

# Data Collection Tool Guide

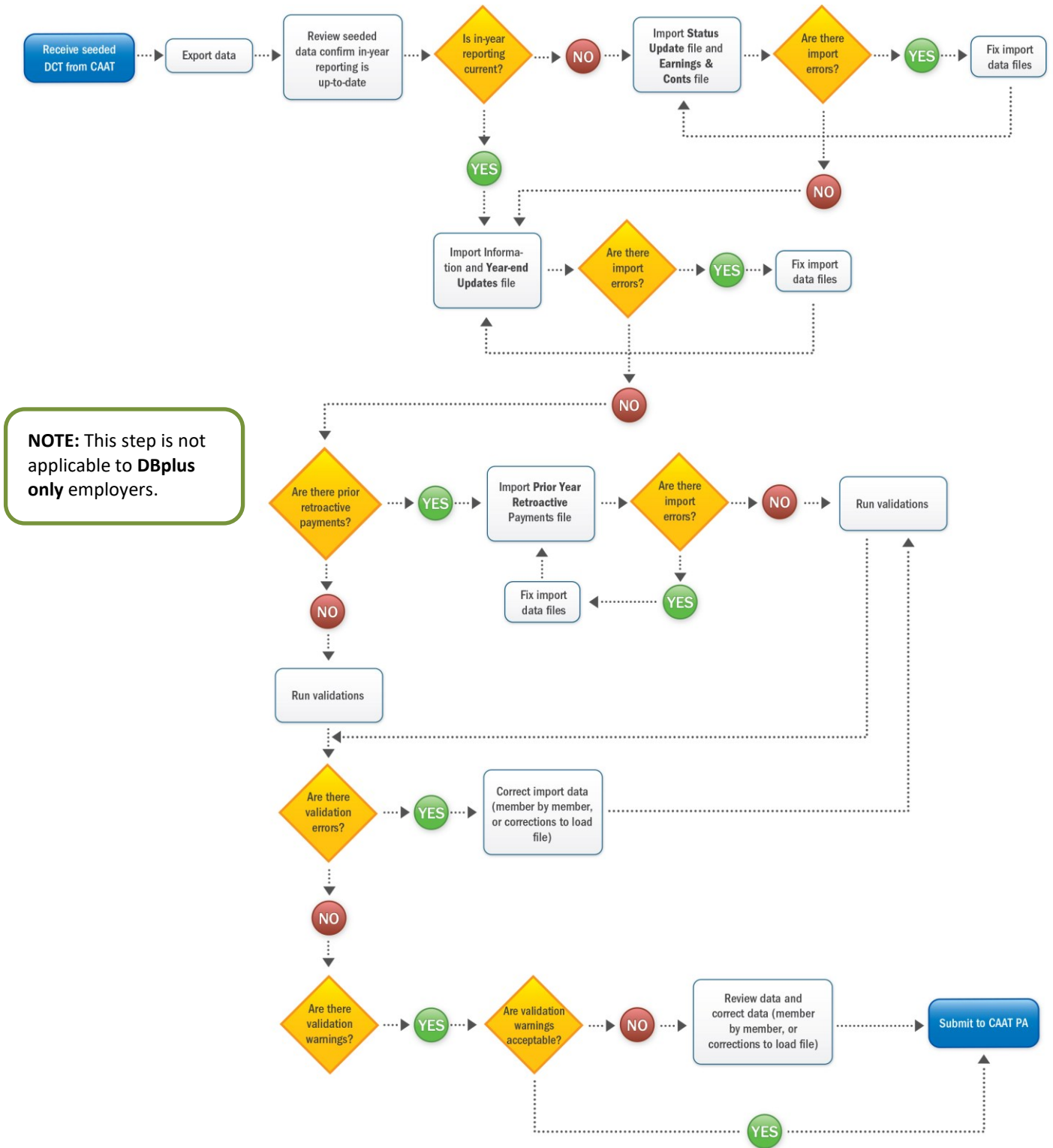
*Reporting Member Data for 2019*

*Effective January 1, 2020*

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# 1. DCT Process flowchart



## 2. Overview of the Data Collection Process

### 2.1 Purpose and timelines

#### Purpose

The data collection process is an annual process to collect members' pension data and to reconcile contribution remittances to satisfy reporting requirements and issue annual pension statements.

Data Collection Tool (DCT) is a web-based tool that allows employers to report members' pension data.

Website: <https://dct.caatpension.on.ca/>

#### Timelines

- **January 21 - 23** – DCT training for all employers (three sessions)
  - DCT Refresher for DBprime and **DBplus**
  - Full DCT Training for DBprime and **DBplus**
  - Full DCT Training for **DBplus** only employers
- **January 24** – DCT rollout to all employers;
- **February 26** – Annual Detail Account Summary file sent to employers
- **March 16** – DCT data completed and submitted to Plan
- **March 16** – Annual Detail Account Summary file remittance confirmations submitted to CAAT Pension Plan (Finance Department)

#### Who to call for support?

Contact your Employer PA for any questions about your data or about using the DCT.

#### Technical Requirements

The DCT is a web-based tool. It is designed to work in all modern browsers, such as Google Chrome, Mozilla Firefox, Apple Safari and Internet Explorer 10 or above.

## 2.2 Process Overview

### Step 1: Receive DCT data

Before the DCT is released to Employers, The CAAT Pension Plan will populate the DCT with demographic data for all employees participating in the plan in 2019 and with previously submitted in-year data that was updated in Genesis (the pension administration system).

Your data will include:

- Each member who was active in the data collection year
- Any Status Updates from in-year reporting of Status Changes (for example Leave Starts and Stops)
- Payroll data that was submitted during in-year reporting (for example Pregnancy/Parental Leave with payroll deductions)
- Earnings, DBprime Service and Contributions reported in-year for any members who terminated, retired, or died in the reporting year

### Step 2: Export and review data

Employers access the DCT tool, extract the data file and compare it with their records.

Use **Section 3. Navigating the DCT** to learn how to navigate the DCT website and **Section 4 - Working with reports** to find out what reports are available and how to export data files from DCT.

### Step 3: Import data to DCT

The employer's task is to upload the payroll data and any status changes that were not reported during the year, along with the year-to-date payroll data for all members who were active during the year.

Use **Section 5 - Importing your data** to know more about import steps and file requirements.

### Step 4: Validate import file and correct import errors

Use **Section 5 - Importing your data** to learn how to validate the import file and to action the import data errors.

### Step 5: Run data validations

Use **Section 6.1 - Running Validations** to validate the imported data.

### Step 6: Review and correct data validation errors

Employers review error messages from DCT and clean up data as required.

Use **Section 6 - Data Validations** to understand validation errors and the corrective action and **Section 7 - Reviewing and Editing Member Data** to learn how to navigate member and payroll details.

### Step 7: Submit data

Use **Section 8 - Submitting Data** for instructions how to send data to the CAAT Pension Plan.

### Step 8: CAAT reviews data

CAAT Pension Plan verifies the data and sends questions back to employers. Once data is confirmed, the CAAT Pension Plan loads data into the pensions administration system.

## Step 9: Receive Contribution Remittance Summary

Use **Section 9 - Reconciliation** to learn what reports you will be getting and what you need to do to reconcile contributions.

## 2.3 How is the Data Structured?

The data in the DCT is structured around the concept of Status Updates, which include changes to the member's Employment Status, Employee Type, or Employee Group.

For any change in the member's Status during the year, in-year reporting ensures that the pension database was updated. If the database was updated, the member's Status changes will be available in initial DCT data. If the member's Status changes were not reported in-year, they will be updated as part of the data submission activities.

### Definitions

#### Employee Status

There are 18 types:

ACT – Active

DTH – Death

IDT – Active **NEW**

INT – Intergroup Transfer

LAY – Layoff

LOA – Unpaid Leave of Absence

LTD – Long Term Disability

NC – Other-Than-Full-Time – Not Contributing

NCE – Not Contributing – Eligible for Purchase

PLA – Paid Leave of Absence

PRG – Pregnancy/Parental Leave – Payroll Deductions

PRN – Pregnancy/Parental Leave – No Payroll Deductions

RED – Reduced Workload

RET – Retired

STR – Strike Period

TER – Termination

WSIB – Full WSIB

WSIP – Partial WSIB



**NEW** DBprime employers use **IDT – Active** Employee Status when member changes status from FT to OTRFT or OTRT to FT.

## Employee Type

There are two types:

1. Full-time
2. Other than full-time

## Employee Group

There are three types:

1. Administration
2. Faculty Member
3. Support Staff



**DBplus only employers** – The value for Employee Group must always be **Administration**.

## How does the DCT use SIN?

Member SIN's are used by the DCT as the primary key to differentiate between employees. Employee ID is your employee identifier for payroll purposes and must be included in the file you upload to the DCT. Employers will be able to search for employees using either Employee ID or Member SIN.

All validation results and report screens show both the Member SIN and Employee ID. The **Member Details** screen identifies members by Employee ID only.

**NOTE:** If you cannot find a member who has recently changed their SIN, search under the old SIN. If found under the old SIN, make updates under the old SIN rather than creating a new member. Remember to submit the appropriate change forms.

### 3. Navigating the DCT

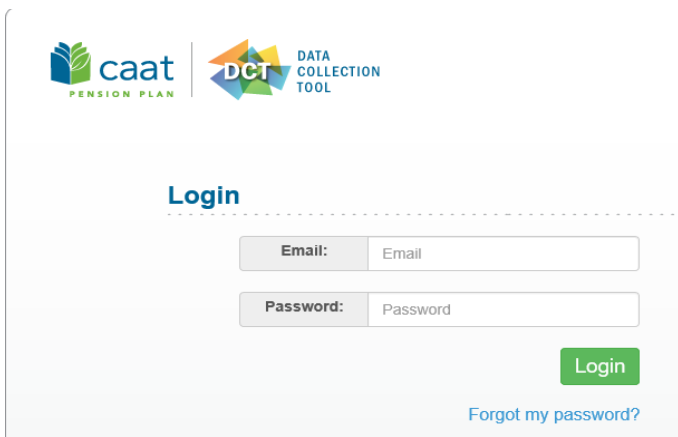
#### 3.1 Managing Your Account

##### Logging In

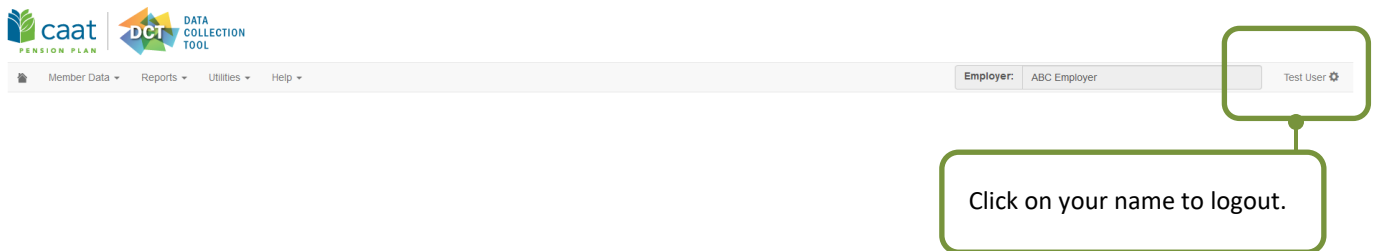
Log in using your username (which is your email address) and your s-doc password. If you are a new DCT user, a password will be supplied by the CAAT Pension Plan.

Inactivity timeout is 30 minutes. You will have to log in again after an inactivity period of 30 minutes or more.

If you forget your password, you can call your Employer PA to request a new one.



##### Logging Out

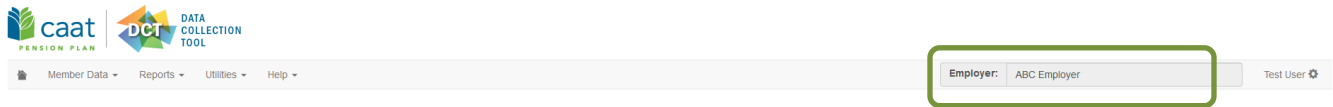




## Switching Employer

If you administer more than one employer, choose each employer from the drop-down menu.

You can only see the data from one employer at a time.



## 3.2 Home Screen

The Home screen provides summaries of your data for at-a-glance information.

Click the home icon  or the logo   to return to the home screen at any time.

## Navigation Ribbon

Use the navigation ribbon at the top of the screen to navigate the DCT. From the ribbon, you can go to the homepage, view your Member Data, open any of the Reports, see the Utilities and access the Help screens.



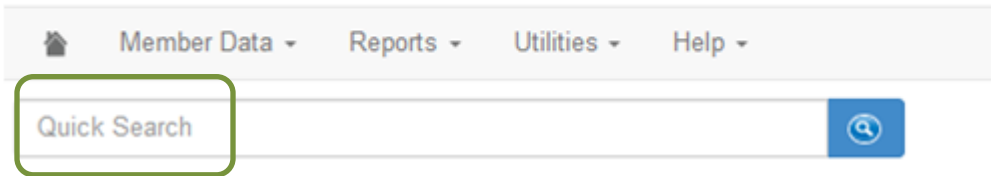
## Announcement Banner

When you log in, check the Announcement Banner. We will use the Announcement Banner to keep you up to date on deadlines or anything else you need to know as a DCT user.

## Quick Search

Use **Quick Search** on the top left of the home screen to search for a member by:

- Last name
- SIN
- Employee ID
- First name
- Middle name



## Member Data Summary

The **Member Data Summary** gives you a snapshot of the members in your database.

### Member Data Summary

Click on any row to open the report or screen.

Last Member Viewed:	
Number of Members:	0
New Members:	0
Employment Status Change:	0

**Last Member Viewed:** If you have already been in the database, this will show you the SIN, last name and first name of the member whose record you last worked on.

**Number of Members:** The total number of members in your group.

**New Members:** Total new members who enrolled in DCT reporting year (they are also included in the total of members, above).

**Employment Status Change:** A count of the total number of employment status changes in your group of members.

### Data Problems Menu

The **Data Problems** menu shows you the result of any validations and provides a quick link to the relevant Error Reports.

