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**my|CaIPERS**

**File Testing Instructions  
For  
Direct Authorization Vendors**

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## Version History

Document Version	Date	Document Revision Description
1.0	3/14/11	Initial release of document
1.1	6/16/11	Final release

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## 1. PURPOSE

The purpose of this document is to provide guidelines for direct authorization vendors (DAV) testing their new Extended Markup Language (XML) files with the my|CalPERS system. This document describes the considerations and activities for preparing and testing your files. The testing process will allow you to validate your files, data, and processes for submitting to and receiving data from CalPERS when my|CalPERS launches on September 19, 2011.

It is important to note that the data contained in the my|CalPERS test and production environments is confidential and should be treated accordingly. Business partners' security practices, policies, and procedures should apply and be considered when designating a System Access Administrator (SAA) or assigning user(s) access privileges to my|CalPERS.

We have included a checklist in [Appendix B](#) so that you can monitor your progress throughout these activities.

## 2. PREPARING TO TEST WITH CALPERS

There are several steps that need to be completed before you will be able to begin testing your files. This section covers those activities.

### 2.1. SEED DATA

During the test data conversion process, CalPERS copied your data from our legacy systems to the my|CalPERS test environments and created my|CalPERS test seed data. Seed data is a cross reference of your legacy identifiers (Social Security numbers, Deduction ID Code, etc.) with the new identifiers (CalPERS IDs, Agreement IDs, etc.) that will be used in the new system. These new identifiers will be used in my|CalPERS to protect and secure personal information.

This seed data identifies your organization, any carriers or third party service providers, and participants included within your file submissions. The purpose of providing you with test seed data is so that you can incorporate them into your test files, replacing your legacy (current) identifier information. For example:

- The Agreement ID will replace the current Deduction ID code used today.
- The Participant/Person CalPERS ID will replace the need to report Social Security numbers (SSN) for participants.

Your test seed data file will be emailed to you in an encrypted WinZip file. The key to unencrypt the file will be made available by phone. Your test files need to have correct correlation between the new my|CalPERS identifiers with your legacy identifiers to successfully process records in the file testing environment. The seed data provides that correlation.

Please keep in mind, as you develop a process for handling these new identifiers, that seed data will be regenerated during CalPERS final conversion to production. You will be notified later this summer if you will receive a new seed data file. At that time, you will need to replace the identifiers used for testing purposes with those created in the seed data file for the launch of my|CalPERS.

For more information, please view the CalPERS File ID Exchange Layout document within the [Direct Authorization Vendor Technical Toolkit](#).

## 2.2. TEST DATA DATE

On January 15, 2011, CalPERS captured a copy of deduction data, and participants with records related to your organization and the contracts you have with CalPERS. The data captured was used to populate the file testing environment and generate a set of new identifiers, or CalPERS IDs, that will be used by your organization in my|CalPERS. Therefore, the test data date is January 15, 2011. The test data and your seed data do not include any changes to deductions or agreements that began after that date.

## 2.3. FILE TESTING APPROACH

A testing strategy should be considered in order to prepare your organization to test the transactions and plan for the appropriate resources. We recommend you start using files with a small number of records and slowly build up to larger, more complex files.

Based on the number of test files and transactions you plan to test, you will need to ensure you have the appropriate testing resources identified and scheduled to participate. For example:

- Ensure you have the appropriate Information Technology staff available to create and/or submit test files.
- Include program staff to help submit test files and resolve business rule errors.
- Identify the deduction transactions your organization is interested in testing based on how your organization typically conducts business with CalPERS.

For example, when planning to test deduction requests, determine what transaction types (e.g., add, delete, and change) need to be tested. If you are receiving the Deduction Register via FTP, or want to save it in comma separated values (.csv) format, a copy of your Deduction Register with current deductions as of the test data date is available for you to use. You do not need to submit deduction requests into the test system to test your process for reading this data and updating your backend system.

Once you are ready to begin, we recommend that you first verify your files meet the basic file structure requirements by using the XML validation tool available in the [Direct Authorization Vendor Technical Toolkit](#). This tool was designed to help identify some XML structure issues that will cause errors in my|CalPERS. The tool does not identify all errors, but using this tool should help reduce the number of test cycles.

When you are confident that the XML file structure is correct, submit a test file with data that resembles your standard day-to-day functions in order to test the file meets the new

data requirements. For example, first test a deduction request file with five participants on a single agreement and run it through my|CalPERS. Resolve any errors and then run through the process again. Once you're confident that you're meeting both file structure and data requirements, submit a test file with a large number of records and/or records for more than one agreement and repeat the process.

Please refer to the [Technical Resources for File Reporters](#) available in the Business Partner area of CalPERS On-Line for more information regarding how to construct your test files, available transaction types, data requirements, and new business rules. The Technical Toolkit for Direct Authorization Vendors is meant to be a one stop shop for all information your organization needs to successfully create and test files for my|CalPERS.

## **2.4. PREPARING TEST FILES**

You will be able to submit test files, apply fixes and resubmit those files as many times as needed. Please note that you will need to change the file name to a unique name before the system will allow you to submit the file again. You can change one digit of the timestamp in the filename to make it unique.

Since my|CalPERS strips away special characters from the data that you submit, please note that:

- Hyphens, apostrophes, etc., which are common in name fields (e.g., Reeves-Wong or O'Malley), will not cause a problem in the system. The field data will "match."
- The code does not strip out extra spaces in these fields. Therefore, any differences in spaces between CalPERS production and business partner native systems will error out (e.g., McGeorge will not match Mc George).

### 3. SYSTEM ACCESS ADMINISTRATOR

Each business partner that utilizes my|CalPERS to conduct business will need to assign at least one System Access Administrator (SAA). This person will be responsible for maintaining the business partner profile, setting up internal users with the correct roles for their job duties, and administering the appropriate access to those users. Details on the SAA responsibilities are covered in the [Overview of my|CalPERS System Access Administration](#).

#### 3.1. SYSTEM ACCESS ADMINISTRATOR USERNAME AND PASSWORD

The primary SAA identified for your organization will receive a username and temporary password for accessing the system. The first time they access the system, they can change their password, complete your business partner profile, and create users for testing.

