

**FISKARS LIVING US, LLC**

00088

Payroll Specifications

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# Project Issue Log

The following table contains information about any discrepancies encountered during the project.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Original Discussion Date** | **Discussion Item** | **Responsible Person** | **Resolution** | **Resolution Date** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

# Key Dates

|  |  |
| --- | --- |
| **Step** | **Completion Date** |
| Finalize Fidelity Data Specifications |  |
| 1st Test File to Fidelity | Week of 5/17 |
| EDT Setup Complete |  |
| 2nd Test File to Fidelity (if necessary) |  |
| 3rd Test File to Fidelity (if necessary) |  |
| Test Feedback Files |  |
| First Live Payroll to Fidelity | 6/28/21 for 7/1/21 pay date |

# Populations For Inbound Feeds

|  |  |
| --- | --- |
| **Data Type** | **Populations To Include Or Exclude On The Inbound Feeds** |
| Participant Indicative Data | Below are the eligibility requirements for the plan.  ☐ Minimum Age Requirement  ☐ Service Months Requirement  ☐ Service Hours Requirement  ☐ Populations that are not eligible  ☐ Fidelity is tracking eligibility for the plan  ☐ Fidelity will not be tracking eligibility for the plan   |  |  | | --- | --- | | **Populations** | **Details** | | **Populations to Include** |  | | **Populations to Exclude** |  | | **Terminated Populations** | Terminated participants should drop off the feed after the following has been sent to Fidelity:   * Terminated Status * Termination Date * Final Contribution * Final Salary and Service Unit History\* (if applicable)   **NOTE:** Fidelity typically allows terminated participants to change their address directly at Fidelity. If a terminated participant continues to be sent on the feed, an address the participant changes at Fidelity could be overlaid.  \***NOTE:** Regarding hours that are sent on the feed for terminated participants, if the transaction date on the record 63 is after the participant’s termination date an error message will be displayed in PSW. Hours with a transaction date after the termination date will not count towards the participants attainment of a year of service. The client will have the opportunity to update the transaction date in PSW. | |
| Salary |  |
| Service Unit History (SUH - Hours) |  |

## 

# Frequency of Files

|  |  |
| --- | --- |
| **Type of File** | **Frequency** |
| Participant Indicative Data |  |
| Salary |  |
| Service Unit History (SUH – Hours) |  |
| Feedback File: Deferral\* | Weekly  Friday  This is the night the file will be run and it will be available the following morning. |
| Feedback File: Loan\* | This is the night the file will be run and it will be available the following morning. |
| Feedback File: RS (NQ distributions)\* | N/A - this data is sent when a NQ distribution is made from any plan in the client relationship (DB, DC, SPS) |

**\*NOTE:** If the night the file is to be run is a holiday, the feedback files will run the night of the prior business day and be available the following morning.

**\*NOTE:** If there are no deferral elections or loan repayment changes to be sent on the feedback file, the header (loan feedback file only) and trailer will still be sent.

# Transmission Method

|  |  |
| --- | --- |
| **Type of Transmission** | **Transmission Details** |
| Inbound |  |
| Outbound | **File Combination 🡪**   |  |  | | --- | --- | | DEFERRAL ONLY | ☐ | | LOAN ONLY | ☐ | | RS ONLY\* | ☐ | | DEFERRAL & LOAN | ☐ (Custom Option) |   \*RS record will feed on its own file without a header/trailer |

# Fidelity’s Standard Test Process

Fidelity’s standard test process for inbound feeds is outlined below.

* **Testing Turnaround Timeframe** - Fidelity’s turnaround time for providing test results to the Vendor and Plan Sponsor is 3 business days.
* **Rounds of Testing** - Typically there would be three rounds of testing completed; however, if there are unresolved issues during the third round, testing will continue until the issues are resolved.
* **Test Process** - Please see the table below for details on Fidelity’s test process. The Format Testing and Test File Review are completed in all rounds of testing. Then the Test Cases are completed in round 2 and round 3.

**IMPORTANT NOTE:** Fidelity does ask that the Vendor or Plan Sponsor sending the test file please review the file in detail before it is sent to Fidelity to ensure that the file matches the record specifications. Fidelity has found that the review of the file by the Vendor or Plan Sponsor saves overall testing time for both the Vendor or Plan Sponsor and Fidelity and decreases the number of test rounds required.

|  |  |
| --- | --- |
| **Test Item** | **Details** |
| Format Testing | Fidelity runs the test file through a standard program that checks for format and data issues. |
| Test File Review | Fidelity parses the test file and reviews it in detail to ensure the following:   * Fields that should be populated are populated with the expected information * Fields that are not supposed to be populated are not being populated |
| Test Cases | Fidelity also requires test cases for the 2nd and 3rd rounds of testing. Fidelity will provide a test cases document to the Vendor and Plan Sponsor that includes all the scenarios that need to be tested for the project. Fidelity asks that the Vendor or Plan Sponsor please enter into the test cases document the participants (typically social security number or last 4 digits of the social security number) that fall into each of the scenarios that need to be tested. Then as part of the testing, Fidelity will ensure the correct information was sent for each of the test case scenarios.  **IMPORTANT NOTE:** The test cases ensure that the Vendor or Plan Sponsor is sending on the file what they intended to send. If test cases are not provided, Fidelity is not able to determine if what the Vendor or Plan Sponsor is sending is correct. For example: If the Payroll Vendor intended to send a participant over as terminated but sends the participant as a rehire, if test cases are not provided Fidelity has no way of identifying that. If test cases are not provided, Fidelity has no way of identifying that programming issue during the test phase of the project. These types of programming issues may not be discovered until a participant that is impacted alerts Fidelity or the Plan Sponsor. This may also mean the Vendor or Plan Sponsor will need to complete programming changes after we go into production.  Fidelity has found by completing the test case scenarios there are fewer issues encountered in production. |

# 

# Employee Events and Various Indicative Data Changes

The following matrices are designed to highlight the records, at a minimum, that will always be required given the events and data change scenarios provided.