Every Error Report is displayed in the **Data Problems** menu. If there are no data problems, the number beside the Error Report will report zero errors. If you have not run any validations, each report will display zero errors.

Use this menu to quickly identify where any data problems exist or to organize your work. **The goal is to submit all data with zero errors.** The Data Problems menu lets you see at-a-glance how close you are to that goal.

**NOTE:** The error reports are also available from the navigation ribbon **Reports -> Error Reports** drop-down menu.

Data Problems:	
Earnings Problems:	0
DBprime PA Problems:	0
DBplus PA Problems:	0
Missing Info:	0
Contributions Problems:	0
Service Problems:	0
Demographic Problems:	0
Status Problems:	0
Retroactive Payments:	0
Plan Design Problems:	0
Employee Contribution Level Problems:	0

Click on the report title to open the report.

**NEW**

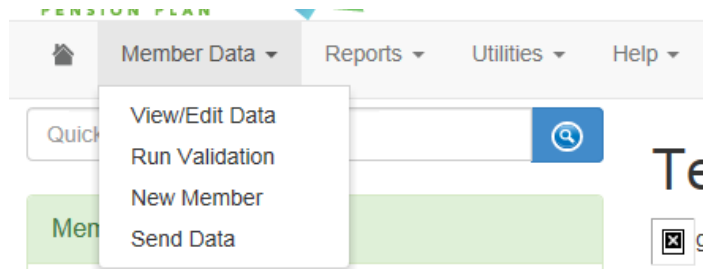
**NEW**



**Service Problems** report is not applicable for **DBplus** members

### 3.3 Member Data Menu

Select **Member Data** from the navigation ribbon to view/edit data, run validations, add new members and send notification to your Employer PA.



**View/Edit Data** – Use this to open the Member Data. It will open a grid with every employee in your database. You can change the number of employees displayed using the “items per page” drop-down at the bottom of the list.

**Run Validations** – Use this to validate all your data. This will generate the error reports, which tell you if your reported values do not match the expected values. Every time you run data validations, the **Data Problems** menu on the home page will be updated. It provides an at-a-glance summary of any remaining data issues.

**New Member** – Use to manually add a member to the database. A pop-up box will open in which you can enter the new member data. Be sure to submit the appropriate forms to support the addition to the database.

**Send Data** – Use this when you have completed all edits on your data. **Send Data** will send an automatic email to the Plan to notify your Employer PA that your data is complete. The DCT will freeze your data and you will not be able to make any further changes to the data after you use **Send Data**. Note that **Send Data** should not be used to save data changes.

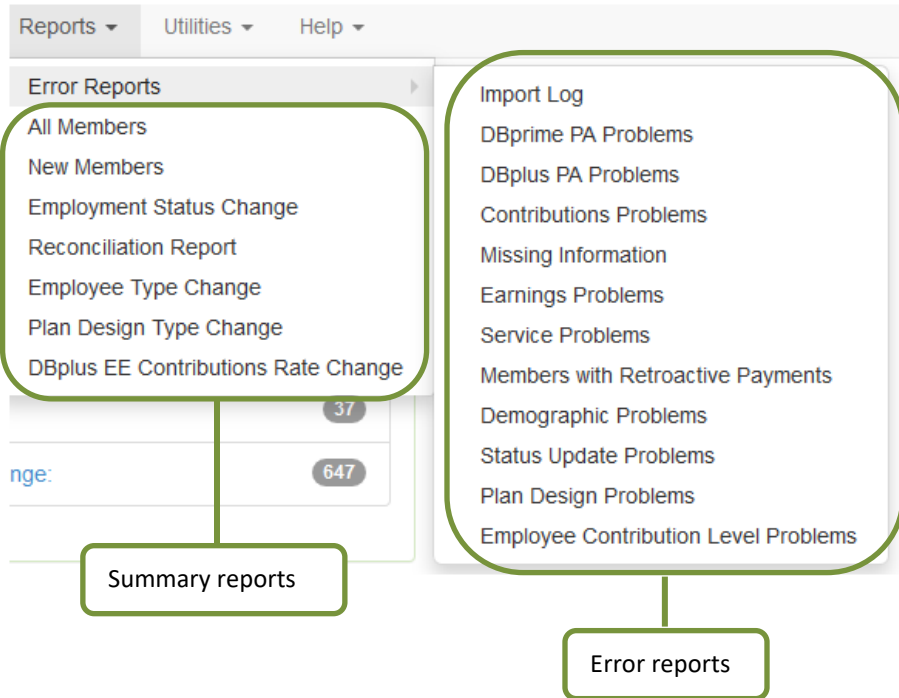


Once your data has been submitted, you no longer can edit data or run validations.

### 3.4 Reports Menu

Select **Reports** from the navigation ribbon to access **Error Reports** and **Summary Reports**.

Click on the report title you want to review to open the report.



**Error Reports** include all the possible errors in your data. The errors are also summarized in the **Data Problems** menu on the home page.



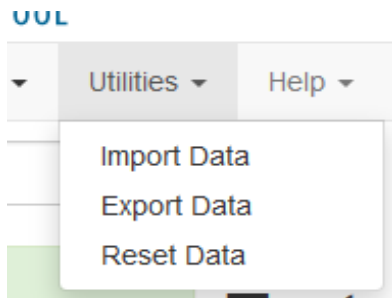
Use the **Data Problems** menu on the homepage to determine which reports you need to review. The **Error Reports** in the **Data Problems** menu display error totals.

**Summary reports** provide summaries of all your data. Some of these reports appear in the **Member Data Summary** menu on the home page.

### 3.5 Utilities Menu

Select **Utilities** from the navigation ribbon to work with your data files.

From this menu you can import your data to the DCT, export a raw data file or reset your data.



#### Import Data

Use Import Data to upload data to the DCT. The data import process will depend on the in-year reporting you completed.

If you provided in-year data for all members with Status changes, then only the Member Information and Year End Updates (referred to the YTD file) file is required.

If there are members with in-year Status changes for whom you did not provide in-year data changes or for whom information was provided after the December cut-off date and therefore leave data is not included in in the tool, you will have to provide additional files or manually upload the in-year data.

#### Export Data

Use Export Data to keep a copy of the data at any stage of the process.

As a first step, export the data and compare it to your data files. If your in-year reports are missing data, use this file to identify which of the five files you need to import.

#### Select Export Section

A screenshot of a dialog box titled 'Select a section to export'. The dialog box has a blue header bar with the title. Below the header bar, there are five radio button options, each with a label: 'Member Demographic Information', 'Member Status Updates', 'Member Earnings, Contributions and Service', 'Member Prior Year Retroactive Payments', and 'Member Partial-Day Leave'. The first option, 'Member Demographic Information', is selected, indicated by a filled radio button. At the bottom of the dialog box, there is a blue button labeled 'Download'.

Choose the data to export, by selection on one of the following options:

- Member Demographic Information – *all members in the Plan as of December 31, 2019*
- Member Status Updates – *status changes provided through in-year data*
- Member Earnings, Contributions, and Service – *data provide through in-year reporting*
- Member Prior Year Retroactive Payments
- Member Partial-Day Leave

**NOTE:** Partial-Day Leaves must be entered manually and are not part of the Import Data utility, therefore you would have to have added Partial Day Leave data to be able to export the data. This report is not applicable for **DBplus only** employers.

Choose the data to export and Click **Download**. Your data will be exported in a CSV file.



Note that this is not a report, it is an export of raw data: it extracts all the relevant data, based on your import format. To export a specific report, open the report, and use the Export menu beside the report title.

### **Reset Data**

Use this to restore your data to the data originally uploaded by the CAAT Pension Plan. It will erase all your data uploads or changes.

## 4. Working with Reports

### 4.1 Report Descriptions

Report Name	Description
<b>Summary Reports</b>	
<b>All Members</b>	<p>A detailed listing of demographic and payroll information of all members for the employer as reported in the DCT.</p> <p>This report has one record per member with Employee type, Employee Group and Employment Status at the end of the year. The report displays the sum of the Total Pensionable Earnings, Contributions, DBprime Service and PA for the full year.</p>
<b>New Members</b>	A listing of demographic data for all new members that enrolled in the reporting year.
<b>Employment Status Change</b>	<p>A flexible tool that can generate a report for any status based on user selection.</p> <p>This report also displays members with no change in status and will show the member's status as at January 1 of the reporting year.</p>
<b>Reconciliation Report</b>	This report displays the year-to-date listing of the payroll information for all members for the employer.
<b>Employee Type Change</b>	This report lists all members who changed Employee Type from OTRFT to FT and/or vice versa.
<b>NEW Plan Design Type Change</b>	This report lists all members who have changed Plan Design Type Changes. For 2019, all members who are in <b>DBplus</b> will appear in this report as they have changed Plan Designs.
<b>NEW DBplus EE Contributions Rate Change</b>	This report lists all members whose Employee Contribution Rate has changed.
<b>Error Reports</b>	
<b>Import Log</b>	This report describes the results of the data import process and cannot be used to access member records. It does not have Member SIN or Name columns. It is sorted by "Import Time", "Filename" and "Line sequence" by default.
<b>NEW DBprime PA Problems</b>	This report displays all members where the reported DBprime PA is not within the tolerance of the calculated DBprime PA.
<b>NEW DBplus PA Problems</b>	This report displays all members where the reported <b>DBplus</b> PA is not within the tolerance of the calculated <b>DBplus</b> PA.
<b>Contribution Problems</b>	<p>This report displays all members where the reported contributions are not within tolerance of the calculated contributions by DCT.</p> <p>The earnings are broken down by the earnings type: regular and lump sum.</p> <p>The contributions are grouped by RPP and RCA:</p> <ul style="list-style-type: none"> <li>• RPP contributions (basic and PRG)</li> <li>• RCA contributions (RCA and RCA_PGR)</li> </ul>



Report Name	Description
<b>Missing Information</b>	<p>This report displays all members whose status is active and no payroll data reported (contributions, pensionable earnings, DPprime service, PA).</p> <p>Deleted members will not appear on this report. When searching for a deleted member in the DCT, a message will appear: <i>No Results Found!</i></p>
<b>Earnings Problems</b>	<p>This report displays members with the following validations</p> <ul style="list-style-type: none"> <li>▪ Member is Active but Earnings = 0</li> <li>▪ Annualized Earnings, including lump sums, over \$200,000</li> <li>▪ Annualized Earnings, excluding lump sums, over \$200,000</li> <li>▪ Member was inactive but earnings &gt; \$0</li> <li>▪ Vacation pay reported for active member</li> </ul>
<b>Service Problems (DBprime only)</b>	<p>This report displays all members where the reported Service is not within the tolerance of the Service calculated by DCT.</p> <p>If the member had Employee type changes during the reporting year, the earnings and service should be broken down based on the effective dates.</p> <p>For FT, the validation is raised when the reported service is not equal to the maximum service allowed but within the tolerance – 2 working days.</p>
<b>Members with Retroactive Payments (DBprime only)</b>	<p>This report displays members with the following validations as well as every member who has a retro payment reported in the DCT:</p> <ul style="list-style-type: none"> <li>• Invalid retroactive pay year (RETROPAYYEAR) (i.e. retro provided for current year or for year(s) prior to enrolment date)</li> <li>• Total retroactive earnings (EARNINGS_RTO) does not equal sum of the annual retroactive earnings amounts</li> </ul>
<b>Demographic Problem</b>	<p>This report displays members who have the following validation:</p> <ul style="list-style-type: none"> <li>• Member is &lt; 16 years of age</li> <li>• Member is &gt; 71</li> <li>• Duplicate Employee ID</li> <li>• Employee Status date (excluding Not Contributing – Eligible for Purchase date) is before the Enrolment Date</li> <li>• Employee Group date is before the Enrolment Date</li> <li>• Employee Type date is before the enrolment date</li> <li>• Hire Date &gt; Enrolment Date</li> <li>• SIN check (will reject upon import)</li> </ul>

Report Name	Description
<b>Status Update Problems</b>	<p>This report displays members who have the following validation:</p> <ul style="list-style-type: none"> <li>• Status Update Date (i.e. Employment Status Date, Employee Group Date, Employee Type Date) is not in the current year</li> <li>• To Date/From Date is not in the current year</li> <li>• Gaps in Employment based on Status Update Dates and To/From Dates</li> <li>• Overlaps in Employment based on Status Update Dates and To/From Dates</li> <li>• NC (Replaces PTN code) should be used for non-contributing OTRFT members</li> <li>• Reduced Status Code (i.e. RED) but no reduction factor (REDUCTIONFACTOR)</li> <li>• Reduction factor (REDUCTIONFACTOR) but no reduced status code (i.e. RED)</li> <li>• Member Status is RED, Reduction factor must be &gt;0 and &lt;1 (New)</li> </ul>
<b>NEW Plan Design Problems</b>	<p>This report displays members who have:</p> <ul style="list-style-type: none"> <li>• Plan Design not in current year</li> <li>• Overlaps in employment based on Plan Design Dates</li> <li>• Gaps in employment based on Plan Design Dates</li> </ul>
<b>NEW Employee Contributions Level Problem Report</b>	<p>This report is for <b>DBplus members</b> only and displays members who have the following validations:</p> <ul style="list-style-type: none"> <li>• Employee Contribution Level Rate not in the current year</li> <li>• Overlaps in employment based on Employee Contributions Level Rates Dates</li> <li>• Gaps in employment based on Employee Contributions Level Rate Dates</li> </ul>

## 4.2 Navigating Through a Report

When you open a report, use the navigation on the bottom of the screen to move through the report and to change the number of records displayed per page.

### All Members

Export Format
PDF
▼
Export
Help

SIN ▲	Employee ID	Surname ▼	First Name	Date of Birth	Sex	Language	Hire Date	Enrolment Date
111111111	111111111	One	Scenario	1960-05-04	F	E	1980-03-12	1980-03-12
222222222	222222222	Two	Scenario	1966-07-31	M	E	2005-10-11	2005-10-11
333333333	333333333	Three	Scenario	1957-08-13	M	E	2007-01-02	2007-01-02
444444444	444444444	Four	Scenario	1984-03-22	F	E	2008-05-05	2010-08-16
555555555	555555555	Five	Scenario	1969-03-20	F	E	2010-10-20	2014-01-01

⏪
◀
1
▶
⏩

20
▼
items per page

1 - 6 of 6 items
 ↻

## 4.3 Sorting or Filtering Data on the Report Screen

### Sorting

By default, reports are sorted by last name in alphabetical order, then by SIN in ascending order.