During system conversion, CalPERS will not be able to capture DAV SAA information and migrate it to the production environment. The SAA will need to be re-established in the production system and then set up any contacts and assign their roles. More information on this will be available closer to the launch date.

#### 3.2. SETTING UP YOUR BUSINESS PARTNER PROFILE

If you are the SAA, after you log in to the test system, you will see the **Profile** tab. Selecting this tab takes you to a page displaying your organization's current business profile. From this page you will be able to update your profile as needed, such as changing contact information and/or preferred contact method.

#### 3.3. SETTING UP USERS

Your organization's SAA is responsible for setting up usernames and assigning the direct authorization role for users, or contacts, who will be using the system for testing purposes. Detailed instructions on how to add contacts can be found in the [my|CalPERS Guide to Adding Contacts](#) document in the Business Partner area of CalPERS On-Line. We recommend that SSAs prepare a list of the business partner contacts (both staff and third party vendors) who will be participating in testing activities. Pre-identifying these individuals, their usernames, and their system access will expedite your organization's ability to start testing.

Once the primary SAA accesses the system, they can designate secondary SAAs and test users. If other users are set up for testing, consider if these are the users who should have access in the production system at launch. *Hint: If different users are set up in the production system from those set up in the test environment, consider keeping a list or worksheet of the users and profiles created in the test environment to utilize when setting up users in the production system.*

For testing purposes, the SAA will set up testing users directly into the test environment. The SAA will assign all users their direct authorization role. The functionality available to the individual user is determined by the role their organization has in the agreement they are working with.

For example, if you are a sponsor for several agreements, but only submit deductions for one of them, you will only have access to the pages for reporting deductions under the agreements designating you as the deduction submitter.

## 4. LOGGING IN TO THE SYSTEM

Your SAA will receive a link to log in to the system and can distribute this link to users as needed. Please remember that this is a test system and availability may be interrupted unexpectedly. If you attempt to log in to the system and it is unavailable, chances are that technical teams are working on the problem. The system could be back up in a few minutes. We suggest that you wait 20-30 minutes and try to access the system again before contacting CalPERS.

### 4.1. LOGGING IN FOR THE FIRST TIME

After your SAA establishes your username, the system will assign a temporary password. Your SAA will provide you with this password so you can access the system.

The first time you access the system using your temporary password, you will be prompted to change this password. You also will be prompted to set up responses to a set of security questions that you can use to reset your password in the future. Steps 1-9 in [Section 6.1](#) provide instructions for logging in to the system for the first time.

*Keep in mind that **Passwords** must be at least eight characters with no spaces. Valid characters are letters, numbers and the following special characters: At signs (@), periods (.), underscores (\_) and hyphens (-). Passwords must also contain at least three of the four character types (uppercase, lowercase, number and special characters). Passwords ARE case sensitive.*

## 5. PREPARING YOUR FILE

The specifications for the files you submit will depend on the types of transactions you are submitting in the file.

Access the [Direct Authorization Vendor Technical Toolkit](#) for the file specifications relative to the deduction requests that you will submit to my|CalPERS and the deduction registers that you will receive from my|CalPERS.

### 5.1. FTP PREPARATION

There are several steps that need to be completed before you can submit files to my|CalPERS via FTP. We held teleconferences through May 2011 to kick off this process. If you intend to submit your XML files via FTP and have not attended one of these teleconferences, or initiated the steps to set up your organization as a FTP file reporting business partner, please refer to the document [my|CalPERS and File Transport Services](#). This document contains the information covered during the FTP teleconference sessions and will help you begin the process.

If you have not initiated the process for setting up FTP by July 15, 2011, you will not have enough time to complete this process prior to launch and may have to use an alternative method until the FTP setup is complete.

### 5.2. REPORTING DATA TO MY|CALPERS

A key difference between the current CalPERS systems and the new my|CalPERS system is the way data is reported. Currently, business partners reporting deduction requests submit a hard copy form or flat file containing the various transactions they report to CalPERS. Instead of a flat file, my|CalPERS only accepts files using the XML format. [Section 6](#) provides a step-by-step guide to submitting a file using File Upload. [Section 7](#) will guide you through the process of correcting errors using my|CalPERS and may be helpful for you if you are using FTP.

### **5.3. SUGGESTED TEST SCENARIOS**

This section contains a list of typical transactions our business partners submit to CalPERS.

#### **5.3.1. DEDUCTION REQUESTS**

- Add new deduction
- Update existing deduction
- Delete deduction
- Submit limited term or one-time deduction (UCRS and Long Term Care only)

### **5.4. RECEIVING FTP RESPONSE FILES FROM MY|CALPERS**

Business partners who submit XML files using FTP will receive a response file in XML. This response file will contain the status of each record submitted.

If you submit files to my|CalPERS using FTP and the file has no Level 1 errors, the system will generate a response file in XML format and place it in your “in” folder on our external FTP server. You can use that file to assess the status of the records you submitted and make any necessary corrections.

Please note that there are separate “in” and “out” folders for each interface. If you are an employer who submits direct authorization deductions, as well as payroll contributions and retirement enrollment using FTP, you will have three separate sets of folders for sending your FTP files and receiving your response files.

### **5.5. CONSIDERATIONS**

Please reference this table to understand some of the conditions in the test environment and the functionality available in the system that will be relevant to your testing strategy.