## Participant Indicative Data

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Employee Event Changes** | **01** | **02D** | **02E** | **03** | **04** | **05** | **11** | **60** | **61** | **EA** | Event Tested (Y/N) | **Additional  Information** |
| New Hire | X | X | X | X | X | X | X | X |  | X |  | See [Status Codes](#_206ipza) |
| Rehire | X | X | X | X | X | X | X | X | X | X |  | See [Status Codes](#_206ipza) See Record 02D DOT, Date Switch requirements |
| Death |  | X |  |  |  |  | X |  |  |  |  | See [Status Codes](#_206ipza) |
| Disability (short-term) |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_206ipza) |
| Permanent Disability (Termination) |  | X |  |  |  |  | X |  |  | X |  | See [Status Codes](#_206ipza) |
| Retirement |  | X |  |  |  |  | X |  |  | X |  | See [Status Codes](#_206ipza) |
| Termination |  | X |  |  |  |  | X |  |  | X |  | See [Status Codes](#_206ipza) |
| LOA (unpaid by employer) |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_206ipza) |
| LOA (paid by employer) |  |  |  |  |  |  | X |  |  |  |  | Send only for plans that track unpaid vs paid separately. Normally N/A. |
| Military LOA |  |  |  |  |  |  | X |  |  |  |  | Effective Date Required for HEART Act |
| Return from Leave |  |  |  |  |  |  | X |  |  |  |  | Status Code =  previous status  *(If not known, send Active status typically ‘A’)* |
| Name | X |  |  |  |  |  |  |  |  |  |  | When changing last name, first name must also be passed. |
| Date - Hire Date, DOB, DOV, DOT, DOP |  | X |  |  |  |  |  |  |  |  |  | Hire Date, DOB, DOV, DOT, DOP |
| Employee Number |  |  | X |  |  |  |  |  |  |  |  |  |
| Address |  |  |  | X | X | X\* |  |  |  |  |  | \* If Domestic,  only 3 and 4. |
| Pay Frequency |  | XX |  |  |  |  |  | X |  |  |  | W = Weekly,  B = Bi-weekly,  2 = twice a month,  M = Monthly |
| 16B Officer |  |  |  |  |  |  |  | X |  |  |  | Y = Officer N = Non-officer |
| Highly Compensated Employee |  |  |  |  |  |  |  | X |  |  |  | Y = Yes N = No |
| Date - Eligibility, ADOH, Retirement |  |  |  |  |  |  |  |  | X |  |  | Eligibility, ADOH, Retirement |
| E-mail Address |  |  |  |  |  |  |  |  |  | X |  |  |

|  |  |
| --- | --- |
| Inter Company Transfers | Dependent on plan rules. Do not send termination record. |
| SSN | To correct SSN, follow new hire process. After submitting correct SSN, enter service request to delete bad SSN and transfer balances, if necessary. |

# Participant Indicative Data Records

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 01 Record - Participant Name *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **Mapping** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 01 | RECORD IDENTIFIER | 9(02) |
| 7 | 20 | 32 | 51 | EEPNAMELAST | LAST NAME (FREE FORM) | X(20) |
| 8 | 15 | 52 | 66 | EEPNAMEFIRST space 1st digit of eepnamemiddle | FIRST NAME MIDDLE INITIAL (FREE FORM) | X(15) |
| 9 | 9 | 67 | 75 | 000000000 | RESERVED | 9(09) |
| 10 | 1 | 76 | 76 | EEPMARITALSTATUS – IF BLANK or Z SEND SPACE | MARITAL STATUS | X(01) |
| 11 | 1 | 77 | 77 | EEPGENDER - if not M or F send space | GENDER | X(01) |
| 12 | 1 | 78 | 78 | SPACE | SPECIAL TAX TYPE ID | X(01) |
| 13 | 1 | 79 | 79 | SPACES | RESERVED | X(01) |
| 14 | 1 | 80 | 80 | SPACE | BENE/QDRO PAYEE | X(01) |

## 01 Record Definition - Participant Name

|  |  |
| --- | --- |
| **Purpose:** | To add a participant’s name to the Fidelity Participant Recordkeeping System (FPRS). |
| **NOTE:** | In conjunction with the Required Records Matrix, data elements required to accurately set up a new Primary Account Holder (PAH) on Records 01-05 are: SSN; First Name; Last Name; Date of Birth; and Address. These elements must be received at the same time. PAH records not containing these elements, or not passing the data quality edits, will not pass the front end edits and will be rejected.  **Formatting Specifics**  Last and First Name fields:  **Cannot be less than two alpha-characters, blank, or spaces.**  **Cannot = List of invalid values such as UNKNOWN, UNIDENTIFIED, or NONE.**  **Numbers should be replaced with Roman numerals. Example: JOHNSON III versus JOHNSON 3rd.** |

|  |  |  |
| --- | --- | --- |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “01”. |
| 7 | LAST NAME | A 20-character, alphanumeric field for the participants last name.  **NOTE:** This field must be left justified; all uppercase letters.  **VALID SPECIAL CHARACTERS:**   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | Ch. | ‘ | - | ( | ) | , | . | | Ex. | O’Toole | Smith-Jones | Maiden names | Maiden names | Smith, MD | Smith, M.D. |   **INVALID VALUES:** |
| |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | ! | @ | # | $ | % | ^ | \_ | | { | } | \ | | | : | ; | “ | < | > | ~ | ? | + | = | [ | ] | & | \* | | | |
| 8 | FIRST NAME MIDDLE INITIAL | A 15-character, alphanumeric field for the participant’s first name and middle initial. There should be one space between the first name and middle initial. No period or comma should be used.  **NOTE:** This field must be left justified; all uppercase letters.  **VALID SPECIAL CHARACTERS:**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Ch. | - | ( | ) | . | | Ex. | Mary-Ann | Melissa (Mitzi) | Melissa (Mitzi) | Dr. John |   **INVALID VALUES:** |
| |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 0 | ‘ | ! | @ | # | $ | % | ^ | , | | { | } | \ | | | : | ; | “ | < | > | ~ | ? | + | = | [ | ] | & | \* | \_ | | | |
| 10 | MARITAL STATUS | A one-character, alphanumeric field for the participant’s marital status. Valid values are:  **M—Married**  **S—Single**  A space is used to indicate the information is unavailable. |
| 11 | GENDER | A one-character, alphanumeric field for the participant’s gender.  Valid values are:  **M—Male**  **F—Female**  A space is used to indicate the information is unavailable. |
| 12 | SPECIAL TAX TYPE ID | A one-character, alphanumeric field for special tax types.  Valid values are:  **P—resident of Puerto Rico (Fidelity is custodian)**  **Q—resident of Puerto Rico (Fidelity is not custodian)**  **D—non-employee of non-qualified-plan**  **Z—blank out existing value—a space does not affect the content of this field. Space fill.** |
| 13 | RESERVED | This one position field is reserved for systems use. |
| 14 | BENE/QDRO PAYEE | A one-character, alpha field to identify a Beneficiary or QDRO Payee. Valid values are:  **M—Beneficiary Minor**  **S—Beneficiary Spousal**  **N—Beneficiary Non-Spousal**  **R—QDRO Minor**  **U—QDRO Spousal**  **P—QDRO Non-Spousal**  **X—Blank\***  A space is used to indicate the information is unavailable.  \*This is used to blank out an existing value in DC/FPRS. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 02D Record - Participant Dates Type D *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 02 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | D | FIELD TYPE | X(01) |
| 8 | 4 | 33 | 36 | SPACES | FILLER | X(04) |
| 9 | 8 | 37 | 44 | Eecdateoforiginalhire in MMDDYYYY format | HIRE DATE – original doh | 9(08) |
| 10 | 8 | 45 | 52 | 00000000 | PARTICIPATION DATE | 9(08) |
| 11 | 8 | 53 | 60 | 00000000 | VESTING DATE | 9(08) |
| 12 | 8 | 61 | 68 | eepdateofbirth  Format = MMDDYYYY | DATE-OF-BIRTH | 9(08) |
| 13 | 8 | 69 | 76 | If eecemplstatus = T send Eecdateoftermination else send 00000000  Format = MMDDYYYY | TERMINATION DATE  [Zero-Fill for Rehire (Rec61)] | 9(08) |
| 14 | 1 | 77 | 77 | If EecDateOfOriginalHire does not = EecDateOfLastHire, send 5, else send space | DATE SWITCH  [Send “5” for Re-Hires] | X(01) |
| 15 | 1 | 78 | 78 | SPACES | RESERVED | X(01) |
| 16 | 1 | 79 | 79 | SPACES | RESERVED | X(01) |
| 17 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) |