Each column is resizable. Hover over the line between columns and click and drag to resize the columns. You may have to resize some columns to see the sort triangle.

To change the sort order, **you must first remove the previous sorts**. Every column with a potential sort on it will have a triangle beside the column title.

If you click on a column head to sort, you are adding it to the existing sort.

- **To change the sort order:** Click the triangle beside the column name you want to sort on. The triangle will flip, and the data will be sorted in the opposite direction.
- **To remove the sort:** Click the arrow beside the column title once to sort on that field. Click a second time to remove the sort. (Note that this is not a double-click. You must click twice).
- **To sort on a specific column:** First remove all previous sorts, then click on the column title to add an arrow and sort on a specific column.
- **To sort on multiple columns:** Click on the column title to add it to the end of the existing sort.

### Filtering

Use to quickly identify all entries with a certain characteristic.

Filter is **Case Sensitive**. Click on the funnel icon beside the column title on which you want to filter.

**To clear a filter:** For any column with an active filter, the funnel icon will be greyed out. Click the filter icon and choose 'Clear' to remove the filter and display all records.

Filters apply to the screen only. If you filter the data on the screen and export the data, you will export all the data.

Member With Retroactive Payments			
SIN ▲	Employee ID	Surname ▲	First Name
111111111	111111111	One	Scenario
111111111	111111111	One	Scenario
111111111	111111111	One	Scenario
111111111	111111111	One	Scenario

Filter options for columns with words (e.g. Surname, First Name); Includes Employee ID	Filter options for columns with numbers (includes SIN)	Filter options for columns with dates:
Is equal to Is not equal to Starts with Contains Does not contain Ends with	Is equal to Is not equal to Is greater than or equal to Is greater than Is less than or equal to Is less than	Is equal to Is not equal to Is after or equal to Is after Is before or equal to Is before
Note that filtering is case sensitive.	You can enter any number for filtering	Use the calendar pop up menu to choose the date you wish to filter the data on.
For all filters, you can add a second criteria, or exclude irrelevant data using the “And/Or” button.		

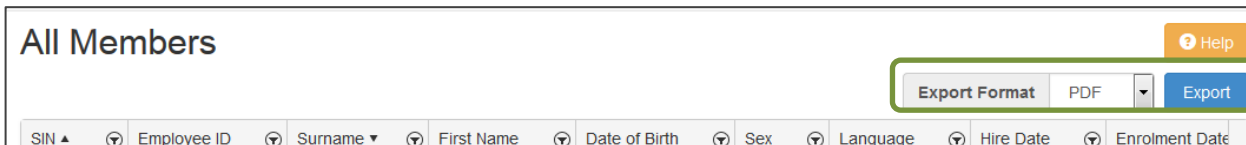
For example, if you want to identify all the members with earnings over the RCA contributions threshold, click the filter icon beside “Current Year’s Earnings” and choose “is greater than or equal to” \$171,368.00 (the 2019 RCA earnings threshold).

### 4.4 Exporting a Report

You can export each report from the Report screen. At the top right, choose the **Export Format** you would like the report exported in and click **Export**. The report will be formatted and downloaded to your computer.

You can export the data in these formats:

- PDF
- XLS
- XLSX
- DOCX



Because of the file structure you cannot filter the excel versions of the following reports:

- PA Problems Report
- Earnings Problems
- Retro Payments



Note that this Export is different than the Data Export available from the **Utilities** menu, which exports the raw data.

## 5. Importing your data

### 5.1 Data Files Format and Order

#### File Formats

Your data files can be formatted in either:

- .csv (comma-separated values)
- .xls (MS Excel 2003 and prior)
- .xlsx (MS Excel 2007 and newer)

#### Date Formats

The preferred date format is YYYY-MM-DD.



If your date format is different than YYYY-MM-DD, you can specify your date format as part of the Data Import process. The list of date formats includes DD/MM/YYYY, MM/DD/YYYY, and YYYYMMDD.

#### Data Mapping

The DCT allows flexible data mapping, so the order of the columns is flexible. Columns will be automatically mapped to the DCT database if the headings in your data file match the pre-defined column names. If they are not, you can map them as part of the Data Import process.



We recommend you use a header row in your file to facilitate data mapping.

#### Data Files and Import Order

Import order	Data File title	Data File details	Optional / Required
1	Status Updates	Use to upload member Status Updates that were not reported in-year.	Optional*
2	Earnings and Contributions	Use to upload earnings, contributions and DBprime service for members with in-year status changes for whom this data has not been previously reported.  The reporting period start and end dates must correspond to the Status Update dates.	Optional*
3	<b>Member Information and Year-end Updates (YTD)</b>	Use to upload information updates and year-end data for all members. If in-year reporting was complete, this is the only file that needs to be uploaded. For member updates not reported to the Plan, or reported after the DCT was prepared, you can either upload the other files first, or update member records using the DCT's online editing function, then upload the year-end data using the YTD fields.	<b>Required</b>

4	Prior Year Retroactive Payments	Use this report to attribute retroactive payments to past years. The total of all payments for all past years should match the total Retroactive earnings field for all reporting periods in the collection year. The earnings reported should be for years PRIOR to the current DCT reporting year. For example, if the member receives a retroactive payment in November for work performed in June of the reporting year, those earnings should not be reported here.	Optional*  Not Applicable to <b>DBplus only</b> employers
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\*If you did not report member status changes during the year, you must import Status Updates and Earnings and Contribution files first. If the status changes were reported in-year, these import files are not required.

**NOTE:** For members who started or stopped Reduced Workload or Paid Leave of Absence in the reporting year, you must manually split the payroll record for the two periods.

For reporting the split between PRG and REG earnings and contributions, there are two options:

1. If you can split the earnings and contributions at year end, then report both in the Member Information and Year-end Updates (YTD) file. Based on your in-year reporting, the DCT will load the data into the correct Payroll records.
2. If you are unable to split the PRG and REG earnings and contributions, report the TOTAL under REG in the Member Information and Year-end Updates (YTD) file.

When you import the file, SKIP the mapping for YTD\_PRG so it does not load. The DCT will allocate the difference to the most recent status.

If you have the total data for the year under PRG in the YTD File, you must re-allocate the total to REG.

## 5.2 Status Updates Data Import File Requirements

This file is optional. If used, it must be uploaded first.

(\* - Mandatory field)

Column	Data Type	Length	Description
<b>*SIN</b>	CHAR	9	Social insurance number
<b>*EMPLOYEEID</b>	CHAR	15	Unique employee number assigned by the employer
<b>*EFFECTIVEDATE</b>	DATE		Status effective date
<b>NEW</b> PLAN DESIGN	CHAR	6	Two Plan design options (case sensitive) DBprime <b>DBplus</b>
EMPLOYMENTSTATUS	CHAR	4	Employment status: ACT – Active DTH – Death IDT – Active INT – Intergroup Transfer LAY – Layoff LOA – Unpaid Leave of Absence LTD – Long Term Disability NC – Other-Than-Full-Time – Not contributing NCE – Not Contributing – Eligible for Purchase PLA – Paid Leave of Absence PRG – Pregnancy/Parental Leave – payroll deduction PRN – Pregnancy/Parental Leave – no payroll deduction RED – Reduced Workload RET – Retired STR – Strike Period TER – Termination WSIB – Full WSIB WSIP – Partial WSIB
<b>NEW</b> EECONTRIBUTIONRATE	NUMBER	4	Member contribution rate percentage in decimal number (for example, if member contribution rate is 5%, input 0.05) *Mandatory for <b>DBplus</b> only Employers *Not required for Employers who participate in DBprime plan design
REDUCTIONFACTOR	NUMBER	4	Reduction factor: the workload percentage in decimal number form (e.g. if working 80% of regular workload, input 0.80) that member's workload is reduced to. This is only applicable to RED (Reduced workload) status. (2 decimals: [9.99])
EMPLOYEEETYPE	CHAR	3	Employee type code (Job code in the old DCT system): FT – Full-time OTF – Other than full-time
EMPLOYEEEGROUP	CHAR	3	Employee group code (Occupation code in the old DCT system): SUP – Support staff FAC – Faculty staff ADM – Administrative staff

**Status Updates Data Import File Sample**

SIN	EMPLOYEEID	EFFECTIVEDATE	PLAN DESIGN	EMPLOYMENT STATUS	EECONTRIBUTION RATE	REDUCTIONFACTOR	EMPLOYEETYPE	EMPLOYEEGROUP
111111111	1111111111111111	5/24/2019	DBprime	LOA				
222222222	2222222222222222	6/9/2019	DBprime	ACT				
333333333	3333333333333333	8/4/2019	DBplus	ACT				
444444444	4444444444444444	9/1/2019	DBprime	ACT				



### 5.3 Earnings and Contributions Data Import File Requirements

This file is optional. If used, it must be uploaded after **Status Updates** file.

(\* - Mandatory field)

Column	Data Type	Length	Description
<b>*SIN</b>	CHAR	9	Social insurance number
<b>*EMPLOYEEID</b>	CHAR	15	Unique employee number assigned by the employer
<b>*FROMDATE</b>	DATE		Period start date
TODATE	DATE		Period end date
SERVICE	NUMBER	7	Member service for the period (5 decimals: [9.99999]) For <b>DBplus</b> members the field is populated with 0.
EARNINGS_LUM	NUMBER	12	Lump sum earnings for the period (2 decimals: [999999999.99]). Do not include in EARNINGS_REG
EARNINGS_PRG	NUMBER	12	Earnings for pregnancy/parental leave period (2 decimals: [999999999.99])) Do not include in EARNINGS_REG
EARNINGS_REG	NUMBER	12	Regular earnings for the period (2 decimals: [999999999.99]), excluding lump sum earnings, pregnancy/parental earnings, retroactive pay and vacation pay
EARNINGS_RTO	NUMBER	12	Total retroactive pay in the current DCT reporting year in respect of prior years. (2 decimals: [999999999.99]) This does not include retroactive payments in the current DCT reporting year Replaces the "Retro Pay Allocation" spreadsheet currently on the CAAT Pension Plan website. Do not include in EARNINGS_REG
EARNINGS_VAC	NUMBER	12	Total vacation pay for the period (2 decimals: [999999999.99]). Do not include in EARNINGS_REG
CONTRIBUTION_PRG	NUMBER	12	Contributions for pregnancy/parental leave (payroll deduction only) for the period (2 decimals: [999999999.99]).
CONTRIBUTION_REG	NUMBER	12	Regular contributions for the period (2 decimals: [999999999.99]).
CONTRIBUTION_RCA	NUMBER	12	RCA contributions for the period (2 decimals: [999999999.99]).
CONTRIBUTION_RCA_PRG	NUMBER	12	RCA contributions for pregnancy/parental leave (payroll deduction only) for the period (2 decimals: [999999999.99]).

#### Earnings and Contributions Data Import File Sample

	B	C	D	E	F	G	H	I	J	K	L	M	N
1	EMPLOYEEID	FROMDATE	TODATE	SERVICE	EARNINGS_LUM	EARNINGS_PRG	EARNINGS_REG	EARNINGS_RTO	EARNINGS_VAC	CONTRIBUTIONS_PRG	CONTRIBUTIONS_REG	CONTRIBUTIONS_RCA	CONTRIBUTIONS_RCA_PRG
2	222222222	1/1/2014	5/24/2014	0.39464			24000				2752		
3													
4													

## 5.4 Member Information and Year-end Updates (YTD) Data Import File Requirements

This is a required file. Mandatory fields are used to identify a unique member record. Employers will still need to select at least one optional column to upload in addition to mandatory fields. (\* - Mandatory field)

Column	Data Type	Length	Description
<b>*SIN</b>	CHAR	9	Social insurance number
<b>*EMPLOYEEID</b>	CHAR	15	Unique employee number assigned by the employer
<b>NEW DBprime PA</b>	NUMBER	9	Pension adjustment (no decimal: [999999999])
<b>NEW DBplus PA</b>	NUMBER	9	Pension adjustment (no decimal: [999999999])
COMMENTS	CHAR	2000	Comments
YTD_SERVICE	NUMBER	7	Total DBprime service for the collection year (5 decimals: [9.99999])  Not applicable to <b>DBplus</b> members.
YTD_EARNINGS_LUM	NUMBER	12	Total pensionable lump sum earnings for the collection year (2 decimals: [999999999.99]). Do not include in YTD_EARNINGS_REG
YTD_EARNINGS_PRG	NUMBER	12	Total pregnancy/parental earnings for the collection year (2 decimals: [999999999.99]). Do not include in YTD_EARNINGS_REG
YTD_EARNINGS_REG	NUMBER	12	Regular earnings for the collection year, including current year's retro pay (2 decimals: [999999999.99]). Excluding lump sum earnings, pregnancy/parental earnings, vacation pay and prior year earnings.
YTD_EARNINGS_RTO	NUMBER	12	Total retroactive pay in the current DCT reporting year in respect of prior years. (2 decimals: [999999999.99]). This does not include retroactive payments in the current DCT reporting year. Do not include in YTD_EARNINGS_REG
YTD_EARNINGS_VAC	NUMBER	12	Pensionable vacation pay for the year. This field is only applicable to members who retire or terminate in the data collection year. (2 decimals: [999999999.99]). Do not include in YTD_EARNINGS_REG
YTD_CONTRIBUTIONS_PRG	NUMBER	12	Total pregnancy/parental contributions (payroll deduction only) for the collection year (2 decimals: [999999999.99]).
YTD_CONTRIBUTIONS_REG	NUMBER	12	Total regular contributions for the collection year (2 decimals: [999999999.99]).
YTD_CONTRIBUTIONS_RCA	NUMBER	12	Total RCA contributions for the collection year (2 decimals: [999999999.99]).
YTD_CONTRIBUTIONS_RCA_PRG	NUMBER	12	Total RCA contributions for pregnancy/parental leaves (payroll deduction only) for the collection year (2 decimals: [999999999.99]).

### Member Information and Year-end Updates (YTD) Data Import File (sample)

Notes: This file is required. It must be uploaded third if any of the other files are used.

