



# Alabama State Port Authority

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## Outsource Payroll Processing Project #10522 Request For Proposal

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Inquiries and proposals should be directed to:

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*Information  
Technology*

*October 2018*

*Mobile, Al.*

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## Introduction

### Statement of Purpose

The Alabama State Port Authority (ASPA) is seeking proposals for a qualified Human Resources/Payroll Services provider with expertise in outsourced payroll processing and related Human Resources/Payroll services. The software will replace the current Oracle EBS Human Resources, Timekeeper, and Payroll modules. The selected service will integrate with the existing Oracle EBS ERP system including modules such as general ledger, projects, and maintenance.

### Company Background and Overview

The Alabama State Port Authority, headquartered in Mobile, Alabama, owns and operates the State of Alabama's deep-water port facilities in Mobile, and ten inland ports on the rivers of Alabama. ASPA directly employs approximately 500 workers and supports approximately 124,000 more logistics and maritime jobs in creating a \$19.4 billion impact of Alabama's economy. The Port of Mobile is the nation's 10th largest in terms of tonnage with 58 million tons moving through the port in 2016. ASPA's container, general cargo, bulk, steel, and heavy lift facilities have immediate access to two interstate systems, five Class I railroads, and nearly 15,000 miles of inland waterway connections.

### Oracle Enterprise Business Suite System Overview

In 1999, ASPA implemented Oracle EBS as the company's Enterprise Resource and Planning system. ASPA is currently using Oracle EBS release 12.1c. Four programmer analysts and a database administrator provide functional and technical support to the business systems at ASPA.

### List of Oracle EBS R12 Modules

- Oracle General Ledger
- Oracle Fixed Assets
- Oracle Inventory
- Oracle Human Resources
- Oracle Time Keeper
- Oracle Time and Labor (OTL)
- Oracle Payroll
- Oracle Purchasing
- Oracle Payables
- Oracle Enterprise Asset Management (EAM)
- Oracle Receivables
- Oracle Grants Accounting
- Oracle Project Management
- Oracle Property Manager
- Oracle UPK

### Custom Applications & Reports Overview

ASPA custom applications generally exist in Oracle PL/SQL utilizing Oracle Forms and Reports. SplashBI is a self-service reporting and business intelligence solution used for additional reporting and dashboards.

### Current Oracle EBS Human Resources/Payroll Overview

The Oracle Human Resources/Payroll system currently maintains employee data and processes time in order to produce employee payroll deposits or printed checks. Reporting from this system is used to produce management reports as required by various agencies. It provides automated transaction processing based on effective date and user rules. In

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addition, several files are created and submitted to various agencies after each payroll run. Payroll disbursements are direct deposited to Regions Bank. All payroll checks use the same format. For the Hourly, Terminal Railway, and contract payroll, timesheets are filled out for each employee each day and turned into the timekeeper for that division to process. The Merit and Port Executive employees are paid 1/24th of the yearly salary and it is set to pay automatically unless overridden.

ASPA has three Government Reporting Entities (GRE): ASD Retired, Alabama State Port Authority and Terminal Railroad. We have four different payroll groups: Hourly, Terminal Railroad, Salary and Retired. The Salary payroll contains three payroll types: Merit, Contract and Port Executive. The breakdown of the four groups are approximately 100 Terminal Railway employees, 233 Hourly employees, 175 Salary employees and 201 retired employees. Each payroll type has a unique set of rules depending on several factors including State of Alabama regulations and union contract requirements. Annual, sick, vacation, personal and holiday time are all calculated differently for each payroll classification. We use the standard Vertex tax interface. We are set up as a cash management system and our paychecks are in arrears.

#### **Merit, Contract and Port Payroll**

- Merit, Contract and Port are semi-monthly payrolls and processed together (Salary Payroll)
- The Merit payroll system is governed by the State of Alabama. The hours are preset to pay 86.67 unless overridden by the payroll clerk. Jury Duty and Military Time are entered into the payroll system and the regular time is reduced by those hours. For special circumstances, salary employees may accumulate compensation time for overtime hours worked with the exception of certain groups who are paid for their overtime hours. This payroll is two weeks in arrears.
- Merit employees receive longevity pay once a year in December
- Merit and Port vacation time is based on time employed with a maximum time to carry over to the new year of 480 hours.
- Merit and Port employees receive sick time of 4.33 hours per pay period with a max carryover of 1,200 hours.
- The Port Executive payroll is paid like the merit system payroll.
- The Contract payroll is paid semi-monthly and computed by the hours worked multiplied by their rate of pay.

#### **Terminal Railway Payroll (TRR)**

- The Terminal Railway payroll (TRR) is subject to the Railroad Retirement Act and is governed by seven collective bargaining agreements.
- Their dues are a flat amount, based on the employee's craft. The dues are defined as a miscellaneous deduction and change annually. The UTU union dues may change throughout the year.
- Employees are paid by the hour as per union work rules, job and date of hire. They are typically paid on the 13<sup>th</sup> and 28<sup>th</sup> of the month. Time entry is done by ASPA payroll clerks.
- TRR managers have special benefits that are not defined by their union.
- Vacation, Personal and Sick leave are accumulated January 1st based on the number of hours worked in the previous year, the number of years employed, their job classification and the union affiliation.
- TRR is paid in arrears by one pay period and they are paid on the 13<sup>th</sup> and 28<sup>th</sup> of each month.
- All employees pay railroad retirement Tier I, Tier II and TRR Medicare, and do not pay FICA. Reporting goes to the Railroad Retirement Board and not to the Social Security Administration.
- Administration-TRR Medicare, Tier I and Tier II is paid to the Railroad Retirement Board.

