

**Oxford University Press**

76661 – OUP TDA 403B

76662 – OUP USA Defined Contribution Retirement Plan

76663 – OUP Thrift Plan – Frozen plan, but could be loans

76664 – OUP 457(b) Tax Exempt Deferred Compensation Plan

04/01/2020

Payroll Specifications

|  |  |
| --- | --- |
| Prepared by: | JEFF INNAMORATI |
| Last updated: | 02/20/2020 |
| Version: | 1.1 |

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# Document Change Log

The following table is used to track any changes made to the original specifications document.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Version** | **Date** | **Author** | **Page#** | **Description** |
| 1.0 | 01/23/2020 | JEFF INNAMORATI | All | Initial Draft |
| 1.1 | 02/20/2020 | JEFF INNAMORATI |  | Added the 4 plan numbers  Updated Source and Status codes keys  Updated feedback specs |
| 1.2 | 03/04/2020 | JEFF INNAMORATI |  | Updated after call with Tech Partners  Removed Deferral and Loan feedback specs |

# Key Dates

|  |  |
| --- | --- |
| **Step** | **Completion Date** |
| Finalize Fidelity Data Specifications | 02/27/2020 |
| 1st Test File to Fidelity | Mid-March |
| EDT Setup Complete | Mid-March |
| 2nd Test File to Fidelity (if necessary) | ASAP |
| 3rd Test File to Fidelity (if necessary) | ASAP |
| Test Feedback Files | Mid-March |
| First Live Payroll to Fidelity | 03/31/2020 or 04/14/2020 |

# Eligibility Requirements

|  |
| --- |
| **Eligibility Details** |
| *Included employees* |
| 76661 – all eligible employees **- SEND ALL EMPLOYEES** |
| 76664 – only 457b eligible employees – **SEND IF DED CODE = 457P, 457F, 457CF OR 457CP** |
| *Extra Notes* |
| 76661 – OUP TDA 403B – all employees - send on eligible, contribution and loan sections  76662 – OUP USA Defined Contribution Retirement Plan – if dedcode = DC – only contribution section  76663 – OUP Thrift Plan– Frozen plan, but could be loans – if ded code = THRLN – only Loan section  76664 – OUP 457(b) Tax Exempt Deferred Compensation Plan – if ded code = 457P, 457F, 457CF or 457CP - send on eligible and contribution sections |

## 

# Frequency of Files

|  |  |
| --- | --- |
| **Type of File** | **Frequency** |
| Contribution/ Participant Indicative Data | Bi-Weekly – Tuesday files, pay date Fridays |

## 

# 

# Transmission Method

|  |  |
| --- | --- |
| **Type of Transmission** | **Transmission Details** |
| Inbound | SFTP – Bulk feed |

# 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** | **06** | **08** | **11** | **60** | **61** | **EA** | Event Tested (Y/N) | **Additional  Information** |
| New Hire | X | X | X | X | X | X | X | X | X | X |  | X |  | See [Status Codes](#_1664s55) |
| Rehire | X | X | X | X | X | X | X | X | X | X | X | X |  | See [Status Codes](#_1664s55) See Record 02D DOT, Date Switch requirements |
| Death |  | X |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_1664s55) |
| Disability (short-term) |  |  |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_1664s55) |
| Permanent Disability (Termination) |  | X |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_1664s55) |
| Retirement |  | X |  |  |  |  |  |  | X |  | X |  |  | See [Status Codes](#_1664s55) |
| Termination |  | X |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_1664s55) |
| LOA (unpaid by employer) |  |  |  |  |  |  |  |  | X |  |  |  |  | See [Status Codes](#_1664s55) |
| 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. |
| Division Name/Region Name |  |  |  |  |  |  | X |  |  |  |  |  |  |  |
| Pay Frequency |  | XX |  |  |  |  |  |  |  | X |  |  |  | W = Weekly,  B = Bi-weekly,  2 = twice a month,  M = Monthly |
| 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. |

## Contribution and Loan Repayments

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Employee Event Data Changes** | **19** | **21** | Event Tested (Y/N) | **Additional Information** |
| Contributions | X |  |  |  |
| Loan Repayments |  | X |  | Qual plans only |