## 02D Record Definition - Participant Dates Type D

|  |  |
| --- | --- |
| **Purpose:** | To update a participant’s Hire Date, Participation Date, Vesting Date, Birth Date, and/or Termination Date to the Fidelity Participant Recordkeeping System (FPRS). |
| **NOTE:** | If this record is not being used for a new participant, the unused data fields must be space filled.  In conjunction with the Required Records Matrix, data elements required on the 01-05 records to accurately set up a new Primary Account Holder (PAH) are: SSN; First Name; Last Name; Date of Birth; and Address. These elements must be received at the same time. PAH records not containing these elements, or not passing the data quality edits, will not pass the front end edits and will be rejected.  **Formatting Specifics**  Hire Date field:   * **Cannot be blank or spaces** * **Cannot be an invalid date such as 01/01/0001 or 03/40/1960** * **Cannot be greater than 100 years in the past (at time of data entry)** * **Cannot be greater than current year plus 1 year** * **DOH should be greater than DOB plus at least 12 years**   Date of Birth field:   * **Cannot be blank or spaces** * **Cannot be equal to or after Date of Hire (only enforced if DOH edits are being applied)** * **Cannot be current date less than 12 years** * **If DOB is less than current date minus 16 and there is a balance on the account** * **Cannot be current year minus 150 years (at time of data entry)Cannot be an invalid date such as 01/01/0001 or 03/40/1960** |

|  |  |  |
| --- | --- | --- |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “02”. |
| 7 | FIELD TYPE | This field is equal to “D”, indicating a date record. |
| 9 | HIRE DATE | Date the participant commenced employment with the company. If this information is not available, the field must be zero filled.  Format = MMDDYYYY |
| 10 | PARTICIPATION DATE | Date a participant becomes eligible for the plan. If this information is not available, the field must be zero filled. If Fidelity is calculating the participation date, the field must be space filled.  Format = MMDDYYYY |
| 11 | VESTING DATE | Date used to monitor vesting. If this information is not applicable, the field must be zero filled. If Fidelity is calculating the vesting date, the field must be space filled.  Format = MMDDYYYY |
| 12 | DATE-OF-BIRTH | The date-of-birth of the participant. If this information is not available the field must be zero filled.  Format = MMDDYYYY |
| 13 | TERMINATION DATE | The termination date of the participant. If this information is not available, the field must be zero filled. If the plan is sending a T for termination status/date, both record 02D and 11 must be sent.  Format = MMDDYYYY |
| 14 | DATE SWITCH | A value of “5” in this field and a value of ‘00000000’ in the Termination Date field, resets the participant’s termination date to zero which is typically used for re-hires, but based on plan design. Space fill where not applicable. |
| 17 | ASSOCIATION INDICATOR | A one-character field indicating if the address is associated with a withdrawal, loan, or a recurring payment.  Valid values are:  **L—Loan**  **W—Withdrawal**  **R—Recurring payment**  **I—reserved for ECM/Payroll and designates ‘I’neligible DC participants. Used by IDB/SPU to filter DC ineligible participants out of the DC feed.**  A space is used to indicate no association is required and that this update is independent. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 02E Record - Employee Number Information *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 02 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | E | FIELD TYPE | X(01) |
| 8 | 11 | 33 | 43 | eecempno | EMPLOYEE NUMBER | X(11) |
| 9 | 1 | 44 | 44 | SPACE | RESERVED | X(01) |
| 10 | 2 | 45 | 46 | SPACE | EMPLOYEE NUMBER STATUS CODE | X(02) |
| 11 | 12 | 47 | 58 | SPACES | CLIENT PROVIDED ID | X(12) |
| 12 | 22 | 59 | 80 | SPACES | FILLER | X(22) |

## 02E Record Definition - Employee Number Information

|  |  |  |
| --- | --- | --- |
| **Purpose:** | To update a participant’s Employee Number. | |
| **NOTE:** | If this record is not being used for a new participant, unused data fields must be space filled. | |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “02”. |
| 7 | FIELD TYPE | This field is equal to “E”, indicating employee number. |
| 8 | EMPLOYEE NUMBER | This 11-digit, alphanumeric field is defined by the Plan Sponsor. This field must be left justified.  Special Instructions for clients using e-mail capture on PSW® follow.  Clients who process PSW® e-mail updates by Employee ID:  **Must guarantee that the Employee ID is unique and durable.**  **Must first submit a 02E Record containing both the SSN and Employee ID prior to sending any Interchange files.**  **The interchange file must contain Employee IDs for all participants. No SSNs are required.**  Clients who process PSW® e-mail updates by SSN must send their Interchange file using SSN for all participants. |
| 10 | EMPLOYEE NUMBER STATUS CODE | This field is used to display a participant’s status information when Employee Number is used as the primary identifier (rather than SSN). |
| 11 | CLIENT PROVIDED ID | An alphanumeric field defined by the integrated client when a 12 byte CESG employee number is required. This field must be left justified. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 03 Record - Street Address *(All alpha characters must be capitalized)* | |
| **FIELD NO.** | **# OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 03 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | P | RECORD TYPE | X(01) |
| 8 | 2 | 33 | 34 | For eepaddressline1 send 01  if eepaddressline2 is not blank send 02 | ADDRESS LINE NUMBER | 9(02) |
| 9 | 32 | 35 | 66 |  | ADDRESS | X(32) |
| 10 | 11 | 67 | 77 | SPACES | FILLER | X(11) |
| 11 | 1 | 78 | 78 | SPACE | DATA SEARCH INDICATOR | X(01) |
| 12 | 1 | 79 | 79 | SPACE | OMIT STATEMENT INDICATOR | X(01) |
| 13 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) |

