



Payroll and Pension Data Interface Standard

Version 1.1

Specification for a pensions & payroll data interface standard
for the provision of data between Payroll, Middleware and Pension Providers

<http://www.papdis.org>

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Introduction

Purpose

This document defines the requirements for the Pensions & Payroll Data Interface Standard (PAPDIS) version 1.1. The interface has been developed as a UK standard that can be adopted for use by any automatic enrolment service provider offering either a Qualifying Workplace Pension Scheme or a Pension Scheme outside of Automatic Enrolment, or automatic enrolment “middleware” services (such as Assessment and/or Staff Communications).

This document regularly refers to 2 types of business entity: the Sender of the file and the Recipient of the file. The Sender of the file is responsible for populating the file with data so that it may be processed by the Recipient.

One purpose of this interface is to allow payroll and middleware software developers (the Senders) to create a file that can be used by pension providers (the Recipients) to receive information regarding pension contributions deducted from members and their employers that are due to be paid to the pension provider. The file will also contain information regarding the addition of new members to a scheme and information concerning when members leave a scheme.

In order to ease adoption, Version 1.1 of PAPDIS has been designed to be backwards compatible with the previous release, PAPDIS V1.0, meaning that it should be able to transmit or receive a PAPDIS V1.0 message and interpret it as a PAPDIS V1.1 message (with the exception of the PAPDISVersion field) i.e., no new mandatory fields have been introduced, and no breaking changes have been made to existing fields.

Version 1.1 contains data fields that, if populated by the Sender, will enable the Recipient to perform Assessment and Staff Communications duties. With the addition of these fields it is envisaged that PAPDIS can be used in the transfer of data from Payroll (the Sender) to Middleware (the Recipient), as well as to Pension Providers (the Recipient) that offer Assessment and Staff Communication services.

This document defines the data requirements, validation and format of PAPDIS V1.1 and provides accompanying notes as to how those data items will ultimately be used.

This document should be used in conjunction with the example files provided as separate documents. In cases of conflict between the documents, this document will take priority over the example files for definitive purposes.

History of BIB (the organisation) and PAPDIS (the standard)

BIB is a group of representatives from 3 Payroll Developers organisations.

- B** - BCS, The Chartered Institute for IT
- I** - IReeN, The electronic exchange with government network
- B** - BASDA, Business Application Software Developers' Association

BIB meet with representatives of HMRC, DWP and other government bodies to discuss requirements for Payroll Software.

PAPDIS was created following discussions between representatives of both the payroll and pension industries who have worked together to provide a pragmatic set of data requirements, with concessions from all parties.

The Pensions Regulator and the Chartered Institute of Payroll Pensions' Friends of AE were also actively involved in providing a forum for these discussions and for providing advice as required.

It is the intention that this interface will be adopted in time for January 2016 and that it can be amended in future to account for any legislative and/or regulatory changes. January 2016 is significant because of the enormous increase in companies Staging in Q1 2016, but equally importantly in time for payroll software releases for the beginning of the tax year.

All parties involved in the original discussions positively support the hope that these standards will be taken up by as many providers as possible.

The original discussions included:

- BCS, The Chartered Institute for IT
- IReeN, The electronic exchange with government user network
- Business Application Software Developers' Association (BASDA)
- The Pensions Regulator
- The CIPP's Friends of AE
- NOW: Pensions
- The People's Pension
- Nest

Governance of the PAPDIS Standard

In April 2015, a sub-committee of Pensions BIB was established to manage the governance of PAPDIS going forward. The sub-committee is made up of a broad range of payroll, pensions and middleware representatives. The work of this sub-committee is ongoing, but one of the key tenets of this work is to ensure PAPDIS continues to be a freely available, open standard that industry participants can have confidence in.

One aspect of this work is about managing change, as it is hard to have confidence in a standard if it is subject to frequent change. PAPDIS 1.1 is the first revision of the original PAPDIS (1.0) standard published in September 2014, and a key goal of this update was to ensure backwards compatibility with the original version 1.0 standard, so as to minimise the impact on firms that had invested in PAPDIS in its infancy.

This revised version of the standard nevertheless offers significant new capabilities to the marketplace to standardise the message exchanges between participants. It seems likely that further enhancements will be needed in the future to supplement and reinforce these new capabilities, but the governance sub-committee is tasked with making sure such changes only take place through a proper open process between all stakeholders, and that they are released to the market in a controlled and predictable manner.

Consult the papdis.org website for further information on the work of the governance sub-committee.

Section 1

Formats for data exchange

Data Formats

PAPDIS is supported in 2 formats, CSV and XML.

This is to accommodate the preferences of different Recipients; however the data items are the same in both formats.

CSV Files

CSV files must be delimited by commas.

CSV files should be provided with a title row detailing the column names.

There is no header row and no trailer row.

Where files contain data for multiple employers and/or payrolls, then there is no requirement to separate the data as this will be picked up from the various data items.

However, it is imperative that payrolls confirm with the intended recipient pension provider that the mixed client files can be uploaded. If the pension provider requires data for each client individually, this should be taken into account when uploading data, as while the file will not fail the validation, records for subsequent clients may fail on an individual line basis

The preference is that data items within the commas are surrounded by quotation marks to ensure that any rogue commas in address data (for example) do not inadvertently move the data to the right.

Quotations are not required in blank data columns. Thus, data should be presented as:

,,,,,,,"23, The Street", "The Town",,,etc.

Data can be supplied with simple comma separation (i.e. no quotation marks), however in doing so it is reliant on source applications to ensure that there are no commas in the data being uploaded, as this will cause these lines of the file to reject as the data will not meet the validation requirements.

There is no provision for escape characters in the standard where quotation marks are provided in the data. In this scenario – and where the data source is providing data items surrounded by quotation marks then the data will be presented as: ,,,,,,,,"23, "Greenfields" The Street", "The

Town”,,,,,etc.

In the CSV format, no columns should be omitted, even if they are effectively a blank, as some Recipients will process the data from a PAPDIS file in the order in which the data appears in the file.

CSV files can be provided via an SFTP upload or by direct upload into the website by the client. Methods of file upload will be determined by the individual recipient and are not within the scope of this document.

XML

XML files will be acceptable that match the XSD.

In XML format, data items can be omitted in accordance with the XSD. Please note, however, that the omission of a data item that is mandatory could cause the data upload to fail.

XML can be provided via an SFTP upload or API. Methods of data upload will be determined by the individual Recipient and are not within the scope of this document.

Data Exchange

As stated above, methods of transferring data will be ultimately dependent on agreement between Sender and Recipient.

Pensions BIB agrees that standardised methods of data exchange would be extremely valuable and that a replica of the RTI solution would be the most scalable solution. It is unlikely that the RTI process could be directly copied, but that an RTI-style approach is the ultimate goal.

This document does not attempt to address this, as that solution would delay – and possibly prevent – the wide adoption of the data standard.

Information on HMRC’s RTI Data Specification can be found online here: <https://www.gov.uk/government/collections/real-time-information-online-internet-submissions-support-for-software-developers>

File naming convention

PAPDIS V1.1 does not specify a file naming convention.

Different Recipients are likely to specify their own file naming conventions. Please check with the Recipient directly for documentation on their file

naming conventions.

Where a file naming convention is not specified it is left to the developers of the software product creating PAPDIS files to name the files in a manner which is helpful and meaningful to their users.