#### **Retired Employees of Terminal Railway Payroll (TRR)**

- The Retired TRR payroll is paid once a month, on the last day of the month.

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- The Retired TRR employees are paid a set amount monthly.
- There are no taxes taken out on this payroll and it is reported as 1099-R payments.
- For retired TRR employees, if they become deceased anytime between the 1<sup>st</sup> and the 15<sup>th</sup> of the month the check is not generated. If deceased after the 15<sup>th</sup>, their beneficiary or estate will receive the full check amount.
- For retired TRR Hourly employees, if deceased during the month, a check is prorated and paid to the beneficiary or estate.

#### **Hourly Payroll**

- The Hourly payroll is impacted by two unions: one is the local union (ILA) and the other is the national union (ILDU).
- Dues are calculated separately for each union and are based on employee hours worked and the employee salary. ILA union dues are calculated as  $.009 \times$  straight time hourly rate for each hour paid. ILDU union dues are calculated as  $.015 \times$  regular earnings.
- Hourly payday is every Friday. The pay period is from Monday to Sunday. All hourly employees have a rate of normal pay but may be paid varying rates depending on the jobs performed during the period.
- Overtime is paid for over 40 hours in 1 pay period or over 8 hours in a day, depending on division work rules.
- Personal leave is accumulated January 1<sup>st</sup>. Leave time is based on time employed and number of hours worked in the prior year. No more than 52 days can be carried over into the New Year.
- General ledger distribution is calculated on each time line entry. Benefits and taxes are calculated on each time line entry for posting cost center with the actual amount.
- During the payroll process, each entry is extended with gross pay per entry. This is used for labor distribution and month end accruals.
- This payroll is 2 weeks in arrears.

#### **Hourly Payroll Processes (weekly paid)**

- The foreman enters time worked for each employee assigned to him and prints a paper timesheet each day. The foreman signs the timesheet and forwards to the timekeeper.
- Timekeeper keys in timesheet data and balances this with foreman's timesheets.
- **Data captured**
  - Payroll Clerks name
  - Employee's payroll number
  - Employees name
  - Project number
  - Project task number
  - Type
  - Work Order number
  - Earnings Element - Multiple special pays attached to differing union contracts
  - Type time (ex. overtime, vacation, holiday, etc.)
  - Cost center
  - Account
  - Date
  - Hours worked
- Payroll accountant validates/enters miscellaneous earnings and deductions:
- For retired employees, the following deductions are processed: health, dental and life insurance deductions, optional deferred compensation and tax sheltered benefits, union dues, garnishments, etc.
- Payroll clerk corrects any problems found in pay or deductions
- Payroll clerk prints summary and scans for problems.

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- Payroll clerk prints dummy payroll.
- Payroll accountant checks dummy payroll. If errors are found, corrections are made and a new dummy payroll is printed. Payroll accountant must review register for contract rule compliance and deduction change accuracy.
- Approval from Comptroller is given to proceed with Payroll run.
- Payroll Clerk processes payroll including printing reports, updates file, etc.
- Payroll accountant prints checks, deposit advices, and sends direct deposit to Regions Bank. Payroll has to be in the bank 2 days prior to the check date.
- Payroll accountant makes the tax deposits
- Payroll accountant prepares the checks/ach for credit union, retirement files, garnishments, etc.

## Project Requirements

### Project Overview

The purpose of this project is to purchase system services to manage our human resources and payroll processing for all payroll groups of the Alabama State Port Authority. Functional and technical requirements are provided as Attachment C for the proposer to respond stating their ability to meet each requirement.

### Project Schedule

ASPA expects the RFP process, including award and delivery, to follow the schedule below. The dates identified are tentative and subject to change. We plan to select a short list of vendors and have remote or on-site vendor presentations. If the schedule changes, the schedule will be updated accordingly and posted to the asdd.com web site and an email will be sent to those who have indicated an intent to propose.

<u>Steps</u>	<u>Description</u>	<u>Date</u>
1)	RFP Issued	10/19/2018
2)	Deadline to indicate intent to propose	10/26/2018
3)	Deadline to submit questions	11/02/2018
4)	ASPA response to questions	11/09/2018
5)	Submission deadline	11/30/2018
6)	Notification of Short-List selection as finalists	12/14/2018
7)	Solution demonstration by short-listed proposers	01/07-18/2019
6)	Contract negotiation and award	01/25/2019

### Instructions to Proposers

Proposals must be marked as "Payroll Project #10522 RFP Response Enclosed". Proposals must be received by 10:00 am, on the submission deadline shown above. Proposals may be submitted in a sealed envelope (with five copies) via mail, courier, or hand delivered to the Alabama State Port Authority, 250 North Water Street, Suite 240, Mobile, Alabama, 36602, and addressed to Michelle Barlow, Information Technology Manager. All sealed envelopes will be opened following the submission deadline. In addition to the paper copies, please email an electronic copy to ASPA-RFP-RESPONSE@asdd.com. All emailed electronic copies will be opened following the submission deadline.

No delivery shall become due or be accepted unless a purchase order shall first have been issued by ASPA.

All reports, surveys, tables, charts, diagrams, design work, product recordings and other data (including electronic audio and video) or documentation prepared or compiled by Proposer in connection with the performance of its obligations under the contract, shall be the sole and exclusive property of ASPA. Proposer shall retain in its files, sufficiently detailed working papers relevant to its engagement with ASPA. Proposer further agrees that its working papers will be held with the strictest confidence and will not be disclosed or otherwise made available to outside sources, except as required by law, without the written consent of ASPA.