# Participant Indicative Data Records

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **01 Record – Participant Name** | | **Mapping notes** |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 01 | RECORD IDENTIFIER | 9(02) | 01 |
| 7 | 20 | 32 | 51 | ALPHA | LAST NAME (FREE FORM) | X(20) | EEPNAMELAST |
| 8 | 15 | 52 | 66 | ALPHA | FIRST NAME MIDDLE INITIAL (FREE FORM) | X(15) | EEPNAMEFIRST space 1st digit of eepnamemiddle |
| 9 | 9 | 67 | 75 | ZEROS | RESERVED | 9(09) | 000000000 |
| 10 | 1 | 76 | 76 | M/S/SPACE | MARITAL STATUS | X(01) | EEPMARITALSTATUS – IF BLANK SEND SPACE |
| 11 | 1 | 77 | 77 | M/F/SPACE | GENDER | X(01) | EEPGENDER |
| 12 | 1 | 78 | 78 | SPACE | SPECIAL TAX TYPE ID | X(01) | SPACE |
| 13 | 1 | 79 | 79 | SPACES | RESERVED | X(01) | SPACES |
| 14 | 1 | 80 | 80 | SPACE | BENE/QDRO PAYEE | X(01) | SPACE |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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** | |  |
|  | **NUMBER** | **POSITIONS** | |  |  |  |  |
| **FIELD NO.** | **OF** | **VALUE** | **FIELD NAME** | **PICTURE** | **Mapping notes** |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 02 | RECORD IDENTIFIER | 9(02) | 02 |
| 7 | 1 | 32 | 32 | D | FIELD TYPE | X(01) | D |
| 8 | 4 | 33 | 36 | SPACES | FILLER | X(04) | SPACES |
| 9 | 8 | 37 | 44 | MMDDYYYY | HIRE DATE | 9(08) | eecdateoforiginalhire |
| 10 | 8 | 45 | 52 | ZEROS | PARTICIPATION DATE | 9(08) | 00000000 |
| 11 | 8 | 53 | 60 | MMDDYYYY | VESTING DATE | 9(08) | EecDateOfSeniority |
| 12 | 8 | 61 | 68 | MMDDYYYY | DATE-OF-BIRTH | 9(08) | eepdateofbirth |
| 13 | 8 | 69 | 76 | MMDDYYYY | TERMINATION DATE | 9(08) | If eecemplstatus = T send Eecdateoftermination else send 00000000 |
| 14 | 1 | 77 | 77 | 5 or SPACE | DATE SWITCH | X(01) | If EecDateOfOriginalHire does not = EecDateOfLastHire, send 5, else send space |
| 15 | 1 | 78 | 78 | SPACES | RESERVED | X(01) | SPACES |
| 16 | 1 | 79 | 79 | SPACES | RESERVED | X(01) | SPACES |
| 17 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) | SPACE |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 02 | RECORD IDENTIFIER | 9(02) | 02 |
| 7 | 1 | 32 | 32 | E | FIELD TYPE | X(01) | E |
| 8 | 11 | 33 | 43 |  | EMPLOYEE NUMBER | X(11) | eecempno |
| 9 | 1 | 44 | 44 | SPACE | RESERVED | X(01) | SPACE |
| 10 | 2 | 45 | 46 | SPACE | EMPLOYEE NUMBER STATUS CODE | X(02) | SPACE |
| 11 | 12 | 47 | 58 | SPACES | CLIENT PROVIDED ID | X(12) | SPACES |
| 12 | 22 | 59 | 80 | SPACES | FILLER | X(22) | SPACES |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 03 | RECORD IDENTIFIER | 9(02) | 03 |
| 7 | 1 | 32 | 32 | P | RECORD TYPE | X(01) | P |
| 8 | 2 | 33 | 34 | 01 or 02 | ADDRESS LINE NUMBER | 9(02) | For eepaddressline1 send 01  if eepaddressline2 is not blank send 02 |
| 9 | 32 | 35 | 66 |  | ADDRESS | X(32) |  |
| 10 | 11 | 67 | 77 | SPACES | FILLER | X(11) | SPACES |
| 11 | 1 | 78 | 78 | SPACE | DATA SEARCH INDICATOR | X(01) | SPACE |
| 12 | 1 | 79 | 79 | SPACE | OMIT STATEMENT INDICATOR | X(01) | SPACE |
| 13 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) | SPACE |

## 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)**  **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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 04 | RECORD IDENTIFIER | 9(02) | 04 |
| 7 | 1 | 32 | 32 | P | RECORD TYPE | X(01) | P |
| 8 | 20 | 33 | 52 |  | CITY | X(20) | Eepaddresscity |
| 9 | 2 | 53 | 54 |  | STATE | X(02) | Eepaddressstate |
| 10 | 8 | 55 | 62 | SPACES | FILLER | X(08) | SPACES |
| 11 | 5 | 63 | 67 |  | ZIP CODE | X(05) | 1st 5 digits of eepaddresszipcode |
| 12 | 4 | 68 | 71 |  | ZIP + 4 CODE | X(04) | Last 4 digits of eepaddresszipcode that are after the dash or space fill |
| 13 | 6 | 72 | 77 | SPACES | FILLER | X(06) | SPACES |
| 14 | 1 | 78 | 78 | SPACE | DATA SEARCH INDICATOR | X(01) | SPACES |
| 15 | 1 | 79 | 79 | SPACE | OMIT STATEMENT INDICATOR | X(01) | SPACES |
| 16 | 1 | 80 | 80 | SPACE | ASSOCIATION INDICATOR | X(01) | SPACES |