Usage Guidelines

The following are some Frequently Asked Questions

1. When do I create a PAPDIS V1.1 MessageFunctionCode "0" (Enrol/ReceiveContributions) file?
 - a. Create a separate file for each distinct Recipient for each distinct Pay Period.
2. Can I put weekly and monthly pay data into the same PAPDIS V1.1 MessageFunctionCode "0" (Enrol/ReceiveContributions) file for the same employer?
 - a. No. Produce one file per distinct Pay Period.
3. Can I send data to different schemes with the same Pension Provider, for the same employer, from the same Pay Period?
 - a. Yes you can. But you should confirm with the Pension Provider that all of your Pension schemes are compatible with PAPDIS
4. How do I handle the situation where an employee joins and leaves the Pension Scheme in the same Pay Period?
 - a. Report both the assessment event which triggered the employee joining the scheme AND report the exit date and reason for exiting the scheme in the same data record for the employee
5. How do I handle the situation where an employee is affected by multiple events in a single Pay Period?
 - a. All employee events in a single Pay Period are to be reported in that Pay Period's PAPDIS file. If necessary create multiple data lines (for CSV) or multiple employee records (for XML) for the same employee in the same file. The order, or sequence, of the events is important. Report them in the order in which they chronologically took place. Assessment category & contributions for that employee should be calculated on the last reported event only.

Section 2

General Data Principles

When to use the Standard

This standard is intended, but is not restricted to, scenarios in which an Employer’s workforce has been assessed prior to data being sent to a Pension Provider or scenarios where the Recipient of the data will carry out Assessment or Staff Communications.

PAPDIS V1.1 differs from PAPDIS V1.0 in that it contains a Data Dictionary (Section 3) and a field called `MessageFunctionCode` which is used to convey to the Recipient the business purpose of the data transfer. `MessageFunctionCode` has a dual purpose in that it can also be used to define which elements from the Data Dictionary should be used to construct the message.

In order to ease adoption, Version 1.1 of PAPDIS has been designed to be backwards compatible with the previous release, PAPDIS V1.0, meaning that it should be able to transmit or receive a PAPDIS V1.0 message and interpret it as a PAPDIS V1.1 message. Implementers of PAPDIS V1.1 should note that PAPDIS V1.0 CSV files will not contain column headers for fields 44 – 55.

Pensions BIB have defined the following `MessageFunctionCodes` as part of PAPDIS V1.1. For more information on each code, and how to populate PAPDIS V1.1 files to support these messages please see Appendix D: Table of message functions.

MessageFunctionCode (field 52)	Business function	Worker population to be included	Worker population not to be included
0	Enrol (ie handle joiners and leavers) / ReceiveContributions. If MessageFunctionCode is blank then 0 is assumed, enabling backwards compatibility with PAPDIS V1.0.	<p>The following workers should be included in the file:</p> <ul style="list-style-type: none"> Existing members. Contractual Joiners Voluntary Joiners. All assessed workers who would be automatically enrolled into that specific pension scheme (i.e. Eligible Jobholders) Any unassessed workers who will be 	<p>The following workers should not be included in the file:</p> <ul style="list-style-type: none"> Members of pension schemes with other providers; Workers who would be automatically enrolled into a pension scheme with a different provider, and; Workers who have left employment and for whom an

MessageFunctionCode (field 52)	Business function	Worker population to be included	Worker population not to be included
		using the specific pension scheme as their automatic enrolment scheme (e.g. any worker who is not assessed during postponement but who would be enrolled into that scheme should they opt in or become enrolled in the future).	exit date has been provided in a previous submission (unless there are additional contributions to be paid in the period after the exit date because of holiday payments etc.).
1	Information only. To be used to convey information on workers to the recipient.	Bespoke population	
2	Assessment request	Workforce to be assessed	
3	Assessment response	Workforce that has been assessed	
4	Worker instruction (eg Opt out, or Opt in / join request), specifics derived from content of other PAPDIS fields.	Bespoke population	
5 - 99	Reserved for future PAPDIS use		
100+	Available for other functions (i.e. can be user defined).		

The Standard is designed for Defined Contribution schemes only and not for defined benefit or hybrid schemes.

N.B. this file is not to be used for historic data corrections and therefore the use of negatives within the Principles are designed to accommodate Payroll restrictions and will not be used by the Pension Providers to correct historic monetary errors. This is because once monies are invested, they are invested as units rather than monetary values and there are significant implications in unravelling errors. Where errors need to be addressed, these should be addressed following consultation with the Pension Provider directly to ensure the desired outcome is achieved.

Overview

There is currently no consistency between the presentations of data items between different automatic-enrolment service providers.

As a general principle, the participants have agreed that wherever possible, the RTI data standards will be used and that any deviation from this has been made after careful consideration.

These principles were agreed as a high level guide and if there is any deviation from this, then the data validation used at the data item level should be considered as the over-riding rule on what data formats will be accepted.

Generation of data

This data interface standard may be used where the Recipient needs to perform assessment, or where the Sender of the file has already performed assessment.

In the scenario where Assessment is carried out by the Sender of the file then no data is required by the Pension Provider until the payroll has closed for the tax period. A single file should therefore be generated at the end of the payroll cycle.

Unless you have specifically agreed with your Pension Provider, do not submit multiple PAPDIS V1.1 (MessageFunctionCode 0) files for the same payrun.as this may have unexpected consequences depending on how the Pension Provider handles resubmitted data for a member.

Principles

1. Character sets are those specified by HMRC. These are generally all, or a sub-set, of the following: A-Z, a-z, 0-9, space or ., - , / , ! , " , % , & , * , ; , < , > , ' , + , : , ?
2. Monetary values are provided as pounds and pence with a stop separator, or whole pounds but no currency symbol, e.g. "0.99" "13.28" "100" "4789.50" "16000.00". Leading zeroes are optional, except where the number is a decimal less than 1. In that case, the data must be represented as "0.15" and not ".15". Pension providers have a strong preference that leading zeroes are not included (but they would not invalidate the data).
3. Negative values can be supplied for any monetary or percentage value. However, payrolls should be aware that Pension Providers may treat negative values as being zero. Therefore, negative values MUST NOT be used for amendments, as the data will not be used to achieve this. The approach on amendments should be agreed with the relevant pension provider.
4. Negative values should be supplied with a leading minus sign e.g. -2.7
5. Dates should be provided in the format YYYY-MM-DD, for example the 13 May 2014 is 2014-05-13
6. Percentages should be provided with up to 3 decimal places and with a maximum of 7 characters including the stop separator. The "%" sign should be excluded from the data. Hence, 13.125% could be represented as 13.125 or as 013.125 and 100% could be represented as 100, 100.0, 100.00, 100.000 or 0000100. Leading zeroes are optional, although all of the pension providers have a strong preference that these are

not included (but they would not invalidate the data).

7. Full data should be provided in every submission (e.g. address data should be provided with every submission, not just when it has changed).

Salary Sacrifice

Where Salary Sacrifice is used:

- All sacrificed contribution amounts should be in the `EmployerContributionsAmount` data field.
- Sacrificed lump sums should **not** change the `EmployerContributionsPercent` and `EmployeeContributionsPercent` fields.
- `EmployeeContributionsPercent` would be expected to be 0.
- `EmployerContributionsPercent` would be expected to be the pre-sacrifice aggregate of the employer and employee contribution percentages.
- `PensionableEarningsAmount` should meet the definition for the data field.