System State	Possible Considerations
<p>Test system data is as of January 15, 2011.</p>	<ul style="list-style-type: none"> <li>• Participants in your test data may not have been in the system on January 15, 2011.</li> <li>• Current agreement structure may be different than it was on January 15, 2011.</li> </ul>
<p>Submitting test files to my CalPERS</p>	<ul style="list-style-type: none"> <li>• Records will automatically post if there are no errors in the file.</li> <li>• There are two methods for correcting errors and posting records:               <ul style="list-style-type: none"> <li>○ Use my CalPERS to fix the errors and re-process the report.</li> <li>○ Cancel the report in my CalPERS and resubmit the file after fixing the errors in your system.</li> </ul> </li> </ul>
<p>Including multiple reports in a single XML file generates multiple response files.</p>	<ul style="list-style-type: none"> <li>• Separate response files are generated for each report included in a single FTP file. For example, if you FTP a single deduction request file containing reports for multiple organizations, you will receive a separate response file for each of those reports. Your system will need to pick up all response files and process them to get a complete set of responses for all records submitted.</li> <li>• Separate error reports are generated for each report included in a single file submitted using file upload. For example, if you upload a single deduction request file containing reports for multiple organizations, you will find a separate error report for each.</li> </ul>

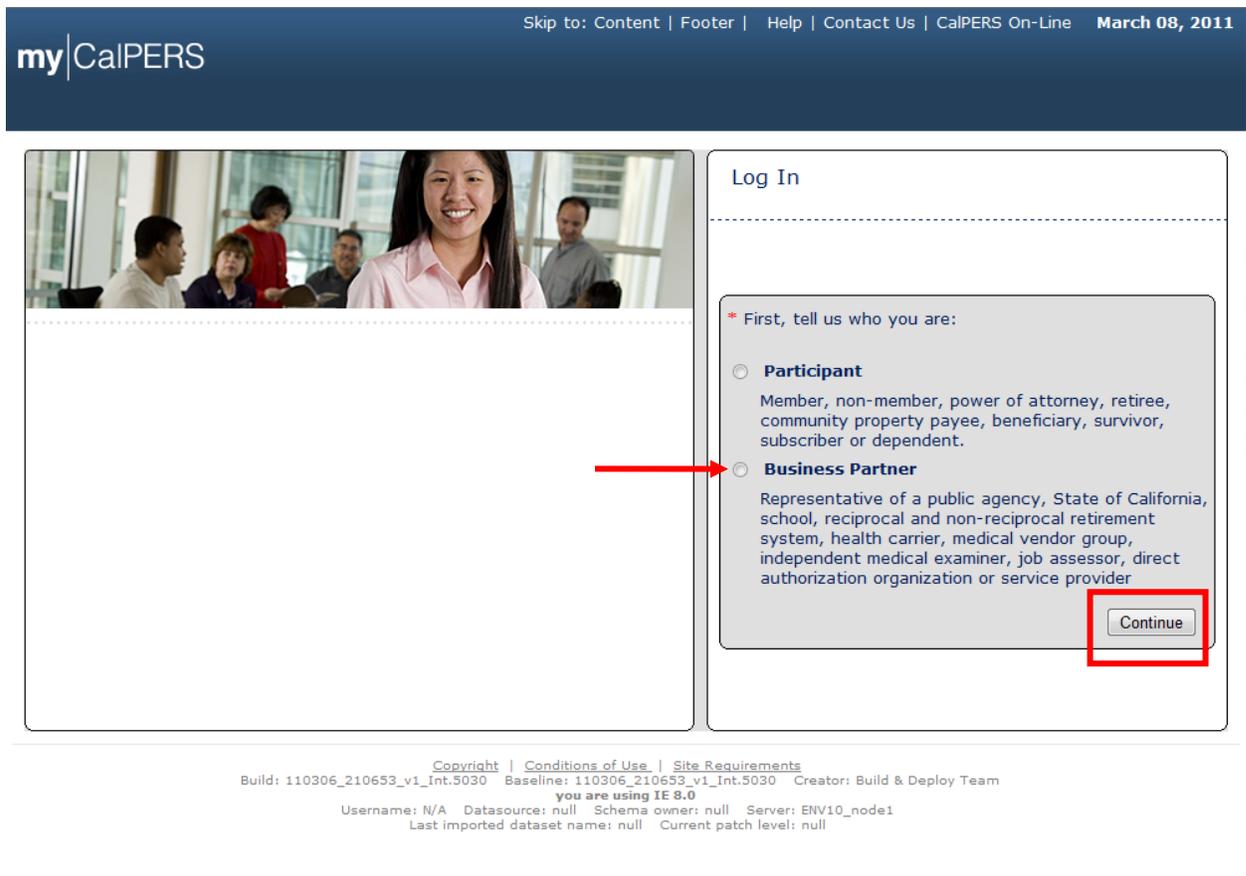
System State	Possible Considerations
<p>my CalPERS coding strips away special characters from the data submitted.</p>	<ul style="list-style-type: none"> <li>• Hyphens, apostrophes, etc., which are common in name fields (e.g., Reeves-Wong or O'Malley), will not cause a problem in the system. The field data will "match."</li> <li>• The code does not strip out extra spaces in these fields. Therefore, any differences in spaces between CalPERS production and business partner native systems will error out (e.g., McGeorge will not match Mc George).</li> </ul>

## 6. SUBMITTING DATA TO MYCALPERS

This section will take you through the steps to log in to the system, upload a file, and review the results for errors.

### 6.1. ACCESSING THE SYSTEM

1. Access Testing Environment - Through the Internet, connect to the file readiness testing environment. The URL and login information will be distributed via email to the SAA a week or two before business partner file readiness testing begins.
2. Select Log In Type - Select the **Business Partner** radio button, and then select **Continue**.



my|CalPERS

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Log In

\* First, tell us who you are:

**Participant**  
Member, non-member, power of attorney, retiree, community property payee, beneficiary, survivor, subscriber or dependent.

**Business Partner**  
Representative of a public agency, State of California, school, reciprocal and non-reciprocal retirement system, health carrier, medical vendor group, independent medical examiner, job assessor, direct authorization organization or service provider

Continue

Copyright | Conditions of Use | Site Requirements  
Build: 110306\_210653\_v1\_Int.5030 Baseline: 110306\_210653\_v1\_Int.5030 Creator: Build & Deploy Team  
you are using IE 8.0  
Username: N/A Datasource: null Schema owner: null Server: ENV10\_node1  
Last imported dataset name: null Current patch level: null

4. Log In to my|CalPERS – Enter the username and temporary password provided by your SAA and select **Log In**.

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**Business Partner** \* Required Fields

Please log in with your Username and Password.

