

Updating of Pay/Pension Identity Numbers

PAYE - Employer Electronic Communication

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SECTION 1

Introduction

- 1.1 This booklet provides details of the requirement for reporting new or amended Pay and Pension numbers to Cap Gemini on magnetic tape cartridge. The Works Number Update only updates pay / pension numbers. It does not change National Insurance numbers and / or surnames (where women have married etc.) HM Revenue & Customs (HMRC) stopped accepting information using open reel tape on 01 October 2004.
- 1.2 If you are interested in reporting new or amended Pay and Pension numbers Online please contact

HMRC Online Services Helpdesk
Phone 0845 60 55 999
Fax 01274 841 288
Email helpdesk@ir-efile.gov.uk
- 1.3 To gain most benefit, your cartridge should be received at the Data Centre no later than 31 December as this will enable Cap Gemini to do their best to process all the cartridges before Annual Code Issue in February. This deadline allows time for Cap Gemini to contact you for a replacement cartridge should they have any difficulties processing your cartridge.
- 1.4 Cartridges may be submitted throughout the year if the need arises (for example if you reorganise your payroll).

SECTION 2

General Arrangements

- 2.1 Your HMRC office will continue to act as your normal contact point. They will advise you where to send your cartridge. The advice note at Appendix 1 should be fully completed and sent with each cartridge.
- 2.2 Only individuals who are currently employed by you, or to whom you directly pay a pension, should be included on the cartridge.
- 2.3 Separate cartridges must be submitted for each PAYE reference.
- 2.4 National Insurance numbers (NINOs) are used to recognise and match the amended pay/pension numbers to the taxpayer records. To assist in this, please ensure that the NINOs contained on your tape are in the correct nine character alphanumeric format - aannnnna. **Temporary NINOs (i.e. in the format 'TN, date of birth, M or F') must not be used.**

Section 2/Continued

Packing and Transportation

- 2.5** Your cartridge should be sent direct to Cap Gemini at the address given to you by your HMRC office. For security reasons it is essential that your name, address and phone number are clearly shown on both the cartridge package and cartridge body.
- 2.6** Include with the cartridge a copy of the advice note showing the details requested in Appendix 1.
- 2.7** Cap Gemini cannot accept responsibility for cartridges which have been damaged in transit to them.

Magnetic Cartridge Faults

- 2.8** If your cartridge is unable to be processed because:
- there are technical difficulties in reading the data, or
 - the recording characteristics are incompatible with those agreed, or
 - the format does not comply with our specifications described in Section 3, or
 - it is a 36 track cartridge instead of an 18 track cartridge.

Your cartridge will be returned with a note of the reason Cap Gemini could not process it.

Validation Failures

- 2.9** Your cartridge will be subjected to validation checks to ensure that the format of the data conforms with Tables 7, 8 and 9 of Section 4.
- 2.10** If your data fails the validation checks, the cartridge will be returned to you with a stencil indicating the cause of the failure. The data should be amended, and the cartridge resubmitted.
- 2.11** Following the run of the Works Number Update process, a list may be produced detailing any employees who could not be matched to the records on the database. This list may be sent to you with your cartridge when it is returned, but it may be despatched under separate cover. Whether the list can be sent to you with your cartridge depends on where your cartridge is processed and Cap Gemini cannot guarantee that cartridges and lists will be posted together or separately in any instance.
- 2.12** Most entries on the list arise through a failure to match the NINO supplied for an employee on the tape with the record on our database.

When this happens the tax record for each employee on the list will not be updated with their new works numbers.

Section 2/Continued

This list will show:

LIST ENTRY	CONDITION
NO NINO SUPPLIED BY EMPLOYER	No NINO was supplied on the tape for that employee
MORE THAN ONE TAXPAYER SHOWN FOR THIS NINO	Multiple Records are held by HMRC with the same NINO and Employer Reference because the employee has multiple employments with the employer.
NO MATCH ON NINO AT THIS REFERENCE	No taxpayer record was found for the NINO supplied
MORE THAN ONE AMENDMENT SUPPLIED BY EMPLOYER	Two (or more) amendment records were on the tape for one NINO

- 2.13** 'Contracted-out' employers can receive assistance from the HMRC National Insurance Contributions Office validation scheme by using the National Insurance/Date of Birth Checking Service for contracted out employees. This service is normally free of charge.