Proposer must agree to keep confidential any and all information concerning the plans, operations or activities of ASPA which may be divulged by ASPA or ascertained by Proposer in the course of performing services under any contract with ASPA. In the event Proposer is required to disclose confidential information pursuant to a subpoena, order of a court, or other legal process, Proposer shall, upon notice of such required disclosure and prior to disclosure, immediately notify ASPA, in writing of the, disclosure request and allow ASPA the opportunity to inspect the information subject to disclosure. In the event such disclosure is objectionable under any standard or rule of the court, Proposer shall exhaust all legal means to prevent disclosure.

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Additionally, the successful proposer must satisfy the requirements of the Beason-Hammon Act, which requires that the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for damages resulting therefrom.

Also, as a condition for the award of any contract, grant, or incentive by the state, any political subdivision thereof, or a state-funded entity to a business entity or employer that employs one or more employees within the State of Alabama, the business entity or employer shall provide documentation establishing that the business entity or employer is enrolled in the E-Verify program.

No work shall commence nor shall any invoices be paid until the vendor provides the requested proof of insurance as outlined in the 'Attachment C: Insurance Requirement for Contract Work' document attached and until such proof is accepted by ASPA. If you have questions concerning the insurance requirements, please contact Kevin Malpas, ASPA Risk Manager, at 251-441-7118, or [kmalpas@asdd.com](mailto:kmalpas@asdd.com).

Proposal must be clearly identified as 'Payroll Project #10522 RFP Response Enclosed'. Responsibility for timely submittal and routing of proposal lies solely with the Proposer. Proposals received after the closing time specified will not be considered.

ASPA reserves the right to reject any or all proposals, to further negotiate with successful proposer and to waive informalities and minor irregularities in proposal received, and to accept any portion of the proposal if deemed in the best interest of ASPA.



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## Evaluation Criteria

Evaluation includes:

Feature	Description	Weight
Cost	Is a government discount included? Is the price reasonable? Is pricing broken out by module or functional area? Is the product purchased or subscription based? Is annual support costing reasonable?	30%
Software Product Evaluation	Are all functional and technical requirements of the Outsourcing Payroll project met? Is payroll processing requirements for railroad employees adequately met? Are interfaces offered to transfer data between the outsourced payroll system and ASPA system? Is the solution proposed a reasonable fit? Are sufficient reporting tools and dashboards available? Is the software friendly for the ASPA payroll processing team and for the employees to use?	40%
Vendor	Does the vendor have a successful history in implementation with the same or similar requirements? Does the professional staff who will be working on this project have the necessary skills and experience? Is adequate ongoing support and are training materials available? Does the vendor have sufficient experience, consultant support and reporting to meet requirements set forth to process railroad payrolls? Is there additional cost associated with railroad processing?	30%

Weight percentages are subject to change based upon ASPA evaluations. ASPA intends to award the agreement to the Proposer whose Proposal best satisfies the scope of services and product described and is otherwise in the best interest of ASPA. The determination of award shall be made by ASPA, in its sole discretion, which decision shall be final. ASPA may request submission of additional information to assist it in evaluating a Proposal, and the Proposer shall cooperate fully with such request. An onsite presentation or online presentation may also be required. ASPA may condition an award on the successful Proposer's agreement to such terms and conditions as required by ASPA including, but not limited to, ASPA's indemnification.

## Selection Process

The proposal selection process includes evaluation, rating, and ranking of the proposals by ASPA staff. A short list of vendors will be selected based on review of the proposals. The short list of vendors will be invited to provide a demonstration of their system to ASPA. Once a final selection is made, a recommendation is submitted to the Director and CEO of ASPA for authorization to negotiate a contract. The award will be posted to the asdd.com web site per the project schedule.

## Proposal Submittal Requirements

Please include the following specified deliverables in your proposal, according to the following:

### 1. Introduction and Corporate Overview

- 1.1. Company Name
- 1.2. Years in business
- 1.3. Type of organization, i.e. corporation, partnership, etc.
- 1.4. Ownership (names, nature of participation)
- 1.5. Number of employees on staff by region
- 1.6. Number of employees with railroad payroll-processing experience located in the Mobile, AL area
- 1.7. Number of customers by region
- 1.8. Statement that the Proposer is fully qualified to provide the requested services
- 1.9. Statement regarding bond or surety cancellation or forfeiture
- 1.10. Statement regarding bankruptcy petitions/judgments
- 1.11. Describe any pending, contemplated, or on-going administrative or judicial proceedings material to proposer's business
- 1.12. Provide a State of Alabama Disclosure Statement as shown in Attachment B.
- 1.13. Provide audited financial statements for previous two (2) fiscal years
- 1.14. Provide standard form of agreement that you would expect to execute
- 1.15. Provide a list of services and software modules outsourced to third party suppliers. For example, if the employee portal or time entry application is owned and maintained by a third party vendor (under your name), provide the third party vendor name and relationship to your company.