**Username: \***  
filereporter

**Password: \***  
\*\*\*\*\*

[Forgot Your Password?](#)  
Please be sure to log out when you are done. For your security, we also recommend that you close all of your browser windows after you log out.

**New User**  
Registering is easy.  
[Register Now](#)

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5. You will be asked to establish your new password. Enter the temporary password in the **Old Password** field and your preferred password in the **New Password** field. Then, select **Save**.

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**Welcome to my|CalPERS Business Partner**  
This is a welcome message for business partner. They will see this message after they have selected their view or if they have bookmarked this login page.

**Another Heading**  
More text that could talk about new features or issues that the user should see prior to them logging in. They normally see preLogin content first, unless they have bookmarked this page. This is temporary filler content until final content is decided.

**Business Partner Login** \* Required

Please log in with your Username and Password.

\* Old Password

\* New Password

\* Confirm New Password

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## 6. Read the security agreement and select **I Agree**.

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**Security Agreement**

CalPERS is committed to protecting your confidential member information and has taken extra steps to ensure your information is protected. To continue the registration process you must review and agree to the CalPERS Security Agreement below. Your future use of this Web site acknowledges that you have read, understood, and agreed to the Security Agreement Terms and Conditions. These terms and conditions include responsibilities for both CalPERS and for you. Following these guidelines will greatly reduce the risk to your personal information.

**Last Revised: November 2009**

**Terms |&| Conditions**

**CalPERS Responsibilities**

- CalPERS will use Internet security technology to protect your online information, including powerful data encryption, program time-outs, and Password authentication.
- Every attempt is made to ensure the information provided is accurate and access is available at all times. However, CalPERS accepts no responsibility for problems that occur as a result of interruption, inability to access the service for any reason, or user error.

**Your Role in Security**

- Review the CalPERS [Privacy Policy](#) and [Security Policy](#) for further security information.
- Protect your personal online "assets" by not revealing your Username and Password to anyone. CalPERS staff will never ask you for your password.
- Change your Password regularly, and contact CalPERS if an unauthorized person gets access to your Username, Password, Challenge Questions or Answers, or if you discover unauthorized activity.
- Don't walk away from your computer if you are in the middle of a session. Log out and completely shut down your browser first.

7. You will be prompted to set up responses to security questions in the event you forget your password. By providing the correct answers to the selected security questions, you will be able to reset your password in the future. Select a question from each dropdown and provide a response. Then, select **Save and Continue**.

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**my|CalPERS**

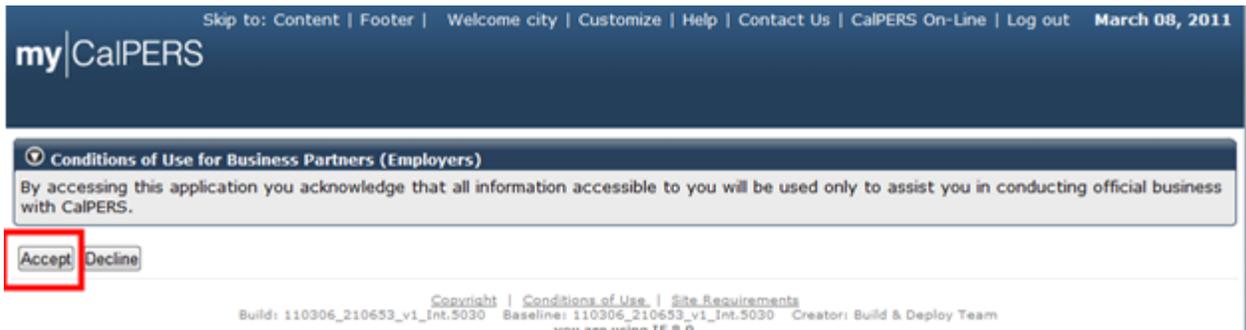
\*Required Fields

**Update Your Challenge Questions**

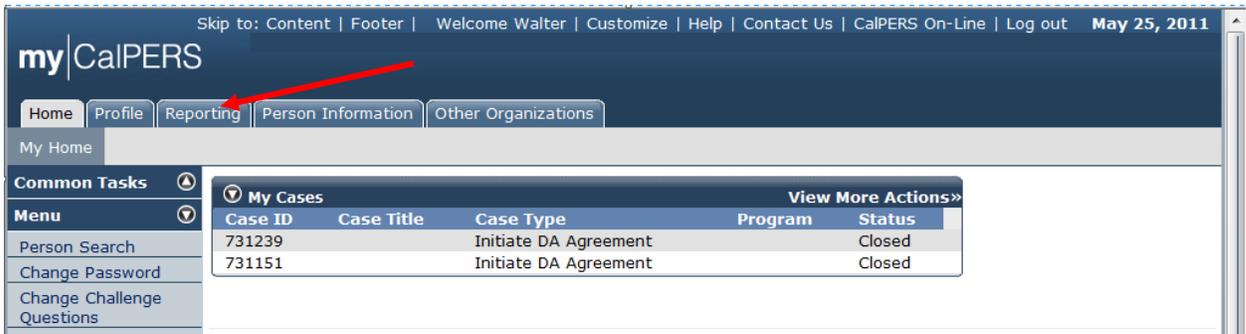
Please modify your Challenge questions and answers below:

<b>Question 1:*</b>	<input type="text"/>
<b>Answer 1:*</b>	<input type="text"/>
<b>Question 2:*</b>	<input type="text"/>
<b>Answer 2:*</b>	<input type="text"/>
<b>Question 3:*</b>	<input type="text"/>
<b>Answer 3:*</b>	<input type="text"/>
<b>Question 4:*</b>	<input type="text"/>
<b>Answer 4:*</b>	<input type="text"/>
<b>Question 5:*</b>	<input type="text"/>
<b>Answer 5:*</b>	<input type="text"/>

- Confirmation of Official Business – Select **Accept** to acknowledge the condition that you are accessing the system for official business. Please note that the data within my|CalPERS is confidential and should be treated accordingly.



- Business Partner Home – You will be brought to a page where detailed business partner information is displayed. Select the **Reporting** tab.



