

# National Elevator Industry Benefit Plans

Employer Electronic Reporting Specification

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# NATIONAL ELEVATOR INDUSTRY BENEFIT PLANS



19 CAMPUS BLVD, SUITE 200, NEWTOWN SQUARE, PA 19073-3288

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## Employer Electronic Remittance Specification

### ***Introduction:***

The purpose of this document is to provide Employers with guidance on how to electronically submit hours and 401(k) data to the Benefits Office. Beginning on 10/1/2009, additional information will be required to enhance this interface. Some of these changes focus on the improvement of the 401k specification, while other changes are designed to accommodate the outcome of the Ineligible Employee Arbitration.

### ***Summary of Changes:***

1. The Batch Total Record within the 401(k) File Layout has been modified to require the pay date. This information must reflect the date that an employee is actually paid.
2. Vacation wages must be reported in a separate file transmission utilizing the 401(k) File Layout. A field has been added to the File Header Record within this layout.
3. Within the 401(k) File Layout, all references to hours' fields have been changed to reflect the fields as unused. This change only pertains to the naming convention of the fields as 401k data does not include hours' data. This change is strictly administrative and should not impact existing employer interfaces.
4. Within the 401(k) File Layout, the "Amount" field in the Batch Total Record and in the File Trailer Record has been changed to "Unused". This change only pertains to the naming convention of the field as 401k data does not include hours' data. This change is strictly administrative and should not impact existing employer interfaces.
5. The Detail Record within the Hours File Layout has been modified to require the employee's Job Type and Job Type Effective Date. Valid codes for Job Type have also been added to this section.
6. Within the Electronic File Transfer Options section, media options for CD-ROM, DVD, and Cartridges have been removed.
7. An Employer Certification form must be completed during the implementation of this specification. This form will certify that remitted contributions are for employees who are eligible to participate. The form will be provided during the testing period.
8. The testing period for the revised version of this specification is scheduled for 7/15/2009 – 9/15/2009. To initiate the process please follow the guidelines in the Contact Information Section of this guide.



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## Hours Remittance:

### **Design:**

The file layout is broken down into four different record types:

- File Header Record - This record identifies the employer.
- Detail Record – This record identifies each employee and provides the number of hours they worked for the given payroll period. The batch number within each record is used to group employees by local union and payroll period.
- Batch Total Record – This record totals up the employees and the hours worked for the given payroll period for a specific local union and contains the total amount due for the batch.
  - If an employer submits hours for employees from multiple local unions, a separate record will be needed for each instance.
  - If there is a rate change during the reported payroll period, two separate batches for the same local must be submitted. In this case, each batch must have a unique payroll period.
- File Trailer Record – This record totals up all of the Batch Total Records and provides a record count control.

### **Examples:**

1. Employer submitting hours for one local union.
  - Payroll Period 1/1/2008 – 1/31/2008
  - Work Period – 012008
  - Rate - \$15.10 per hour
  - 3 Employees each working a total of 160.00 constructor hours for local 0005.
    - File Header Record
    - Detail Record for Employee 1 assigned to batch 001 with 160.00 constructor hours.
    - Detail Record for Employee 2 assigned to batch 001 with 160.00 constructor hours.
    - Detail Record for Employee 3 assigned to batch 001 with 160.00 constructor hours.
    - Batch Total Record for batch 001, Union Local Number 0005, with Payroll End Date of 1/31/2008, Payroll Begin Date of 1/1/2008, Work Period of 01/2008, 480.00 constructor hours, 7,248.00 total dollar amount due and a Record count of 3 Detail Records.
    - File Trailer Record with 480.00 constructor hours, and a Record count of 3 Detail Records.



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2. Employer submitting hours for multiple union locals.
  - Payroll Period 1/1/2008 – 1/31/2008
  - Work Period – 012008
  - Rate - \$15.10 per hour
  - 3 Employees each working a total of 160.00 constructor hours for local 0005.
  - 3 Employees each working a total of 160.00 constructor hours for local 0001.
    - File Header Record
    - Detail Record for Employee 1 assigned to batch 001 with 160.00 constructor hours.
    - Detail Record for Employee 2 assigned to batch 001 with 160.00 constructor hours.
    - Detail Record for Employee 3 assigned to batch 001 with 160.00 constructor hours.
    - Batch Total Record for batch 001, Union Local Number 0005, with Payroll End Date of 1/31/2008, Payroll Begin Date of 1/1/2008, Work Period of 01/2008, 480.00 constructor hours, 7,248.00 total dollar amount due and a Record count of 3 Detail Records.
    - Detail Record for Employee 1 assigned to batch 002 with 160.00 constructor hours.
    - Detail Record for Employee 2 assigned to batch 002 with 160.00 constructor hours.
    - Detail Record for Employee 3 assigned to batch 002 with 160.00 constructor hours.
    - Batch Total Record for batch 002, Union Local Number 0001, with Payroll End Date of 1/31/2008, Payroll Begin Date of 1/1/2008, Work Period of 01/2008, 480.00 constructor hours, and a Record count of 3 Detail Records.
    - File Trailer Record with 960.00 constructor hours, 7,248.00 total dollar amount due and a Record count of 6 Detail Records.
3. Employer submitting hours for one union local during a split rate payroll period.
  - Payroll Period 1/1/2008 – 1/15/2008/ 1/16/2008 – 1/31/2008
  - Work Period – 012008
  - Rate 1/1/2008 – 1/15/2008 - \$15.10
  - Rate 1/16/2008 – 1/31/2008 - \$16.50
  - 3 Employees each working a total of 80.00 constructor hours for local 0005 from 1/1/2008 – 1/15/2008.
  - 3 Employees each working a total of 80.00 constructor hours for local 0005 from 1/16/2008 – 1/31/2008.
    - File Header Record
    - Detail Record for Employee 1 assigned to batch 001 with 80.00 constructor hours.