### 2. Consultant Experience

- 2.1. Experience with Human Resources/Payroll process design and implementation
- 2.2. Experience with Human Resources/Payroll process specific to railroad payroll processing requirements that would participate on this project in Mobile, AL.
- 2.3. Experience with Oracle EBS integration and proposer's Human Resources/Payroll process

### 3. Training Plans, Technical Documentation, and Procedures

- 3.1. Approach to system administration training
- 3.2. Approach to super-user training with training dates and agenda
- 3.3. Approach to regular-end-user training with training dates and agenda
- 3.4. Approach to provide end-to-end procedures for all transactions and processes
- 3.5. Approach to provide detailed ASPA specific system configuration documentation for Information Technology
- 3.6. Provide in-house training, support, and training materials for Payroll, Human Resources, and Accounting.
- 3.7. Provide both general and specific, to educate employees on use of interfaces where applicable.
- 3.8. Training resources should include but are not limited to the use of any remote time entry devices, how to upload documents, and how to create self-generated reports.
- 3.9. Describe approach to manage data if the new payroll system is implemented mid-year. Would data be consolidated from both the old and new system? How would reporting, such as W2's, be managed?

### 4. Functional and Technical System Requirements

- 4.1. Provide detailed response to Attachment C – Functional and Technical System Requirements (this format must be used in order to ensure that proposals can be efficiently evaluated)

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- 4.2. For services not stated in the functional requirements of this proposal, provide a list of services or products that ASPA may consider for additional projects. For example, ASPA may pursue a learning management system (training).

## 5. Scope of Work Summary

- 5.1. The proposal must include a work plan that identifies necessary resources and tasks. The work plan should include the following:
  - 5.2. Project scope
  - 5.3. Project schedule
  - 5.4. List of key activities
  - 5.5. Deliverables and dates (based from project kickoff)
  - 5.6. Implementation and testing dates and agenda
  - 5.7. Go-live date
  - 5.8. Ongoing support (problem reporting and resolution, upgrades, patches, etc.)

## 6. Pricing

- 6.1. Cost of implementation, training, and annual service fees
- 6.2. Breakdown of cost by modules offered such as recruiting services vs payroll processing
- 6.3. Cost of services, such as report creation, that are outside the original scope of the project

## 7. Project Assumptions

- 7.1. Vendors can make the following assumptions when responding to the proposal:
- 7.2. ASPA will provide a project manager
- 7.3. ASPA will provide a payroll accountant resource
- 7.4. ASPA will provide a programmer

## 8. References

- 8.1. Three (3) client references with current verified contact information
- 8.2. Two of the three client references must have railroad employee experience
- 8.3. References are to include company name, contact, phone, services utilized, and email address
- 8.4. Client references must be current users and have used your services for at least two years

## Appendix A – State of Alabama Disclosure Statement



# State of Alabama Disclosure Statement

Required by Article 3B of Title 41, Code of Alabama 1975

ENTITY COMPLETING FORM

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ADDRESS

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CITY, STATE, ZIP TELEPHONE NUMBER

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STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

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ADDRESS

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CITY, STATE, ZIP TELEPHONE NUMBER

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This form is provided with:

Contract   
  Proposal   
  Request for Proposal   
  Invitation to Bid   
  Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

Yes   
  No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

Yes   
  No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY

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2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS

***By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.***

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Notary's Signature Date Date Notary Expires

*Article 3B of Title 41, Code of Alabama 1975 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.*

## Appendix B – Insurance Requirements for Contract Work

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Re: Payroll Outsourcing  
KM-lb 7/16/18

### **ALABAMA STATE PORT AUTHORITY** **INSURANCE REQUIREMENTS FOR CONTRACT WORK**

#### **INDEMNIFICATION**

The Contractor shall assume all liability for and shall indemnify and save harmless the State of Alabama and the Alabama State Port Authority, doing business as Alabama State Docks (ASD), and its officers and employees from all damages and liability for injury to any person or persons, and injury to or destruction of property, including the loss of use thereof, by reason of an accident or occurrence arising from operations under the contract, whether such operations are performed by himself or by any subcontractor or by anyone directly or indirectly employed by either of them occurring on or about the premises, or the ways and means adjacent during the term of the contract, or any extension thereof, and shall also assume the liability for injury and/or damages to adjacent or neighboring property by reason of work done under the contract

#### **INSURANCE REQUIREMENTS**

The Contractor shall not commence work under the contract until he has obtained all insurance required under the following paragraphs and until such insurance has been approved by ASD, nor shall the Contractor allow any subcontractor to commence work until all similar applicable insurance has been obtained by the subcontractor or the Contractor has provided coverage for the subcontractor. The Contractor shall provide, at his expense, insurance in accordance with the following:

##### **General Requirements (applicable to all policies)(Required for this project)**

All policies of insurance must be written with companies acceptable to ASD. The Contractor shall furnish to ASD certificates of insurance, signed by the licensed agent evidencing required coverages. ASD reserves the right to require certified copies of any and all policies. Each policy of insurance shall provide, either in body of the policy or by endorsement, that such policy cannot be substantially altered or cancelled without thirty (30) days' written notice to ASD and to the insured. *Except for Workers Compensation, said policies will identify Alabama State Port Authority, its officers, officials, agents, servants and employees as Primary and Non-contributory Additional Insureds in connection with work performed for, on behalf of, or on the property of ASD, including a waiver of all rights of subrogation.*

##### **General Liability (Required for this project)**

The Contractor shall take out and maintain during the life of the contract Commercial General Liability insurance, including Blanket Contractual and Completed Operations coverages, in an amount not less than \$2,000,000 for any one occurrence for bodily injury, including death, and property damage liability.

##### **Automobile Liability (Required for this project)**

The Contractor shall take out and maintain during the life of the contract Business Automobile Liability insurance covering any auto in an amount not less than \$1,000,000 for any one occurrence for bodily injury, including death, and property damage liability.