## 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:**  **Cannot contain the following special characters:**  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**](#_1a346fx) **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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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. |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **06 Record – Division and Region** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | EEPSSN |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 06 | RECORD IDENTIFIER | 9(02) | 06 |
| 7 | 20 | 32 | 51 |  | DIVISION NAME | X(20) | Eecorglvl1 |
| 8 | 20 | 52 | 71 |  | REGION NAME | X(20) | SPACES |
| 9 | 3 | 72 | 74 | SPACES | SITE SECURITY CODE | X(03) | SPACES |
| 10 | 4 | 75 | 78 | SPACES | RESERVED | X(04) | SPACES |
| 11 | 2 | 79 | 80 | SPACES | FILLER | X(02) | SPACES |

### Division Name Key

Division Names that apply to the plan are listed below.

|  |
| --- |
| **Division Name** |
| TBD - possible Cost Center  Examples – 596 or 596-10056 |

## 06 Record Definition – Division and Region

|  |  |  |  |
| --- | --- | --- | --- |
| **Purpose:** | | To enter a participant’s division and/or Region Name as assigned by the plan sponsor. | |
| **Note:** | | Send spaces for unused lines in the 06 Record. | |
|  | **FIELD NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
|  | 1 | PLAN NUMBER | A five-digit number assigned by Fidelity. Each client is assigned a unique plan number. |
|  | 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](#_338fx5o) specifics. |
|  | 6 | RECORD IDENTIFIER | This field is equal to “06”. The record identifier describes the type of record in the front-end edit process. |
|  | 7 | DIVISION I. D. | A 20-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their division. This field must be left justified.  If using divisional forfeitures, division name needs to be a unique 4 digit division name. |
|  | 8 | REGION I. D. | A 20-character, alphanumeric field assigned by a plan sponsor to identify a group of employees by their region. This field must be left justified. |
|  | 9 | SITE SECURITY CODE | A three-digit, user-defined, alphanumeric field which ensures divisional security. This field must be left justified. |
|  | 10 | RESERVED | This field is reserved by FIRSCo IMPSYS for special processing. |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **08 Record – Salary Modification** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05)) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 7 | 6 | 12 | SPACES | FILLER | X(07) | SPACES |
| 3 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 4 | 1 | 24 | 24 | SPACES | FILLER | X(01) | SPACES |
| 5 | 5 | 25 | 29 | ZEROS | RESERVED | 9(05) | 00000 |
| 6 | 2 | 30 | 31 | 08 | RECORD IDENTIFIER | 9(02) | 08 |
| 7 | 13 | 32 | 44 |  | SALARY | S9(11)V99 | eecannsalary |
| 8 | 1 | 45 | 45 | R | SALARY ADD/REPLACE INDICATOR | X(01) | R |
| 9 | 2 | 46 | 47 | SPACES | RESERVED | X(02) | SPACES |
| 10 | 8 | 48 | 55 | MMDDYYYY | SALARY PAY DATE | 9(08) | PrgPayDate |
| 11 | 25 | 56 | 80 | SPACES | FILLER | X(25) | SPACES |

## 08 Record Definition – Salary Modification

|  |  |  |
| --- | --- | --- |
| **Purpose:** | To enter or adjust the amount of the participant’s salary. This record is used when Fidelity does a company match with a salary base or element of calculation. | |
| **FIELD NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | A five-digit number assigned by Fidelity. Each client is assigned a unique plan number. |
| 3 | 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](#_338fx5o) specifics. |
| 6 | RECORD IDENTIFIER | This field is equal to “08”. The record identifier describes the type of record in the front-end edit process. |
| 7 | SALARY | This signed field contains the participant’s salary on which the company match would be calculated. This field should be right justified and if not used, zero fill. |
| 8 | SALARY ADD/REPLACE  INDICATOR | This field is a one-character field that can have the values of A or R.  **A—Add existing salary with tape input salary.**  **R—Replace existing salary with tape input salary.** |
| 10 | SALARY PAY DATE | This field represents the pay date associated with the salary update (MMDDYYYY). If this field is not applicable, it must be zero filled.  If the YYYY portion of this date is prior to this year, this field will update the ‘Previous Salary’ field on the FPRS Workstation. If the YYYY portion of this date is within the current year or zero filled, this field will populate the ‘Salary’ field on the Participant ID screen.  Prior year dates affect CURRENT year match.  **NOTE**: Do not send 0.00 salary amounts. If Fidelity is calculating your match, prior year dates will affect the match calculation. |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **11 Record – Participant Status Codes With Dates** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 11 | RECORD IDENTIFIER | 9(02) | 11 |
| 7 | 1 | 32 | 32 | SEE KEY | STATUS CODE | X(01) | See next page |
| 8 | 5 | 33 | 37 | SPACES | RESERVED | X(05) | SPACES |
| 9 | 8 | 38 | 45 | MMDDYYYY | STATUS CHANGE DATE | 9(08) | See next page |
| 10 | 1 | 46 | 46 | SPACE | LITERATURE KIT INDICATOR | X(01) | SPACE |
| 11 | 32 | 47 | 78 | SPACES | FILLER | X(32) | SPACES |
| 12 | 1 | 79 | 79 | SPACE | RESERVED | X(01) | SPACE |
| 13 | 1 | 80 | 80 | SPACE | RESERVED | X(01) | SPACE |