## 6.2. UPLOADING FILES

1. Reporting – If submitting a file by File Upload method, select the Upload File value from the **Method** dropdown, and then select **Continue**.

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**my|CalPERS**

Home Profile Reporting Person Information Other Organizations

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**Common Tasks** ↑

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Preprocessing Area

File Upload History

**Name:** Direct Authorization Organization **CalPERS ID:** 3696467826

\*Required Fields

▼ **Create or Edit Report**

**Method:**\* Upload File

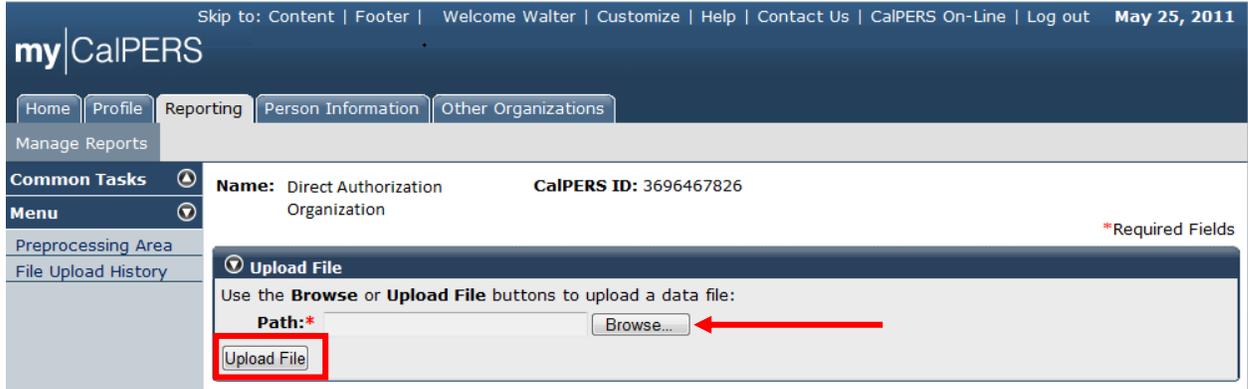
▼ **Work On Existing Payroll Reports**

Schedule Name	Earned Period / Adjustment Date	Status	Report Type	Due Date	Submit Date	Test Report
No results found.						

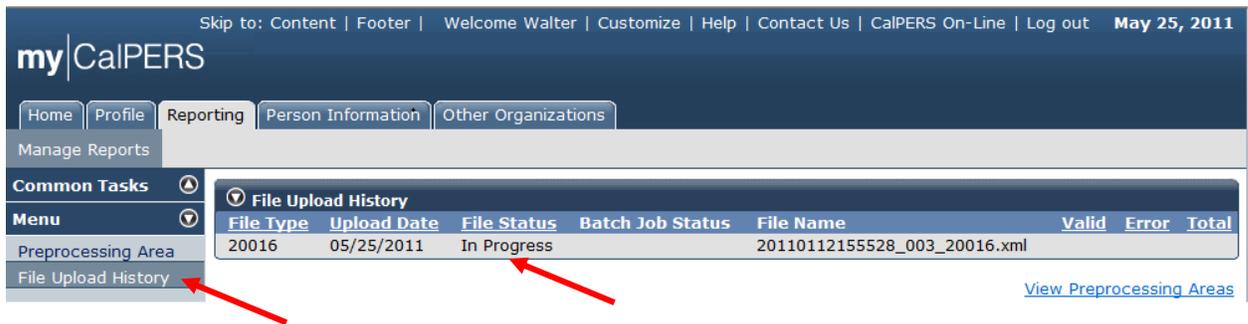
▼ **Direct Authorization Incoming Reports** View More Actions>>

Submitter Name	Original Delivery Method	Delivery Date	Business Month	Number of Records Submitted	Number of Records Confirmed
<a href="#">Direct Authorization Organization</a>	Manually enter in data	04/08/2011	04/2011	851	851
<a href="#">Direct Authorization Organization</a>	Manually enter in data	04/08/2011	04/2011	4022	4022

2. Upload a File - Select **Browse** to search for the file you would like to upload. Then, select **Upload File** to upload the file.



3. During the Upload – Select the **File Upload History** link in the Left Side Navigation. Once the file is uploading, the screen will indicate that the upload is in progress.



4. Verification of an Accepted File – After the upload is complete, the File Upload History section will display the status of Accepted and indicate the number of records that were validated and the count of those that were found to have errors. In this example, we have processed 16 valid records.

The screenshot shows the myCalPERS interface with a navigation menu and a 'File Upload History' table. The table has columns for File Type, Upload Date, File Status, Batch Job Status, File Name, Valid, Error, and Total. The first row shows an 'Accepted' file with 16 valid records and 0 errors. The second and third rows show 'Rejected' files. A red arrow points to the 'Completed' status of the first row, and a red bracket highlights the 'Valid' and 'Error' columns for the second and third rows.

File Type	Upload Date	File Status	Batch Job Status	File Name	Valid	Error	Total
20016	05/25/2011	Accepted	Completed	20110112155528_005_20016.xml	16	0	16
20016	05/25/2011	Rejected	Completed	20110112155528_004_20016.xml			
20016	05/25/2011	Rejected	Completed	20110112155528_003_20016.xml			

[View Preprocessing Areas](#)