##### **Workers Compensation (Required for this project)**

The Contractor shall take out and maintain during the life of the contract Workers Compensation and Employers Liability insurance providing coverage under the Alabama Workers Compensation Act in an amount not less than that required by Alabama law.

Where applicable, Contractor shall take out and maintain during the life of the contract insurance providing coverage as required by Federal statute, including but not limited to U.S. Longshoremen and Harborworkers' Compensation Act (USL&H), Jones Act, and Railroad Federal Employers Liability Act (FELA).

##### **Professional Liability**

The Contractor shall take out and maintain during the life of the contract Professional Liability insurance including design with limits not less than \$2,000,000 per occurrence.



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## Appendix C – Functional & Technical System Requirements

Respond to each requirement listed below with the capability to meet the requirement.

<b>Outsource Payroll Processing Requirements</b>	<b>Meets Requirements (Yes/No/Partial)</b>	<b>Description of How Requirement is Met (including Constraints and Exceptions)</b>
<b>1. Area of Service: Human Resources</b>		
1.1. Maintain data on employee status, such as new hire, re-hire, and whether position is a newly created position, replacement, organization change, etc.		
1.2. Have the capability to track taxable benefits including special executive benefits, auto allowance, meals, etc.		
1.3. Ability to run an employee inquiry search by SSN, employee number, name, location, division, department, etc.		
1.4. Schedule and manage diverse training - required, general, new hire orientation.		
1.5. Provide audit of required certifications/licenses/degrees		
1.6. Provide unlimited optional fields for future use.		
1.7. Software will feature “drill down” in all modules.		
1.8. Software will provide validation edits for required input fields.		
1.9. Provide position control, position requisition tracking and job code tracking.		
1.10. Have the ability to handle calendar/fiscal benefit plans		
1.11. Provide Organizational Charting by organization, job and position.		
1.12. Record drug testing information and history; test dates, results, dates of suspension, return to work, date of termination, etc., with secured access by role.		
1.13. Ability to set up different non-productive time algorithms and provide the ability to track (monthly, annual and fiscal year) accruals, usage, and balance of leave allotments.		
1.14. Provide FMLA leave eligibility and use, tracking with related reporting; will have the ability to track intermittent leave as well as blocks of time.		
1.15. Provide the ability to flag employees by leave type (i.e. unpaid time off, or FMLA eligibility) for reporting and audit.		



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<b>Outsource Payroll Processing Requirements</b>	<b>Meets Requirements (Yes/No/Partial)</b>	<b>Description of How Requirement is Met (including Constraints and Exceptions)</b>
1.16. System should have the ability to setup non-employees or those who are non-paid		
1.17. Provide EEO information, planning, tracking and reporting.		
1.18. Software will allow download and import capabilities to other ASPA existing modules		
1.19. Ability to add/change organizational entities and easily/effectively transfer employees within and/or across them		
<b>2. Area of Service: Employee Records and Interface.</b>		
2.1. Provide online access, upload ability and/or other methodology for a single employee record set-up and maintenance. Record changes could include but are not limited to payroll group changes, pay rate changes, position changes, job changes, union changes, address changes, benefit eligibility/election changes		
2.2. Ability to distribute payroll and fringe costs to multiple general ledger cost center accounts		
2.3. Provide general ledger journal entry to record payroll batches into accounting software via Excel or automated interface. Journal entry to be in detail (not summary) showing employee last name, first name initial in line item description and then general ledger account.		
2.4. Allow employees to request time off, track status with dynamic validation against time off business rules		
2.5. Ability to assign pay and benefit elections to employees by category to facilitate global updating including but not limited to specific staffing groups (departments, supervisors, unions, insurance plans, etc.)		
2.6. Maintain 10-year data retention. (Keep 5 years current on system), and 5-year retention of System Rules history showing the rules applicable at the time a particular payroll was run and logic behind them for audit purposes.		
2.7. Track donated sick time, comp time, vacation, in-lieu of vacation based on contract policies.		
2.8. Provide online access and self-service to employees to produce copies of past pay check stubs and prior year W-2's.		
2.9. Maintain unlimited employment history on each employee		
2.10. Provide process automation wherever possible including but not limited to annual CoLA pay scale update process, annual employee step increase process, annual open enrollment elections, bargaining unit contract amendments and civil service rule updates		





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Outsource Payroll Processing Requirements	Meets Requirements (Yes/No/Partial)	Description of How Requirement is Met (including Constraints and Exceptions)
2.11. Provide retroactive rate increase process		
2.12. Provide correction process for all elements used in the payroll pay process		
<b>3. Area of Service: Compensation - Process Payroll.</b>		
3.1. ASPA Payroll groups will be run on a weekly, semi-monthly and monthly basis.		
3.2. Provide the ability to run a trial payroll by individual, group, or entire payroll base.		
3.3. Ability to run deduction ceilings based on dollar amount, maximum limit, fixed percentages, or effective dating with user-defined rules per employee/per group.		
3.4. Ability to have deductions or pay increases automatically applied based on starting and ending dates rather than pay period. Ability to setup deductions with appropriate future effective dates.		
3.5. Allow ACH deductions for a minimum of twelve accounts		
3.6. Support flexible wage calculations including shift differentials, upgrade pay, step-up pay, etc.		
3.7. Support multiple overtime rules; this, in addition to the standard overtime rule of hours worked more than 40 in a week are eligible for overtime.		
3.8. Automate complex rules for accumulating vacation, sick time and other types of benefit accruals.		
3.9. Maintain all federal and state regulations for garnishment processing		
3.10. Ability to deduct and send garnishments, tax levy and/or other payroll deduction information to the appropriate agencies.		
3.11. Provide for different retirement plan calculations including 457(b), 401(a), 401(b), 414h and catchup plans, by effective dates, percent of participation, special deferral before retirement, including minimum and maximum amounts, and maximum participation.		
3.12. Allow pretax and post-tax wage earnings or deductions.		
3.13. Software will be flexible enough to allow overrides on scheduled deductions, taxes, earnings, at employee or pay group levels.		