### Status Code Key

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

**Plan 76661 TDA:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Event Description** | **HRIS Event Code** | **Fidelity Status Code** | **Termination Date Required on Record 02D** | **STATUS CODE** | **STATUS CHANGE DATE** |
| Deceased |  | D | Yes | If eecemplstatus = T and eectermreason = 203 send D | eecdateoftermination |
| Eligible (New Hire) |  | E |  | If eecemplstatus = A send E | EecDateOfLastHire |
| Rehire |  | H |  | If EecDateOfOriginalHire does not = EecDateOfLastHire, send H | EecDateOfLastHire |
| Leave of Absence |  | L |  | If eecemplstatus = L send L | EecStatusStartDate |
| Retired |  | R | Yes | If eecemplstatus = T and eectermreason = 202 send R | eecdateoftermination |
| Terminated |  | T | Yes | If eecemplstatus = T and eectermreason does not = 202 or 203 send R | eecdateoftermination |

**Plan 76664 457(b):**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Event Description** | **HRIS Event Code** | **Fidelity Status Code** | **Termination Date Required on Record 02D?** | **STATUS CODE** | **STATUS CHANGE DATE** |
| Deceased |  | D |  | If eecemplstatus = T and eectermreason = 203 send D | eecdateoftermination |
| Eligible (New Hire) |  | E |  | If eecemplstatus = A send E | EecDateOfLastHire |
| Leave of Absence |  | L |  | If eecemplstatus = L send L | EecStatusStartDate |
| Retired |  | R | Yes | If eecemplstatus = T and eectermreason = 202 send R | eecdateoftermination |
| Terminated |  | T | Yes | If eecemplstatus = T and eectermreason does not = 202 or 203 send R | eecdateoftermination |

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

### \*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’.  Fidelity tracks eligibility for the plan. Therefore, the date switch field must be space filled. Fidelity will zero out the termination date as part of the eligibility tracking service.  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 date of hire. |

### \*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. |
| Plan is NOT 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. | Additional information 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | A five-digit number assigned by Fidelity. Each client is assigned a unique plan number. |
| 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](#_338fx5o) 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** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | Eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 60 | RECORD IDENTIFIER | 9(02) | 60 |
| 7 | 1 | 32 | 32 | F/P/SPACE | PARTICIPANT CLASS | X(01) | EecFullTimeOrPartTime |
| 8 | 8 | 33 | 40 |  | PARTICIPANT DISTRICT | X(08) | SPACES |
| 9 | 8 | 41 | 48 |  | PARTICIPANT DEPARTMENT | X(08) | SPACES |
| 10 | 8 | 49 | 56 |  | PARTICIPANT LOCATION/STORE | X(08) | SPACES |
| 11 | 8 | 57 | 64 |  | PARTICIPANT UNION CODE | X(08) | SPACES |
| 12 | 1 | 65 | 65 | Q/M/B/W/2/3/4 | PARTICIPANT PAYMENT FREQUENCY | X(01) | B |
| 13 | 8 | 66 | 73 |  | MISCELLANEOUS CODE | X(08) | SPACES |
| 14 | 1 | 74 | 74 | Y/N/SPACE | HIGHLY COMPENSATED FLAG | X(01) | SPACE |
| 15 | 1 | 75 | 75 | Y/N/SPACE | OFFICER / 16 (B) FLAG | X(01) | SPACE |
| 16 | 1 | 76 | 76 | SPACE | DE MINIMUS ELIGIBILITY INDICATOR | X(01) | SPACE |
| 17 | 1 | 77 | 77 | SPACE | AGE PAYOUT ELIGIBILITY INDICATOR | X(01) | SPACE |
| 18 | 1 | 78 | 78 | SPACE | PARTICIPANT RESTRICTION CODE | X(01) | SPACE |
| 19 | 2 | 79 | 80 | SPACES | PARTICIPANT RESTRICTION REASON | X(02) | SPACES |