5. To see the results of the file, follow steps 1-3 in [Section 7.2](#).

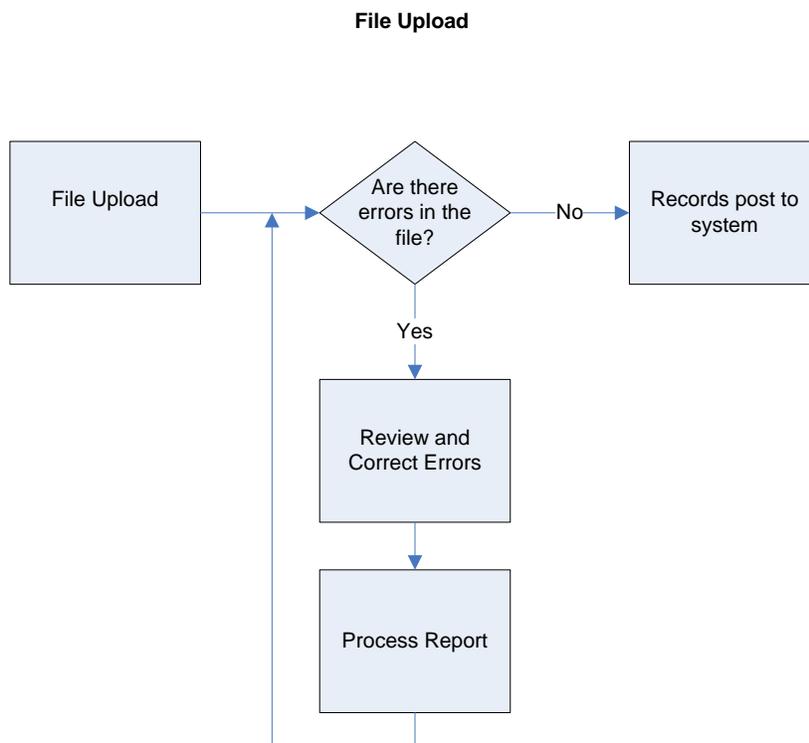
## 7. CORRECTING DATA ERRORS

Files submitted via FTP will generate a response file if there are no Level 1 errors in the file. Files submitted using File Upload may generate errors, but you will need to log in to the system to review them.

You will not receive any automated notification that your file has processed successfully during testing. This feature will be turned on during system conversion, the critical time just before the launch of my|CalPERS. During testing, you will need to log in to the system to determine the processing status of your test files.

### 7.1. DEDUCTION REQUEST ERROR CORRECTION

If you submit a deduction request file via File Upload, the file will only post automatically if there are no errors in the file.



If you submit a deduction request file via File Upload or FTP you will be able to review your errors in my|CalPERS and determine the changes that are required to fix the file so that it will post.

The system will perform the validations on the fixed records in the Test Report. Once the file is error free, you can post the records. You can also delete the report, fix the errors in the file and upload it again.

Please note that you will need to change the file name to a unique name before the system will let you submit it again. You can change one digit of the timestamp in the filename to make it unique.

## 7.2. GENERAL NOTES ON ERROR CORRECTION

Should you submit a file and get data errors, you need to determine why the errors were generated. Validation documents, which review the complete set of validation rules for each type of file, are included in the [Direct Authorization Vendor Technical Toolkit](#). You will also find suggestions in Section 8, [How to Obtain Assistance](#).

The following steps will guide you through correcting errors using my|CalPERS.

1. Preprocessing Area – If there are errors to be corrected, select the link for the appropriate Staging page. The preprocessing area you navigate to will depend on the type of file you submitted. In this example, we are submitting deduction requests, so we will select **Direct Authorization**.

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**my|CalPERS**

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Manage Reports

**Common Tasks** ▲

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- Preprocessing Area
- File Upload History

Preprocessing Area			
Preprocessed Data	Valid	Error	Total
Affected Subscriber List	4873	-	4873
Census	-	-	-
<a href="#">Direct Authorization</a> ←	4873	-	4873
Health Carrier Rate Data	-	-	-
Health Carrier ZIP Code Plan Relationship Data	-	-	-
Health Enrollment	-	-	-
Health Retiree List	-	-	-
Medical Group Assignment List	-	-	-
<a href="#">Payroll Reporting</a>	-	-	-
Retirement Enrollment	-	-	-

[Upload Data File](#) [View Upload History](#)

2. Selecting **Direct Authorization** brings us to a page showing all our deduction request reports. The report that we just submitted is visible on this page. As you submit test reports, there will be more and more report history. If you do not see the report you submitted on this page, you may need to select **View More Actions**. Select the **Submitter Name** hyperlink of the report you would like to review.

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Preprocessing Area

File Upload History

**Name:** Direct Authorization **CalPERS ID:** 3696467826  
Organization

\*Required Fields

▼ **Create or Edit Report**

**Method:**

▼ **Work On Existing Payroll Reports**

Schedule Name	Earned Period / Adjustment Date	Status	Report Type	Due Date	Submit Date	Test Report
No results found.						

▼ **Direct Authorization Incoming Reports** View More Actions»

Submitter Name	Original Delivery Method	Delivery Date	Business Month	Number of Records Submitted	Number of Records Confirmed
<a href="#">Direct Authorization Organization</a>	Manually enter in data	04/08/2011	04/2011	851	851
<a href="#">Direct Authorization Organization</a>	Manually enter in data	04/08/2011	04/2011	4022	4022
<a href="#">Direct Authorization Organization</a>	Create Report from Interface	05/26/2011	05/2011	4	1

- The deduction report we uploaded displays. The two sections of the page are discussed in the next steps.

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**Common Tasks** ▲

**Menu** ▼

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- Preprocessing Area
- File Upload History
- Retirement Contract Summary

**Name:** Direct Authorization Vendor  
Credit Union **CalPERS ID:** 7633241763

**Search Direct Authorization Records**

**CalPERS ID:**

**Sponsor/Employer:** DAV Credit Union ▼

**Error Message:**

---

**Direct Authorization Records**

[Select All](#)  **Number of Records Submitted: 4** **Number of Errors: 3**

CalPERS ID	SSN-4	Participant Name	Transaction Type	Program	Sponsor/ Employer	Deduction Type	Deduction Amount	Error Message
<input type="checkbox"/> <a href="#">6776625343</a>	8551	Helen Nelson	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$40.00	
<input type="checkbox"/> <a href="#">5618719672</a>	6016	Linda Johns	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$100.00	The Social Security Number (SSN) reported was invalid.
<input type="checkbox"/> <a href="#">5437786976</a>	5109	TAYLOR ROCK	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$10000.00	Deductions Exceed Gross.
<input type="checkbox"/> <a href="#">17776670.87</a>	8011	Brenda Johnston	CHG	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$400.00	Please enter a valid Transaction Code.

[Select All](#)

- a. The Search Direct Authorization Records section includes search criteria. You can search the report for a record with a particular CalPERS ID.