Section 3

Data Dictionary

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
1	PAPDISVersion	5	Alphanumeric	PAP + 2 numbers. Current version PAP11	Version number of the standard	File rejected if omitted or if incorrect.
2	PensionProviderId	35	Any of A-Z, a-z, 0-9, space or ., - () / = ! " % & * ; < > ' + : ?	Text	A code or name that uniquely identifies a particular Pension Provider	Enables the Pension Provider to validate that they are the intended Recipient of the file. This field may also be used to indicate Middleware as the Recipient, but the field name has not been altered to maintain backwards compatibility with IT systems already producing PAPDIS V1.0 files.
3	EmployerId	40	Any of A-Z, a-z, 0-9, space or ., - () / = ! " % & * ; < > ' + : ?	Text	The employer identifier supplied by the Pension Provider	Used by the Recipient to identify the individual employer. This will be used to identify the employer submission to the relevant Recipient. Some Recipients may allow multiple employers in one file. Check with the Recipient before sending multiple employers. There may be multiple employers, but only a single Recipient per file.
4	Group	40	Any of A-Z, a-z, 0-9, space or ., - () / = ! " % & * ; < > ' + : ?	Text	Employer/Pension sub identifier	The Recipient may require workers to be classified into groups, schemes or other similar structures. This specifies the name of the group, scheme etc. to which the worker has been allocated. Additional information to be determined by the Recipient.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
5	SubGroup	40		Any of A-Z, a-z, 0-9, space or ., -, (/)!"%&*;<>'+:?	Employer/Pension sub identifier #2	Additional information for the Recipient. The Recipient to determine what this is.
6	PayPeriodStartDate	10	YYYY-MM-DD	Date	The start date of the period in which the payroll is run	<p>The start of the pay period which includes the relevant pay date for contribution deduction. Used by some Recipients to ensure file uploads are not duplicated.</p> <p>A file is expected to be sent to the Recipient after every payroll run e.g. if there is a weekly payroll then in a month 4 to 5 files will be submitted.</p> <p>NB this date may not be the start of the Pay Reference Period.</p>
7	PayPeriodEndDate	10	YYYY-MM-DD	Date	The end date of the period in which the payroll is run	<p>The end of the pay period which includes the relevant pay date for contribution deduction. Used by some Recipients to ensure file uploads are not duplicated or missed.</p> <p>NB this date may not be the end of the Pay Reference Period.</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
8	ContributionDeductionDate	10	YYYY-MM-DD	Date	The date when the contribution has been deducted from the employee's salary. I.e. "payday".	Some Recipients use this to determine that duplicate submissions are not provided for the same tax period. This will usually be the payroll pay date. For clarity data should be uploaded only once for any given tax period, unless the provider has explicitly stated that the data can be amended in this manner. Multiple pay runs within a period should be aggregated together and the final position at the end of the tax period communicated to the pension provider on this interface.
9	FrequencyCode	2	Alphanumeric	W1 – Weekly W2 – Fortnightly W4 – 4 weekly/lunar M1 – Monthly M3 – Quarterly M6 – Bi annually MA – annually	Frequency of the payroll period covered by the submission	Potentially used for a number of purposes including communications and checking the validity of contribution deductions.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
10	TaxPeriod	2	Number	Value Monthly will be 01-12 inclusive Weekly variations to be 01-56 inclusive (but never 55)	Tax period of the contribution deduction	Used to determine that duplicate submissions are not provided for the same tax period. For clarity data should be uploaded only once for any given tax period, unless the provider has explicitly stated that the data can be amended in this manner. Multiple pay runs within a period should be aggregated together and the final position at the end of the tax period communicated to the pension provider on this interface.
11	Title	35	Alphanumeric	Text	Employee's title	HMRC RTI data field length & validation used in the standard. Additional validation may be defined by the Recipient. Data is used in employee communication Some Recipients may have restrictions on acceptable values.
12	Forename1	35	Any of A-Z, a-z, space, ' or hyphen(-)	Text	Employee's first name	HMRC RTI data field length & validation used in the standard. Used in communication and as a secondary identifier. Some Recipients may have restrictions on acceptable values.
13	Forename2	35	Any of A-Z, a-z, space, ' or hyphen(-)	Text	Employee's second name	HMRC RTI data field length & validation used in the standard. Used as a secondary identifier so include if available. Some Recipients may have restrictions on acceptable values.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
14	Surname	35	Any of A-Z, a-z, space, ' or hyphen(-) 1 st character must be alpha	Text	Employee's surname	HMRC RTI data field length & validation used in the standard. Used in communications and as a secondary identifier. Some Recipients may have restrictions on acceptable values.
15	EmployeeId	35	Any of A-Z, a-z, 0-9, space or ., - () = ! % & * ; < > ' + : ?	Text	Unique employee identifier	Unique at the payroll and employer level. Could be payroll number, HR number, RTI number or any other identifier as long as it is unique. An Employee ID which is unique to the employee on the payroll. It is used as the primary identifier of an individual.
16	BirthDate	10	YYYY-MM-DD	Date	Employee's date of birth	HMRC RTI data field length & validation used in the standard. That is today or earlier. Not more than 130 years ago. Used in communications and as a secondary identifier.
17	Gender	1	Alpha	M or F	Employee's current legal gender	HMRC RTI data field length & validation used in the standard.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
18	NationalInsuranceNumber	9	2 alpha 6 numeric followed by one of A, B, C, D or space. Blank	Value	Employee's NI Number	HMRC RTI data field length & validation used in the standard. Must be provided if known. Must be updated if it changes. It may be amended by notification from HMRC to Employer. A reference number that is issued to a person by the DWP/HMRC for participants in the National Insurance Scheme.
19	Address1	35	Any of A-Z, a-z, 0-9, space or ., - (/)!"%&*;<>'+:?	Text	Employee's Address line 1	HMRC RTI data field length & validation used in the standard. Used for communications. All data every submission, with the Pension Provider to determine how this is used.
20	Address2	35	Any of A-Z, a-z, 0-9, space or ., - (/)!"%&*;<>'+:?	Text	Employee's Address line 2	HMRC RTI data field length & validation used in the standard. Used for communications. All data every submission, with the Pension Provider to determine how this is used.
21	Address3	35	Any of A-Z, a-z, 0-9, space or ., - (/)!"%&*;<>'+:?	Text	Employee's Address line 3	HMRC RTI data field length & validation used in the standard. Used for communications. All data every submission, with the Pension Provider to determine how this is used.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
22	Address4	35	Any of A-Z, a-z, 0-9, space or .,- (/)!"%&*;<>' +:?	Text	Employee's Address line 4	HMRC RTI data field length & validation used in the standard. Used for communications. All data every submission, with the Pension Provider to determine how this is used.
23	Postcode	10	Alphanumeric	Text	Employee's UK postcode	HMRC RTI data field length & validation used in the standard. Used for communications. Must be provided if known. Otherwise blank. All data every submission, with the Pension Provider to determine how this is used
24	Country	35	Any of A-Z, a-z, 0-9, space or .,- (/)!"%&*;<>' +:?	Text	Employee's country of residence for address purposes	HMRC RTI data field length & validation used in the standard. Used for communications.
25	EmailAddress	75	Valid e-mail address	Text	Employee e-mail address	Used for communications and for some Recipients as the log-in to their personal website (providing information on their fund values, for performing admin functions and for opt in/opt out decisions). Pensions BIB recommends this field is populated by the individual's work email address as it is likely to be a more reliable contact email than an individual's personal email address. A 2 nd , alternative, email address field is provided elsewhere in this data standard (field 49).