## 03 Record Definition - Street Address

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Purpose:** | | To enter a participant’s street address. | | |
| **NOTE:** | | When an address is submitted to Fidelity, three 03 Records and one 04 Record is required.  Send spaces for unused lines in the 03 record.  If the record is a foreign address, a 05 Record must be provided. Otherwise, a domestic address is assumed.  In conjunction with the Required Records Matrix, data elements required on the 01-05 records to accurately set up a new Primary Account Holder (PAH) are: SSN; First Name; Last Name; Date of Birth; and Address. These elements must be received at the same time. PAH records not containing these elements, or not passing the data quality edits, will not pass the front end edits and will be rejected.  **Formatting Specifics**  Address Lines 1 Through 3 fields:  **Cannot be blank or spaces**  **Cannot be blank or spaces in lines 1, 2, and 3 (all lines blank)**  **Must be at least 2 characters**  **Cannot = List of invalid values such as NOT KNOWN, NOT AVAILABLE, or UNKNOWN.**  **Examples of using acceptable special characters:**   |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | : | / | ( | ) | , | . | ‘ | - | # | “ | & | | Attn: | c/o | (Mail Zone) | (Mail Zone) | Street, Apt 3 | Apt. | O’brien Highway | Apt 23-B | Apt. #4 | “C” Street | Barnes & Nobles |   **Cannot contain the following special characters:**   |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | ! | @ | $ | % | ^ | } | } | \ | | | \* | \_ |  | | ; | “ | < | > | ~ | ? | + | = | { | } | [ | ] | | | |
|  | **FIELD NO.** | | **FIELD NAME** | **FIELD DESCRIPTION** | |
|  | 1 | | PLAN NUMBER | The five-character value assigned by Fidelity. | |
|  | 2 | | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. | |
|  | 4 | | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. | |
|  | 6 | | RECORD IDENTIFIER | This field is equal to “03”. | |
|  | 7 | | RECORD TYPE | This field, in most cases, should be equal to “P” to indicate the primary address. However, an “S” to indicate the secondary address or “B” to indicate both is used if directed by Fidelity Investments. | |
|  | 8 | | ADDRESS LINE NUMBER | A two-character, alphanumeric field indicating the address line number. This space may be used for address information such as street address, apartment number, building name, and “Care Of” information.  Valid values are:  **01 Address line 1**  **02 Address line 2**  **03 Address line 3**  **NOTE:** For a one line address, use address line 1, for a two line address, use address lines 1 and 2, and so on.  Previous address lines may be overwritten with spaces when a new address contains fewer lines. When refreshing participant addresses, records for all three lines should be sent to prevent this. | |
|  | 9 | | ADDRESS | A 32-character, alphanumeric field which represents the participant’s address as referred to in field number 8.  **NOTE:** This field must be left justified. | |
|  | 11 | | SEARCH INDICATOR | A one-character field to indicate whether the address came from the Data Search Company or the address is implementation.  **T—Data Search Company**  **I—Implementation**  A space is used for all other addresses. | |
|  | 12 | | OMIT STATEMENT INDICATOR | A one-character field that updates the Omit Statement Flag. This field is only used by the Data Search Company.  Values are:  **D—Death**  **L—Lost**  Spaces for all others. | |
|  | 13 | | ASSOCIATION INDICATOR | A one-character field indicating if the address is associated with a withdrawal, loan, or a recurring payment. Valid values are:  **L—Loan**  **W—Withdrawal**  **R—Recurring payment**  **I—reserved for ECM/Payroll and designates ‘I’neligible DC participants. Used by IDB/SPU to filter DC ineligible participants out of the DC feed.**  A space is used to indicate no association is required and that this update is independent. | |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 04 Record - City, State, and ZIP + 4 *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 04 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | P | RECORD TYPE | X(01) |
| 8 | 20 | 33 | 52 | Eepaddresscity | CITY | X(20) |
| 9 | 2 | 53 | 54 | Eepaddressstate | STATE | X(02) |
| 10 | 8 | 55 | 62 | SPACES | FILLER | X(08) |
| 11 | 5 | 63 | 67 | 1st 5 digits of eepaddresszipcode | ZIP CODE | X(05) |
| 12 | 4 | 68 | 71 | Last 4 digits of eepaddresszipcode that are after the dash or space fill | ZIP + 4 CODE | X(04) |
| 13 | 6 | 72 | 77 | SPACES | FILLER | X(06) |
| 14 | 1 | 78 | 78 | SPACE | DATA SEARCH INDICATOR | X(01) |
| 15 | 1 | 79 | 79 | SPACE | OMIT STATEMENT INDICATOR | X(01) |
| 16 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) |

## 04 Record Definition - City, State, and ZIP + 4

|  |  |
| --- | --- |
| **Purpose**: | To enter a participant’s city, state, and ZIP code. |
| **NOTE:** | When an address is submitted to Fidelity, three 03 Records and one 04 Record are required.  Send spaces for unused lines in the 04 Record.  If the record is a foreign address, a 05 Record must be provided. Otherwise, a domestic address is assumed. Please review the Appendix for more information on domestic and foreign address requirements.  In conjunction with the Required Records Matrix, data elements required on the 01-05 records to accurately set up a new Primary Account Holder (PAH) are: SSN; First Name; Last Name; Date of Birth; and Address. These elements must be received at the same time. PAH records not containing these elements, or not passing the data quality edits, will not pass the front end edits and will be rejected.  **Formatting Specifics**  City field:  **Cannot be blank or spaces**  **Examples of using acceptable special characters:  CITY EX**  **Cannot contain the following special characters:  City**  State field:  **Cannot be blank or spaces**  **Should = List of United States Postal Service (USPS) code values to include U.S. states and territories, and military state codes. See** [**Valid State Code Values**](#_3x8tuzt) **section.**  Zip Code field:  **If the State field is populated, the Zip Code field cannot be blank or spaces.**  **Should be within valid ZIP code range, based on the U.S. state, territory, or military state code.** |

|  |  |  |
| --- | --- | --- |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “04”. |
| 7 | RECORD TYPE | This field, in most cases, should be equal to “P” to indicate the primary address. However, an “S” to indicate the secondary address or “B” to indicate both is used if directed by Fidelity Investments. |
| 8 | CITY | This 20-character, alphanumeric field is user-defined. It must be left justified and represent the city where the participant lives. When refreshing a participant’s city and state, ZIP code information must also be sent.  **NOTE:** This field must be in all uppercase letters. |
| 9 | STATE | This two-character, alphanumeric field should contain the two-letter U.S. postal abbreviation for the state where the participant lives.  **NOTE:** This field must be in all uppercase letters. |
| 11 | ZIP CODE | This five-character, alphanumeric field should contain the participant’s ZIP code.  **NOTE:** The ZIP code must be left justified and within valid ranges. |
| 12 | ZIP + 4 CODE | This four-character, alphanumeric field should contain the participant’s ZIP +4 code. This field is optional. |
| 14 | SEARCH INDICATOR | A one-character field that indicates if an address came from the Data Search Company or if the address is implementation.  Valid values are:  **T—Data Search Company**  **I—Implementation.**  A space will be used for all other addresses. |
| 15 | OMIT STATEMENT INDICATOR | A one-character field that updates the Omit Statement Flag. This field is only used by the Data Search Company.  Valid values are:  **D—Death**  **L—Lost**  Spaces for all others. |
| 16 | ASSOCIATION INDICATOR | A one-character field indicating if the address is associated with a withdrawal, loan, or a recurring payment.  Valid values are:  **L—Loan**  **W—Withdrawal**  **R—Recurring payment**  **I—reserved for ECM/Payroll and designates ‘I’neligible DC participants. Used by IDB/SPU to filter DC ineligible participants out of the DC feed.**  A space is used to indicate no association is required and that this update is independent. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 11 Record - Participant Status Codes With Dates *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 11 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | See mapping on next page | STATUS CODE | X(01) |
| 8 | 5 | 33 | 37 | SPACES | RESERVED | X(05) |
| 9 | 8 | 38 | 45 | See mapping on next page | STATUS CHANGE DATE | 9(08) |
| 10 | 1 | 46 | 46 | SPACE | LITERATURE KIT INDICATOR | X(01) |
| 11 | 32 | 47 | 78 | SPACES | FILLER | X(32) |
| 12 | 1 | 79 | 79 | SPACE | RESERVED | X(01) |
| 13 | 1 | 80 | 80 | SPACE | RESERVED | X(01) |