### 60 Record Definition - Miscellaneous Participant Reporting Information

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

|  |  |  |
| --- | --- | --- |
| **FIELD NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number assigned by Fidelity. Each client is assigned a unique plan number. |
| 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](#_338fx5o) 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 FREQ | 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** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76664 | PLAN NUMBER | 9(05) | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 6 | 24 | 29 | SPACES | FILLER | X(06) | SPACES |
| 6 | 2 | 30 | 31 | 61 | RECORD IDENTIFIER | 9(02) | 61 |
| 7 | 8 | 32 | 39 | MMDDYYYY | ELIGIBILITY DATE (NQ) – date eligible to make distribution election - Only for plan 76664 | 9(08) | If eeddedcode = 457CF, 457CP, 457F or 457P send later of eecdateoftermination and today’s date else space fill |
| 8 | 8 | 40 | 47 | MMDDYYYY | ADJUSTED DATE OF HIRE | 9(08) | If EecDateOfOriginalHire does not = EecDateOfLastHire, send EecDateOfLastHire else space fill |
| 9 | 8 | 48 | 55 | MMDDYYYY | RETIREMENT DATE | 9(08) | EecDateOfRetirement or If eecemplstatus = T and eectermreason = 202 send eecdateoftermination |
| 10 | 5 | 56 | 60 | SPACES | PRE-BREAK SERVICE UNITS | 9(05) | SPACES |
| 11 | 8 | 61 | 68 | SPACES | BIS ACCRUAL START DATE | 9(08) | SPACES |
| 12 | 12 | 69 | 80 | SPACES | FILLER | X(12) | SPACES |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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](#_338fx5o) 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 | The participant's date of Retirement (MMDDYYYY). If this information is not available the field 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** | |  | |
|  |  | **NUMBER** |  | |  | |  | |  | |  |
|  | **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | | **FIELD NAME** | | **PICTURE** | |  |
|  |  | **BYTES** | **FROM** | **TO** |  | |  | |  | |  |
|  | 1 | 5 | 1 | 5 | 76661 OR 76664 | | PLAN NUMBER | | 9(05) | | All employees will send 76661  If an employee also has eeddedcode = 457CF, 457CP, 457F or 457P send another line with 76664 |
|  | 2 | 4 | 6 | 9 | SPACES | | BATCH GROUP ID | | X(04) | | SPACES |
|  | 3 | 3 | 10 | 12 | SPACES | | FILLER | | X(03) | | SPACES |
|  | 4 | 11 | 13 | 23 | ###-##-#### | | SOCIAL SECURITY NUMBER | | X(11) | | Eepssn |
|  | 5 | 1 | 24 | 24 | SPACE | | EMPLOYEEID | | X(06) | | SPACE |
|  | 6 | 5 | 25 | 29 | SPACES | | FILLER | | X(06) | | SPACES |
|  | 7 | 2 | 30 | 31 | EA | | RECORD IDENTIFIER | | X(02) | | EA |
|  | 8 | 1 | 32 | 32 | A, I, S | | E-MAIL ADDRESS STATUS CODE | | X(01) | | A |
|  | 9 | 2 | 33 | 34 | ER | | E-MAIL TYPE CODE | | X(02) | | ER |
|  | 10 | 2 | 35 | 36 |  | | RESERVED | | X(02) | | SPACES |
|  | 11 | 1 | 37 | 37 | 1 thru 3 | | E-MAIL RECORD SEQUENCE NUMBER | | 9(01) | | If eepadddressemail is more than 35 characters send 1 with 1st 35 and 2 with rest – see next page for more info |
|  | 12 | 35 | 38 | 72 |  | | E-MAIL ADDRESS TEXT | | X(35) | | eepadddressemail |
|  | 13 | 1 | 73 | 73 |  | | NON SAFE HARBOR INDICATOR | | X(01) | | SPACE |
|  | 14 | 1 | 74 | 74 | Y or N | | EDELIVERY CONSENT | | X(01) | | SPACE |
|  | 15 | 6 | 75 | 80 | SPACES | | FILLER | | X(06) | | SPACES |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit DC plan number 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](#_338fx5o) 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. |
| 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**. |

# Contribution and Loan Repayment Records

# Signed Fields

If the picture for a field indicates that it is a signed numeric field, the sign must be sent as part of the right-most digit in the field rather than as a separate sign byte. The accepted values for signed fields are:

|  |  |  |  |
| --- | --- | --- | --- |
| **Enter this in the rightmost digit** | **To denote this value** | **Enter this in the rightmost digit** | **To denote this value** |
| A | +1 | J | -1 |
| B | +2 | K | -2 |
| C | +3 | L | -3 |
| D | +4 | M | -4 |
| E | +5 | N | -5 |
| F | +6 | O | -6 |
| G | +7 | P | -7 |
| H | +8 | Q | -8 |
| I | +9 | R | -9 |
| { | +0 | } | -0 |