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
26	EmploymentStart Date	10	YYYY-MM-DD	Date	Date joined employment	This is the date the employee starts with the Employer. Used for preservation purposes and is a key data item for pension administration systems.
27	ExitDate	10	YYYY-MM-DD	Date	The date the employee leaves/exits the scheme.	<p>Used for triggering leaving communications and leaver options. Contributions may be accepted for later pay periods after this date by some Recipients. Allows the correct communications to be sent by the Recipient (if this is a service provided).</p> <p>To be used in conjunction with Exit Reason Code. Must be included when payroll are aware that an employee is leaving. Must be date not later than the Pay Period End Date (Field 7). Exit date to be completed for Reason Code 1. This must be provided if an employee exits a scheme, otherwise it should be blank.</p>
28	ExitReasonCode	1	Numeric	1 – Employee left employment 2 – Ceased active membership, member still employed 3 – Deceased	The reason that the employee is no longer a member of the Pension Scheme	<p>Used to determine the administration communications to be sent. Will ensure that the Recipient is A) No longer looking for contributions related to this employee. B) Knows whether this employee may be subject to re-enrolment at a later date e.g. Code 2 would let the Recipient know that there is the potential for re-enrolment. Reason why membership has ceased. Code 2 should not be used for AE opt outs – these will be determined by the Opt Out Date having been populated with a date no later than the end of the opt-out period.</p> <p>This must be provided if an employee exits a scheme and Exit Date field is completed, otherwise it should be blank.</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
29	AssessmentCode	1	Numeric	0 – Excluded 1 – Eligible Jobholder 2 – Non-eligible Jobholder 3 – Entitled Worker Blank	Assessment Category	<p>An indicator that identifies whether a worker has been assessed or not. If they have been, this gives the outcome of the assessment</p> <p>Data is used in conjunction with the next field.</p> <p>The data is used for communications, record keeping and opt in/opt out decisions.</p> <p>By using Assessment & Event Type the Recipient will be able to ascertain the exact worker category.</p> <p>See Appendix A for Matrix</p>
30	EventCode	1	Numeric	0 – Not an enrolment event 1 – Automatic enrolment 2 – Opt-In 3 – Voluntary Joiner/Joiner 4 – Contractual Enrolment 5 – Opt in/Join request 6 – Cyclical re-enrolment 7 – Immediate re-enrolment	Enrolment Event	<p>Used to determine the action that has occurred, available options for the individual and the communications to be sent. Used in conjunction with the previous field.</p> <p>An Event Type of 1, 2, 3 or 4 must be supplied if the worker has been enrolled in the pension scheme, otherwise supply 0".</p> <p>See Appendix A for Matrix</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
31	EventDate	10	YYYY-MM-DD	Date	The date of the event	<p>Not later than the PayPeriodEndDate (Field 7), but can be earlier if this is the first time enrolment data is provided for the individual (e.g. if the first submission is post-Staging). Must be provided if the member enrolls during the Pay Period of submission or if the member enrolled in a previous period and this has not been previously supplied. Condition is if Event Type is not 0 then Event Date should be included.</p> <p>If not provided then this may be deemed the later of the 1st date of the pay period for the file uploaded or the employment start date</p> <p>N.B. If a "backdated" enrolment event is provided with no Enrolment Date, then the Recipient may also make the above assumption.</p> <p>This may mean that an individual receives a refund that they are not entitled to, which could cause an unauthorised payment to be made. This could lead to significant additional employer charges.</p>
32	DeferralDate	10	YYYY-MM-DD	Date	The date of the next assessment following the current postponement period end	<p>This is the day after the Postponement End Date. Must be provided if postponement is being used. Can be uploaded every time, but must be suppressed if date is earlier than Pay Period Start Date. If the Recipient is issuing employee communications on behalf of the employer this date is required if postponement of an employee(s) is used.</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
33	AEOptOutDate	10	YYYY-MM-DD	Date	Date valid AE Opt Out notification received.	<p>Used to confirm that member has opted out within the AE opt out period.</p> <p>Not to be used for ceased scheme membership while remaining in active service. Must be provided if member opts out – regardless of who received the notification (i.e. whether employer or provider). This is only for Auto enrolment and will determine if the Opt-out has occurred in the correct timeframe and therefore if refunds of contributions is applicable. This is the date that the employee effectively opted-out of the AE scheme and used for audit purposes. It is not generated by payroll but is a record of the date only.</p> <p>Not to be used if an employee has ceased membership.</p>
34	AEOptOutReference	35	Any of A-Z, a-z, 0-9, space or ., -, (/)=! "% & * ; < > ' + : ?	Text	Reference required by some Pension Providers	<p>Specific Opt-out reference given by a Pension Provider to identify a valid Opt-out by an employee.</p> <p>Will be Blank for Pension Providers who do not use a specific reference.</p> <p>For AE Opt-outs only (not ceased memberships).</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
35	EnrolmentCommunicationsIssuedDate	10	YYYY-MM-DD	Date	Date on which enrolment communications were issued to confirm that enrolment was achieved.	Depending on the Assessment and Enrolment Type fields this could be used to determine the opt-out period and other communications. It will be provided only where payroll know the date. Pension Providers can use this date to help determine the end of the AE opt out period This is not for use in respect of postponement or other communications. If the Recipient is issuing employee communications on behalf of the employer this is the date when the relevant communications are issued. This would not be the postponement date (see Field 32).
36	EmployerContributionsAmount	13	Monetary	Monetary Value. Stop separated. No commas. No Currency sign. Zero contributions should be entered as 0.00 Maximum length is 13, with 2 numbers after the decimal	Amount of employer pension contribution in pounds and pence	This is the value of the employer pension contribution. If a salary sacrifice scheme is in place then there will only be employer pension contributions. If there is a refund/adjustment on the employer contributions there may be a negative value provided by the Payroll system. Pension Providers will either ignore or treat as zero value. Actual refunds/adjustments will be dealt with via a separate process by the Pension Provider and it will be up to the employer to reconcile this between Payroll & Pension systems Can be negative, but Pension Providers will treat as 0.00

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
37	EmployeeContributionsAmount	13	Monetary	Monetary Value. Stop separated. No commas. No Currency sign. Zero contributions should be entered as 0.00 Maximum length is 13, with 2 numbers after the decimal	Amount of employee pension contribution in pounds and pence	<p>This is the value of the employee pension contribution. If a salary sacrifice scheme is in place then there will only be no employee pension contributions.</p> <p>If there is a refund/adjustment on the employee contributions there may be a negative value provided by the Payroll system. Pension Providers will either ignore or treat as zero value.</p> <p>Actual refunds/adjustments will be dealt with via a separate process by the Pension Provider and it will be up to the employer to reconcile this between Payroll & Pension systems.</p> <p>Can be negative, but Pension Providers will treat as 0.00</p>
38	AdditionalVoluntaryContributionsAmount	13	Monetary	Monetary Value. Stop separated. No commas. No Currency sign. Zero contributions should be entered as 0.00 Maximum length is 13, with 2 numbers after the decimal	Amount of employee additional voluntary pension contribution in pounds and pence	<p>If there are AVCs related to the employee pension contribution they should be reported separately from the usual Employee contributions.</p> <p>They can be added to the employee contributions, but this may cause additional administration for the Employer/Client and the Pension Provider.</p> <p>If Salary Sacrifice is used, then this should be 0.00 as any positive amount could be available to the employee as a refund.</p> <p>Can be negative, but Pension Providers will treat as 0.00</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
39	AdditionalVoluntaryContributionsPercent	7	Number	Value. Max 3 decimal places. Stop separated or whole number. No % symbol. May be 0.00 Can be negative, but Pension Providers will treat as 0.00. So 25% is 25 or 25.00. Can accept 025.000	The percentage of the employee's Additional Voluntary Contributions	The percentage contributions used to calculate the additional voluntary contribution value.
40	PensionableEarningsAmount	13	Monetary	Monetary Value. Stop separated. No commas. No Currency sign. Maximum length is 13, with 2 numbers after the decimal	The amount of pensionable pay used to calculate the pension contributions.	Used with each contribution percentage to determine whether the contributions are correct. Pensionable Earnings are optional, but if the Payroll system has them they should be provided. The item will be conditional on data outside of the schema. By supplying Pensionable Earning the Recipient is able to confirm (as required by regulations) that the correct contributions (minimum % etc.) have been deducted. Zero Pensionable Earnings should be entered as 0.00

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
41	EmployerContributionsPercent	7	Number	Value. Max 3 decimal places. Stop separated or whole number. No % symbol. May be 0.00 Can be negative, but Pension Providers will treat as 0.00. So 25% is 25 or 25.00. Can accept 025.000	The percentage contributions used to calculate employer contributions.	Recipients will be able to check that the correct contribution % has been paid by the employer/client (e.g. minimum % obligation etc. have been met).
42	EmployeeContributionsPercent	7	Number	Value. Max 3 decimal places. Stop separated or whole number. No % symbol. May be 0.00 So 25% is 25 or 25.00. Can accept 025.000	The percentage contributions used to calculate employee contributions.	Recipients will be able to check that the correct employee contribution % has been deducted (e.g. minimum % obligation etc. have been met). Even if AVCs are included within the Employee Contributions, this percentage should only relate to core contributions, as AVCs are often paid as a fixed amount that does not relate to pensionable earnings. Can be negative, but Pension Providers will treat as 0.00.