**Status Code Key**

Status codes and events that apply to the plan are listed below.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Event Description** | **Fidelity Status Code** | **Termination Date Required on Record 02D** | **STATUS CODE** | **STATUS CHANGE DATE** |
| ACTIVE | A |  | If eecemplstatus = A and not a new hire or rehire send A | EecDateOfLastHire |
| REHIRE | E |  | If EecDateOfOriginalHire does not = EecDateOfLastHire, send E | EecDateOfLastHire |
| LEAVE OF ABSENCE | L |  | If eecemplstatus = L send L | EecStatusStartDate |
| NEW HIRE | N |  | If eecemplstatus = A and is new hire send N | EecDateOfLastHire |
| RETIRED | R | Yes | If eecemplstatus = T and eectermreason = 202 send R | eecdateoftermination |
| TERMINATED | T | Yes | If eecemplstatus = T and eectermreason does not = 202 send T | eecdateoftermination |

**IMPORTANT!** A file CANNOT contain multiple status code records for the same participant.

**\*Rehire Process - Data Requirements**

Fidelity requires for rehired participants, that a full suite of records be sent per the Participant Indicative Data Matrix in this document. This includes Name, Address, Dates etc. A few important records / fields are noted below.

|  |  |  |
| --- | --- | --- |
| **Record** | **Field** | **Details** |
| 02D - Participant Dates | Termination Date | Termination date field must be zero filled. |
| 02D - Participant Dates | Date Switch | The date switch field must be populated with a ‘5’. |
| 11 - Status Code | Status Code | The status code field must be populated with the status code that is designated in the above key for the rehire event. 11 record / Status Code Field - populated with the rehire status code 11 record / Status Code Field - populated with the rehire status code |
| 61 - Full Plan Participant Dates | Adjusted Date of Hire | The adjusted date of hire field must be populated with the participant’s most recent rehire date. If the participant is not a rehire then the field should be space filled. |

**\*Rehire Process - Scenarios**

Depending on whether the participant already exists on Fidelity’s System will drive the need for additional information to be entered on PSW by the Plan Sponsor for the rehired participant to be handled appropriately.

|  |  |  |
| --- | --- | --- |
| **Scenario** | **Rehired Participant Exists in the Plan on Fidelity’s System** | **Rehired Participant does not Exist in the Plan on Fidelity’s System\*** |
| Plan is utilizing Fidelity’s Participant Data Management (PDM) service | If the required information is sent over appropriately, the rehired participant will process through correctly without additional information needed. | An error message will be generated in PSW when the rehire is received and the rehired participant is not already in the Plan on Fidelity’s system. The participant’s most recent termination date will need to be entered by the Plan Sponsor on PSW for the rehire to be processed appropriately. |
|  |  |  |

\*If Fidelity is tracking Breaks in Service (BIS) for the plan, the rehired participant is not already on Fidelity’s system and the participant has been termination and rehired more than once, the Plan Sponsor will need to provide all the iterations of the termination dates and rehire dates to ensure Fidelity is able to calculate the BIS correctly.

## 11 Record Definition - Participant Status Code With Dates

|  |  |  |
| --- | --- | --- |
| **Purpose:** | To enter or update the participant’s status code and/or to override the plan level eligibility code. To be used for plan conversion or those plan sponsors who will monitor suspension provisions. | |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | A five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “11”. The record identifier describes the type of record in the front-end edit process. |
| 7 | STATUS CODE | This one-character code represents the participant’s status.  **IMPORTANT**: See the key designed for your specific plan. A space is not a valid value and may jeopardize the integrity of your plan. |
| 9 | STATUS CHANGE DATE | This field represents the date associated with the participant’s status change (MMDDYYYY) and is used for historical tracking purposes. If the field is not applicable, it must be zero filled. In addition, multiple status code changes should not be sent on the same file or transmitted on the same day.  If the plan is on Fidelity’s Participant Data Management service, the status change date will be changed to the current date for all that are non-Leave of absence status codes. For the leave of absence status codes (military and non-military leave of absence status codes), the status change date will be updated as it is sent on the feed from the Plan Sponsor/Payroll Vendor. The true status change date for leave of absence status codes is potentially needed for withdrawal eligibility and the loan default process depending on the plan setup. |
| 10 | LITERATURE KIT INDICATOR | Suppresses literature for participant when = N. Space fill to default to plan settings for automated literature. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 60 Record - Miscellaneous Participant Reporting Information *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 60 | RECORD IDENTIFIER | 9(02) |
| 7 | 1 | 32 | 32 | EecFullTimeOrPartTime | PARTICIPANT CLASS | X(01) |
| 8 | 8 | 33 | 40 | SPACES | PARTICIPANT DISTRICT | X(08) |
| 9 | 8 | 41 | 48 | SPACES | PARTICIPANT DEPARTMENT | X(08) |
| 10 | 8 | 49 | 56 | SPACES | PARTICIPANT LOCATION/STORE | X(08) |
| 11 | 8 | 57 | 64 | SPACES | PARTICIPANT UNION CODE | X(08) |
| 12 | 1 | 65 | 65 | Prgpayfrequency | PARTICIPANT PAYMENT FREQUENCY | X(01) |
| 13 | 8 | 66 | 73 | SPACES | MISCELLANEOUS CODE | X(08) |
| 14 | 1 | 74 | 74 | SPACE | HIGHLY COMPENSATED FLAG | X(01) |
| 15 | 1 | 75 | 75 | SPACE | OFFICER / 16 (B) FLAG | X(01) |
| 16 | 1 | 76 | 76 | SPACE | DE MINIMUS ELIGIBILITY INDICATOR | X(01) |
| 17 | 1 | 77 | 77 | SPACE | AGE PAYOUT ELIGIBILITY INDICATOR | X(01) |
| 18 | 1 | 78 | 78 | SPACE | PARTICIPANT RESTRICTION CODE | X(01) |
| 19 | 2 | 79 | 80 | SPACES | PARTICIPANT RESTRICTION REASON | X(02) |

## 60 Record Definition - Miscellaneous Participant Reporting Information

|  |  |
| --- | --- |
| **Purpose** | To enter miscellaneous participant reporting information as assigned by the plan sponsor. |