If the file contains deduction reports for more than one sponsor, you can search for a particular sponsor/employer by selecting the appropriate value from the dropdown.

You also can search by error message.

To search for particular records, choose the appropriate search criteria and select **Search**.

Name: Direct Authorization Vendor  
Credit Union      CalPERS ID: 7633241763

**Search Direct Authorization Records**

CalPERS ID:

Sponsor/Employer: DAV Credit Union

Error Message:

**Search**

- b. The Direct Authorization Records section shows the individual records in the report and any associated errors. To correct errors, select the **CalPERS ID** hyperlink for the record you would like to correct.

**Direct Authorization Records**

[Select All](#)       Number of Records Submitted: 4      Number of Errors: 3

CalPERS ID	SSN-4	Participant Name	Transaction Type	Program	Sponsor/ Employer	Deduction Type	Deduction Amount	Error Message
<input type="checkbox"/> <a href="#">6776625343</a>	8551	Helen Nelson	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$40.00	
<input type="checkbox"/> <a href="#">5618719672</a>	6011	Linda Johns	Update	CalPERS	Direct Authorization Credit Union	Credit Union Deduction	\$100.00	The Social Security Number (SSN) reported was invalid.
<input type="checkbox"/> <a href="#">5437786976</a>	5109	TAYLOR ROCK	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$10000.00	Deductions Exceed Gross.
<input type="checkbox"/> <a href="#">1777667087</a>	8011	Brenda Johnston	CHG	CalPERS	Direct Authorization Credit Union	Credit Union Deduction	\$400.00	Please enter a valid Transaction Code.

[Select All](#)

- c. The error in the second record is due to a mismatch between the last four digits of the SSN in the record and the SSN associated with that participant. Edit the **Participant Social Security Number-4** and select **Save & Continue**.

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**Name:** Direct Authorization Credit Union **CalPERS ID:** 7633241792 \*Required Fields

**▼ Deduction Information**

**Submitter:** Direct Authorization Credit Union  
**Business Month:** 06/2011  
**Participant ID:**  CalPERS ID  Social Security Number  
**CalPERS ID\*:** 5618719618  
**Participant Social Security Number-4\*:** 6011  
**Name\*:** Linda Johns [Select](#)  
**Deduction Amount\*:** 100.00

**▼ Direct Authorization Agreements**

Agreement ID	Deduction Type	Program	Sponsor	Carrier	Third Party Administrator	Effective Date
1000001110	Credit Union Deduction	California Public Employees' Retirement System	Direct Authorization Credit Union			01/01/1987

**Save & Continue** Save & Add Another

- d. The Deductions Exceed Gross error message indicates there is not enough money in the warrant available to cover the deduction amount. Select the **CalPERS ID** hyperlink, adjust the deduction amount, and then select **Save & Continue** (as in steps 3b-3c).

Direct Authorization Records <span style="float: right;">Add New</span>								
<a href="#">Select All</a> <input type="button" value="Delete"/>		Number of Records Submitted: 4				Number of Errors: 3		
CalPERS ID	SSN-4	Participant Name	Transaction Type	Program	Sponsor/ Employer	Deduction Type	Deduction Amount	Error Message
<input type="checkbox"/> <a href="#">6776625343</a>	8551	Helen Nelson	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$40.00	
<input type="checkbox"/> <a href="#">5618719672</a>	6011	Linda Johns	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$100.00	The Social Security Number (SSN) reported was invalid.
<input type="checkbox"/> <a href="#">5437786976</a>	5109	TAYLOR ROCK	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$10000.00	Deductions Exceed Gross.
<input type="checkbox"/> <a href="#">1777667087</a>	8011	Brenda Johnston	CHG	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$400.00	Please enter a valid Transaction Code.

[Select All](#)

- e. The error in the last record is due to an invalid transaction code. You can delete this record from the report by selecting the checkbox next to the **CalPERS ID** hyperlink and then selecting **Delete**.

Direct Authorization Records <span style="float: right;">Add New</span>								
<a href="#">Select All</a>		<input type="button" value="Delete"/>		Number of Records Submitted: 4			Number of Errors: 3	
CalPERS ID	SSN - 4	Participant Name	Transaction Type	Program	Sponsor/ Employer	Deduction Type	Deduction Amount	Error Message
<input type="checkbox"/> <a href="#">6776625343</a>	8551	Helen Nelson	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$40.00	
<input type="checkbox"/> <a href="#">5618719672</a>	6011	Linda Johns	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$100.00	The Social Security Number (SSN) reported was invalid.
<input type="checkbox"/> <a href="#">5437786976</a>	5109	TAYLOR ROCK	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$10000.00	Deductions Exceed Gross.
<input type="checkbox"/> <a href="#">1777667087</a>	8011	Brenda Johnston	CHG	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$400.00	Please enter a valid Transaction Code.

- f. The page also allows us to add deduction Records. To add a record to the report, select **Add New**.

Direct Authorization Records <span style="float: right; border: 1px solid red; padding: 2px;">Add New</span>								
<a href="#">Select All</a>		<input type="button" value="Delete"/>		Number of Records Submitted: 4			Number of Errors: 3	
CalPERS ID	SSN - 4	Participant Name	Transaction Type	Program	Sponsor/ Employer	Deduction Type	Deduction Amount	Error Message
<input type="checkbox"/> <a href="#">6776625343</a>	8551	Helen Nelson	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$40.00	
<input type="checkbox"/> <a href="#">5618719672</a>	6011	Linda Johns	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$100.00	The Social Security Number (SSN) reported was invalid.
<input type="checkbox"/> <a href="#">5437786976</a>	5109	TAYLOR ROCK	Update	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$10000.00	Deductions Exceed Gross.
<input type="checkbox"/> <a href="#">1777667087</a>	8011	Brenda Johnston	CHG	CalPERS	Direct Authoization Credit Union	Credit Union Deduction	\$400.00	Please enter a valid Transaction Code.

g. The *Deduction Information* page displays. Update the page and select **Save & Continue**.