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
43	SalarySacrifice Indicator	1	Alpha	Y, N or no input	Indicator of whether a Salary Sacrifice scheme has been used	<p>Indicator to determine whether the contribution has been calculated with reference to Salary Sacrifice. Best practice should be to include a Y or an N (N can include not known if it is not involved in the calculation). If blank then expect employee contributions unless the scheme itself is Non-contributory.</p> <p>If "Y" then employee contribution % is expected to be 0. If a Salary Sacrifice scheme has been used flag should be set to YES. (If known by payroll). This being flagged YES will also allow Pension Providers to do a check if the Employee contribution is zero (value or %)</p>
44	TotalGrossQualifyingEarningsAmount	13	Monetary	Monetary Value. Stop separated. No commas. No Currency sign. Maximum length is 13, with 2 numbers after the decimal	The (unbanded) earnings used for worker assessments under the automatic enrolment legislation/regulations to determine whether the worker is an Eligible Jobholder, Non-Eligible Jobholder or Entitled Worker	<p>Mandatory field if Assessment is being carried out by recipient (unless Worker has been excluded).</p> <p>N.B. This is NOT banded 'Qualifying Earnings'</p> <p>Zero TotalGrossQualifyingEarningsAmount should be entered as 0.00</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
45	WorkerExclusion Code	2	Number	See Appendix.	The reason why the Worker is excluded from Assessment.	<p>Optional field that Pensions BIB recommends is populated if AssessmentCode (field 29) = 0 (meaning Worker is excluded).</p> <p>Can be BLANK. Please see Appendix B for complete list of all exclusion codes.</p>
46	StatutoryLetter Code	3	Alphanumeric	Can be any combination of 3 alphanumeric characters.	Unique identifier representing a unique Letter template.	<p>An optional field that can be used to convey to the recipient which Letter Template should be used for Worker communications. The letter may or may not have already been issued to the Worker, depending on whether EnrolmentCommunicationsIssuedDate has been populated.</p> <p>Pensions BIB has supplied a list of codes for the current Statutory Letter templates provided by The Pensions Regulator, which can be found in Appendix C</p> <p>Can be BLANK.</p>
47	IsIndividualAlreadyMemberOfQPS	1	Alpha	Y, N or BLANK	Used to indicate if the Worker is already a member of a Qualifying Pension Scheme	<p>Can be BLANK. If BLANK then defaults to N. Alternatively, If BLANK then recipient may assume the sender does not hold this information and may need to ascertain it via an alternative method: e.g. directly.</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
48	ReenrolmentIndicator	1	Alpha	Y, N or BLANK	Used to indicate that Assessment is NOT required and the worker can be left until cyclical re-enrolment date	Can be BLANK. If BLANK then assumed value of this field is N (e.g. False) meaning do not leave until cyclical re-enrolment date
49	SecondaryEmailAddress	75	Valid e-mail address	Text	A 2nd email/alternative address for the Worker.	Optional field which can be used as an alternative email address to Field 25 'EmailAddress' (eg if email fails to be delivered to that address). For example, it could be the personal work email, if Field 25 has the workplace email address or vice versa. Can be BLANK
50	StagingDate	10	YYYY-MM-DD	Date	The Employer's Staging Date.	Pensions BIB recommends that this field is populated if the Sender has it (to aid the Recipient with either Assessment or Staff Communication responsibilities). Can be BLANK. If BLANK then assume post-staging (i.e. that the start of the PRP is after the Staging Date). Alternatively, if the date is not provided, then the receiving assessment system may need to ascertain the staging date through another route (eg direct from employer, via TPR's staging date tool etc).

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
51	CyclicalReenrolmentDate	10	YYYY-MM-DD	Date	The date on which all Workers must be assessed for automatic re-enrolment by the Employer	Can be BLANK. If BLANK then CyclicalReenrolmentDate can be derived by recipient as StagingDate + 3 years. If StagingDate has not been provided then CyclicalReenrolmentDate should be assumed to be a date in the future.
52	MessageFunctionCode	3	Number	0 – Enrol (ie handle joiners & leavers) / Receive contributions 1 – Info only 2 – Assessment request 3 – Assessment response 4 – Worker instruction (e.g. Opt out request), specifics derived from content of other PAPDIS fields	Specifies the business function that the sender is requesting	<p>Can be BLANK. If BLANK then assume value = '0 – Enrol/ReceiveContributions' – this is for backwards compatibility with PAPDIS v1.0</p> <p>Value '0 = Enrol/ReceiveContributions' is equivalent to PAPDIS V1.0</p> <p>Sending systems may use field 46 'StatutoryLetterCode' to request the receiving system to generate / issue statutory letters, in conjunction with any MessageFunction (eg could be InfoOnly or AssessmentResponse).</p> <p>5 – 99 – Reserved for future PAPDIS use 100+ available for other functions (e.g. user defined)</p>

Field No	Field Name	Field Length	Format	Allowable values	Description	Notes
53	PayReferenceStartDate	10	YYYY-MM-DD	Date	Pay Reference Period start date,	Used to explicitly define the Pay Reference Period start date. Can be BLANK. If BLANK then assume tax based PRP and derive from fields 9 and 10.
54	PayReferenceEndDate	10	YYYY-MM-DD	Date	Pay Reference Period end date.	Used to explicitly define the Pay Reference Period end date. Can be BLANK. If BLANK then assume tax based PRP and derive from fields 9 & 10.
55	OptOutWindowEndDate	10	YYYY-MM-DD	Date		Can be BLANK. Optional field to allow one system to inform the other of the last day of the one calendar month statutory opt out window. The Opt Out window does not start until both of these have occurred: <ul style="list-style-type: none"> the worker has been enrolled (and active membership achieved) the worker has been given the statutory enrolment letter/email So, this may be a pension provider or middleware system passing the date to an employer or vice versa, depending on who issued the worker communications.

Section 4

Appendices

Appendix A - Assessment & Event Type Matrix

The following matrix shows how Data Fields 29 for AssessmentCode and 30 for EventCode should be used in conjunction to allow the Pension Provider to understand the Assessment status of the employee reported by Payroll. Meaning is the result of the combination of AssessmentCode and EventCode.

AssessmentCode (Field 29)	EventCode (Field 30)	Meaning NB A worker can only be an Entitled Worker, Non-Eligible Jobholder or Eligible Jobholder <u>after</u> their employer has reached their staging date
0 – Excluded	0 – Not an enrolment event	An individual who is excluded from all AE duties (and so does not need to be assessed and will not require any statutory letters)
0 – Excluded	1 – Automatic enrolment	Not applicable – EventCode should be disregarded
0 – Excluded	2 – Opt-In	Not applicable – EventCode should be disregarded
0 – Excluded	3 – Voluntary Joiner/Joiner	An individual who is excluded from all AE duties (e.g. an excluded worker, a company director or a pre-staging company employee).
0 – Excluded	4 – Contractual Enrolment	An individual who is excluded from all AE duties (eg a worker pre-staging or an excluded worker such as an overseas resident) and who is being contractually enrolled.
0 – Excluded	5 – Opt-in/Join request	Not applicable – EventCode should be disregarded
0 – Excluded	6 – Cyclical re-enrolment	Not applicable – EventCode will have no effect on this individual
0 – Excluded	7 – Immediate re-enrolment	Not applicable – EventCode should be disregarded
1 – Eligible Jobholder	0 – Not an enrolment event	An Eligible Jobholder that does not need to be automatically enrolled for some reason, for example they: <ul style="list-style-type: none"> • are already in a qualifying pension scheme, or • have previously Opted-out or ceased membership and only need to be assessed on re-enrolment, or • are under a period of postponement.
1 – Eligible Jobholder	1 – Automatic enrolment	An Eligible Jobholder being automatically enrolled.
1 – Eligible Jobholder	2 – Opt-In	An Eligible Jobholder who now needs to be enrolled because they have Opted in to an Automatic Enrolment scheme (and there is no need to automatically enrol them), for example they: <ul style="list-style-type: none"> • have previously Opted-out or ceased membership and only needs to be assessed on re-enrolment, or • are under a period of postponement.