|  |  |  |
| --- | --- | --- |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field used to group transactions into separate batches for the same plan. If used, this Batch Group ID must be identical to the Batch Group ID used on all associated records.  **NOTE:** This field is user-defined and should be space filled if not used. This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “60”. The record identifier describes the type of record in the front-end edit process. |
| 7 | PARTICIPANT CLASS | A one-character, alphanumeric field indicating the employment class of the participant.  Valid values are:  **F—Full-time**  **P—Part-time**  Spaces are used if the information is unavailable. |
| 8 | PARTICIPANT DISTRICT | An eight-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their district name or district code.  **NOTE:** This field must be left justified. |
| 9 | PARTICIPANT DEPARTMENT | An eight-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their department number or department code.  **NOTE:** This field must be left justified. |
| 10 | PARTICIPANT LOCATION / STORE | An eight-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their store or location name or code.  **NOTE:** This field must be left justified. |
| 11 | PARTICIPANT UNION CODE | An eight-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their union number or code.  **NOTE:** This field must be left justified. |
| 12 | PARTICIPANT PAYMENT FREQUENCY | A one-character, alphanumeric field describing how often the participant is paid.  Valid values are:  **Q—Quarterly**  **M—Monthly**  **B—Bi-weekly (every other week)**  **W—Weekly**  **2—Two times per month**  **3—Three times per month**  **4—Four times per month** |
| 13 | MISCELLANEOUS CODE | An eight-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by a miscellaneous code.  **NOTE:** This field must be left justified. |
| 14 | HIGHLY COMPENSATED FLAG | A one-character, alphanumeric field indicating whether the participant is considered highly compensated.  Valid values are:  **Y—highly compensated**  **N—not highly compensated**  Spaces are used if the information is unavailable. |
| 15 | OFFICER/16(b) FLAG | A one-character, alphanumeric field indicating whether the participant is considered an officer or someone who is subject to 16 (b) regulations.  Valid values are:  **Y—officer**  **N—non-officer**  Spaces are used if the information is unavailable. |
| 16 | DE MINIMUS ELIGIBILITY IND | A one-character, alphanumeric field indicating whether the participant should be exempted from future De Minimus Distributions.  Valid values are:  **I—Ineligible (will never be considered)**  **Use a space if eligible (may be considered in the future if the De Minimus criteria met).** |
| 17 | AGE PAYOUT ELIGIBILITY IND | A one-character, alphanumeric field indicating whether the participant should be exempted from future Auto Age Payout processing.  Valid values are:  **I—Ineligible (will never be considered)**  **Use a space if eligible (may be considered in the future if the Auto Age Payout criteria are met).** |
| 18 | PARTICIPANT RESTRICTION CODE | A one-character, alphanumeric field indicating that a restriction exists to prevent a distribution to a participant.  Valid values are:  **D—All disbursements**  **Spaces are used if not sending a restriction code.** |
| 19 | PARTICIPANT RESTRICTION REASON | A two-character, alphanumeric field indicating the reason for the restriction code.  Valid values are:  **PS—Plan sponsor directed**  **Spaces are used if not sending a restriction code. Not required (reserved for future use).** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | 61 Record - Full Plan Participant Dates *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) |
| 6 | 2 | 30 | 31 | 61 | RECORD IDENTIFIER | 9(02) |
| 7 | 8 | 32 | 39 | SPACE | ELIGIBILITY DATE | 9(08) |
| 8 | 8 | 40 | 47 | Eecdateoflasthire in MMDDYYYY format | ADJUSTED DATE OF HIRE – rehire date | 9(08) |
| 9 | 8 | 48 | 55 | 00000000 | RETIREMENT DATE | 9(08) |
| 10 | 5 | 56 | 60 | SPACES | PRE-BREAK SERVICE UNITS | 9(05) |
| 11 | 8 | 61 | 68 | SPACES | BIS ACCRUAL START DATE | 9(08) |
| 12 | 12 | 69 | 80 | SPACES | FILLER | X(12) |

## 61 Record Definition - Full Plan Participant Dates

|  |  |  |
| --- | --- | --- |
| **Purpose:** | To update a participant's Eligibility Date, and/or Adjusted Date of Hire, and/or Retirement Date to the Fidelity Participant Recordkeeping System (FPRS). | |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity. |
| 2 | BATCH GROUP ID | A four-character, alphanumeric field defined by the user. This field is used to group transactions into separate batches.  **NOTE:** This field must be left justified. |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to "61". |
| 7 | ELIGIBILITY DATE | The date the participant became eligible to participate in the plan (MMDDYYYY). If this information is not available the field must be zero filled.If Fidelity is calculating the eligibility date, the field must be space filled. |
| 8 | ADJUSTED DATE OF HIRE | The adjusted hire date (latest rehire date) of participant (MMDDYYYY). This date must be greater than and NOT equal to the Original Hire Date. If this information is not applicable the field must be zero filled. |
| 9 | RETIREMENT DATE | This field is no longer valid and must be zero filled. |
| 10 | PRE-BREAK SERVICE UNITS | Five-digit numeric value representing the number of Pre-Break or Pre-Termination service units in days. Valid values (0 thru 32767). |
| 11 | BIS ACCRUAL START DATE | Re-hired participant’s hourly accrual start date. The hours accrued from this date forward will count toward eligibility. Hours accumulated prior to this date will be disregarded. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | EA Record - E-Mail Address *(All alpha characters must be capitalized)* | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 5 | 1 | 5 | 00088 | PLAN NUMBER | X(05) |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) |
| 4 | 11 | 13 | 23 | Eepssn with dashes | SOCIAL SECURITY NUMBER | X(11) |
| 5 | 1 | 24 | 24 | SPACE | EMPLOYEEID | X(06) |
| 6 | 5 | 25 | 29 | SPACES | FILLER | X(06) |
| 7 | 2 | 30 | 31 | EA | RECORD IDENTIFIER | X(02) |
| 8 | 1 | 32 | 32 | A | E-MAIL ADDRESS STATUS CODE | X(01) |
| 9 | 2 | 33 | 34 | ER | E-MAIL TYPE CODE - primary | X(02) |
| 10 | 2 | 35 | 36 | SPACES | RESERVED | X(02) |
| 11 | 1 | 37 | 37 | If eepadddressemail is more than 35 characters send 1 with 1st 35 and 2 with rest – see next page for more info | E-MAIL RECORD SEQUENCE NUMBER | 9(01) |
| 12 | 35 | 38 | 72 | eepadddressemail | E-MAIL ADDRESS TEXT | X(35) |
| 13 | 1 | 73 | 73 | SPACE | NON SAFE HARBOR INDICATOR | X(01) |
| 14 | 1 | 74 | 74 | SPACE | EDELIVERY CONSENT | X(01) |
| 15 | 6 | 75 | 80 | SPACES | FILLER | X(06) |

## EA Record Definition - E-Mail Address

|  |  |
| --- | --- |
| **Purpose:** | To enter a participant's various e-mail addresses used by the Fidelity Participant Recordkeeping (FPRS) systems for participant e-mail contact purposes. |
| **NOTE:** | Up to two Employer Provided Participant Email Addresses can be stored at Fidelity per ssn. Only one Employer Provided Participant Work E-Mail Address and only one Employer Provided Personal E-Mail address  Transaction history should not be sent. (i.e., Only the most current email address status code and email text should be sent.) |