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3.14. Paystub must be able to print up to 25 Earnings and 20 Deductions		
3.15. Accrual balances of annual leave (vacation) and sick time accrued are shown on pay remittance		
3.16. Prior to payroll processing, new banking instructions from employees shall be pre-noted with employees' banking institution prior to initiating new banking instructions to test validity of employee's banking information.		
3.17. Create and send iTreasury Positive Pay file to bank along with report		
3.18. Process retroactive payment amounts, final payments or special pay runs. Process to occur in a timely manner and to be paid by direct deposit regardless of employee's regular preference of payment method.		
3.19. Provide notice of deposit directly to employees for direct deposit payments.		
3.20. Allow for miscellaneous adjustments		
3.21. Provide salary planning tool capable of running scenarios for budget forecasting.		
3.22. Provide salary analysis and provide the ability to review salaried employees by projected hours for salary survey.		
3.23. Provide an on-line view of the employee's total compensation package		
3.24. Provide the interface to Oracle's general ledger and Project modules		
3.25. Provide real time updating of data with audit trail without being locked out if other transactions are occurring (i.e. payroll being processed).		
3.26. Software will provide real-time processing and reporting as well as batch (flexibility to have either process on an as requested basis).		
<b>4. Area of Service: Tax Deposits, Quarterly &amp; Annual Payroll Tax Reports, W-2 filing; IRS Concerns</b>		
4.1. All federal and state tax deposit to be made in a timely manner consistent with applicable state and federal law and reporting requirements. What is the fee to process the taxes? What is the process?		
4.2. Completion and filing of W-2, W-3 and 1099 forms, including employee mailings for distribution of employee copies. W-2's and 1099's must be delivered to employee/retiree no later than second pay date in January. What is your normal process and timing to make forms available to employees?		



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4.3. Provide process to make corrections to end of year forms and distribute to employees. What is the fee?		
4.4. Completion and filing of ACA forms, including employee mailings for distribution of employee copies		
4.5. Completion and filing of all end of year payroll processing reports & magnetic media including 941.		
4.6. Provide additional withholding fields for federal, state and local taxes		
4.7. Allow for payroll adjustments to correct taxes to be posted to current/prior quarters		
4.8. Process Railroad taxes (Tier I, Tier II and Medicare)		
4.9. Maintain ethnic, visa and I-9 related data. Have the ability to interface employee's I-9 to e-verify		
4.10. Ability to perform year-end corrections/adjustments as needed, up to cut-off time, for year-end W-2 generation		
<b>5. Area of Service: Timekeeper</b>		
5.1. Ability to track time by multiple codes such as, but not limited to, specific general ledger accounts, projects, workers comp codes, work orders and tasks.		
5.2. Allow direct entry of employee time over the internet using a standard web browser.		
5.3. Timekeepers key in approximately 11,500 entries every month. Required time entry fields are: Employee, Project, Task, Work Order, Element, Cost Center, Account and Time		
5.4. Provide supervisors' report or online web browser to approve employees' time entry before processing		
5.5. Provide ability for second review of time entry for Payroll Administrator through either report or online window prior to payroll processing for payment.		
5.6. Provide method to suspend the processing of any time sheet entries that do not have 2 levels of review prior to processing entire payroll batch, along with a warning method to notify Payroll Administrator that suspended records exist prior to deadline to process payroll		
5.7. User-friendly - allow employees to easily track their work-time and off time from a computer or smart phone, and allow managers to approve their timesheets easily.		



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5.8. Time entry is web-based and fully integrated into the Human Resources/Payroll software. (same log-in, different security)		
5.9. Reporting capabilities that can be exported into Excel.		
5.10. Allow for several levels of supervisors and timekeepers to access employee timesheets		
<b>6. Benefits: System will support the following Benefits:</b>		
6.1. Manage Life Insurance deduction		
6.2. Manage Accidental Death and Dismemberment		
6.3. Manage Paid Time Off (including vacation, sick, personal, comp, jury, bereavement, and military).		
6.4. Manage Flexible Spending Account (FSA, DCA) – health and dependent care.		
6.5. Manage Medical, Dental and Vision Plan		
6.6. Manage Retirement Plans (457b, 401a and 414h)		
6.7. Manage Railroad Early Retirement		
6.8. Manage Group Term Life		
6.9. Manage Miscellaneous and other benefits as needed		
<b>7. Benefits: Areas of Service: Benefits Administration</b>		
7.1. Provide ASPA staff the ability to generate benefits statements that include both employee and employer costs for all applicable benefits		
7.2. Provide the ability to track dependents and dependent coverage eligibility.		
7.3. Provide ASPA staff the tools to facilitate bill reconciliation with the insurance carriers (billing audit). Provide interface with third parties.		
7.4. Provide ASPA staff the ability to electronically report eligibility to third party administrators and carriers.		
<b>8. Employee Self Service</b>		
8.1. Provide a Self Service Module that is integrated into the Human Resources/Payroll software (same log-in, different security)		
8.2. Provide on-line help screens for all screens and processes		
8.3. Allow managers to run departmental reports		