**Example**:

|  |  |  |
| --- | --- | --- |
| **If a field has the following picture…** | **And the field value is…** | **Send it as…** |
| S9(2)V99 | +21.95 | 219E |
|  | +21.90 | 219{ |
|  | -21.95 | 219N |
|  | -21.90 | 219} |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **19 Record – Contributions** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661, 76662 OR 76664 | PLAN NUMBER | 9(05) | If pdhdedcode = 457CF, 457CP, 457F or 457P send 76664  If pdhdedcode =DC send 76662  If pdhdedcode =TDA, TDAP, TDAC, TDACP, TDANE, TDAPT or TDARO send 76661 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 1 | 24 | 24 | SPACE | FILLER | X(01) | SPACE |
| 6 | 5 | 25 | 29 | ZEROS | RESERVED | 9(05) | 00000 |
| 7 | 2 | 30 | 31 | 19 | RECORD IDENTIFIER | 9(02) | 19 |
| 8 | 4 | 32 | 35 | SPACES | FILLER | X(04) | SPACES |
| 9 | 3 | 36 | 38 | ### | TRANSACTION CODE | 9(03) | 220 |
| 10 | 2 | 39 | 40 | SPACES | FILLER | X(02) | SPACES |
| 11 | 2 | 41 | 42 | SEE KEY | SOURCE | 9(02) | See next page |
| 12 | 2 | 43 | 44 | 01 | ITEM NUMBER | 9(02) | 01 |
| 13 | 1 | 45 | 45 | SPACE | FILLER | X(01) | SPACE |
| 14 | 13 | 46 | 58 |  | AMOUNT – see previous page of code needed for last digit of all amounts | S9(11)V99 | If pdhdedcode = 457CF, 457CP, 457F, 457P, TDA, TDAP, TDAC, TDACP, TDANE, TDAPT or TDARO send pdhEECurAmt  If pdhdedcode = TDANE send pdhERcuramt |
| 15 | 4 | 59 | 62 |  | Master Remitter: DIVISION CODE OR BATCH GROUP | X(04) | SPACES |
| 16 | 4 | 63 | 66 | SPACES | FISCAL YEAR (Current year) | 9(04) | SPACES |
| 17 | 1 | 67 | 67 | P, C or SPACE | ADJUSTMENT REASON | X(01) | SPACE |
| 18 | 8 | 68 | 75 | SPACES | Adjustments: ORIGINAL PAY DATE | 9(08) | SPACES |
| 19 | 5 | 76 | 80 | SPACES | RESERVED | X(05) | SPACES |

### Source Code Key

The following table lists source codes that apply to the plan for record 19.

**76661 - TDA**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Source Code to Send to Fidelity** | **Source Description** | **Contribution Type** | **Notes** | **Ded codes** |
| 01 | 403(b) Pre-Tax | EE |  | TDAPT, TDAC, TDACP, TDAP, TDA |
| 02 | Roth | EE |  | TDARO |
| 03 | Company Match | ER | Thrift ER Match New code to preserve history TDA Match | ER portion of TDANE |
| 04 | Non-Elective Contribution | ER – New Hire & Rehires after 04/01/2020 | New code for participants hired on or after 04/01/2020 | TDANE |

**76662 - DCP**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Source Code to Send to Fidelity** | **Source Description** | **Contribution Type** | **Notes** | **Ded codes** |
| 01 | Money Purchase | ER - participants hired prior to 04/01/2020 (existing population) | Define Contribution -but only for participants hired prior to 04/01/2020 (existing population) | DC |

**76664 – 457(b)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Source Code to Send to Fidelity** | **Source Description** | **Contribution Type** | **Notes** | **Ded codes** |
| 01 | EE Pretax | EE | EE | 457F, 457P, 457CP, 457CF |