|  |  |  |
| --- | --- | --- |
| **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-character value assigned by Fidelity for DC data.  **For EA records, this field is blank for clients who do not have a DC product**. |
| 2 | BATCH GROUP ID | A four-character, alpha/numeric field defined by the user. This field could potentially be used to group transactions into separate batches for the same plan or for PSW divisional security. If populated, this field must be left justified. (Space Fill if not applicable). |
| 4 | SOCIAL SECURITY NUMBER | Each participant in the plan must have a unique Social Security number. The 11-digit field requires that hyphens be included.  **NOTE:** See [Social Security Number](#_36ei31r) specifics. |
| 5 | EMPLOYEE ID | A 1-character alphanumeric field used when an Employee ID is sent instead of a Social Security Number. This field is required if no SSN is provided.  **This field is for Retail use only and required if no SSN is provided. A SSN is required for DB, DC and H&W participants.**  **Valid values are:**  **‘E’ if Employee ID is sent**  **Space Fille if SSN is sent** |
| 7 | RECORD IDENTIFIER | This field is equal to "EA". |
| 8 | E-MAIL ADDRESS STATUS CODE | This field designates the e-mail address status.  **Required**, valid values include:  **A**—E-Mail address is Active. Used for new, active e-mail addresses and changes to existing ones assigned to only one participant. NOTE: If an active email address for the SSN already exists at Fidelity, this update will overlay the existing information.  **S**—E-mail Address is active and is shared across SSNs within a client. Signifies the email address belongs to more than one participant (e.g., a global email address for a shop floor).  **I**—E-Mail Address is inactive. Sending in an “I” signifies there should not be an e-mail address associated with the SSN.  **IMPORTANT!:** Fidelity needs to receive a work e-mail address EA record with an I status when a participant changes to an terminated type status code and the work e-mail address is no longer valid. Examples of terminated type status codes are terminated, retired and for some plans permanently disabled. Receipt of the I status record will ensure Fidelity will not continue to use that work e-mail address. The fields should be populated as follows:   * E-MAIL ADDRESS STATUS CODE = I * E-MAIL TYPE CODE = ER * E-MAIL ADDRESS TEXT = Work e-mail address that is no longer active   The I status is not needed for deceased participants or for personal Email Addresses. |
| 9 | E-MAIL TYPE CODE | E-Mail Type Codes will be used to describe what email address type is stored for the participant.  **ER** will signify Employer Provided Participant Work Email Address  **PR** will signify Employer Provided Participant Personal Email Address |
| 11 | E-MAIL RECORD SEQUENCE NBR | A one-digit, numeric field indicating the e-mail address data string. The number cannot exceed 3.  For first 35 e-mail address characters, set to 1.  For second 35 e-mail address characters, set to 2, etc. until end of e-mail address data.  **NOTE:** E-mail address data can be any length up to 88 characters.  **Example** (sequence number):  EAAER 1JENNIFER.MONTGOMERY-HANSEN@QUALITYC  EAAER 2O.COM |
| 12 | E-MAIL ADDRESS TEXT | A 35-character, alphanumeric field representing sections of a participant’s e-mail address, as referred to in field number 10. This information must be left justified.  **NOTE:** If the e-mail address status code (Field 7) is equal to “I” - inactive, the email address text is optional.  **Formatting Specifics for Email-Address Text**  E-mail address must contain a Username—the text before the “@” sign.  E-mail address must contain a Domain Name—the text after the “@” sign.  E-mail address must contain only one “@” sign.  E-mail address must contain a “.”  A “.” (period) should not be placed next to the “@” sign.  Cannot contain sequential “…” (periods).  E-mail address cannot contain spaces. |
| 13 | NON SAFE HARBOR INDICATOR | A 1 character alpha/numeric field, which represents whether the email address provided fulfills the Safe Harbor requirements for electronic delivery of required documents.  Default is spaces, email address fulfills Safe Harbor requirements or if sending PR signifying Employer Provided Participant Personal Email Address  Set the field to ‘Y’ to indicate this email address does not meet the Safe Harbor requirements for electronic delivery of legally required documents. |
| 14 | EDELIVERY CONSENT | A 1 character alpha/numeric field, which represents whether the participant has consented to receive communications via electronic delivery of required documents  This field should populated with either a “Y” meaning that the participant has provided consent to you for electronic delivery or a “N” meaning that the participant has not provided consent to you for electronic delivery.  This field should only be provided when the email type equals “PR”.  If a client who does not provide personal emails, this field can be used to designate participant consent by populating this field for an email type of “PR” with a “Blank” for the E-Mail Address TEXT.  By populating this field with a “Y”, you are confirming that you have obtained the participant’s affirmative consent to receive required documents electronically consistent with 29 C.F.R. §2520.104b-1(c), and are directing Fidelity to enable electronic delivery of required documents for the participant.  If a participant logs onto NetBenefits and updates their eDelivery consent, the value provided in this file will be ignored. **NOTE: Once the participant makes an affirmative eDelivery election on NetBenefits, any eDelivery updates via the feed will be ignored**. |

## Sending Information to Support Electronic Delivery

Fidelity’s preferred method for participant communications is electronic delivery. Fidelity can accept both an employer provided workplace email address and a personal email address for each participant. Email addresses can be sent alone or with the additional safe harbor/consent indicators as outlined below. Note that an email address without safe harbor or consent indicators will not be used for regulatory mailings.

Electronic delivery of certain regulatory plan documents must meet one of the safe harbor guidelines under DOL rules to be deemed as using measures reasonably calculated to ensure actual receipt of the communication. Fidelity can accept an indicator for each workplace or personal email address which meets the associated safe harbor criteria.

The **workplace employee safe harbo**r applies only to a company provided email address and is a determination made by the Plan Sponsor. Generally, it is an indication that the recipient at that address:

* Can effectively access documents in electronic form at any location where reasonably expected to perform duties as employee; and
* Has access to the employer's electronic information system as an integral part of those duties.

The **participant consent safe harbor** applies when delivering required plan documents to an email address other than a workplace safe harbor address. In this case, a participant must agree to the electronic delivery of regulatory plan documents. Fidelity refers to this participant agreement as “e-delivery consent”.

If the Plan Sponsor or Prior Record Keeper has already collected e-delivery consent directly from participants, Fidelity can accept this indicator on files, provided that the initial collection of such consent by the Plan Sponsor or Prior Record Keeper met all of the following criteria:

* Participants consented in a manner that reasonably demonstrates the ability to access information through such electronic medium
* Participants provided an address for the receipt of the electronically furnished documents
* Participants were informed of any hardware and software requirements for accessing and retaining the documents
* Participants were provided with information on the types of documents to which the consent would apply
* Participants were informed of their right to withdraw their consent at any time without charge, and procedures for doing so
* Participants were informed of their right to request paper versions of documents, procedures to do so, and whether the paper version will be provided free of charge.

Participant e-delivery consent received from the Plan Sponsor will be treated the same as e-delivery consent received directly from the participant. By providing participant e-delivery consent, you are confirming that you have obtained the participant’s affirmative consent to receive required documents electronically consistent with 29 C.F.R. §2520.104b-1(c) and are directing Fidelity to enable electronic delivery of required documents for the participant.

If a participant has already logged onto NetBenefits and updated their e-delivery consent, the value provided via the feed will be ignored. Participants may change their e-delivery preferences at any time on the NetBenefits® Profile page.

# Appendix A - File Specifications

## Record Layout Pictures

The record layout grid contains a Picture column that describes the field format in COBOL syntax, as follows:

* 9 denotes that only numeric data is acceptable
* X denotes that alphanumeric data is acceptable

For numeric pictures:

* V denotes that there is an implied decimal point
* S9 denotes that signed fields must be used

**Example**:

|  |  |
| --- | --- |
| **This picture…** | **Represents this type of field…** |
| 9(05) | An unsigned, numeric field of five digits |
| X(20) | A 20-character, alphanumeric field |
| 9(5)V99 | A numeric field with five digits to the left of the decimal point and two digits to the right of the decimal point |
| S9(11)V99 | A signed numeric field with 11 digits left of the decimal point and two digits right of the decimal point |

## Social Security Numbers

The various records that contain the Social Security Number field are formatted as follows:

* Cannot be blank or spaces
* Dashes must be in correct format: nnn-nn-nnn
* Cannot = List of invalid values such as 013-45-####, 111-11-111, 111-11-####
* Must be a valid SSN, administered by the Social Security Administration (SSA).
* SSN must not have an invalid character in the 12th position.