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8.4. Allow managers to review and approve employee timesheets		
8.5. Send notifications to managers for various events that impact employees(performance review dates)		
8.6. Allow employees the ability to directly update their records including but not limited to data such as contact information, W4 deductions, and qualifying event changes for insurance plan elections		
8.7. Provide a list of data fields commonly updated by employees through the employee portal such		
8.8. Allow employees to model their paycheck based on changing tax status, salary, benefits, etc.		
8.9. Allow employees to access their paystubs, ACA report and W-2 information online or mobile phone.		
8.10. Provide the ability to complete W-4 and other required new hire forms online		
8.11. Provide annual benefit, total compensation statement, to all employees		
8.12. Provide communication to employees. Describe methods available such as mail, employee portal, letters, etc. What is the fee.		
<b>9. Reporting Areas of Service: Reporting and Data Download.</b>		
9.1. Provide a list of standard reports and general description of the report purpose.		
9.2. Report writer should be fully integrated into the Human Resources/Payroll system.		
9.3. Report writer will have a large number of standard reports (which are customizable) for all core system functions.		
9.4. Report writer will have "ad-hoc" query capabilities on all fields that exist in the system		
9.5. Report writer will allow for custom written report templates to be shared among users.		
9.6. Report writer will be a user intuitive tool with import/export capabilities to Excel and Word documents.		
9.7. Report writer will allow the ability to run reports either online or batch mode. Staff will be able to schedule batch reports based on date and time parameters.		
9.8. Provide Payroll Register report; Gross to Net report		



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9.9. Provide Bank Deposit detail report, Garnishment reconciliation report, Fringe Benefit, Costing and Social Security Excess reports		
9.10. Reports will include FSLA, FMLA and other reporting as required per applicable government agency		
9.11. Reports will include: EEO, Affirmative Action, Over the limit, Retirement, Costing, Leave and Vacation Tracking etc.		
9.12. Provide report for worker's compensation tracking and reporting		
9.13. Provide report for leave accrual balances by leave type (vacation, sick, jury duty, FMLA, PTO, etc.), department, supervisor and/or employee.		
9.14. Provide report for time entry validation		
9.15. Provide ability to self-create report for state retirement		
9.16. Provide ability to self-create report for all or specific earnings elements (approx. 115 earnings elements) by element type, department, supervisor and/or employee.		
9.17. Provide ability to self-create report for all or individual deductions (approx. 115 deduction elements) by deduction type, by department, supervisor and/or employee.		
9.18. Provide report for health insurance, dental insurance, insurance by insurance provider, by billing categories, by employee for the purposes of reconciling monthly payroll deductions and/or benefits paid with monthly provider bills.		
9.19. Provide report or ability to self-create reports for railroad (RUIA, CT1, BA3, etc.)		
9.20. Provide report or ability to self-create report for the purposes of budgeting and running alternate cost scenarios for salary and benefits by department, employee and/or general ledger account.		
9.21. Provide report or ability to self-create report for the purposes of grant and/or project reporting of loaded staffing cost as well as annual staff statements of total salary and benefits remuneration.		
9.22. Provide report or ability to create report including but not limited to DOB/age list, mailing labels, anniversary lists, union seniority lists, pay/hour reports by employee, group, etc.		



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9.23. Provide flexible reporting on all aspects of employee benefits and status; retirement, disabled employee benefits, length of benefit/time used, reason, return to work dates, cause for separation, etc.		
9.24. Provide fiscal year wage summary report		
9.25. Allow for reports to be created by copying an existing report and modifying it		
9.26. Allow for the routing of exception report results to supervisors		