#### Demographic Section



The Demographic Information in the DCT is frozen and you will not be able to map these sections in the import process, except for SIN and EMPLOYEEID. You can leave these fields in your file or remove them as it will not affect the import process.

SIN	EMPLOYEEID	SURNAME	FIRSTNAME	MIDDLENAME	BIRTHDATE	SEX	LANGUAGE	ENROLMENTDATE	HIREDATE	DBPRIME PA	DBPLUS PA
111111111	1111111111111111	One	Scenario		05/04/1960	F	E	03/12/1980	03/12/1980	10,187	
222222222	2222222222222222	Two	Scenario		07/31/1966	M	E	10/11/2005	10/11/2005	6,502	
333333333	3333333333333333	Three	Scenario		08/13/1957	M	E	01/02/2007	01/02/2007		6,047
444444444	4444444444444444	Four	Scenario		03/22/1984	F	E	08/16/2010	05/05/2008		5,367
555555555	5555555555555555	Five	Scenario		03/20/1969	F	E	01/01/2014	10/20/2010	1,558	
666666666	6666666666666666	Six	Scenario		11/15/1960	F	E	05/02/1988	05/02/1988	4,000	3,000

### Member Information and Year-end Updates (YTD) Data Import File (sample)

#### 'YTD\_' Section

L	M	N	O	P	Q	R	S	T	U
YTD_SERVICE	YTD_EARNINGS_LUM	YTD_EARNINGS_PRG	YTD_EARNINGS_REG	YTD_EARNINGS_RTO	YTD_EARNINGS_VAC	YTD_CONTRIBUTIONS_PRG	YTD_CONTRIBUTIONS_REG	YTD_CONTRIBUTIONS_RCA	YTD_CONTRIBUTIONS_RCA_PRG
7	1.00000		\$ 75,000.00	3300			\$ 9,699.00		
2	0.96169		\$ 57,000.00				\$ 6,619.00		
7	0.77011		50,310.00				6,029.00		
7	1.00000		51,000.00				5,712.00		
B	0.32841		15,000.00				1,680.00		
D	0.83142	5000	80000.00				10000		

## 5.5 Prior Year Retroactive Payments Data Import File Requirements

This file is optional. If used, it must be uploaded as a last file.

(\* - Mandatory field)

Column	Data Type	Length	Description
*SIN	CHAR	9	Social insurance number
*EMPLOYEEID	CHAR	15	Unique employee number assigned by the employer
*RETROPAYYEAR	NUMBER	4	The year the retroactive pay is in respect of (no decimal: [YYYY])
*AMOUNT	NUMBER	12	Amount of retroactive pay in respect of the retro pay year (2 decimals: [999999999.99])

### Prior Year Retroactive Payments Data Import File Sample

SIN	EMPLOYEEID	RETROPAYYEAR	AMOUNT
111111111	111111111111111	2018	1000
222222222	222222222222222	2017	500
333333333	333333333333333	2016	1200
444444444	444444444444444	2015	600

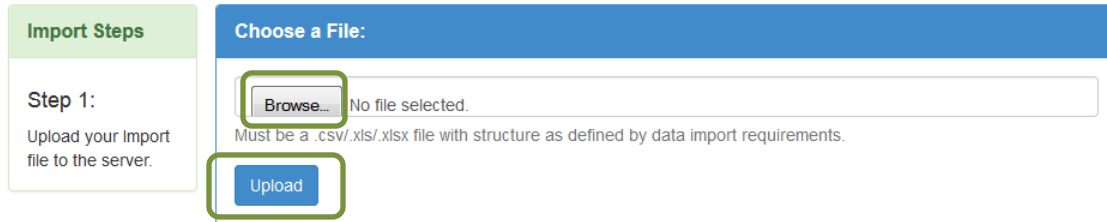
## 5.6 Import Steps

### Step 1: Upload Data File

Select **Utilities > Import Data** from the navigation ribbon.

Use “Browse” button to select the file on your computer. When you have selected the file, click the “Upload” button.

### Upload Data File

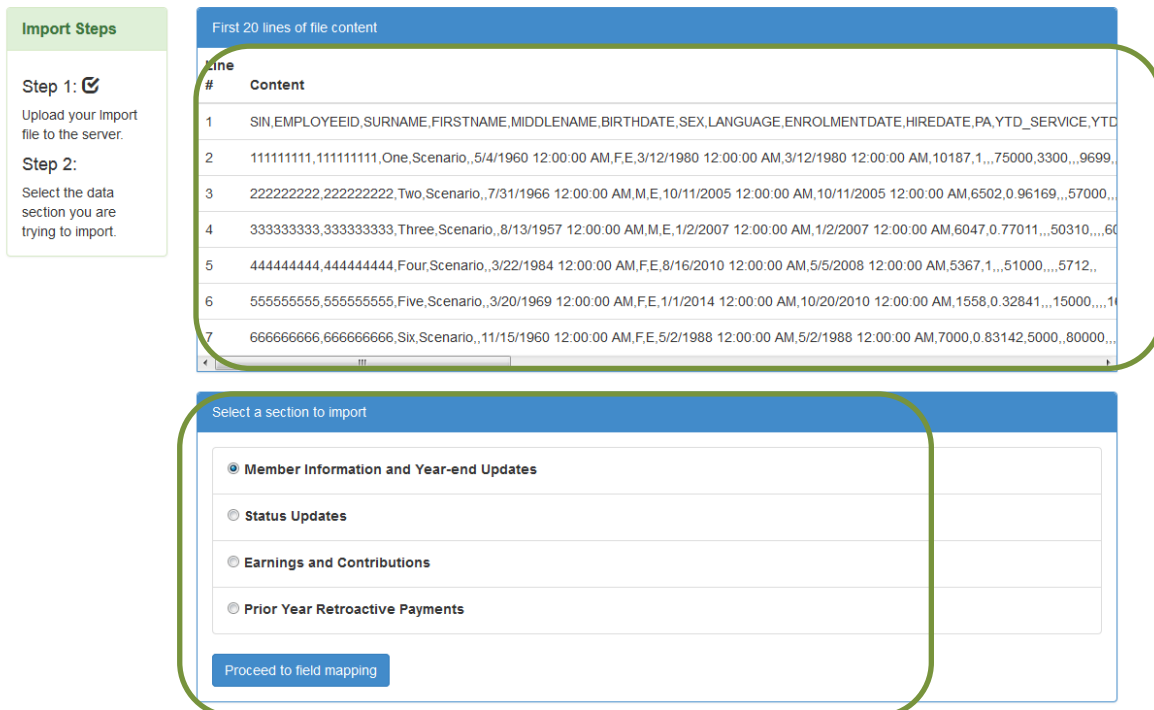


### Step 2: Select Import Section

The first 20 lines of your file are displayed. Review the first 20 lines of your import file to confirm the data you are importing.

Once data is confirmed, select the radio button to identify the type of file you are importing and click **Proceed to field mapping**.

### Select Import Section



### Step 3: Map database columns to your data file

In this step, the DCT shows you the data in your import file and the data fields expected by the DCT. The DCT needs to know the import file layout in order to select the fields to import.

- Indicate if your first row is a header row. If your first row is not a header, be sure to uncheck this box otherwise your first row of data will be ignored.

#### Header Row

Is the first row a header row?



We recommend you use a header row and the DCT column names for your import files. The DCT will automatically map the data.

- If the date format displayed in the Date Format box does not match yours, choose the correct format from the drop-down box.

#### Date Format

Date Format YYYY-MM-DD

- Use the drop-down menus to choose the correct column header from the **Database Column** on the left to match the **Column on File** in the middle. Check the **Sample Data** to make sure the description is correct.

When the data fields are mapped, click **Import Data** to complete the import.

Map database columns to your data file Help

**Import Steps**

Step 1:  Upload your import file to the server.

Step 2:  Select the data section you are trying to import.

Step 3: Describe the import file layout and select the fields to import.

**Header Row**

Is the first row a header row?

**Date Format**

Date Format YYYY-MM-DD

**Field Mapping**

Database Column	Column on File	Sample Data
SIN*	SIN	111111111
EMPLOYEEID*	EMPLOYEEID	111111111
RETROPAYYEAR*	RETROPAYYEAR	2013
AMOUNT	AMOUNT	1000

**Import Data**

The Demographic Information in the DCT is frozen and you cannot map these sections in the import process, except for SIN and EMPLOYEEID. The unmapped demographic data fields can remain in your import file.



In order to override the existing demographic data, you must submit a Change of Information Form to the CAAT Pension Plan to make changes.

If you are adding a new member to the DCT, the demographic data will be frozen once the member has been added.



Do not load payroll data, even zeros, for inactive statuses (e.g. LOA, LTD, etc.)

### Step 4: Import Summary

The Import Summary will list all your data errors that affected the import. The Import Log, available from the Error Reports list under the Reports menu, keeps historical import summaries.



The errors shown here are Import errors, not Data Validation errors. You must validate the data to determine if there are data errors.

Click **Upload** if you must complete more imports. **Validate** will validate the data you have just entered. **Home** will take you to the Home screen.

## 5.7 Errors During Data Import

The DCT will provide detailed error messages if there are problems with your Data Import. If you have errors, you must fix them and re-import the files. The Import Summary will describe the errors. The possible errors are in the chart below. Note that in this chart the variables occur in curly brackets “{ }”. In your Data Import Errors log, this will indicate the specific data point that needs to be remediated.

**Errors in Status Updates File:** If any column is rejected, the RECORD is rejected, but the rest of the file will import. Review your Import Log for details.

**Errors in Earnings and Contributions File:** If any column is rejected, the RECORD is rejected, but the rest of the file will import. Review your Import Log for details.

**Errors in YTD File:** If any column in the Demographic information section is rejected, the RECORD is rejected, but the rest of the file will import. If any of the data elements that start with “YTD\_” are rejected, the RECORD will upload, but the data in the rejected column will not. The Error Reports after you run your validations will identify any data issues in the “YTD\_” fields.

**Errors in Prior Year Retroactive Payments File:** If any column is rejected, the RECORD is rejected, but the rest of the file will import. Review your Import Log for details. The import log shows all imports, with the most recent file at the top.

Error Message	Corrective Action
Error: invalid file	Check the correct file was imported.
Invalid file extension: {EXTENSION}	Acceptable file formats are: <ul style="list-style-type: none"> <li>• .csv (comma-separated values)</li> <li>• .xls (MS Excel 2003 and prior)</li> <li>• .xlsx (MS Excel 2007 and newer)</li> </ul>
No import file uploaded	You must select a file to import.
No import section selected	In Step 2, you must indicate what file you are uploading.
Invalid import section {SECTION}	Message displays which section is invalid for import.
Column {COLUMN NAME} mapped more than once.	In Step 3, you must ensure that each column is mapped to the DCT database only once.
Not all mandatory fields are mapped.	Your imported files must include each of the required columns. In Step 3, you must ensure that each required column is mapped to the DCT database.
You must map all mandatory fields and at least one other field.	In Step 3, you must ensure that you mapped at least one extra column in addition to the required columns.
Error at line {LINE#}: [EMPLOYEE TYPE]: Invalid Field value	Employee Type must be either FT or OTF.
Error at line {LINE#}: [EMPLOYEE GROUP]: Invalid Field value	Employee Type must be ADM, FAC, or SUP.
Error at line {LINE#}: [EMPLOYEE STATUS]: Invalid Field value	Employee Status must be one of the 18 statuses listed on page 9 of this Guide.
Member Statuses in DCT and Earnings period in the Upload do not match. Fix the dates either in DCT or in the file to match: {FROM DATE}	Payroll periods are driven by status changes (employment status, employee type). This error indicates that payroll start date in the “Earnings and Contributions” import file does not have a matching status change date in DCT.
Error at line {LINE#}: Failed to insert or update [{COLUMN NAME}]{VALUE}.	Message display which column has not been inserted or updated.
Error at line {LINE#}: Failed to update member information [{SIN}].	Check your data file and ensure that every member has a SIN.



<b>Error Message</b>	<b>Corrective Action</b>
Error at line {LINE#}: Member record [{SIN}] does not exist in DCT. New or terminated in prior year.	You may have to manually input the new member.
Error at line {LINE#}: Failed to insert or update YTD total record.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: No payroll period record found.	Review your file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: Failed to insert or update YTD regular earning.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD regular earning is less than total regular earning already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD lump sum earning.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD lump sum earning is less than total lump sum earning already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD vacation earning.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD vacation pays is less than total vacation pays already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD retro earning.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD retro earning is less than total retro earning already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD regular contribution.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD regular contribution is less than total regular contribution already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD RCA contribution.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD RCA contribution is less than total RCA contribution already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD PRG earning.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD PRG earning is less than total PRG earning already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD PRG contribution.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Error at line {LINE#}: YTD PRG contribution is less than total PRG contribution already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Error at line {LINE#}: Failed to insert or update YTD PRG contribution for RCA.	Review your YTD file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.

Error Message	Corrective Action
Error at line {LINE#}: YTD PRG contribution for RCA is less than total PRG contribution for RCA already reported.	The YTD totals must be equal to or greater than the in-year data. Review and correct where necessary.
Failed to insert or update retroactive payment.	Review your Retroactive Pay file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
Failed to insert or update status.	Review your Status Update file for this member and ensure the information is in the correct format. Also check the member is in the DCT database.
File does not exist anymore. Please re-upload your file.	Check for your file and try to import again.
Error at line {LINE#}: Member record does not exist in DCT. New or terminated in prior year.	The member is not in the DCT database. If missed enrolment, you must add member to the DCT database.
Error at line {LINE#}: Member was reported on a leave as of reporting year but YTD data reported.	Review member's status and YTD data to ensure that the YTD data is not reported for the member on a leave.
REG earning and contribution must be mapped if PRG earning and contribution are mapped.	Map REG earnings and contributions.
Import completed with {ERROR COUNT} errors out of {TOTAL ROW COUNT} rows.	Message displays number of errors out of the total number of rows.
<b>NEW</b> Error at line {LINE#}: Plan design is invalid.	Review the Plan Design. Plan Design must be DBprime or <b>DBplus</b> (case sensitive).
<b>NEW</b> Error at line {LINE#}: Employee Contribution Rate is invalid.	Review the Employee Contribution Rate. Member contribution rate percentage must be in decimal number (for example, if member contribution rate is 5%, input 0.05) *Mandatory for <b>DBplus</b> only Employers *Not required for Employers who participate in DBprime plan design.
<b>NEW</b> Error at line {LINE#}: Failed to insert or update RCA contributions reported for the <b>DBplus</b> member.	<b>DBplus</b> members do not have RCA. Remove RCA contributions.
<b>NEW</b> Error at line {LINE#}: Failed to insert or update RCA PRG contributions for <b>DBplus</b> member.	<b>DBplus</b> member do not have RCA PRG. Remove RCA PRG contributions.