A copy of the specification booklet (CA21) can be ordered from:
Contracted-out Pension Helpline phone 0845 9150 150
Or by fax 0191 225 0217

Also available on the HMRC website at www.hmrc.gov.uk. Select 'National Insurance'.

Please allow 28 days for delivery

Further information is contained in the National Insurance Contribution Series
CA14 for Contracted-out Final Salary Related Schemes
CA14A for Contracted-out Money Purchase Schemes

A copy of the specification booklet (CA14 and CA14A) can also be ordered from:
Contracted-out Pension Helpline phone 0845 9150 150

Also available on the HMRC website at www.hmrc.gov.uk/leaflets/nic.htm

SECTION 3

Magnetic Cartridge Specification

Environment

3.1 The Data Centres are equipped with ICL mainframes, running under the VME operating system, and are only able to accept input cartridges in either standard ICL or IBM format to the following specification:

3.2 Compatible Cartridge 3480

1/2" 18 track cartridge mounted tape compatible with IBM 3480 deck.

Allowable Character Set

3.3 Data must be recorded in EBCDIC character format and restricted to the following 45 characters:

Alpha	A to Z (Upper case only)
Numeric	0 to 9
Oblique	/
Hyphen	-
Ampersand	&
Full Stop	.
Apostrophe	'
Comma	,
Left Hand Parenthesis	(
Right Hand Parenthesis)
Space	Must be high value space

Overall Structure

3.4 Volume Header labels and file Header labels are generated automatically by the operating system where the cartridges are being created on native IBM or ICL machines. If you are creating the cartridges on a system running under VME, you may ignore the rest of this section. If you are creating the cartridges on a system running under one of the following IBM operating systems (VM, VSE or MVS), go to paragraph 3.10 'Notes for IBM Users'.

The following information is to assist employers who are writing their own Volume and file Header labels.

Cartridge layouts should be standard ICL VME or IBM.

3.5 The Volume Header Label will normally appear in the first block, the First File Header in the second block and the Second File Header in the third block. The labels must be followed by a tape mark that indicates the beginning of the data to be processed.

3.6 At the start of each of the ICL labels there are 6 bytes of Block Organisation data, the Block Sequence Word and the Block Length.

3.7 The Standard ICL Format

VOL 1	Volume Header Label	Table 1
HDR1	First File Header	Table 2
HDR2	Second File Header	Table 3
TAPE MARK		
DATA BLOCKS	Record Types 1 & 2	Tables 7, 8 & 9
TAPE MARK		
EOF1	End of File Label	
EOF2	End of File Label	
TAPE MARK		
TAPE MARK		

Tape processing will stop after the second tape mark.

3.8 The Standard IBM Format

VOL 1	Volume Label	Table 4
HDR1	First Data Set/File Header Label	Table 5
HDR2	Second Data Set/File Header Label	Table 6
UHL - 8	User Header Labels	
TAPE MARK		
DATA SET	Record Types 1 & 2	Tables 7, 8 & 9
TAPE MARK		
EOF1 & EOF2	End of Data Set/File Label	
UTL1 - 8	User of Trail Labels	
TAPE MARK		
TAPE MARK		

Tape processing will stop after the second tape mark. User labels will not be read.

Notes for IBM Users

3.9 A cartridge with IBM standard labels will contain a Volume Label and File Header / Data Set Label(s). As the User Header labels are optional, they are not included in this specification.

The Header 1 Label is not required in order to process the cartridge.

3.10 It is also possible to process a cartridge which does not contain a Header 2 Label, providing the file / data set is held in variable length blocks and the block and record length indicators are present in the first bytes of the block and record.

Tape Marks

- 3.11** Tape Marks must appear in certain places. The first Tape Mark must follow the Header Labels and precede the File / Data Set. A Tape Mark must also be positioned immediately after the File / Data Set.

Records and Block Formats

- 3.12** All data records described in tables 7, 8 & 9 are fixed at a length of 60 characters. However, the blocks may be produced in either fixed or variable length provided suitable information is incorporated in both the Header Labels and the File / Data Set.

For ICL 2900 tapes, each block should be preceded by 8 bytes of Block Organisation Data.

Where variable format records are used, the record is preceded by 4 bytes of record organisation data.

IBM cartridges produced with a fixed length record should also have a fixed block length with no organisation data proceeding either the blocks or the records.