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<p>9.27. <u>Sample List of Current Reports used by ASPA</u></p> <p>9.27.1. Payroll Register, Validate deductions/time/wages, for each payroll run</p> <p>9.27.2. Payroll Register Totals, Validate deductions/time/wages (quarterly to validate payroll totals), each payroll, quarterly</p> <p>9.27.3. Payroll Message Report, payroll warnings/error messages, for each payroll run</p> <p>9.27.4. Payroll Deduction Report, , for each payroll run</p> <p>9.27.5. Hourly Payroll Leave Accruals, Journal Entry, EOM</p> <p>9.27.6. ASD Payroll Hourly Timekeeper , Review, weekly</p> <p>9.27.7. ASD Payroll TRR Timekeeper , Review, semi-monthly</p> <p>9.27.8. ASD Labor Charges for Projects, Journal Entry, (KDG-monthly)</p> <p>9.27.9. ASD SS Excess Wages Report (Salaried, TRR), Payroll Tax, as needed</p> <p>9.27.10. Salary Reduction Report, Journal Entry, EOM</p> <p>9.27.11. ASD State Retirement Journal Entry, Journal Entry, EOM</p> <p>9.27.12. ASD State Retirement Paid, Payment, after final run of Salaried ppe last date of month</p> <p>9.27.13. ASD State Retirement, validate FY/CY ERS and Mass Mutual retirement deduction totals, October and January</p> <p>9.27.14. ASPA Payment Register (NACHA/Check), validate bank deposit report sent with correct totals/ Jim receives copy, for each payroll run</p> <p>9.27.15. Period Payroll Garnishment Report, Validate deduction Totals, after all payrolls run for current month</p> <p>9.27.16. Internal Report of Payroll Garnishments, Validate , after all payrolls run for current month</p> <p>9.27.17. External Report of Payroll Garnishments, Payment, after all payrolls run for current month</p> <p>9.27.18. Monthly Deduction Summary, Payments, after all payrolls run for current month</p> <p>9.27.19. Monthly Deduction Detail, Payments, after all payrolls run for current month</p> <p>9.27.20. Report Employee Garnishment details, payment history, per employee request</p> <p>9.27.21. Fiscal Year Wage Summary Reports, Validate Payroll Recap totals, Fiscal Year End</p> <p>9.27.22. Cost Breakdown Summary for Costing Run, Review for account errors, for each payroll run</p> <p>9.27.23. ASD Payroll Costing Report II, various tasks (e.g. determine employee in what labor cost/account ), for each payroll run</p> <p>9.27.24. Gross To Net Report, Validate Bank Deposit/Payroll Net Total, for each payroll run</p>		
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9.27.25. Hourly Retirement Report, Payment, after payroll run 9.27.26. Gross Wages for Benefit Costing (Hourly & Merit), Calculated Fringe Benefit, FYE 9.27.27. Shoreline Credit Union, Payment, for each payroll run 9.27.28. Great West and CSV file, Payment, for each payroll run 9.27.29. Hourly 401A Retirement Report, Journal Entry, EOM 9.27.30. Merit and TRR Leave Accrual Worksheet, Journal Entry, EOM 9.27.31. Merit and TRR Health Insurance Report, Deductions, year end 9.27.32. Hourly Vacation Register, for each payroll run		
<b>10. Security and Back-Up</b>		
10.1. Data Security: provide information about your security standards given the sensitive nature of payroll data including tech specifications of any hosted data servers and software, web-based communications, electronic payments, data encryption, data storage, backup systems for data and continuity of service for payroll processing, etc.		
10.2. All network infrastructure including firewalls are developed, configured and maintained using industry standard cybersecurity best practices		
10.3. Provide role-based security. Provide security levels that will facilitate internal controls such as but not limited to, discrete staff have user rights to update employee records vs upload hours vs approve payroll disbursement vs sole Human Resources access to non-payroll records.		
10.4. Provide system id and password creating and maintenance procedures.		
10.5. Is 2-factor authentication provided?		
10.6. Ability for security administrators to see attempted breaches of security via report or online alert to console operator.		
10.7. Provide flexible user-defined security down to the field level, or at a minimum to the module and screen level.		
10.8. Provide user-definable archive/purge capabilities.		
10.9. The software will be ODBC Compliant		
10.10. Provide copies of certified disaster recovery and back up procedures		



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10.11. Allow customer inspection of onsite premises of payroll processing center and disaster recovery center		
<b>11. System Interfaces from Outsourced Payroll System to existing ASPA ERP System (Oracle Enterprise Business Suite 12c)</b>		
11.1. General Ledger: Create data file required to make general ledger entries		
11.2. Projects & Project Task Numbers: Receive list of valid projects and project task numbers from ASPA to be used to validate time entry in the Outsourced Payroll System. Receive data file from Outsourced Payroll System after hourly payroll runs to be used to update the ASPA Oracle Projects Module with hours worked and cost information by employee.		
11.3. Maintenance Work Orders (EAM): Receive list of valid work orders from ASPA to be used to validate time entry in the Outsourced Payroll System. Receive data file from Outsourced Payroll System after hourly payroll runs to be used to update the ASPA Oracle Maintenance Work Orders (EAM) Module.		
11.4. Human Resources: Create data file with minimal employee data to be used to create an employee record in the ASPA Oracle Human Resources (HR) module. The Outsourced Payroll system will likely be the 'master system of record', however, an employee HR record is required to support other ASPA ERP processes such as approving a purchase order.		
<b>12. Considerations for Railroad Payroll Processing (See Railroad Retirement Board website for additional information: <a href="http://www.rrb.gov">www.rrb.gov</a>)</b>		
12.1 Describe the impact of including railroad special considerations for the outsourced payroll's standard reports (if these railroad <i>special considerations such as Tier I and Tier II</i> tax are not included in the standard reports as listed in response to 9.1-List standard reports. For example, when reporting the taxes paid for the company, how are the taxes including FICA, FED, STATE, Tier I, and Tier II accounted for on the standard reports?		
12.2 When a standard report does not account for special considerations for railroad processing and reporting, describe the process and cost to modify the standard report.		



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<p>12.3 Provide the following railroad reports:</p> <ul style="list-style-type: none"> <li>12.3.1 BA-3a Annual Report of Creditable Compensation</li> <li>12.3.2 BA4 Report of Creditable Compensation Adjustments</li> <li>12.3.3 BA-6a Address Report</li> <li>12.3.4 BA-9 Report of Separation Allowance or Severance Pay</li> <li>12.3.5 BA-10 Report of Miscellaneous Compensation and Sick Pay</li> <li>12.3.6 BA-11 Report of Gross Salary Benefit</li> <li>12.3.7 CT1-Employer’s Annual Railroad Retirement Tax Return</li> <li>12.3.8 DC-1 Employer’s Quarterly Report of Contributions under RUIA</li> <li>12.3.9 ID-4E Notice of RUIA Claim Determinations</li> <li>12.3.10 Request for Lien Information Report of Settlement</li> <li>12.3.11 Payroll Certification report</li> </ul>		
<p>12.4 If the reports listed in 12.3 are not available as standard reports, describe the process and cost to create the reports.</p>		