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**Menu** ▼

- Adjustment Reports
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**Name:** Direct Authorization Credit Union **CalPERS ID:** 7633241792 \*Required Fields

**▼ Deduction Information**

**Submitter:** Direct Authorization Credit Union  
**Business Month:** 06/2011  
**Participant ID:**  CalPERS ID  Social Security Number  
**CalPERS ID\***   
**Participant Social Security Number-4\***   
**Deduction Amount:\***

**▼ Direct Authorization Agreements**

Agreement ID	Deduction Type	Program	Sponsor	Carrier	Third Party Administrator	Effective Date
<input type="radio"/> 1000001110	Credit Union Deduction	California Public Employees' Retirement System	Direct Authorization Credit Union			01/01/1987

**Save & Continue** **Save & Add Another**

## 8. HOW TO OBTAIN ASSISTANCE

### 8.1. TROUBLESHOOTING

- Verify that test data submitted in the file corresponds with the data date, and those participants who had active status in your organization at that time.
- Ensure that the correct values from the seed data are included in the file.
- Ensure that the file submitted has a unique file name (one that you have not submitted previously).

### 8.2. AVAILABLE RESOURCES

CalPERS provides a number of resources to support business partner questions, including:

- Information available in the Business Partner area of [CalPERS On-Line](#). You may also find the answers to your questions in the [Frequently Asked Questions – for Direct Authorization Vendors](#).
- The [Technical Resources](#) page includes a document titled, *Tools Available on the Internet*, where you will find links to websites that may be helpful in understanding the technologies associated with creating an electronic XML file. These sites include products that can be used to analyze an XML file and convert a flat file to XML format, as well as information to clarify the process for producing an XML document.

### 8.3. CONTACTING THE EMPLOYER CONTACT CENTER

Business partners can contact the Employer Contact Center (ERCC), at **888** CalPERS (or **888-225-7377**) for help during testing and implementation.

**Information to have available when you call:**

- Identify yourself as an employer needing assistance with testing your file in my|CalPERS.
- The full name of your organization
- The CalPERS ID for your organization
- If you are having trouble with a file, please have the interface ID available:
  - 20016 for deduction requests
  - 20010 for deduction register
- For inquiries regarding an error message, please have the error code and text available, as well as the actions taken to generate the error.
- For inquiries regarding the status of a previously reported issue, please have the Call Reference Number available.

## APPENDIX A – GLOSSARY

Term	Definition
Business Partner Profile	Payroll information data reporting attributes for a given employer. Attributes include program, organization name, payroll office, payroll reporting frequency, payroll contact, submission report media, payment frequency, method of payroll submission, payroll vendor (if applicable), payment method, CalPERS education dates, etc.
Carrier	An external organization that provides health, dental, vision, or life insurance benefits to CalPERS members. This carrier may be authorized by the sponsor to submit the deduction requests and or receive the payments.
Contract	An agreement between CalPERS and an entity, or multiple entities, that allows the entity(s) to provide benefits to its employees. An entity categorizes its employees into contract groups. It then associates these contract groups with benefit packages. Benefit packages are sets of provisions. The entity may change the arrangement of the contract groups and/or the benefits associated with each contract group.
Deduction ID Code	The legacy code that identifies the agreement and links the sponsor and other related parties to the agreement.
Deduction Processor	The business partner that submits deductions for a Direct Authorization Agreement. This may be the sponsor of the agreement or a carrier or third-party administrator assigned this role by the sponsor.
Deduction Register	A report of deductions taken for a specific month.

Term	Definition
Deduction Request	A transaction executed for a specific agreement requesting a new deduction is added, or an existing deduction be updated or a deleted.
Direct Authorization Agreement	A contract with CalPERS that allows deductions from retiree warrants for distributing payments to a limited set of business partners (Member Associations, Credit Unions, CalPERS Employers, Charities, CalPERS Long Term Care)
Direct Authorization Vendor	A business partner that acts as a sponsor or deduction processor for a Direct Authorization Agreement.
Employer	An Employer is a State, university, school employer, and any contracting agency employing an employee.
Online	<p>A process in which a user interacts directly with the system to make a request such as add, change, view, or produce information.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Logging in to the system, entering an organization’s demographic information</li> <li>• Logging in to the system, reviewing records within submitted reports</li> </ul>
Participant	Pertains to any person receiving a benefit of some sort from CalPERS, i.e., member, beneficiary, etc.
Program	A retirement benefit program administered by CalPERS. For retirement, the valid programs are PERS, LRS, and JRS.

Term	Definition
Sponsor	The owner of the Direct Authorization Agreement with CalPERS.
System Access Administrator (SAA)	A business partner's my CalPERS SAA is a key point of contact accountable for providing my CalPERS access to any additional contacts (users). This involves utilizing system administrator pages in my CalPERS to associate predefined access roles to each contact and assign the user a unique username and password. In addition, this individual will have the responsibility to reset a user's password, lock a user's access rights to the system, and change a user's system access role(s).
Technical Toolkit	The Technical Toolkit is a WinZip file that is available for business partners who choose to submit and/or receive data from my CalPERS using File Upload or FTP. The Technical Toolkit provides the specifications for the files you will submit using File Upload or FTP and the files you will receive using FTP or saving as .CSV files to your desktop.
Third Party Vendor	An outside vendor that is hired by a CalPERS agency to create a deduction file in the proper format for submission. This vendor may be authorized by the CalPERS agency to submit the file(s) and or receive the payments.

## APPENDIX B – MY|CALPERS TESTING READINESS CHECKLIST

Step#	Step	
1	If submitting files using FTP, contact PERT to ensure FTP access has been established.	
2	Develop XML files.	
3	Coordinate with your Third Party Vendor.	
4	Plan your test resources.	
5	Send participant list for seed data validation.	
6	Receive seed data and prepare your test files.	
7	SAA establishes their new password in the test environment.	
8	SAA creates usernames for contacts that will access the test environment.	
9	Submit your XML files to my CalPERS using your chosen method: File Upload or FTP.	
10	Check “Accepted” files for Level 2 errors and correct as needed, via online process or correct in file and resubmit.	
11	Post correct/corrected records to my CalPERS.	