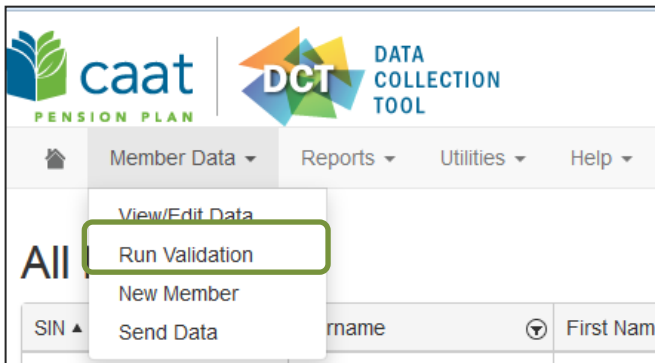
## 6. Data Validations

### 6.1 Running Validations

Once data has been imported into DCT, run data validation reports to validate your data for all members and generate **Error Reports** to determine what data remediation is required.

The error reports can be run from either:

- The **Import Summary** screen immediately after import in step 4 above by clicking **Validate**, or
- The **Member Data** drop-down menu on the navigation ribbon by selecting **Run Validation**.



The validation results are displayed in the **Error Reports** which can be accessed from the **Data Problems** menu on the home page or from **Reports > Error Reports** menu on the navigation ribbon.

The next step is to review validation results, i.e. errors and warnings, and correct member data. Data validations can be run as many times as required to assess how close you are to submitting data with zero errors.

## 6.2 Validation Errors and Corrective Action

You can review the errors for a specific member's data by going to the Member Details Page and clicking on **Validation Result**. Here you will find each error message and can work on clearing them.



You cannot submit data with errors, however an error can be overridden by your PA. In this case, you should call your PA to discuss the error. Since the demographic data is frozen, you will have to provide a Change of Information form for any demographic data changes.

Validation Error messages	Corrective action
Member is less than 16 years old	Check Date of Birth. A Change of Information form may be required.
Invalid sex code	Valid Sex codes are: <ul style="list-style-type: none"> <li>• M</li> <li>• F</li> <li>• U</li> </ul>
Invalid language code	Valid Language codes are <ul style="list-style-type: none"> <li>• E</li> <li>• F</li> </ul>
Effective Date is before the Enrolment Date	Check the Effective Date and Enrolment Date. Member must be enrolled to have a Status Effective Date.
Invalid Employee Group	Valid Employee Groups are <ul style="list-style-type: none"> <li>• Faculty</li> <li>• Administration</li> <li>• Support</li> </ul>
Invalid Employee Type	Valid Employee Types are: <ul style="list-style-type: none"> <li>• Full-time</li> <li>• Other than Full-time</li> </ul>
Status Update Date is not in the current year	Member must have a Status for current reporting year
Member is active and no Status and Payroll Data reported	An active Member must have a Status and Payroll Data reported.
To Date is not in the current year	Review and correct the "To Date" (end date)
From Date is not in the current year	Review and correct the "From Date"
Overlaps in employment based on Status Update Dates and To/From Dates	Status updates must be consecutive dates; there should not be any overlaps in status dates. Review and correct your status update dates.
Gaps in employment based on Status Update Dates and To From Dates	Status updates must be consecutive dates; there should not be any gaps in status dates. Review and correct your status update dates.
Member was inactive but service > 0	Fix the status or fix the DBprime service.

Invalid Employment Status Update	Valid Employment Statuses are: ACT – Active DTH – Death IDT – Active New INT – Intergroup Lay – Layoff LOA – Unpaid Leave of Absence LTD – Long Term Disability NC – Other-Than-Full-Time-Not Contributing NCE – Not Contributing – Eligible for Purchase PLA – Paid Leave of Absence PRG – Pregnancy/Parental Leave – Payroll Deductions PRN – Pregnancy/Parental Leave – No Payroll Deductions RED – Reduced Workload RET – Retired STR – Strike Period TER – Termination WSIB – Full WSIB WSIP – Partial WSIB
Invalid SIN	Check the member's SIN. A Change of Information form may be required.
Earnings are greater than the maximum and there are no RCA contributions	Review the earnings or contributions. Review whether the member should have been contributing to RCA.
Missing Member	Review the member's status in the year – did they leave employment, or were they missed in the data?
Duplicate Employee ID	Review the Employee ID and correct the member which had the incorrect ID. Two members cannot have the same Employee ID as it is a unique identifier.
Vacation Pay reported for active member	Vacation Pay is only pensionable in the year the member retires or terminates. If the member is still active, no Vacation Pay is pensionable. For <b>DBplus</b> members report vacation pay as a part of regular earnings.
Member is OTRFT and Lump Sum / Vacation earnings reported	Vacation Pay and Lump Sums for OTRFT ( <b>DBplus</b> members) must be reported as a part of regular earnings.
Total retroactive earnings do not equal sum of the annual retroactive earnings amounts	The total retroactive pays must match the retroactive earnings reported in the payroll data. Review and correct where necessary.
The retro pay year was not before the collection year	Retroactive Pay refers to payments in respect of a previous year. Retroactive pays do not apply to the current DCT reporting year.
Invalid retroactive pay year	Retroactive Pay refers to payments in respect of a previous year. The member must have been active during a retroactive pay year.

Invalid Marital Status	Valid Marital Statuses are: <ul style="list-style-type: none"> <li>• M – Married</li> <li>• C – Common-Law</li> <li>• S – Single</li> <li>• U – Unknown</li> </ul>
Reduced status code reported but no reduction factor provided	Provide a reduction factor or remove the reduced status code.
Reduction factor reported but no reduced status code provided	Provide a reduced status code or remove the reduction factor.
PRG earnings without PRG member status	Review the member's status and earnings.
Hire Date > Enrolment Date	A Change of Information form may be required.
Reduced status code, factor must be > 0 and < 1.00	Provide a reduction factor between 0 and 1.00.
Reported Basic Contributions (including PRG contributions) are not within tolerance	Contribution tolerance for Full-Time DBprime members or anyone who was Full-Time DBprime at any point in the reporting year is 2%. Contribution tolerance for <b>DBplus</b> members is \$1
PRG earnings without PRG contributions	Review the payroll data and if there are PRG earnings, you must allocate the deducted PRG contributions.
PRG contributions without PRG earnings	Review the payroll data and if there are PRG contributions, you must allocate the deemed PRG earnings.
PRG earnings without PRG status	Review the earnings and member status. If the member has PRG earnings, they must have a PGR status.
REG and PGR earnings in the same period	Regular and PRG Earnings must be reported for different periods. Review and correct the earnings allocation.
Reported RCA Contributions (including PRG RCA contributions) are not within tolerance	Contribution tolerance is 2%. <b>DBplus</b> members should not have any RCA contributions.
Member is not eligible for RCA and has RCA contributions	Only members with RCA earnings have RCA contributions. <b>DBplus</b> members should not have any RCA earnings.
Reported Pensionable Service is not within tolerance	DBprime service tolerance is 2 working days.
Partial Day Leave taken when not FT and Active	Only Full-time DBprime Active members can take Partial-Day leaves. For OTRFT members, leaves are not an option.
Member is LTD/WSIB/WSIP and annual salary rate is missing	Annual Salary Rate is a mandatory filed for LTD/WSIB/WSIP members in order to calculate deemed earnings.
Member is Active but Service = 0	A DBprime member with Active status must have service in the year.
<b>NEW</b> Gaps in employment based on Plan Design Dates and To/From Dates	Plan Design updates must be consecutive dates; there should not be any gaps in Plan Design dates. Review and correct your status Plan Design dates.
<b>NEW</b> Overlaps in employment based on Plan Design Dates and To/From Dates	Plan Design updates must be consecutive dates; there should not be any overlaps in Plan Design dates. Review and correct your Plan Design dates.
<b>NEW</b> Gaps in employment based on Employee Contributions Level Rate Dates and To/From Dates	Employee Contributions Level Rate updates must be consecutive dates; there should not be any gaps in Employee Contributions Level Rate dates. Review and correct your Employee Contributions Level Rate dates.
<b>NEW</b> Overlaps in employment based on Employee Contributions Level Rate Dates and To/From Dates	Employee Contributions Level Rate updates must be consecutive dates; there should not be any overlaps in Employee Contributions Level Rate dates. Review and correct your Employee Contributions Level Rate dates.

<b>NEW</b> Partial Day Leave reported for <b>DBplus</b> member	Partial Day Leaves are not allowable for <b>DBplus</b> members.
<b>NEW</b> Member is Active and Plan Design is <b>DBplus</b> but Service is > \$0	A <b>DBplus</b> member cannot have any service.
<b>NEW</b> Plan Design Effective Date is prior to Hire Date	Plan Design Effective Date cannot be prior to Hire Date. Review Plan Design Effective Date and Hire Date.
<b>NEW</b> Plan Design Effective Date is prior to Enrolment Date	Plan Design Effective Date cannot be prior to Enrolment Date. Review Plan Design Effective Date and Enrolment Date.
<b>NEW</b> Plan Design does not match Employee Type	Plan Design must match Employee Type. Review Plan Design an Employee Type.
<b>NEW</b> Invalid Plan Design	Plan Design is incorrect. Review Plan Design.
<b>NEW</b> Invalid Employee Contribution Level Rate	Employee Contribution Level Rate is incorrect. Review Employee Contribution Level Rate.
<b>NEW</b> Plan Design not in the current year	Review and correct Plan Design date.
<b>NEW</b> Employee Contribution Level Rate not in the current year	Review and correct Employee Contributions Level Rate date.
<b>NEW DBplus</b> PRG contributions without PRG earnings	Review the payroll data and if there are PGR contributions, you must allocate the deemed PRG earnings.
<b>NEW</b> PRG earnings without <b>DBplus</b> PRG contributions	Review the payroll data and if there are PGR earnings, you must allocate the deducted PRG contributions.
<b>NEW</b> Reported <b>DBplus</b> Employee Contributions (including <b>DBplus</b> PRG Contributions) do not match expected	The reported <b>DBplus</b> Employee Contributions including PRG contributions are not within tolerance. Review the contributions and earnings. The contribution tolerance is \$1.00.
<b>NEW</b> Reported Contributions do not match expected Employer Contributions	The reported Contributions do not match expected Employer Contributions. Review and correct Employer Contributions.
<b>NEW DBplus</b> PRG Member status without PRG earnings	Review the member status and earnings. If the member has PGR status, there must be PRG earnings.
<b>NEW</b> PRG earnings without <b>DBplus</b> PRG member status	Review the earnings and member status. If the member has PRG earnings, they must have a PGR status.
<b>NEW DBplus</b> contributions ITA Max	<b>DBplus</b> contributions are over the ITA maximum. Review and correct <b>DBplus</b> contributions.
<b>NEW</b> RCA contributions reported for <b>DBplus</b> member	<b>DBplus</b> member have no RCA contributions. Remove RCA contributions.
<b>NEW</b> Retro reported for <b>DBplus</b> member	<b>DBplus</b> members have no retros. Remove retro allocation.
<b>NEW</b> REG and <b>DBplus</b> PRG Earnings in same period	Regular and <b>DBplus</b> PRG Earnings must be reported for different periods. Review and correct the earnings allocation.
<b>NEW</b> Employer contribution rate is invalid	Review and correct Employer contribution rate.
<b>NEW</b> Contributions do not match Employer Contributions	Review and correct contributions.

## 6.3 Validations Warnings and Corrective Action



You can submit the data with warnings

Validation Warnings messages	Corrective Action
Member is Active but Earnings = 0	Review and correct either the payroll data or the status.
Member is greater than 71 years old	Review the member's date of birth. If the member is 71 years old, they must start their pension immediately. Call your PA.
Annualized Earnings, including lump sums, over \$200,000	Review earnings for accuracy.
Annualized Earnings, excluding lump sums, over \$200,000	Review earnings for accuracy.
Member was inactive but earnings > \$0	Review and correct either the payroll data or the status.
Member was inactive but contributions > \$0	Review and correct either the payroll data or the status.
<b>NEW</b> Reported DBprime PA is not within tolerance	PA Tolerance is \$50.
<b>NEW</b> Reported <b>DBplus</b> PA is not within tolerance	PA Tolerance is \$50.
Employee ID not found	Review the ID and correct if necessary. You may have to add the new member to the DCT.
Member is TER/RET/DTH and annual salary rate is missing	Annual Salary Rate field should be populated for TER/RET/DTH members
Member with death status has a PA value.	There should be no PA reported for a member with death status. Update the PA.
<b>NEW</b> Employer contribution rate has changed from previous reporting year	Review changes to contribution rate.



## 7. Reviewing and Editing Member Data

All individual edits are done on the **Member Detail** page. Double-clicking a member row on any report will take you to that member's **Member Detail** page.

You won't see the Member's SIN in the Detail Screen, but you can search by the Employee ID, which is the number assigned by you to your members.

### 7.1 Member Details Page

The left side of **Member Details** page shows the report that brought you to the member's individual record.

This lets you click through each member with a given data problem to make corrections.

Click the arrow at the top left to minimize the window.