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- Detail Record for Employee 2 assigned to batch 001 with 80.00 constructor hours.
- Detail Record for Employee 3 assigned to batch 001 with 80.00 constructor hours.
- Batch Total Record for batch 001, Union Local Number 0005, with Payroll End Date of 1/15/2008, Payroll Begin Date of 1/1/2008, Work Period of 01/2008, 240.00 constructor hours, 3,624.00 total dollar amount due and a Record count of 3 Detail Records.
- Detail Record for Employee 1 assigned to batch 002 with 80.00 constructor hours.
- Detail Record for Employee 2 assigned to batch 002 with 80.00 constructor hours.
- Detail Record for Employee 3 assigned to batch 002 with 80.00 constructor hours.
- Batch Total Record for batch 002, Union Local Number 0005, with Payroll End Date of 1/31/2008, Payroll Begin Date of 1/16/2008, Work Period of 01/2008, 240.00 constructor hours, 3,960.00 total dollar amount due and a Record count of 3 Detail Records.
- File Trailer Record with 480.00 constructor hours, and a Record count of 6 Detail Records.

### ***Limitations:***

Negative hours are not accommodated through this interface. Adjustments must be submitted on a manual report.



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## **Hours File Layout:**

### *File Header Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3	000	Constant value of "000"
Record Type	1	4	4	1	Constant value of "1"
IRS Number	9	5	13		Company Number assigned by the IRS.
Filler	2	14	15		Blank Fill
Plan	2	16	17	01	Constant Value of "01"
Company Name	35	18	52		Employers Official Name
Filler	64	53	116		Blank Fill

### *Detail Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3		Sequential number between 001 and 500.
Record Type	1	4	4	4	Constant value of "4"
Social Security Number	9	5	13		
Filler	2	14	15		Blank Fill
Constructor Hours	5	16	20		
Probationary Hours	5	21	25		
Unused Hours Field	5	26	30		Zero Fill
Vacation Hours	5	31	35		
Employer Comment Code	2	36	37		See Comment Code table.
Employee Name	35	38	72		Last Name - pos 1 - 20, First Name - pos 21 - 30, MI - pos 31
Job Type	2	73	74		See Job Type Code Table
Job Type Effective Date	8	75	82		MMDDYYYY
Filler	34	83	116		Zero Fill



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### *Batch Total Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3		Represents the batch number designated in the preceding Detail Records.
Record Type	1	4	4	6	Constant value of "6"
Union Local Number	4	5	8		e.g. Local 1 = 0001
Branch Number	3	9	11	000	A Constant value of "000" is required unless authorized for special use by the Benefits Office.
Constructor Hours	9	12	20		Total constructor hours for the batch.
Probationary Hours	9	21	29		Total probationary hours for the batch.
Unused Hours Field	9	30	38		Zero Fill
Vacation Hours	9	39	47		Total vacation hours for the batch.
Amount	9	48	56		The total dollar amount due for the batch. It is the total rate times the total hours.
Record Count	5	57	61		
Payroll End Date	8	62	69		MMDDYYYY
Payroll Begin Date	8	70	77		MMDDYYYY
Work Period	6	78	83		MMYYYY
Filler	33	84	116		Zero Fill

### *File Trailer Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3	999	Constant value of "999"
Record Type	1	4	4	9	Constant value of "9"
Filler	7	5	11		Blank Fill
Constructor Hours	9	12	20		
Probationary Hours	9	21	29		
Unused Hours Field	9	30	38		Zero Fill
Vacation Hours	9	39	47		
Amount	9	48	56		
Record Count	5	57	61		
Filler	55	62	116		Zero Fill