AssessmentCode (Field 29)	EventCode (Field 30)	Meaning NB A worker can only be an Entitled Worker, Non-Eligible Jobholder or Eligible Jobholder <u>after</u> their employer has reached their staging date
1 – Eligible Jobholder	3 – Voluntary Joiner/Joiner	An Eligible Jobholder who has agreed to join a different level scheme instead of the default automatic enrolment scheme.
1 – Eligible Jobholder	4 – Contractual Enrolment	An Eligible Jobholder being contractually enrolled, for example they: <ul style="list-style-type: none"> • have previously Opted-out or ceased membership and only need to be assessed on re-enrolment, or • are under a period of postponement.
1 – Eligible Jobholder	5 – Opt-in/Join request ¹	A worker who has submitted a request to Opt-in/Join, where this enrolment has not yet been actioned, and in this Pay Reference Period has been assessed as an Eligible Jobholder.
1 – Eligible Jobholder	6 – Cyclical re-enrolment	The employer's cyclical re-enrolment date falls in this PRP and the worker has been assessed as an Eligible Jobholder, so need to be automatically enrolled or re-enrolled, unless excluded for some reason. Postponement cannot be applied for re-enrolment.
1 – Eligible Jobholder	7 – Immediate re-enrolment	The employer has allowed the worker (assessed as an Eligible Jobholder in this PRP) to cease active membership of a qualifying scheme through no action of their own (this may be because the pension has ceased to be a qualifying scheme for that worker). The immediate re-enrolment process needs to be followed, to automatically enrol them into a qualifying automatic enrolment pension (postponement may not be used).
2 – Non-Eligible Jobholder	0 – Not an enrolment event	A Non-Eligible Jobholder, whether in postponement or not, until a future assessment deems them an Eligible Jobholder, an Entitled Worker or an excluded worker. They may or may not already be a member of a pension scheme.
2 – Non-Eligible Jobholder	1 – Automatic enrolment	Not applicable – EventCode should be disregarded
2 – Non-Eligible Jobholder	2 – Opt-In	A Non-Eligible jobholder who has elected to Opt-in to an Automatic Enrolment scheme, whether in postponement or not, and now needs to be enrolled.
2 – Non-Eligible Jobholder	3 – Voluntary Joiner/Joiner	A Non-Eligible jobholder who has elected to join a different level scheme instead of the default automatic enrolment scheme.
2 – Non-Eligible Jobholder	4 – Contractual Enrolment	A Non-Eligible jobholder being contractually enrolled
2 – Non-Eligible Jobholder	5 – Opt-in/Join request ¹	A worker who has submitted a request to Opt-in/Join, where this enrolment has not yet been actioned, and in this Pay Reference Period has been assessed as a Non-Eligible Jobholder.
2 – Non-Eligible Jobholder	6 – Cyclical re-enrolment	The employer's cyclical re-enrolment date falls in this PRP and the worker has been assessed as a Non-Eligible Jobholder, so do not need to be automatically enrolled or re-enrolled. Note, if an Immediate Re-enrolment event occurs, this would override any other duties on the employer's cyclical re-enrolment date.
2 – Non-Eligible Jobholder	7 – Immediate re-enrolment	The employer has allowed the worker (assessed as a Non-Eligible Jobholder in this PRP) to cease active membership of a qualifying scheme through no action of their own (this may be because the pension has ceased to be a qualifying scheme for that worker). The immediate re-enrolment process needs to be followed, to automatically enrol them into a qualifying automatic enrolment pension (postponement may not be used).

¹ See Appendix E for details (including examples) of handling Opt in / Join requests.

AssessmentCode (Field 29)	EventCode (Field 30)	Meaning NB A worker can only be an Entitled Worker, Non-Eligible Jobholder or Eligible Jobholder <u>after</u> their employer has reached their staging date
3 – Entitled Worker	0 – Not an enrolment event	An Entitled Worker, until an assessment deems them an Eligible Jobholder, Non-Eligible Jobholder or an excluded worker. They may or may not already be a member of a pension scheme.
3 – Entitled Worker	1 – Automatic enrolment	Not applicable – EventCode should be disregarded
3 – Entitled Worker	2 – Opt-In	Not applicable – EventCode should be disregarded. A worker who requests to join or Opt-in, who is then assessed as an Entitled Worker is deemed to have made a request to Join a pension scheme (which does not have to be a qualifying or AE scheme, although the employer is free to allow this if they wish) – and so EventCode 3 should be used for this.
3 – Entitled Worker	3 – Voluntary Joiner/Joiner	An Entitled Worker who requests to join a pension scheme (see meaning of Opt-in for an Entitled Worker above).
3 – Entitled Worker	4 – Contractual Enrolment	An Entitled Worker being contractually enrolled
3 – Entitled Worker	5 – Opt-in/Join request ¹	A worker who has submitted a request to Opt-in/Join and, in <u>this</u> Pay Reference Period has been assessed as an Entitled Worker. If this is the PRP in which the date of receipt of the request falls, then the request will be actioned as a Join request. Otherwise, if they were assessed as a jobholder in the PRP in which the date of receipt of the request fell, then this means the Opt in will be delayed until the first following PRP in which they are assessed as a jobholder (Eligible or Non Eligible Jobholder) again.
3 – Entitled Worker	6 – Cyclical re-enrolment	The employer's cyclical re-enrolment date falls in this PRP and the worker has been assessed as an Entitled Worker, so do not need to be automatically enrolled or re-enrolled. Note, if an Immediate Re-enrolment event occurs, this would override any other duties on the employer's cyclical re-enrolment date.
3 – Entitled Worker	7 – Immediate re-enrolment	The employer has allowed the worker to cease active membership of a qualifying scheme through no action of their own (this may be because the pension has ceased to be a qualifying scheme for that worker). The immediate re-enrolment process needs to be followed, to automatically enrol them into a qualifying automatic enrolment pension (postponement may not be used) – but, as they have been assessed as an Entitled Worker, this means immediate re-enrolment is delayed until the first following PRP in which they are assessed as a jobholder (Eligible or Non Eligible Jobholder).
Blank	0 – Not an enrolment event	An individual where the worker category is unknown and/or has not been provided (e.g. they may already be a member of a qualifying scheme and not need to be assessed - or the Sender may not have done an assessment).
Blank	1 – Automatic enrolment	An Eligible Jobholder being automatically enrolled
Blank	2 – Opt-In	A jobholder (Eligible or Non-Eligible) who has elected to Opt-in to an Automatic Enrolment scheme, whether in postponement or not.
Blank	3 – Voluntary Joiner/Joiner	A voluntary joiner of unknown worker category.
Blank	4 – Contractual Enrolment	An individual of unknown worker category being contractually enrolled.

AssessmentCode (Field 29)	EventCode (Field 30)	Meaning NB A worker can only be an Entitled Worker, Non-Eligible Jobholder or Eligible Jobholder <u>after</u> their employer has reached their staging date
Blank	5 – Opt-in/Join request ¹	An individual of unknown worker category, who has made a request to Opt in/join the employer's pension, where this enrolment has not yet been actioned. An assessment will need to be done to establish whether this will result in an Opt In or Joiner event.
Blank	6 – Cyclical re-enrolment	An individual of unknown worker category in a pay period in which the employer's cyclical re-enrolment date falls.
Blank	7 – Immediate re-enrolment	A jobholder (eligible or Non-Eligible) who needs to be immediately re-enrolled (and postponement cannot be applied).

¹See Appendix E for details (including examples) of handling Opt in / Join requests.

Appendix B – Exclusion Code Matrix

The following matrix shows how Data Fields 45 for `ExclusionCode` can be populated.