SECTION 4

Magnetic Tape Cartridge Physical Specification

Cartridge Characteristics

- 4.1** The Data Centre also accepts the Data on IBM 3480 Type magnetic tape cartridges. Recording method and characteristics must conform to ISO 9661 as shown in the table below:

Presentation	1/2" 18 track cartridge mounted tape compatible with IBM 3480 deck
Packing density	37,871 characters per inch
Number of tracks	18
Recording method	Double Density NRZI
Code	EBCDIC (ICL)
ICL File Descriptor	:STD. FIXED
Acceptable tape lengths	Standard (154 Metres) or Extended (198 Metres)

Tape Layout

- 4.2** The tape layout must be as described in the following tables 1 to 9 depending on whether an ICL or IBM based system is used.

TABLE 1**ICL VOLUME HEADER LABEL**

CHARACTER POSITION	M	FIELD CONTENT
1-3	M	Label Identifier "VOL"
4	M	Label Number "1"
5-10	M	Volume Identifier Tape Serial Number alphanumeric characters
11		Accessibility alphanumeric characters restrictions on access to the information on the volume. Space = no restrictions
12-37		Not Used - Reserved for future standardisation
38-51		Owner Identifier alphanumeric characters
52-75		Not Used - Reserved for future standardisation
76-79		Unique Time Stamp 4 EBCDIC binary characters derived from the clock time
80		Label Standard Version "2" indicates 2900 standard version

THE VOLUME HEADER IS A MANDATORY LABEL AND MUST APPEAR IN THE FIRST BLOCK.

M denotes the mandatory information required to help us read the tape.

TABLE 2**ICL FIRST FILE HEADER LABEL**

CHARACTER POSITION	M	FIELD CONTENT
1-3	M	Label Identifier "HDR"
4		Label Number "1"
5-21		File Identifier alphanumeric characters - file name followed by trailing spaces. The first character of the file name must not be a dot (.)
22-27		File Set Identifier DATA00
28-31		File Section Number numeric characters, 0001 for single volume file
32-35		File Sequence Number identifies the file, numeric characters 0001
36-39		File Generation Number distinguishes among successive generations 0001-9999
40-41		Version Number numeric characters distinguishes among successive iterations of same generations, 01
42-47		Creation Date space followed by 2 characters for year and 3 characters for date within year
48-53		Expiry Date as above - generally not used - space followed by 000000
54		Accessibility alphanumeric character indicates restrictions on access - spaces indicate no restrictions
55-60		Block Count numeric characters 000000
61-80		Not Used – spaces

The First File Header is not a mandatory label.

TABLE 3**ICL SECOND FILE HEADER LABEL**

CHARACTER POSITION	M	FIELD CONTENT
1-3	M	Label Identifier "HDR"
4	M	Label Number "2"
5	M	Record Format F if fixed length records V if variable length records
6-10	M	Block Length numeric characters - maximum block length, including block header (min 2048 - max 19000)
11-15	M	Record Length numeric characters specify the record length. If Record Format is F, the field contains the actual record length. If the record format is V, the field contains the maximum record length including the record header
16-50		Not Used - Spaces in EBCDIC
51-52		Buffer Offset Length
53-58		Not used

THE SECOND FILE HEADER IS A MANDATORY LABEL.

M denotes the mandatory information required to help us read the tape.

TABLE 4

IBM VOLUME HEADER LABEL

CHARACTER POSITION	M	FIELD CONTENT
1-3	M	Label Identifier "VOL"
4	M	Label Number "1"
5-10	M	Volume Serial Number. Tape serial number Usually 6 numeric characters but may be any 6 alphanumeric
11		Reserved should be recorded as a space
12-21		VTOC Pointer. Direct access volumes only not Used for tape volumes and should be recorded as spaces
22-41		Reserved - should be recorded as spaces
42-51		Owner Name and Address. Code indicates a Specific person; any code or name is acceptable
52-80		Reserved - should be recorded as spaces

THE VOLUME HEADER IS A MANDATORY LABEL AND MUST APPEAR IN THE FIRST BLOCK

M denotes the mandatory information required to help us read the tape.