**Demographic Problems**

SIN ▲	First Name	Last Name ▲
111920104	CHARLIE	BROWN
111920104	CHARLIE	BROWN
643257918	WILE	COYOTE
643257918	WILE	COYOTE
415687532	CRUELLA	DE VIL

EMPNO: 1017 BROWN, CHARLIE DOB:2005-04-30 ACT 2019-08-07 FT 2019-08-07 SUP 2019-08-07 DBprime 2019-08-07

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: BROWN First Name: CHARLIE Middle Name: Middle Name

Gender: Male Marital Status: Married Language: French

Date of Birth: 2005-04-30 Hire Date: 2019-11-28 Enrolment Date: 2019-08-07

**Status and Payroll Data**

Effective Date: 2019-08-07 Annual Salary Rate: 0 Plan Design: DBprime

Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Support Staff

Earnings Contributions Service

The **title bar** at the top shows the basic demographic data and status for the member. If you make changes in those fields, they will immediately show in the title bar. When you tab away from that field, the change will be saved.

**Demographic Problems**

SIN ▲	First Name	Last Name ▲
111920104	CHARLIE	BROWN
111920104	CHARLIE	BROWN
643257918	WILE	COYOTE
643257918	WILE	COYOTE
415687532	CRUELLA	DE VIL

EMPNO: 1017 BROWN, CHARLIE DOB:2005-04-30 ACT 2019-08-07 FT 2019-08-07 SUP 2019-08-07 DBprime 2019-08-07

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: BROWN First Name: CHARLIE Middle Name: Middle Name

Gender: Male Marital Status: Married Language: French

Date of Birth: 2005-04-30 Hire Date: 2019-11-28 Enrolment Date: 2019-08-07

**Status and Payroll Data**

Effective Date: 2019-08-07 Annual Salary Rate: 0 Plan Design: DBprime

Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Support Staff

Earnings Contributions Service

The **Member Detail** page is divided into two:

- Member demographic data is on the top. The tabs at the top show screens for Personal, Summary, Retroactive Pays, Partial Day Leaves, Validation Result, Timeline.
- **Status and Payroll Data** at the bottom is displayed no matter which tab is open on the top.

For every change in Status or Employee Type, a new Payroll Record will be created. These records must include Effective Date, Employment Status, Employee Type, Employee Group, and may include information about Earnings, Contributions and DBprime Service.

For every Status Period reported during the year, there will be a record in the DCT.

### Personal Tab

The demographic data is frozen and any changes to personal data must be submitted to the CAAT Pension Plan using a Change of Information form.



Be sure to submit the supporting forms for any changes.

### Summary Tab

The Summary tab shows a summary of the member’s Contributions, Pension Adjustment (PA) and Total DBprime Service. The contributions are divided into the six types that can be reported. The three columns show if there is a discrepancy between the reported and calculated values for each category.

### Understanding Calculated Values

The calculated contributions in the DCT are based on a calendar year. The data you report is based on payroll dates. Your reported contributions may not match exactly with the calculated value, but if they are within tolerance, a validation will not appear.

Because the calculated contributions for DBprime are based on the reported service, if the reported service is not within tolerance, there will be a validation error. Once the DBprime service is corrected, the calculated contributions will change.



**DO NOT** change your reported contributions unless a validation appears.

**Comments:** Use the Comments box to provide any additional information you think your PA might need to know. Comments are not uploaded to the pension database but are simply a way to communicate with your Employer PA as they review the data.

After you have made data changes, click recalculate to validate the change for this individual member. You will still have to run a final validation on all data before submitting the DCT.

Personal | Summary | Retro-active Pays | Partial Day Leaves | Validation Result | Timeline

	Reported	Calculated	Difference	Comments:
Total Regular Contributions	\$0.00	\$0.00	\$0.00	<div style="border: 1px solid green; border-radius: 15px; padding: 10px; min-height: 100px;"></div>
Total DBplus Regular Contributions	\$0.00	\$0.00	\$0.00	
Total Pregnancy/Parental Contributions	\$0.00	\$0.00	\$0.00	
Total DBplus Pregnancy/Parental Contributions	\$0.00	\$0.00	\$0.00	
Total RCA Contributions	\$0.00	\$0.00	\$0.00	
Total Pregnancy/Parental RCA Contributions	\$0.00	\$0.00	\$0.00	
Total DBprime Pension Adjustment	<input type="text" value="0.00"/>	\$0.00	\$0.00	
Total DBplus Pension Adjustment	<input type="text" value="0.00"/>	\$0.00	\$0.00	
Total Service	0.00000	1.00000	1.00000	



You can edit the PA directly on the summary screen, but for any other data corrections, you must go into the *Status and Payroll Data*. This is because the Contributions and DBprime Service amounts shown on the Summary screen reflect the total values for the year and could be made up of multiple different Status Periods.

### Retroactive Pays Tab (DBprime only)

If the member had retroactive pays for years prior to the current reporting year, they will appear here.

A retroactive pay refers to a pensionable payment made to the member in the current year, but in respect of a previous reporting year. For example, if, in 2019, a member had a retroactive pay, which was pensionable, in respect of work in 2018, this is a retroactive pay. This does not include retroactive payments pertaining to the current DCT reporting year. 2019 retroactive payments for retired or terminated members will not appear on the DCT as the CAAT Pension Plan has already allocated the earnings to the appropriate years. You can reimport if they are already in your YTD file or you can leave as is if not in your YTD file.

Use drop-down menus to add, delete or correct retroactive earnings reported here. The total must match the total reported in the payroll data.

If you add a retroactive pay in this window, you will need to add the payment to the Payroll and Status record. You should add it to the Active Status period that corresponds to when the retroactive payment was made.

Year	Retro Earnings
2018	600
2017	1200
2016	500
<b>Total Retroactive Earnings</b>	<b>\$2,300.00</b>

### Partial Day Leaves Tab (DBprime only)

Use this section for a **DBprime** member to add manually any Partial Day Leaves. The DCT will deduct the Partial Day Leaves from the expected DBprime service. When you report the total DBprime service for the member, the Basic DBprime service should exclude the Partial Day Leaves.

If you are reporting Partial Day Leaves, the Summary Screen will show the Calculated value based on the subtraction of the partial day leaves from the reported member DBprime service. You will need to correct the DBprime service.

Date	Service Deduction
<b>Total Service for Partial Day Leaves</b>	<b>0.00000</b>

## Validation Result Tab

The Validation Result tab shows you all errors or warnings for a member.

To validate the data for the individual member click **Run Validation**. This allows you to confirm that you have corrected the specific error, without re-validating all your data at once. You must still run a validation on all data before submitting the data.



If you have any errors for your Employer PA to override, you must not re-validate after the errors have been overridden or the flag will reappear.

- **Override** shows whether this error has been overridden by your Pension Analyst. Errors that have been overridden are highlighted in green.
- **Field** shows where the error is (for example, in the member’s contributions, or earnings).
- **Reported Value** shows the value that you reported.
- **Expected Value** shows the value that is expected.
- **Error Description** describes the error.
- **Severity** indicates if the validation is an Error or a Warning. You can submit data with Warnings, but you cannot submit data with Errors.

EMPNO: 11111111 One, Scenario DOB:1960-05-04 ACT 2004-02-03 FT 2004-02-03 SUP 1980-03-12				
<a href="#">Personal</a> <a href="#">Summary</a> <a href="#">Retro-active Pays</a> <a href="#">Partial Day Leaves</a> <a href="#">Validation Result</a> <a href="#">Timeline</a>				
Field	Reported Value	Expected Value	Error Description	Severity
SIN			Invalid SIN	<span style="color: red;">❌</span> Error
Earnings	75000	46462.60	Year over Year Earnings are not within tolerance	<span style="color: yellow;">⚠️</span> Warning
<b>Total Number of Errors:</b>	2			

Run Validation

## Timeline Tab

The timeline gives you a picture of the member's year so you can easily see the status periods.

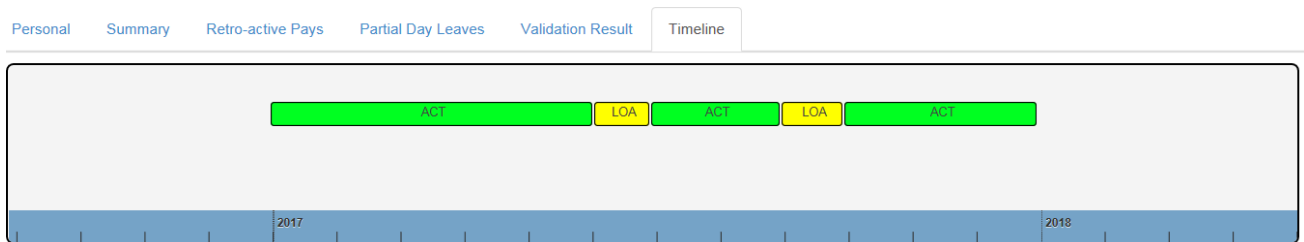
Hover over a Status period and the effective date pops up. Use this to see the date the new Status started to quickly confirm the data.

The Timeline is colour coded:

- Active periods (ACT, RED, PRG, and PLA) are green.
- Breaks (LOA, LTD, WSIB, WSIP, NC, PRN, LAY, STR) are yellow.
- IDT, DTH, NCE, TER and RET are gray.

If you need to move around the timeline, click and drag and the timeline moves.

Click on a Status period and the DCT will scroll you down to the relevant Payroll / Status record.



## 7.2 Status and Payroll Data

At the bottom of the **Member Details Page**, no matter which ribbon is open on top, you see the **Status and Payroll Data** for the member.

For every change in Status or Employee Type, a new Payroll record will be created.

These records must include Effective Date, Employment Status, Employee Type, Employee Group, and may include information about Earnings, Contributions and DBprime Service.

### Editing Status and Payroll Data

To update the Earnings, Contributions or DBprime Service for an individual member, use the Status and Payroll Data window.

- **Change Effective Date:** Click the Calendar icon and select the date from the pop-up Calendar.
- **Changing Status or Employee Type:** Simply click the down arrow beside the shown value and choose the correct value from the drop-down box.
- **Employee Group:** Change of Information forms are no longer required for full-time members who change employee group. You will have to change the employee group with a January 1 effective date. For OTRFT members you do not need to change this field.
- **To update Earnings, Contributions or Service,** click the input box beside the field you want to update, and type the new value into the box.

The screenshot displays two instances of the 'Status and Payroll Data' window. Each window has a header bar with the title 'Status and Payroll Data' and a close button. Below the header, there are several fields for data entry:

- Effective Date:** 2019-01-01 (top) and 2019-05-31 (bottom).
- Annual Salary Rate:** 0 (top) and 0 (bottom).
- Plan Design:** DBprime (top) and DBplus (bottom).
- Employment Status:** ACT - Active (top) and ACT - Active (bottom).
- Employee Type:** Fulltime (top) and Other than fulltime (bottom).
- Employee Group:** Faculty Member (top) and Faculty Member (bottom).
- Earnings:** Regular, 90000 (top) and Regular, 90000 (bottom).
- Contributions:** Regular, 9372 (top) and Regular, 8100 (bottom).
- Service:** Basic, 0.40230 (top).
- Employer Contributions:** Regular, 8100 (bottom).



**Annual Salary Rate:** If in-year has been provided, this field will be populated. If in-year data has not been provided, you must manually update this field for members on LTD or who has TER/RET/DTH status in the reporting year.

**Updating Status and Payroll Data:**

To update the Earnings, Contributions or DBprime Service data for an individual member, use the Status and Payroll Data window.

Click the + to add data. A pop up will open where you can add the Earnings Type, Contributions Type or Service Type.

**Add new Earnings Type to a specific payroll period:**

Choose from one of the Types in the drop-down menu, Enter the amount and click OK:

- Regular
- Lump Sum
- Retro (DBprime members only)
- Pregnancy
- Vacation Pay (DBprime members only)

**Add new Contribution Type:**

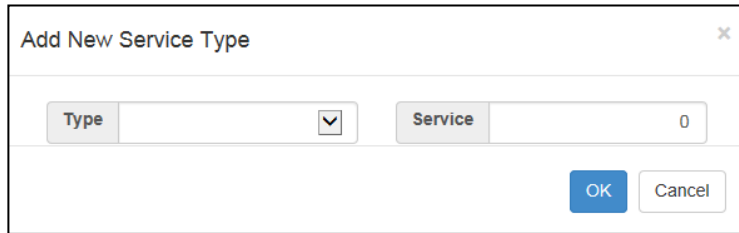
Choose from one of the Types in the drop-down menu, enter the amount and click OK.

- Regular
- RCA (DBprime members only)
- Pregnancy
- RCA Pregnancy (DBprime members only)



### Add new Service Type (DBprime members only)

The Service Type drop-down allows you to input **BASIC** service only. Enter the DBprime service as a value with five decimals.




A dialog box titled "Add New Service Type" with a close button (X) in the top right corner. It contains two input fields: "Type" with a dropdown arrow and "Service" with a text input containing the value "0". At the bottom right, there are two buttons: "OK" (highlighted in blue) and "Cancel".

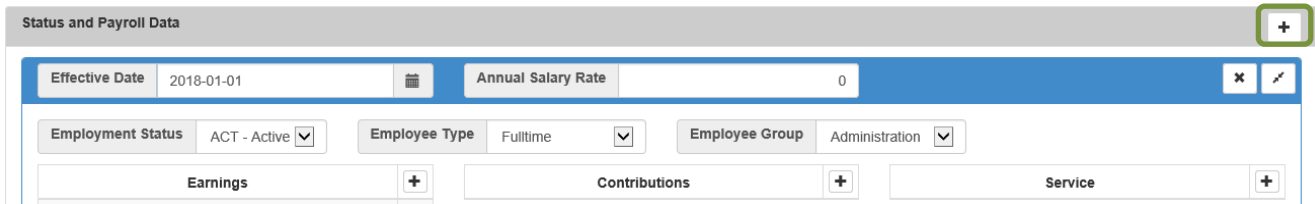
### Adding new Status and Payroll Data

If you create a new reporting period by manually adding a Status Update that is Active, you will have to provide earnings, contributions and service for DBprime for this period.