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### *Job Type Code Table*

Job Type Code	Description
10	Mechanic in Charge
11	Mechanic/Journeyman (Including Adjustors, Local Representatives, and Temporary Mechanics)
12	Apprentice (Including 1st, 2nd, 3rd, and 4th year)
13	Helper
14	Probationary
20	Owner
30	Supervisor "Grandfathered Employee"
31	Supervisor During Trial 6 Month Period (this can only be elected once during any 36 month period)
32	Supervisor Pension Only (Pension Plan Alumni Election)
40	I.U.E.C. Local - Union Officer (full-time)
41	I.U.E.C. Local - Office Staff
42	I.U.E.C. Local - Part -Time Union Officer, Bargaining Unit Alumni of the Industry
43	Office Employee for all Non-I.U.E.C. Local Offices (Including Elev. Ind. Work Preservation Fd, Intl Union of Elev. Constr., Local 1 Educ. & Appr., Tr Fd, Natl Elev Ind. Education Program, NEIBP, Washington Bldg & Constr.)

### *Comment Code Table*

Comment Code	Description
17	Laid off or quit
11	Management employee
12	Leave of absence
09	Deceased
15	Disability on the job
16	Disability off the job
18	Military service
20	Retired
21	Quit industry
22	New hire into industry
23	Transfer out



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## ***Important Field Information:***

### Hours Fields:

- At least one or more of these fields must be populated for each detail record.
- Hours may be reported in 15 minute increments consisting of .00, .25, .50 and .75.
- The last two positions of all Hours fields are used to designate the increment factor.
- This data must be right-justified with leading characters zero-filled (e.g. 00150). This example reflects how 1.5 hours would be submitted.
- Hour fields with no data must be zero filled.

Union Local Number: This data must be right-justified with leading characters zero-filled (e.g. 0002). This example reflects how local 2 would be formatted.

### Amount Fields:

- The last two positions of all amount fields are used to designate cents.
- This data must be right-justified with leading characters zero-filled (e.g. 09961). This example reflects how 99.61 would be submitted.

Record Count Fields: This data must be right-justified with leading characters zero-filled (e.g. 00055). This example reflects how 55 would be submitted.



# NATIONAL ELEVATOR INDUSTRY

## BENEFIT PLANS



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### 401(K) Remittance

#### **Design:**

The file layout is broken down into four different record types:

- File Header Record - This record identifies the employer.
- Detail Record – This record identifies each employee and provides their compensation amount along with their salary deferral for the given payroll period. The batch number within each record is used to group employees by local union and payroll period.
- Batch Total Record – This record totals up the employees and the compensation amount and the salary deferrals for the given payroll period for a specific local union.
  - If an employer submits hours for employees from multiple local unions, a separate record will be needed for each instance.
- File Trailer Record – This record totals up all of the Batch Total Records and provides a record count control.

#### **Examples:**

1. Employer submitting deferrals for one local union.
  - Payroll Period 1/6/2008 – 1/12/2008
  - Work Period – 012008
  - 3 Employees each with compensation of 1,000.00, 1,500.00 and 2,000.00.
  - 3 Employees each with salary deferrals of 200.00, 150.00 and 100.00.
    - File Header Record
    - Detail Record for Employee 1 assigned to batch 001 with compensation of 1,000.00 and 200.00 salary deferral.
    - Detail Record for Employee 2 assigned to batch 001 with compensation of 1,500.00 and 150.00 salary deferral.
    - Detail Record for Employee 3 assigned to batch 001 with compensation of 2,000.00 and 100.00 salary deferral.
    - Batch Total Record for batch 001, Union Local Number 0005, with Payroll End Date of 1/12/2008, Payroll Begin Date of 1/6/2008, Work Period of 01/2008, 4,500 compensation total, 450.00 salary deferral total, and a Record count of 3 Detail Records.
    - File Trailer Record with 4,500 compensation total, 450.00 salary deferral totals, and a Record count of 3 Detail Records.
2. Employer submitting deferrals for multiple union locals.
  - Payroll Period 1/6/2008 – 1/12/2008