ExclusionCode (field 45)	Meaning
0	Other / Not known. This code may be used as a default value if the sending systems does not have the capability to store/record exclusion reasons.
1	Not a worker (eg Director who is not an employee). This worker is excluded from all AE duties.
2	Not working in the UK. This worker is excluded from all AE duties.
3	Working in the UK, but not ordinarily working in the UK. This worker is excluded from all AE duties.
4	Outside the age range. This worker is excluded from all AE duties.
5	Single employee/director. This worker is excluded from all AE duties.
6	Worker who has previously ceased active membership of a qualifying pension scheme (QPS) within the last 12 months. This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).
7	Worker who has previously ceased active membership of a QPS more than 12 months ago. This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).
8	Worker who has received winding-up lump sum (WULS) within the last 12 months. This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).
9	Worker who has received WULS more than 12 months ago. This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).
10	Worker who is in a notice period (ie leaving). This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).
11	Worker who has HMRC tax protection. This worker is an 'AE exception': they may not need to be automatically enrolled, but other duties apply (eg worker communications).

Appendix C – Statutory Letter Codes

Pensions BIB has created and assigned a 3-letter code to each Statutory Letter template issued by The Pensions Regulator. This code can be used within PAPDIS V1.1 data format to indicate to the Recipient which Statutory Letter the Sender means.

Pensions BIB will maintain a web page at <http://www.papdis.org/lettercodes.html> so that new codes can be communicated to PAPDIS users as and when new Statutory Letter templates are release by The Pensions Regulator.

LetterCode (field 46)	Scenario
Original statutory letters (pre-April 2015)	
A1	Eligible Jobholder, no postponement
A1P	Eligible Jobholder, with postponement
A1T	Eligible Jobholder, Transitional Period for existing defined benefit (DB) or hybrid scheme
A2	Non-Eligible Jobholder, no postponement
A2P	Non-Eligible Jobholder, with postponement
A3	Entitled worker, no postponement
A3P	Entitled worker, with postponement
A4	Workers already in qualifying scheme
A5	Postponement, all workers except existing pension scheme members
A6	Postponement, all workers
A7	Reminder following letter A1P
New Statutory Letters (April 2015 onwards)	
The new statutory letters supersede all the original (pre-April 2015) letters, except letter A1T (Transitional Period applied for existing defined benefit/hybrid pension scheme), as the Regulator has not issued any new letter for transitional periods; A1T should continue to be used for such circumstances.	
B1	Letter for those being automatically enrolled
B2	Letter for those not being automatically enrolled
B3	Letter for those being postponed

Appendix D – Table of Message Functions

Pensions BIB has created 4 message functions and populated the following table with indicators that tell the implementer of PAPDIS V1.1 which fields are Mandatory (M), Optional (O) or Conditional (C) for the specified message. Please note different messages may contain different “worker populations” and so please refer to the Table in Section 2 for more information on worker populations.

No	Field name	Message Function				
		0 Enrol/Rcv Contribs (PAPDIS V1.0)	1 Info Only	2 Assessment Request	3 Assessment Response	4 Worker Instruction
1	PAPDISVersion	M	M	M	M	M
2	PensionProviderId	O	O	O	O	O
3	EmployerId	M	M	M	M	M
4	Group	M	O	O	O	O
5	SubGroup	O	O	O	O	O
6	PayPeriodStartDate	M	O	M	C (7)	O
7	PayPeriodEndDate	M	O	M	C (6)	O
8	ContributionDeductionDate	M	O	M	O	O
9	FrequencyCode	M	O	M	M	O
10	TaxPeriod	M	O	M	M	O
11	Title	O	O	O	O	O
12	Forename1	M	O	M	M	M
13	Forename2	O	O	O	O	O
14	Surname	M	O	M	M	M
15	EmployeeId	M	O	M	M	M
16	BirthDate	M	O	M	M	M
17	Gender	M	O	M	M	M
18	NationalInsuranceNumber	O	O	O	O	O
19	Address1	M	O	O	O	O
20	Address2	M	O	O	O	O
21	Address3	O	O	O	O	O
22	Address4	O	O	O	O	O
23	Postcode	O	O	O	O	O
24	Country	O	O	O	O	O

No	Field name			Message	Function	
25	EmailAddress	O	O	O	O	O
26	EmploymentStartDate	M	O	M	O	O
27	ExitDate	O	O	O	O	O
28	ExitReasonCode	C (27)	O	C (27)	C (27)	O
29	AssessmentCode	O	O	O	O	O
30	EventCode	M	O	O	O	O
31	EventDate	C (30)	O	C (30)	C (30)	O
32	DeferralDate	C	O	O	O	O
33	AEOptOutDate	C (28)	O	C (28)	C (28)	O
34	AEOptOutReference	O	O	O	O	O
35	EnrolmentCommunicationsIssuedDate	O	O	O	O	O
36	EmployerContributionsAmount	M	O	O	O	O
37	EmployeeContributionsAmount	M	O	O	O	O
38	AdditionalVoluntaryContributionsAmount	O	O	O	O	O
39	AdditionalVoluntaryContributionsPercent	O	O	O	O	O
40	PensionableEarningsAmount	O	O	O	O	O
41	EmployerContributionsPercent	O	O	O	O	O
42	EmployeeContributionsPercent	O	O	O	O	O
43	SalarySacrificeIndicator	C	O	O	O	O
44	TotalGrossQualifyingEarningsAmount		O	M	O	O
45	WorkerExclusionCode		O	O	O	O
46	StatutoryLetterCode		O	O	O	O
47	IsIndividualAlreadyMemberOfQPS		O	M	O	O
48	ReenrolmentIndicator		O	O	O	O
49	SecondaryEmailAddress		O	O	O	O
50	StagingDate		O	O	O	O
51	CyclicalReenrolmentDate		O	O	O	O
52	MessageFunctionCode		O	O	O	O
53	PayReferenceStartDate		O	O	C ²	O
54	PayReferenceEndDate		O	O	C ²	O
55	OptOutWindowEndDate		O	O	O	O

² Where fields 53 and 54 are specified as conditional, it means they are mandatory if calendar based Pay Reference Periods are being used and optional for tax period based Pay Reference Periods (as, if blank, a tax period based PRP should be assumed and PRP start and end dates will be derived from fields 9 FrequencyCode and 10 TaxPeriod).

Appendix E – Opt in / Join requests

The expected sequence of events when processing an Opt in/Join request is as follows:

1. Once the worker's request is accepted as valid by the employer, the worker is assessed based on their qualifying earnings due to be paid **in the Pay Reference Period (PRP) in which the request is received** and:
 - a. if an Entitled Worker, the Joining process is initiated
 - b. if a Non Eligible Jobholder, the Opt In process is initiated
 - c. if an Eligible Jobholder and a period of postponement is applied or already in force, the Opt In process is initiated
 - d. if an Eligible Jobholder and a period of postponement is not applied and not already in force, the Automatic enrolment process is initiated.
2. For the Joining process, the Entitled Worker will need to be enrolled in accordance with the pension scheme rules or terms and conditions (there is no specific deadline for enrolment stipulated by the AE legislation/regulations).
3. For the Opt in process, the jobholder will need to be enrolled effective from the first day of the following PRP (and the first pension contribution taken on the first payday on or after the date of effective enrolment), providing:
 - a. payroll cut-off has **not** passed and so it is possible to take contributions that pay cycle (if it has passed, it should be the next following PRP); and
 - b. the worker is also assessed as a jobholder in the following PRP (if not, the Opt in enrolment should be delayed until the first following PRP in which the worker is assessed as a jobholder).

In both these examples:

- payroll does not carry out assessments - it generates a MessageFunction 'AssessmentRequest' file for all the workers and sends it to an assessment system (referred to as "Middleware");
- the Middleware assessment system creates the Enrol/ReceiveContributions file to send to the pension provider;
- the Middleware system also generates a MessageFunction 'AssessmentResponse' file for all the workers and sends it back to the payroll system (with the pension contributions it has calculated)
- the tables below list what messages are exchanged between the payroll, middleware and pension systems in each pay cycle - and show a subset of the PAPDIS v1.1 data fields for that worker (PAPDIS data is in the columns with **white** text titles).