## File, Tape, Diskette Specifications

|  |  |
| --- | --- |
| **File/Tape Specifications** | **Diskette Specifications** |
| Block Size = 16,000 or any smaller multiple of 80 1600 BPI | ASCII file with carriage return line |
| 9-Track Tape or Cartridge EBCDIC | Feed control characters or Lotus PRN file |
| Standard IBM OS Label | Double-sided, double density |
| Dataset Name: DSN = RET.FPRS.TAPEIN | 5 ¼” or 3 ½ “ Diskette |
| 80-character fixed record | 80-character fixed record |
| ALL CHARACTERS MUST BE UPPERCASE | |

# 

# Appendix B - State and Country Code Values

## Address Changes

When sending address changes for active employees, it is important to follow the rules listed below.

**NOTE:** Records 03, 04, and 05 are described in more detail in the “Records” section of this document.

**Rules for All Addresses**

The following rules apply to all addresses:

* Must be updated with three 03 records representing address lines 1, 2, and 3.
* Must be updated with a 04 record.
* Address line 1 (03 record, address line number = 1) is a required field, regardless if address is foreign or domestic.
* Address lines 2 and 3 (03 record, address line number = 2 or 3) may contain data or may be blank filled. However, these records must always be sent as part of any address update.
* Formatting rules apply regardless if the address update represents a change to a current participant or is information being sent for a new participant.

**Rules for Domestic (United States) Addresses**

The following rules apply to addresses within the United States:

* City (04 Record) is a required field.
* Two-digit state code (04 Record) as indicated in the [Valid State Code Values](#_3x8tuzt) table is required.
* Zip + 4 code (04 Record) (last four digits of a nine-digit ZIP code) is optional.
* 05 Record is not necessary for domestic addresses. Not sending the 05 Record ensures the participant’s country code and special handling indicator default to blanks which is appropriate for a domestic address.

**Rules for United States Territories, Districts, and Armed Forces Addresses**

The following rules apply to addresses of the United States territories, districts, and armed forces addresses:

* Same rules for domestic addresses apply.
* State code field should be populated with the appropriate territory, district, or APO value as indicated in the [Valid State Code Values](#_3x8tuzt) table.

**Rules for Foreign Addresses**

The following rules apply to foreign addresses:

* State code (04 Record) must be set to blank fill.
* Zip code (04 Record) must be set to blank fill.
* City (04 Record) populate the city field with the city name of the foreign address.
* 05 Record is required; special handling field must be set to “Y.”
* Country (05 Record) is required.  
  **NOTE:** The country field should never be equal to US, USA, United States or some variation thereof.
* For foreign address updates, 05 Record must always be submitted even if the address change represents a move within a country. For example, a 05 Record would be submitted if a participant moved from Paris, France to Nice, France.

Additional formatting rules should be applied specific to the following situations:

* **For Canadian addresses and other addresses with province codes**, the city field (04 Record) should contain the name of the city, followed by a single space, followed by the province code.
* **For foreign addresses with postal codes**, the country field (05 Record) should contain the name of the country. The city, province to county, and/or postal code should be included in the City field (04 Record).  *If greater than 20 characters, city field = City Value and Province/State and/or Postal Code should be placed on next available address line (03 Record) line #2 or #3.*

## Valid State Code Values

The following table lists abbreviations used for the state field. U.S. possessions are highlighted in gray.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **STATE or U.S. POSSESSION** | **ABBREVIATION** |  | **STATE or U.S. POSSESSION** | **ABBREVIATION** |
| ALABAMA | **AL** |  | NEW HAMPSHIRE | **NH** |
| ALASKA | **AK** |  | NEW JERSEY | **NJ** |
| AMERICAN SAMOA | **AS** |  | NEW MEXICO | **NM** |
| ARIZONA | **AZ** |  | NEW YORK | **NY** |
| ARKANSAS | **AR** |  | NORTH CAROLINA | **NC** |
| CALIFORNIA | **CA** |  | NORTH DAKOTA | **ND** |
| COLORADO | **CO** |  | NORTHERN MARIANA ISLANDS | **MP** |
| CONNECTICUT | **CT** |  | OHIO | **OH** |
| DELAWARE | **DE** |  | OKLAHOMA | **OK** |
| DISTRICT OF COLUMBIA | **DC** |  | OREGON | **OR** |
| FEDERATED STATES OF MICRONESIA | **FM** |  | PALAU | **PW** |
| FLORIDA | **FL** |  | PENNSYLVANIA | **PA** |
| GEORGIA | **GA** |  | PUERTO RICO | **PR** |
| GUAM | **GU** |  | RHODE ISLAND | **RI** |
| HAWAII | **HI** |  | SOUTH CAROLINA | **SC** |
| IDAHO | **ID** |  | SOUTH DAKOTA | **SD** |
| ILLINOIS | **IL** |  | TENNESSEE | **TN** |
| INDIANA | **IN** |  | TEXAS | **TX** |
| IOWA | **IA** |  | UTAH | **UT** |
| KANSAS | **KS** |  | VERMONT | **VT** |
| KENTUCKY | **KY** |  | VIRGIN ISLANDS | **VI** |
| LOUISIANA | **LA** |  | VIRGINIA | **VA** |
| MAINE | **ME** |  | WASHINGTON | **WA** |
| MARSHALL ISLANDS | **MH** |  | WEST VIRGINIA | **WV** |
| MARYLAND | **MD** |  | WISCONSIN | **WI** |
| MASSACHUSETTS | **MA** |  | WYOMING | **WY** |
| MICHIGAN | **MI** |  | ARMED FORCES AFRICA | **AE** |
| MINNESOTA | **MN** |  | ARMED FORCES AMERICAS (except Canada) | **AA** |
| MISSISSIPPI | **MS** |  | ARMED FORCES CANADA | **AE** |
| MISSOURI | **MO** |  | ARMED FORCES EUROPE | **AE** |
| MONTANA | **MT** |  | ARMED FORCES MIDDLE EAST | **AE** |
| NEBRASKA | **NE** |  | ARMED FORCES PACIFIC | **AP** |
| NEVADA | **NV** |  |  |  |

# Appendix C - Testing

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **EDT Test Header Record** | |
|  | **NUMBER** |  | |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |
| 1 | 7 | 1 | 7 | TESTEDT | TEST FILE IDENTIFIER | X(07) |
| 2 | 73 | 8 | 80 | SPACES | FILLER | X(73) |

## Record Definition - EDT Test Header Record

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Purpose:** | | To identify a test transmission. This record should be the first in the file, preceding the Header Record. | | | |
| **NOTE:** | | The TESTEDT record is not case sensitive. | | | |
|  | **FIELD NO.** | **FIELD NAME** | **FIELD DESCRIPTION** | |
| 1 | | Test File identifier | | Should be populated with “**TESTEDT**” ONLY | |