## 19 Record Definition - Contributions

|  |  |  |
| --- | --- | --- |
| **Purpose:** | For contributions to Fidelity using investment mixes by batch group. | |
| **FIELD NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number assigned by Fidelity. |
| 2 | BATCH GROUP IDENTIFIER | A four-character, alphanumeric field defined by the user. This field is used to group transactions into separate batches for the same plan. This field must be left justified and space filled if not valid.  **Batch Group ID may not start with ‘W’ or ‘T’**. |
| 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](#_338fx5o) specifics. |
| 6 | RESERVED | The values must be "00000" (5 zeroes). |
| 7 | RECORD IDENTIFIER | The value of this field must be "19". |
| 9 | TRANSACTION CODE | The following transaction codes indicate a contribution using mixes:  "**220**" for regular contributions  "**295**" for military make-up contributions. |
| 11 | SOURCE | This field identifies what type of money is being contributed such as Employee Pretax or Employer Pretax. See the key designed for your specific plan.  **NOTE**: This field is right justified with leading zeros. |
| 12 | ITEM NUMBER | This field is equal to "01" indicating a contribution. |
| 14 | AMOUNT | The dollar amount of the contribution. This field must be right justified, with leading zeros, and assumed or implied decimals. |
| 15 | DIVISION CODE OR BATCH GROUP | Used for Master Remitter plans, a four character, alpha/numeric field defined by the user. This field is used to group transactions into separate batches for the same plan. This field must be left justified. Space fill if not used. |
| 16 | FISCAL YEAR | A four-digit year identifying the fiscal year of the contribution (if different from the trade date year). Year of transaction date used when space filled. |
|  |  |  |
| 17 | ADJUSTMENT REASON | The classification that is required for each negative transaction submitted through the adjustment process.  P – Prior Pay Period \*Don’t use to correct a limit error.  C – Current Pay Period  Space fill if not an adjustment. |
| 18 | ORIGINAL PAY DATE | Original Pay Date: The Payroll Date that error occurred. Required for adjustment calculations for Prior Pay Periods. Space fill if not an adjustment.. |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | **21 Record – Loan Repayments** | |  |
|  | **NUMBER** |  | |  |  |  |  |
| **FIELD NO.** | **OF** | **POSITIONS** | | **VALUE** | **FIELD NAME** | **PICTURE** |  |
|  | **BYTES** | **FROM** | **TO** |  |  |  |  |
| 1 | 5 | 1 | 5 | 76661 OR 76663 | PLAN NUMBER | 9(05) | If pdhdedcode = TDALN send 76661  If pdhdedcode = THRLN send 76663 |
| 2 | 4 | 6 | 9 | SPACES | BATCH GROUP ID | X(04) | SPACES |
| 3 | 3 | 10 | 12 | SPACES | FILLER | X(03) | SPACES |
| 4 | 11 | 13 | 23 | ###-##-#### | SOCIAL SECURITY NUMBER | X(11) | eepssn |
| 5 | 1 | 24 | 24 | SPACE | FILLER | X(01) | SPACE |
| 6 | 5 | 25 | 29 | ZEROS | RESERVED | 9(05) | 00000 |
| 7 | 2 | 30 | 31 | 21 | RECORD IDENTIFIER | 9(02) | 21 |
| 8 | 4 | 32 | 35 | SPACES | FILLER | X(04) | SPACES |
| 9 | 12 | 36 | 47 | [SEE KEY](#4anzqyu) | LOAN IDENTIFICATION | X(12) | If pdhdedcode = TDALN or THRLN send LOAN 01 |
| 10 | 1 | 48 | 48 | SPACE | FILLER | X(01) | SPACE |
| 11 | 3 | 49 | 51 | 260 | TRANSACTION CODE | 9(03) | 260 |
| 12 | 2 | 52 | 53 | 14 | ITEM NUMBER | 9(02) | 14 |
| 13 | 2 | 54 | 55 | ZEROS | RESERVED | 9(02) | 00 |
| 14 | 1 | 56 | 56 | SPACE | FILLER | X(01) | SPACE |
| 15 | 7 | 57 | 63 |  | REPAYMENT AMOUNT | S9(05)V99 | If pdhdedcode = TDALN or THRLN send pdheecuramt |
| 16 | 1 | 64 | 64 | P,C or SPACE | ADJUSTMENT REASON | X(01) | SPACE |
| 17 | 8 | 65 | 72 | SPACES | ORIGINAL PAY DATE | 9(08) | SPACES |
| 18 | 1 | 73 | 73 | SPACE | PRINCIPAL ONLY FLAG | X(01) | SPACE |
| 19 | 1 | 74 | 74 | SPACE | NEW REPAYMENT FREQUENCY | X(01) | SPACE |
| 20 | 6 | 75 | 80 | SPACES | Master Remitter:  DIVISION CODE OR BATCH GROUP | X(06) | SPACES |

### 

### Loan Identification Key

This table lists loan identification codes that apply to the plan.

|  |  |  |  |
| --- | --- | --- | --- |
| **Loan ID to Send to Fidelity** | **Notes** | **Payroll Deduction Codes** | **Plan #** |
| LOAN 01 | TDA | TDALN | 76661 |
| LOAN 01 | Thrift | THRLN | 76663 |

## 21 Record Definition - Loan Repayments

|  |  |
| --- | --- |
| **Purpose:**  **Note:** | To record the payment on a loan.  Loan repayments for conversions loans are dependent on loan conversion set-up and loan conversion reinvestment data. Loan payment amount should be equal to regular payment amount. |

