAY | **SKWY** |
| LIGHTS | **LGTS** | PINE | **PNE** | SPRING | **SPG** |
| LOAF | **LF** | PINES | **PNES** | SPRINGS | **SPGS** |
| LOCK | **LCK** | PLACE | **PL** | SPUR | **SPUR** |
| LOCKS | **LCKS** | PLAIN | **PLN** | SPURS | **SPUR** |
| LODGE | **LDG** | PLAINS | **PLNS** | SQUARE | **SQ** |
| LOOP | **LOOP** | PLAZA | **PLZ** | SQUARES | **SQS** |
| MALL | **MALL** | POINT | **PT** | STATION | **STA** |
| MANOR | **MNR** | POINTS | **PTS** | STRAVENUE | **STRA** |
| MANORS | **MNRS** | PORT | **PRT** | STREAM | **STRM** |
| MEADOW | **MDW** | PORTS | **PRTS** | STREET | **ST** |
| MEADOWS | **MDWS** | PRAIRIE | **PR** | STREETS | **STS** |
| MEWS | **MEWS** | RADIAL | **RADL** | SUMMIT | **SMT** |
| MILL | **ML** | RAMP | **RAMP** | TERRACE | **TER** |
| MILLS | **MLS** | RANCH | **RNCH** | THROUGHWAY | **TRWY** |
| MISSION | **MSN** | RAPID | **RPD** | TRACE | **TRCE** |
| MOTORWAY | **MTWY** | RAPIDS | **RPDS** | TRACK | **TRAK** |
| MOUNT | **MT** | REST | **RST** | TRAFFICWAY | **TRFY** |
| MOUNTAIN | **MTN** | RIDGE | **RDG** | TRAIL | **TRL** |
| MOUNTAINS | **MTNS** | RIDGES | **RDGS** | TRAILER | **TRLR** |
| NECK | **NCK** | RIVER | **RIV** | TUNNEL | **TUNL** |

| Primary Street Suffix Name | USPS Standard Suffix Abbreviation |
|---|---|
| TURNPIKE | **TPKE** |
| UNDERPASS | **UPAS** |
| UNION | **UN** |
| UNIONS | **UNS** |
| VALLEY | **VLY** |
| VALLEYS | **VLYS** |
| VIADUCT | **VIA** |
| VIEW | **VW** |
| VIEWS | **VWS** |
| VILLAGE | **VLG** |
| VILLAGES | **VLGS** |
| VILLE | **VL** |
| VISTA | **VIS** |
| WALK | **WALK** |
| WALKS | **WALK** |
| WALL | **WALL** |
| WAY | **WAY** |
| WAYS | **WAYS** |
| WELL | **WL** |
| WELLS | **WLS** |