TABLE 5**IBM FIRST FILE / DATA SET HEADER LABEL**

CHARACTER POSITION	M	FIELD CONTENT
1-3		Label Identifier "HDR"
4		Label Number "1"
5-21		File / Data Set Identifier - if the name is less than 17 bytes it is left justified with trailing spaces. The first character of the file name must not be a dot (.)
22-27		File / Data Set Serial Number - the volume serial number
28-31		Volume Sequence Number - numeric characters (0001-9999), the number is always 0001 for single volume file / data set
32-35		File / Data Set Sequence Number - numeric characters (0001-9999), the number is always 0001 for single volume data set
36-39		Generation Number - numeric characters (0001 -9999) if the file / data set is not part of a generation data group the (GDG) field contains spaces
40-41		Version Number - a numeric field (00 - 99) the first generation recorded as 00, if the file / data set is not part of the GDC field contains spaces
42-47		Creation Date - the format of the date is cyyddd, space for century followed by 2 characters for year and 3 for day within year
48-53		Expiration Date - the format of the date as before
54		Data Set Security - a code number indicating the security status of the file / data set
55-60		Block Count - this field in the HDR label is always set to zeros
61-73		System Code - a unique code that identifies the system: - eg 'IBM OS/VS 370'
74 - 80		Reserved for future use recorded as spaces

The First File Header is not a mandatory label.

TABLE 6**IBM SECOND FILE / DATA SET HEADER LABEL**

CHARACTER POSITION	M	FIELD CONTENT
1-3	M	Label Identifier "HDR"
4	M	Label Number "2"
5	M	Record Format F - Fixed Length records or V - Variable Length records
6-10	M	Block length - a number that indicates the block length (max 19000). If Record Format is F - must be a multiple of the logical record length; otherwise maximum block length including the 4 byte indicator in the blocks
11-15	M	Record Length - a number that indicates the record length in bytes. If Format F - logical record length; otherwise maximum logical record including the 4 byte length indicator in the records
16		Tape Density - a code that indicates the recording Density
17		Data Set Position - a code indicating a volume Switch
18-34		Job/Job Step Identification - identifies the Job/Job Step that created the file / data set
35-36		Tape Recording Technique - indicates the recording mode - spaces for 9 track tape
37		Control Character - a print control character
38		Reserved - not used, initialised as a space or zero
39		Block Attribute - a code indicating the block attribute used to create the file / data set
40-47		Reserved
48		Checkpoint Data Set Identifier - character C indicates if the file / data set is a secure check point data set, otherwise space
49-80		Reserved for future use recorded as spaces

The Second File / Data Set Header is not a mandatory label see note 3.10.

If HDR 2 present, **M** denotes the mandatory information required to help us read the tape.

TABLE 7***DATA RECORD TYPE 1***

CHARACTER POSITION	FIELD CONTENT
1	Record Type Value "1"
2-4	District number
5-14	Employer Reference
15-60	Spacefilled

TABLE 8***DATA RECORD TYPE 2***

CHARACTER POSITION	FIELD CONTENT
1	Record Type Value "2"
2-10	National Insurance Number
11-30	Pay/Pension Identity Number
31-58	Employee's Name
59-60	Spacefilled

TABLE 9**FIELD DESCRIPTIONS FOR DATA RECORD TYPES 1 & 2**

FIELD NAME	FIELD DESCRIPTION
RECORD TYPE	Value of 1 or 2
DISTRICT NUMBER	Three numeric characters in the range 001 to 999 (leading zeros must be entered)
EMPLOYER REFERENCE	Up to ten alpha-numeric characters and together with the DISTRICT NUMBER field above forms the PAYE reference. The are left justified with trailing spaces. NB Alpha-numeric can include characters other than A-Z and 0-9. DO NOT INSERT '/' OR SPACES BETWEEN DISTRICT NUMBER AND REFERENCE FIELDS
NATIONAL INSURANCE NUMBER	Nine alpha-numeric characters, (aannnnnna) Where the number is not known ALL nine characters MUST be spacefilled. Where the suffix is not known, the ninth character MUST be a space.
PAY/PENSION IDENTITY NUMBER	Twenty alpha-numeric characters left justified with trailing spaces.
EMPLOYEE'S NAME	This should be in the format SURNAME followed by a space character, followed by INITIALS, with a space between each initial (e.g. SMITH A B C)

APPENDIX 1

CARTRIDGE TRANSIT ADVICE NOTE

Company Details

Company Name

Company address

Postcode

Tax Reference Number

Contact Name

Phone number

Cartridge Details

Standard Used

IBM or ICL User

Block Size

Number of records

Cartridge Serial Number

Magnetic Cartridge(s) enclosed for Works Number Update processing.

Signature

Name (Block Letters)

Date