Example 1

In this example:

- the workers are assessed on a **tax** month based Pay Reference Period (PRP);
- payday is the **last** working day of each month;
- payroll cut-off is the **20th of the month**;

A worker (who is not already an active member of a qualifying pension scheme) makes a valid request to Opt in/Join and the employer receives the request on **9th June**.

To process the Opt in, if they are a jobholder they will need to be enrolled effective from the start of the first following PRP (6th July to 5th Aug) and the first pension contribution deduction will need to be taken on the first payday on or following enrolment (ie on 31st July). So, the request has been received **before** payroll cut-off (20th July) for that payday.

i) In the first PRP, the worker needs to be assessed in this PRP to determine whether this is an Opt in or Join request, so:

Pay Cycle	Sender	Receiver	Message Function Code (Field 52)	Payday (Field 8)	PRP Start	PRP End	Assessment Code (Field 29)	Event Code (Field 30)	Event Date (Field 31)	Notes
1	Payroll	Middleware	Assessment Request	30 June	6 June	5 July	-	Opt in/Join Request	9 June	EventDate is the date request was received
1	Middleware	Payroll	Assessment Response	30 June	6 June	5 July	Non-Eligible Jobholder	-	-	Assessed as NEJ so Opt in process started
1	Middleware	Pension	Enrol/Rcv Contribs	30 June	6 June	5 July	Non-Eligible Jobholder	-	-	Enrolment will be next PRP (if they are still a jobholder)

ii) In the following PRP, the worker needs to be assessed again, so:

Pay Cycle	Sender	Receiver	Message Function Code (Field 52)	Payday (Field 8)	PRP Start	PRP End	Assessment Code (Field 29)	Event Code (Field 30)	Event Date (Field 31)	Notes
2	Payroll	Middleware	Assessment Request	31 July	6 July	5 Aug	-	-	-	No action for payroll
2	Middleware	Payroll	Assessment Response	31 July	6 July	5 Aug	Non-Eligible Jobholder ³	Opt in	6 July	Assessed as NEJ, so middleware enrolls them
2	Middleware	Pension	Enrol/Rcv Contribs	31 July	6 July	5 Aug	Non-Eligible Jobholder	Opt in	6 July	Enrol from start of this PRP with full contributions

³ If a worker is assessed as an Eligible Jobholder while an opt-in is pending they should be automatically enrolled, and postponement cannot be used because this is completing an opt-in.

Example 2

In this example:

- the workers are assessed on a **calendar** month based Pay Reference Period (PRP);
- payday is the **first** working day of each month;
- payroll is **in arrears** and payroll cut-off is the **20th of the month before** payday;

A worker (who is not already an active member of a qualifying pension scheme) makes a valid request to Opt in/Join and the employer receives the request on **21st May**.

To process the Opt in, if they are a jobholder they will need to be enrolled effective from the start of the first following PRP (1st June to 30th June) and the first pension contribution deduction will need to be taken on the first payday on or following enrolment (ie on 1st June payday). However, the request has been received **after** payroll cut-off (20th May) for that payday, so enrolment will need to take place from the next following PRP instead (if they are still a jobholder).

i) In the first PRP (the **PRP in which the request falls** – 1st May to 31st May), as the payroll for the May payday was run in late April, **before** the request was received, no action is taken (for the Opt in/Join request).

Pay Cycle	Sender	Receiver	Message Function Code (Field 52)	Payday (Field 8)	PRP Start	PRP End	Assessment Code (Field 29)	Event Code (Field 30)	Event Date (Field 31)	Notes
1	Payroll	Middleware	Assessment Request	1 May	-	-	-	-	-	Request not received when payroll run – no action
1	Middleware	Payroll	Assessment Response	1 May	1 May	31 May	Non-Eligible Jobholder	-	-	No action
1	Middleware	Pension	Enrol/Rcv Contribs	1 May	-	-	Non-Eligible Jobholder	-	-	No pension contributions (as worker is not in pension)

ii) In the second PRP, as the **payroll cut off has passed** when the request is received on **21st May**, no action is taken (for the Opt in/Join request) in that pay cycle (it would **not** have been possible to enrol from 1st June and take the first deduction on 1st June, as request was after payroll cut-off on 20th May).

Pay Cycle	Sender	Receiver	Message Function Code (Field 52)	Payday (Field 8)	PRP Start	PRP End	Assessment Code (Field 29)	Event Code (Field 30)	Event Date (Field 31)	Notes
2	Payroll	Middleware	Assessment Request	1 June	-	-	-	-	-	Request received after payroll cut-off – no action
2	Middleware	Payroll	Assessment Response	1 June	1 June	30 June	Non-Eligible Jobholder	-	-	No action
2	Middleware	Pension	Enrol/Rcv Contribs	1 June	-	-	Non-Eligible Jobholder	-	-	No pension contributions (as worker is not in pension)

iii) In the next following PRP, the worker now needs to be assessed, so:

Pay Cycle	Sender	Receiver	Message Function	Payday	PRP Start	PRP End	Assessment Code (Field 29)	Event Code (Field 30)	Event Date (Field 31)	Notes
3	Payroll	Middleware	Assessment Request	1 July	-	-	-	Opt in/Join Request	21 May	EventDate is the date request was received
3	Middleware	Payroll	Assessment Response	1 July	1 July	31 July	Non-Eligible Jobholder	Opt in	1 July	Middleware system looks up its record of the assessment in PRP 1/5 to 31/5 to find worker was a NEJ in <u>that</u> PRP – and worker is also a NEJ in <u>this</u> PRP, so Opt in actioned
3	Middleware	Pension	Enrol/Rcv Contribs	1 July	-	-	Non-Eligible Jobholder	Opt in	1 July	Enrol from start of this PRP with full contributions

Changes

Future

It is acknowledged that additional data fields may be required. Anyone with a requirement for additional data fields should provide this to Pensions BIB along with the reasoning for the requirement. This change can be requested via the PAPDIS website <http://www.papdis.org/change.html>. These will be reviewed by Pensions BIB on a regular basis and adopted if demand is significant enough, the approach is correct and that the data would normally be held.

Any legislative changes will also drive change requests and will be dealt with by Pensions BIB.

Additional Data

Whilst the data format for all fields have been provided, each pension provider will have specific requirements that are not detailed in this document. For example, a particular pension provider may require Field 2 (Employer) to be populated with an employer name such as "ABC Construction Limited" whereas another pension provider may insist on a provider specific reference, such as "ABC123456". The standard allows for both example references to be populated, but it will be the responsibility of the Recipient to clarify any specific requirements it has around field length, character use, or specific format.

Although this document is an industry standard, it is envisaged that each Recipient will develop additional guidance to sit alongside the Standard which could be deemed as interpreting this document with any of their individual specific requirements for each field.

Changes made since last version

- Modification of PAPDIS V1.0 to PAPDIS V1.1, involving the restructuring of the standard around a "data dictionary" (defined in Section 3) that defines data fields and a "message function" (defined Section 2) which defines which fields should be included in a PAPDIS V1.1 message.
- Inclusion of new fields (44 – 55) & a new Appendices (B, C, D & E) reflecting the expansion of PAPDIS V1.0 to PAPDIS V1.1, enabling the data standard to be used for multiple business functions relating to automatic enrolment.
- Addition of a 3 new Event Codes (field 30) "5 - Opt-in/Join request", "6 – Cyclical re-enrolment", "7 – Immediate re-enrolment".
- Change of description of Event Code (field 1) from "1 – Automatic enrolment / re-enrolment" to "1 – Automatic enrolment".
- Change of description of EmailAddress.

- June 29th Amendment: Minor changes made to example Table on Page 41 relating to Example 1 of the Opt-in / Join request process