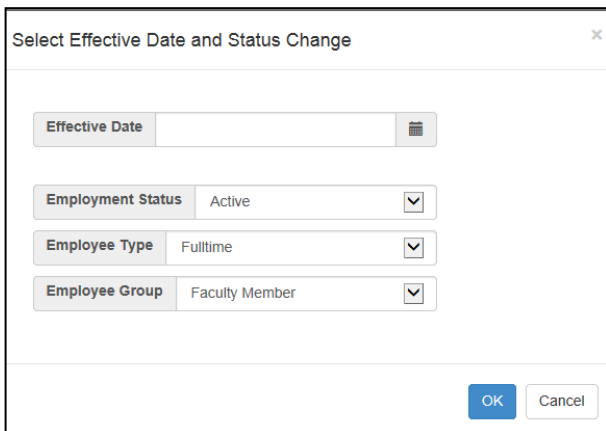
If a Status period exists in the DCT due to in-year reporting, when you upload your YTD data, the DCT will automatically subtract the previously reported amounts from the total and load the difference into the last active period of the year.

If you create a reporting period that is not active, the DCT will not create Service, Earnings or Contribution fields.

To add a Status Change and Effective Date, choose the Payroll Record and click  to add. A pop-up box will open where you can complete the changes.



A form titled "Status and Payroll Data" with a plus icon in a green box in the top right corner. It features several input fields: "Effective Date" (2018-01-01) with a calendar icon, "Annual Salary Rate" (0) with a clear and edit icon, "Employment Status" (ACT - Active) with a dropdown, "Employee Type" (Fulltime) with a dropdown, and "Employee Group" (Administration) with a dropdown. Below these are three fields: "Earnings" with a plus icon, "Contributions" with a plus icon, and "Service" with a plus icon.



A dialog box titled "Select Effective Date and Status Change" with a close button (X) in the top right corner. It contains four input fields: "Effective Date" with a calendar icon, "Employment Status" (Active) with a dropdown, "Employee Type" (Fulltime) with a dropdown, and "Employee Group" (Faculty Member) with a dropdown. At the bottom right, there are two buttons: "OK" (highlighted in blue) and "Cancel".



### Definitions: Lump Sum

Lump Sum payments include:


- Negotiated lump sum settlement arising out of collective bargaining or such equivalent process;
- Recognition allowance or similar lump sum payment to Employees at the top of their salary range or grid
- Pay equity settlements
- Lump sum re-earnable merit pay

Honorariums **are not** pensionable

The following elements are pensionable if part of a re-earnable program:

- Bonus
- Performance/Incentive – Admin
- Special allowance – Support

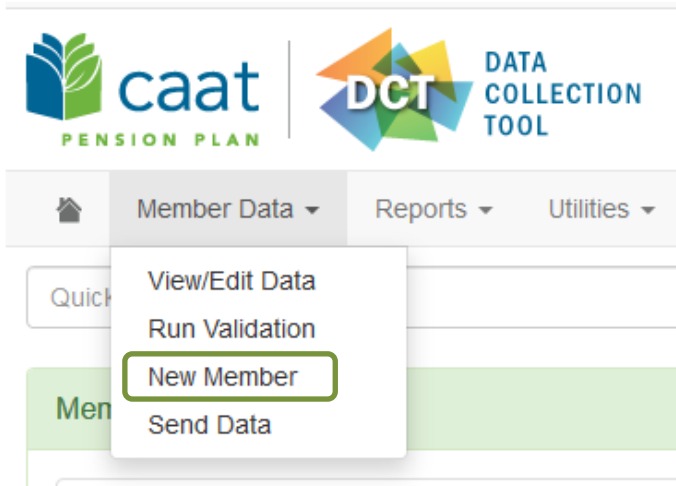
### Deleting a Status and Payroll record

Click  in the blue bar to delete a Status and Payroll record.

The screenshot shows the 'Status and Payroll Data' interface with two records. Each record has a blue header bar containing fields for Effective Date, Annual Salary Rate, and Plan Design. Below the header bar are dropdown menus for Employment Status, Employee Type, and Employee Group. Underneath are sections for Earnings, Contributions, and Service, each with a plus sign to add more items. The bottom record's blue header bar has a delete icon (x) and an edit icon (pencil) highlighted with a green box.

## Adding a New Member

To add a new member select **Member Data** from the navigation ribbon and choose **New Member** from the drop-down menu.



Enter new member data: Member SIN, Employee ID, Name, Date of Birth, Gender, Language Preference, Marital Status, Enrolment Date, Hire Date and Plan Design.

When the data has been entered, click **Create** to add the member to the database.  
Submit an Enrolment Form to support the data addition.


## New Member

A screenshot of the 'Member Details' form. The form is titled 'Member Details' in a blue header bar. It contains several input fields and dropdown menus: 'SIN' (text input with a copy icon), 'Employee Id' (text input), 'Surname' (text input), 'Middle Name' (text input), 'First Name' (text input), 'Date of Birth' (date picker), 'Gender' (dropdown menu), 'Language' (dropdown menu), 'Marital Status' (dropdown menu), 'Enrolment Date' (date picker), 'Hire Date' (date picker), and 'Plan Design' (dropdown menu with 'DBprime' selected). At the bottom left of the form, there is a blue 'Create' button, which is highlighted with a green rectangular border.

### 7.3 Examples

#### Scenario 1

A Full-time DBprime member works for the full year with no breaks in DBprime service. This member has one Status throughout the year, and no data was reported during the year. Their Earnings, DBprime Service and Contributions will be uploaded to the DCT by the employer.

Total Earnings	Total Contributions	Total Service	Reported
\$75,000	\$9,087.60	1.00000	

You will only see one **Status and Payroll Data** record which reports the whole year’s data.

EMPNO: 1017 BROWN, CHARLIE DOB:1995-04-30 ACT 2019-08-07 FT 2019-08-07 SUP 2019-08-07 DBprime 2019-08-07

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: BROWN First Name: CHARLIE Middle Name: Middle Name  
 Gender: Male Marital Status: Single Language: English  
 Date of Birth: 1995-04-30 Hire Date: 2019-01-01 Enrolment Date: 2019-01-01

**Status and Payroll Data**


Effective Date: 2019-01-01 Annual Salary Rate: 0 Plan Design: DBprime  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Faculty Member

Earnings	Contributions	Service
Regular 75000	Regular 9087.60	Basic 1

### Scenario 2

A Full-time DBprime member has an unpaid leave of absence from May 23, 2019 to June 12, 2019.

The Status change was not reported during the year, therefore you will have to either update the Status and Payroll Records manually or load the Status Update file and Earnings and Contributions file in addition to the Year-to-Date file.

Total Earnings	Total Contributions	Total Service	Reported
\$57,000	\$6,531.96	0.94252	

The DCT data will have one pre-filled payroll record. You will have to add the leave data.

EMPNO: 1014 POPPINS, MARY DOB:1960-02-14 ACT 2011-09-20 FT 2011-09-20 SUP 2003-01-14 DBprime 2003-01-14




Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: POPPINS First Name: MARY Middle Name: Middle Name  
 Gender: Female Marital Status: Single Language: English  
 Date of Birth: 1960-02-14 Hire Date: 2003-01-14 Enrolment Date: 2003-01-14

Status and Payroll Data

Effective Date: 2019-01-01 Annual Salary Rate: 0 Plan Design: DBprime  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Administration  
 Earnings Contributions Service

This chart illustrates the reporting mechanism for each status period.

From	To	Status	Earnings (payroll year)	Contributions	Service (calendar year)	Reported
Jan 1 2019	May 22 2019	Active	\$24,000	\$2,762.52	0.39080	
May 23 2019	June 12 2019	LOA				
June 13 2019	Dec 31 2019	Active	\$33,000 (\$57,000 – \$24,000)	\$3,769.44 (\$6,531.96 – \$2,762.52)	0.55172 (0.94252 – 0.39080)	

The payroll data for the active period prior to the leave, the leave start date, and the second active period date will be posted once you import your Status Update file and your Earnings and Contributions file.

Status and Payroll Data								
Effective Date	2019-01-01	Annual Salary Rate	0	Plan Design	DBprime			
Employment Status	ACT - Active	Employee Type	Fulltime	Employee Group	Administration			
Earnings		Contributions		Service				
Regular	24000	Regular	2762.52	Basic	0.39080			
Effective Date				2019-05-23	Annual Salary Rate	0	Plan Design	DBprime
Employment Status				LOA - Unpaid Le	Employee Type	Fulltime	Employee Group	Administration
Earnings					Contributions		Service	
Effective Date				2019-06-13	Annual Salary Rate	0	Plan Design	DBprime
Employment Status				ACT - Active	Employee Type	Fulltime	Employee Group	Administration
Earnings					Contributions		Service	

After you import your Year-to-Date file, the DCT will subtract the in-year data from the YTD total and post the difference.

Status and Payroll Data								
Effective Date	2019-01-01	Annual Salary Rate	0	Plan Design	DBprime			
Employment Status	ACT - Active	Employee Type	Fulltime	Employee Group	Administration			
Earnings		Contributions		Service				
Regular	24000	Regular	2762.52	Basic	0.39080			
Effective Date				2019-05-23	Annual Salary Rate	0	Plan Design	DBprime
Employment Status				LOA - Unpaid Le	Employee Type	Fulltime	Employee Group	Administration
Earnings					Contributions		Service	
Effective Date				2019-06-13	Annual Salary Rate	0	Plan Design	DBprime
Employment Status				ACT - Active	Employee Type	Fulltime	Employee Group	Administration
Earnings					Contributions		Service	
Regular	33000	Regular	3769.44	Basic	0.55172			


**Scenario 3**

A DBprime Full-time member with multiple unpaid leaves of absence within the reporting year:

Leave 1: March 7, 2019 to April 24, 2019

Leave 2: June 27, 2019 to August 7, 2019

The leaves were reported to the CAAT Pension Plan throughout the year and pre-filled in the DCT.

Total Earnings	Total Contributions	Total Service	Reported
\$50,310	\$6,032.44	0.75096	

The member went on two leaves during the reporting year and the in-year data for each leave period was provided to the CAAT Pension Plan during the year. Because the CAAT Pension Plan had the data, the DCT will be pre-filled with the leave information. All you have to do is load the Year-to-Date file and the DCT will subtract the in-year data already provided.

EMPNO: 1010 WHITE, SNOW L DOB:1965-09-10 ACT 2011-09-20 FT 2011-09-20 SUP 1989-12-11 DBprime 1989-12-11

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: WHITE First Name: SNOW Middle Name: L  
Gender: Female Marital Status: Divorced Language: English  
Date of Birth: 1965-09-10 Hire Date: 1989-12-11 Enrolment Date: 1989-12-11

Status and Payroll Data

Effective Date	Annual Salary Rate	Plan Design
2019-01-01		DBprime
2019-03-07	0	DBprime
2019-04-25	0	DBprime
2019-06-27	0	DBprime
2019-08-08	0	DBprime






Employment Status: ACT - Active (2019-01-01, 2019-04-25), LOA - Unpaid Le (2019-03-07, 2019-06-27), ACT - Active (2019-08-08)  
Employee Type: Fulltime  
Employee Group: Faculty Member

Earnings	Contributions	Service
Regular: 12000	Regular: 141222	Basic: 0.18008
Regular: 11300	Regular: 1427.70	Basic: 0.17241



Once you import your YTD file, the payroll information for the last active record will be updated.

This chart illustrates the reporting mechanism for each Status period.

From	To	Status	Earnings (payroll year)	Contributions	Service (calendar year)	Reported
Jan 1 2019	Mar 6 2019	Active	\$12,000	\$1,412.22	0.18008	
Mar 7 2019	Apr 24 2019	LOA				
Apr 25 2019	June 26 2019	Active	\$11,300	\$1,427.70	0.17241	
June 27 2019	Aug 7 2019	LOA				
Aug 8 2019	Dec 31 2019	Active	\$27,010 (\$50,310 - \$12,000 - \$11,300)	\$3,192.52 (\$6,032.44 - \$1,412.22 - \$1,427.70)	0.39847 (0.75096 – 0.18008 – 0.17241)	

Once you import your Year-to-Date file, the payroll information for the last active record will be updated.

EMPNO: 1010 WHITE, SNOW L DOB:1965-09-10 ACT 2011-09-20 FT 2011-09-20 SUP 1989-12-11 DBprime 1989-12-11

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: WHITE First Name: SNOW Middle Name: L  
Gender: Female Marital Status: Divorced Language: English  
Date of Birth: 1965-09-10 Hire Date: 1989-12-11 Enrolment Date: 1989-12-11

Status and Payroll Data

Effective Date	Annual Salary Rate	Plan Design
2019-01-01		DBprime
2019-03-07	0	DBprime
2019-04-25	0	DBprime
2019-06-27	0	DBprime
2019-08-08	0	DBprime

Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Faculty Member


Earnings	Contributions	Service
Regular: 12000	Regular: 141222	Basic: 0.18008
Regular: 11300	Regular: 1427.70	Basic: 0.17241
Regular: 27010	Regular: 3192.52	Basic: 0.39847



**Scenario 4**

A full-time member has Pregnancy/Parental leave with payroll deductions.


The CAAT Pension Plan was notified of the leave and in-year was reported. The leave spans over two calendar years: May 2, 2019 to May 1, 2020



**2019 Data**

Total Earnings	Total Contributions	Total Service	Reported
\$51,300	\$5,753.18	1.00000	

From	To	Status	Earnings (payroll year)	Contributions	Service (calendar year)	Reported
Jan 1 2019	May 1 2019	Active	\$18,300	\$2,049.60	0.33333	
May 2 2019	Dec 31 2019	PRG – payroll deductions	\$33,000 (\$51,300 – \$18,300)	\$3,696.00 (\$5,745.60 – \$2,049.60)	0.66667 (1.00000 – 0.33333)	

2020 Data will be reported for the 2020 data collection year. This is an FYI only.

Total Earnings	Total Contributions	Total Service	Reported
\$55,500	\$6,258.96	1.00000	

From	To	Status	Earnings (payroll year)	Contributions	Service (calendar year)	Reported
Jan 1 2020	May 1 2020	PRG – payroll deductions	\$20,400	\$2,327.76	0.33333	
May 2 2020	Dec 31 2020	Active	\$35,100 (\$55,500 – \$20,400)	\$3,931.20 (\$6,258.96 – \$2,327.76)	0.66667 (1.00000 – 0.33333)	

Since the in-year data was reported to the CAAT Pension Plan for this leave, the status and payroll data for the period before the leave will be pre-populated. Once you import your Year-To-Date file, the DCT will subtract the in-year data and post the difference.