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- Work Period – 012008
- 3 Employees each with compensation of 1,000.00, 1,000.00 and 1,500.00 for local 5
- and 3 employees each with compensation of 1,000.00,1,500.00 and 2,000.00 for local 2.
- 3 Employees each with salary deferrals of 200.00, 150.00 and 100.00 for local 5 and 3 employees each with salary deferrals of 200.00,150.00 and 100.00 for local 2.
  - File Header Record
  - Detail Record for Employee 1 assigned to batch 001 with compensation of 1,000.00 and 200.00 salary deferral.
  - Detail Record for Employee 2 assigned to batch 001 with compensation of 1,000.00 and 150.00 salary deferral.
  - Detail Record for Employee 3 assigned to batch 001 with compensation of 1,500.00 and 100.00 salary deferral.
  - Batch Total Record for batch 001, Union Local Number 0005, with Payroll End Date of 1/12/2008, Payroll Begin Date of 1/6/2008, Work Period of 01/2008, 3,500 compensation total, 450.00 salary deferral total, and a Record count of 3 Detail Records.
  - Detail Record for Employee 1 assigned to batch 002 with compensation of 1,000.00 and 200.00 salary deferral.
  - Detail Record for Employee 2 assigned to batch 002 with compensation of 1,500.00 and 150.00 salary deferral.
  - Detail Record for Employee 3 assigned to batch 002 with compensation of 2,000.00 and 100.00 salary deferral.
  - Batch Total Record for batch 002, Union Local Number 0002, with Payroll End Date of 1/12/2008, Payroll Begin Date of 1/6/2008, Work Period of 01/2008, 4,500 compensation total, 450.00 salary deferral total, and a Record count of 3 Detail Records.
  - File Trailer Record with 8,000 compensation totals, 900.00 salary deferral totals, and a Record count of 6 Detail Records.

### **Limitations:**

Negative deferral amounts are not accommodated through this interface. Adjustments must be submitted on a manual report.



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## 401(k) File Layout:

### *File Header Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3	000	Constant value of "000"
Record Type	1	4	4	1	Constant value of "1"
IRS Number	9	5	13		Company Number assigned by the IRS.
Filler	2	14	15		Blank Fill
Plan	2	16	17	01	Constant Value of "01"
Company Name	35	18	52		Employers Official Name
Vacation File	1	53	53		Y if yes, Blank if no
Filler	63	54	116		Blank Fill

### *Detail Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3		Sequential number between 001 and 500.
Record Type	1	4	4	4	Constant value of "4"
Social Security Number	9	5	13		
Filler	2	14	15		
Unused	5	16	20		Zero Fill
Unused	5	21	25		Zero Fill
Unused	5	26	30		Zero Fill
Unused	5	31	35		Zero Fill
Employer Comment Code	2	36	37		Blank Fill
Employee Name	35	38	72		Last Name - pos 1 - 20, First Name - pos 21 - 30, MI - pos 31
Compensation Amount	11	73	83		
Salary Deferral Amount	11	84	94		
Loan Identifier	2	95	96		Zero Fill
Loan Payment Amount	11	97	107		Zero Fill
Filler	9	108	116		Blank Fill



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### *Batch Total Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3		Represents the batch number designated in the preceding Detail Records.
Record Type	1	4	4	6	Constant value of "6"
Union Local Number	4	5	8		e.g. Local 1 = 0001
Branch Number	3	9	11	000	A Constant value of "000" is required unless authorized for special use by the Benefits Office.
Unused Hours Field	9	12	20		Zero Fill
Unused Hours Field	9	21	29		Zero Fill
Pay Date	8	30	37		MMDDYYYY
Unused	10	38	47		Zero Fill
Unused	9	48	56		Zero Fill
Record Count	5	57	61		
Payroll End Date	8	62	69		MMDDYYYY
Payroll Begin Date	8	70	77		MMDDYYYY
Work Period	6	78	83		MMYYYY
Compensation Amount	11	84	94		
Salary Deferral Amount	11	95	105		
Loan Payment Amount	11	106	116		Zero Fill



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### *File Trailer Record*

Field Name	Length	Start Pos	End Pos	Values	Comments
Batch Number	3	1	3	999	Constant value of "999"
Record Type	1	4	4	9	Constant value of "9"
Filler	7	5	11		
Unused	9	12	20		Zero Fill
Unused	9	21	29		Zero Fill
Unused	9	30	38		Zero Fill
Unused	9	39	47		Zero Fill
Unused	9	48	56		Zero Fill
Record Count	5	57	61		
Compensation Amount	11	62	72		
Salary Deferral Amount	11	73	83		
Loan Payment Amount	11	84	94		Zero Fill
Filler	22	95	116		Blank Fill

Union Local Number: This data must be right-justified with leading characters zero-filled (e.g. 0002). This example reflects how local 2 would be formatted.

Amount Fields:

- The last two positions of all amount fields are used to designate cents.
- This data must be right-justified with leading characters zero-filled (e.g. 09961). This example reflects how 99.61 would be submitted.

Record Count Fields: This data must be right-justified with leading characters zero-filled (e.g. 00055). This example reflects how 55 would be submitted.

Work Period: Based on the month and year the **pay date** falls. The **pay date** is the date you pay your employees. If the pay date is January 3, 2008, the work period is 012008.



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## Electronic File Transfer Options

### ***FTP Options:***

- Pretty Good Privacy (PGP).
- Virtual Private Network (VPN)

## Contact Information

To initiate the process, please contact the Data Operations Group at the Benefits Office at 800-523-4702 ext. 2225. A representative will schedule a conference call to review the specification.