|  |  |  |
| --- | --- | --- |
| **FIELD NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** |
| 1 | PLAN NUMBER | The five-digit number 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. If a plan has multiple divisions or payroll types, the batch group id is suggested.  **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](#_338fx5o) specifics. |
| 7 | RECORD IDENTIFIER | This field is equal to "21". |
| 9 | LOAN IDENTIFICATION | A 12-character, alphanumeric field that identifies the loan. This field is user-defined. |
| 11 | TRANSACTION CODE | This field is equal to "260" indicating a loan repayment. |
| 12 | ITEM NUMBER | This field is equal to "14". |
| 15 | REPAYMENT AMOUNT | The total amount of principal and interest combined, when amortized by Fidelity; the amount of principal only, when amortized by the plan sponsor.  **NOTE**: This field should be right justified with leading zeros and assumed or implied decimals. |
| 16 | ADJUSTMENT REASON | The classification that is required for each negative transaction submitted through the adjustment process.  P – Prior Pay Period \*Don’t use to correct a limit error.  C – Current Pay Period  Space fill if not an adjustment. |
| 17 | ORIGINAL PAY DATE | The Payroll Date that error occurred. Required for adjustment calculations for Prior Pay Periods. Space fill if not an adjustment. |
| 18 | PRINCIPAL ONLY FLAG | This field should be a space if the amount in the Principal Amount field includes interest. This field should be "Y" only if the participant wishes to make an extra payment to their principal balance during the life of the loan, or to bring the outstanding principal balance to zero prior to the scheduled last payment date. This flag may only be used if the payment amount appears in the Principal Amount field and is for a loan that is amortized by Fidelity.  **NOTE**: This field is a space for the majority of loan repayments. |
| 19 | NEW REPAYMENT FREQUENCY | This field should be a valid loan repayment frequency for a loan that has been re characterized. Use a space for this field if the loan is not being re characterized.  Valid values are:  **Q—Quarterly; 2 - 2 payments /month**  **M—Monthly 3; - 3 payments/month**  **W—Weekly**  **B—Bi-weekly (every other week); 4 - 4 payments/month**  **NOTE**: In most cases, this field will be a space. |
| 20 | DIVISION CODE or BATCH GROUP | Used by Master Remitter plans, a four character, alpha/numeric field defined by the user. This field is used to group transactions into separate batches for the same plan. This field must be left justified. Space fill if not used. |

# Appendix A - File Specifications

## Record Layout Pictures

* 9 denotes that only numeric data is acceptable
* X denotes that alphanumeric data is acceptable
* 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-XX-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](#_1a346fx) 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](#_1a346fx) 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** |
| ALABAMA | **AL** |
| ALASKA | **AK** |
| AMERICAN SAMOA | **AS** |
| ARIZONA | **AZ** |
| ARKANSAS | **AR** |
| CALIFORNIA | **CA** |
| COLORADO | **CO** |
| CONNECTICUT | **CT** |
| DELAWARE | **DE** |
| DISTRICT OF COLUMBIA | **DC** |
| FEDERATED STATES OF MICRONESIA | **FM** |
| FLORIDA | **FL** |
| GEORGIA | **GA** |
| GUAM | **GU** |
| HAWAII | **HI** |
| IDAHO | **ID** |
| ILLINOIS | **IL** |
| INDIANA | **IN** |
| IOWA | **IA** |
| KANSAS | **KS** |
| KENTUCKY | **KY** |
| LOUISIANA | **LA** |
| MAINE | **ME** |
| MARSHALL ISLANDS | **MH** |
| MARYLAND | **MD** |
| MASSACHUSETTS | **MA** |
| MICHIGAN | **MI** |
| MINNESOTA | **MN** |
| MISSISSIPPI | **MS** |
| MISSOURI | **MO** |
| MONTANA | **MT** |
| NEBRASKA | **NE** |
| NEVADA | **NV** |
| NEW HAMPSHIRE | **NH** |
| NEW JERSEY | **NJ** |
| NEW MEXICO | **NM** |
| NEW YORK | **NY** |
| NORTH CAROLINA | **NC** |
| NORTH DAKOTA | **ND** |
| NORTHERN MARIANA ISLANDS | **MP** |
| OHIO | **OH** |
| OKLAHOMA | **OK** |
| OREGON | **OR** |
| PALAU | **PW** |
| PENNSYLVANIA | **PA** |
| PUERTO RICO | **PR** |
| RHODE ISLAND | **RI** |
| SOUTH CAROLINA | **SC** |
| SOUTH DAKOTA | **SD** |
| TENNESSEE | **TN** |
| TEXAS | **TX** |
| UTAH | **UT** |
| VERMONT | **VT** |
| VIRGIN ISLANDS | **VI** |
| VIRGINIA | **VA** |
| WASHINGTON | **WA** |
| WEST VIRGINIA | **WV** |
| WISCONSIN | **WI** |
| WYOMING | **WY** |
| ARMED FORCES AFRICA | **AE** |
| ARMED FORCES AMERICAS (except Canada) | **AA** |
| ARMED FORCES CANADA | **AE** |
| ARMED FORCES EUROPE | **AE** |
| ARMED FORCES MIDDLE EAST | **AE** |
| ARMED FORCES PACIFIC | **AP** |

## 

# 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) | TESTEDT |
| 2 | 73 | 8 | 80 | SPACES | FILLER | X(73) | SPACES |

## 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 NUMBER** | **FIELD NAME** | **FIELD DESCRIPTION** | |
| 1 | | Test File identifier | | Should be populated with “TESTEDT” ONLY | |