EMPNO: 1013 MOUSE, MINNIE DOB:1997-10-15 ACT 2018-06-19 FT 2011-09-20 SUP 2008-10-21 DBprime 2008-10-21

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: MOUSE First Name: MINNIE Middle Name: Middle Name  
 Gender: Female Marital Status: Married Language: English  
 Date of Birth: 1997-10-15 Hire Date: 2008-10-21 Enrolment Date: 2008-10-21

Status and Payroll Data

Effective Date: 2019-01-01 Annual Salary Rate: Plan Design: DBprime  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Support Staff  
 Earnings: Regular 18300 Contributions: Regular 2049.60 Service: Basic 0.33333

Effective Date: 2019-05-02 Annual Salary Rate: 0 Plan Design: DBprime  
 Employment Status: PRG - Pregnanc Employee Type: Fulltime Employee Group: Support Staff  
 Earnings: Contributions: Service:

EMPNO: 1013 MOUSE, MINNIE DOB:1997-10-15 ACT 2018-06-19 FT 2011-09-20 SUP 2008-10-21 DBprime 2008-10-21

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: MOUSE First Name: MINNIE Middle Name: Middle Name  
 Gender: Female Marital Status: Married Language: English  
 Date of Birth: 1997-10-15 Hire Date: 2008-10-21 Enrolment Date: 2008-10-21



Status and Payroll Data

Effective Date: 2019-01-01 Annual Salary Rate: Plan Design: DBprime  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Support Staff  
 Earnings: Regular 18300 Contributions: Regular 2049.60 Service: Basic 0.33333

Effective Date: 2019-05-02 Annual Salary Rate: 0 Plan Design: DBprime  
 Employment Status: PRG - Pregnanc Employee Type: Fulltime Employee Group: Support Staff  
 Earnings: Pregnancy 33000 Contributions: Pregnancy 3696 Service: Basic 0.66667

**Scenario 5**

A DBprime member changed status from Full-Time to OTRFT (DBplus plan design) effective May 23, 2019.

From	To	Status	Earnings (payroll year)	Contributions	Service (calendar year)	Reported
Jan 1 2019	May 22 2019	Active Full-Time	\$18,000	\$2,016.00	0.39080	
May 23 2019	Dec 31 2019	Active OTRFT	\$15,000	\$1,680.00		

Changes in member Employee Type will have to be updated manually.

EMPNO: 1002 PAN, PETER DOB:1975-10-18 ACT 2011-09-20 FT 2011-09-20 SUP 2003-03-24 DBprime 2003-03-24

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: PAN First Name: PETER Middle Name: Middle Name  
 Gender: Male Marital Status: Common-law Language: English  
 Date of Birth: 1975-10-18 Hire Date: 2003-03-24 Enrolment Date: 2003-03-24

**Status and Payroll Data**

Effective Date: 2019-01-01 Annual Salary Rate: 0 Plan Design: DBprime  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Faculty Member

Earnings: Regular 18000 Contributions: Regular 2016 Service: Basic 0.39080

Select Effective Date and Status Change

Effective Date: 2019-05-23

Employment Status: IDT - Active

Employee Type: Other than fulltime

Employee Group: Faculty Member


Plan Design: DBplus

EE Contribution Rate: [dropdown]

OK Cancel

### Scenario 6

A **DBplus** member works for the full year with no breaks. This member has one Status throughout the year and no data was reported during the year. Their Earnings and Contributions will be uploaded to the DCT by the employer.

Total Earnings	Total Contributions	Reported
\$45,000	\$2,250.00	

You will only see one **Status and Payroll Data** record which reports the whole year’s data.

EMPNO: 124567 Mouse, Mickey DOB:1979-01-24

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: Mouse First Name: Mickey Middle Name: Middle Name  
 Gender: Male Marital Status: Married Language: English  
 Date of Birth: 1979-01-24 Hire Date: 2019-08-01 Enrolment Date: 2019-08-01

**Status and Payroll Data**

Effective Date: 2019-08-01 Annual Salary Rate: 0 Plan Design: DBplus  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Administration  
 EE Contributions Rate: 5% ER Contributions Rate: 5%  
 Earnings: Regular 0 Contributions: Regular 0 Employer Contributions: +

Once the Earnings and Contributions are uploaded through the DCT, the **Status and Payroll Data** will display them.

EMPNO: 124567 Mouse, Mickey DOB:1979-01-24

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline

Surname: Mouse First Name: Mickey Middle Name: Middle Name  
 Gender: Male Marital Status: Married Language: English  
 Date of Birth: 1979-01-24 Hire Date: 2019-08-01 Enrolment Date: 2019-08-01


**Status and Payroll Data**

Effective Date: 2019-08-01 Annual Salary Rate: 0 Plan Design: DBplus  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Administration  
 EE Contributions Rate: 5% ER Contributions Rate: 5%  
 Earnings: Regular 45000 Contributions: Regular 2250 Employer Contributions: Regular 2250

### Scenario 7

A **DBplus** member has an unpaid leave of absence from May 23, 2019 to June 12, 2019.

The Status change was not reported during the year, therefore you will have to either update the Status and Payroll Records manually or load the Status Update file and Earnings and Contributions file in addition to the Year-to-Date file.

Total Earnings	Total Contributions	Reported
\$57,000	\$2,850	

The DCT data will have one pre-filled payroll record. You will have to add the leave data.

EMPNO: 124567 Mouse, Mickey DOB:1979-01-24

Personal Summary Retro-active Pays Partial Day Leaves Validation Result Timeline




Surname: Mouse First Name: Mickey Middle Name: Middle Name  
 Gender: Male Marital Status: Married Language: English  
 Date of Birth: 1979-01-24 Hire Date: 2019-01-01 Enrolment Date: 2019-01-01

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Status and Payroll Data

Effective Date: 2019-01-01 Annual Salary Rate: 0 Plan Design: DBplus  
 Employment Status: ACT - Active Employee Type: Fulltime Employee Group: Administration  
 EE Contributions Rate: 5% ER Contributions Rate: 5%  
 Earnings Contributions Employer Contributions

This chart illustrates the reporting mechanism for each status period.

From	To	Status	Earnings (payroll year)	Contributions	Reported
Jan 1 2019	May 22 2019	Active	\$24,000	\$1,200.00	
May 23 2019	June 12 2019	LOA			
June 13 2019	Dec 31 2019	Active	\$33,000 (\$57,000 – \$24,000)	\$1,650.00 (\$2,850.00 – \$1,200.00)	

The payroll data for the active period prior to the leave, the leave start date, and the second active period date will be posted once you import your Status Update file and your Earnings and Contributions file.

Effective Date	Annual Salary Rate	Plan Design	Employment Status	Employee Type	Employee Group	EE Contributions Rate	ER Contributions Rate	Earnings	Contributions	Employer Contributions
2019-01-01	0	DBplus	ACT - Active	Fulltime	Administration	5%	5%	Regular 24000	Regular 1200	Regular 1200
2019-05-23	0	DBplus	LOA - Unpaid Le	Fulltime	Administration	5%	5%			
2019-06-13	0	DBplus	ACT - Active	Fulltime	Administration	5%	5%	Regular 0	Regular 0	

After you import your Year-to-Date file, the DCT will subtract the in-year data from the YTD total and post the difference.

Effective Date	Annual Salary Rate	Plan Design	Employment Status	Employee Type	Employee Group	EE Contributions Rate	ER Contributions Rate	Earnings	Contributions	Employer Contributions
2019-01-01	0	DBplus	ACT - Active	Fulltime	Administration	5%	5%	Regular 33000	Regular 1200	Regular 1200
2019-05-23	0	DBplus	LOA - Unpaid Le	Fulltime	Administration	5%	5%			
2019-06-13	0	DBplus	ACT - Active	Fulltime	Administration	5%	5%	Regular 33000	Regular 1650	Regular 1650

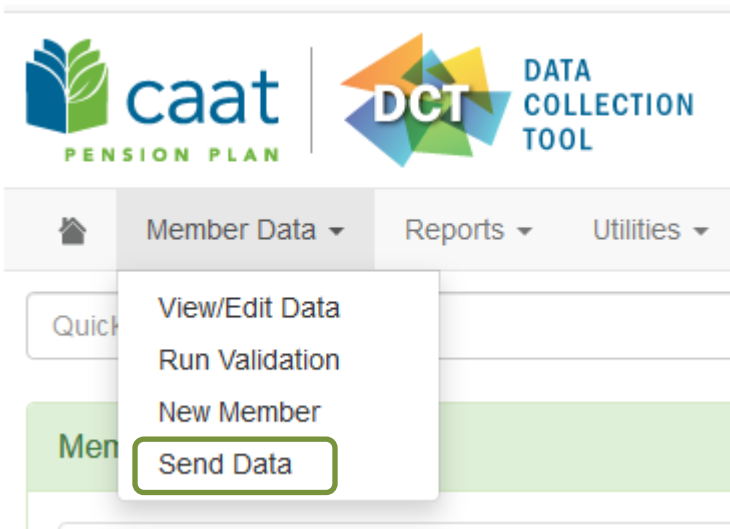


## 8. Submitting Data

When your data has been corrected and has no errors (and warnings have been reviewed and explained), you can submit the data.

Click **Member Data** drop-down menu on the navigation ribbon and select **Send Data**. This will freeze the data in the database, so no further edits can take place. An email is automatically sent to your Employer PA that the data has been submitted.

If the data is not error-free, it will be rejected. The DCT will send you an automatic email notifying you that the data has not been submitted. You should continue to clean the data and re-submit when ready.



## 9. Reconciliation



The RCA contribution reconciliation is not applicable to **DBplus only** employers.

### 9.1 Initial Reconciliation of Contribution Remittances

At the start of the DCT process, the CAAT Pension Plan's Finance Department will send an Annual Detail Account Summary file which reports the contributions and CAAT RCA Fees remitted to CIBC Mellon by the Employer each month during the year. The file shows the CAAT Pension Plan (CAAT RPP) and CAAT RCA contribution information and is composed of three worksheets (tabs):

1. The first tab shows the CAAT Pension Plan contributions received for the year.
2. The second tab shows the CAAT RCA contributions received for the year. This report also shows the "CAAT RCA Employer Fee Paid" line. Please note the CAAT RCA Fee payments (similar to service purchases) are recorded on a cash basis in the month they are received, which may not match the Contributions Remittance Summary.
3. The third tab, Service Purchase, shows the details of the service purchase payments received for the year, sorted by member key.

Please note the following purchases are not reported:

- Transfers-In
- OTRFT Service Prior to Enrolment
- Adjustments to previous years (late contributions).

The summaries will be sent by **February 26, 2020** via S-DOC.

Please review all three tabs as follows:

1. Compare the current (basic) service contributions for the CAAT RPP and CAAT RCA Plans and CAAT RCA Fee paid in the Annual Detail Account Summary sheet to the CAAT RPP and RCA Contribution Remittance Summary form - 034-A forms you have submitted with your remittances to CIBC Mellon throughout the year.
2. For the CAAT RPP, employer contributions for current service must equal the members' contributions; therefore, the total contributions for current service must equal double the member contributions.
3. For the CAAT RCA, the employer contributions for current service must equal three times member contributions, except for the months where the employer contribution amount is reduced by the amount of the CAAT RCA Fee paid.
4. Other contributions, such as Pre-Enrolment Service, Non-vested Prior Service, Vested Prior Service, Pregnancy/Parental Leave (lump sum payments), Unpaid Leave of Absence, Strike Period Purchase and Deferred 50% Purchases are not reconciled through the DCT process.  
As these service purchases are reported in the Annual Detail Account Summary, the amounts remitted by the employer should also be verified.

Please email the confirmation stating that you agree with the information in the Summary **no later than March 16, 2020**. Do not attach the spreadsheets.

If, once you have completed and are submitting the DCT to the CAAT Pension Plan, you determine that there is a balance owing to the CAAT RPP or CAAT RCA, you should make that payment immediately to avoid later penalties for late

payment. The payment should be reported as a **Late Purchase** on the Contribution Remittance Summary – Purchased Service form with an explanation. Submit the payment to CIBC Mellon.

If you have questions or if there are discrepancies, please contact Sean McFarland at 416-673-9000 or by email at [finance@caatpension.on.ca](mailto:finance@caatpension.on.ca). The deadline to confirm these spreadsheets and resolve any discrepancies is March 16, 2020.

## 9.2 Final Reconciliation of Contribution Remittances

Once all corrections, additions, and changes to the member information have been made, and the contributory earnings, pensionable DBprime service, contributions and Pension Adjustments have been calculated and entered for each member, the total member contributions as reported in the final DCT data are reconciled with:

- The original DCT data report of member contributions, and
- the Annual Detail Account Summary revised for any discrepancies or adjustments previously reported to the CAAT Pension Plan (CAAT RPP) and subsequent remittances.

You will receive:

- An Annual Statement of Contributions for the year 2019 for the CAAT RPP and one for the CAAT RCA, which reconciles the initial and final DCT reports of member and employer current and pregnancy/parental payroll deduction contributions with the final Annual Detail Account Summary, and indicates the amount of any underpayment or overpayment.
- A final Annual Detail Account Summary of contributions representing payments received for the year 2018 showing the adjustments from the initial Annual Detail Account Summary you received.
- A Schedule of Adjustments reconciling contributions from the original DCT submissions made by the employer to the final reconciled totals.
- A copy of the final Summary Data Report that shows all membership data after adjustments have been entered.
- An invoice in the event of underpayment or a contribution credit in the event of overpayment.

For:

- **Underpayment** – please submit a payment in the amount of the difference and send it to CIBC Mellon with the invoice you received.
- **Overpayment** – The Plan will provide the employer with a contribution credit in the amount of the difference that should be claimed against the next monthly remittance at the end of the audit process. The employer should claim the balance owing against the next monthly remittance by showing a credit on the Contribution Remittance Summary form and reducing the total remittance amount. The regular monthly contribution remittance amounts would remain unaffected.

**Sometimes, contribution discrepancies are found after the annual reconciliation has been finalized and closed. Please note these differences should be resolved on an individual basis with the Employer PA, outside of the reconciliation process.**



Annual Reconciliation underpayments and overpayments must be handled separately for each Plan.