

Canada Education Savings Grant

Interface Transaction Standards

Version Number: 3.0.1
Version Date: June 30, 2000
Latest Update: March 22, 2004

Amendments to the ITS are identified by revision date. Only the amended pages will have the date of the revision included in the footer.

Date of Change	Pages	Bulletin Number
Dec. 6, 2000	57 & 58	CESG/SCEE-2000-002
Feb. 2, 2001	28, 38, 43, 44, 57 & 62	CESG/SCEE-2001-001
Sept. 25, 2001	53 & 56	CESG/SCEE-2001-003
October 22, 2002	65	CESG/SCEE-2002-002
Aug. 29, 2003	13	CESG/SCEE-2003-003
Dec. 15, 2003	38 & 71	CESG/SCEE-2003-005
March 22, 2004	2-3, 18-19 (address change)	No bulletin

Document Version History		
Version	Date	Description
1.0	May 15 th , 1998.	Initial draft to serve in initial discussions and to inform business partners of the data that this system could be expecting. Much of the field specific information was still undetermined (such as field width, mandatory fields, and validations performed).
1.1	July 4 th , 1998.	Draft version still to be used in initial discussions and to inform business partners of the data required by the CESG system. Data fields were defined and cross-referenced to the Mutual Fund Data Standard. (MFDS).
1.2	July 29 th , 1998.	Draft update following internal review. This version was submitted for review by the Electronic Standards Group at FundSERV
1.3	July 31 st , 1998.	Changes applied following review with CESG at FundSERV
1.4	September 14 th , 1998.	Various changes resulting from review by industry. Change bars were left on to make these changes visible to the reader. Clarification and corrections.
1.5	Mar.25 th , 1999.	Clarification and corrections, additional appendices, validation rules, legends, changes to Type "500".
1.5.1	May 30 th , 1999.	Interim updates and clarifications in response to Promoter suggestions.
1.5.2	September 30 th , 1999.	Version to coincide with Release 2.1.
1.5.2a	October 15 th , 1999.	Minor change to Appendix C – SIN Validation
3.0	April 17, 2000	Aligned with release 3.0 User Requirements. Discontinued record types 300, 500, and 910.
3.0.1	June 30, 2000	Clarification and corrections were made further to promoter information sessions.

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Foreword

The Canada Education Savings Grant (CESG), *Interface Transaction Standards (ITS)*, outlines the procedures for formatting and submitting transactions electronically to the CESG Program. This foreword provides additional information about the requirements in the ITS and explains how the CESG Program validates and processes transactions reported.

The CESG Program has used the word “Sender” throughout this document to mean the organisation sending information electronically to the Program and receiving CES grant payments from the Program. This organisation must be the trustee of the registered education savings plan (RESP) or an administrative agent for the RESP trustee. When the RESP trustee has appointed an agent to fulfill these duties, the agent may be the RESP Promoter or can be another organisation, provided there is only one agent per RESP specimen plan. However, the CESG Program does not consider a service provider who merely facilitates the electronic transmission to be the “sending organisation” on behalf of the RESP trustee.

When reference is made to the RESP Promoter, this is the organisation ultimately responsible for the administration of the RESP and, specifically, the organisation that has secured approval for the RESP specimen plan from Canada Revenue Agency (CRA).

When reference is made to the RESP trustee, this means the organisation authorised to offer its services to the public as a trustee, has been identified as the trustee for a particular specimen plan, and has signed an agreement with HRSDC.

Although the CESG Program validates certain information received electronically prior to making a CES grant payment, RESP Promoters are reminded that the CES grant is paid on the condition that the RESP complies with all relevant legislative requirements. This includes the RESP registration rules described in section 146.1 of the *Income Tax Act* and the conditions relating to the CES grant found in Part III.1 of the *Department of Human Resources Development Act* and related *CES Grant Regulations*. The CES grant is subject to repayment to the government should the CESG Program later discover it was inappropriately paid.

File Submission

Senders submit two types of files to the CESG Program at the end of each reporting period. The transaction file contains transactions reporting all relevant activity against RESPs during the reporting period. The summary reporting file contains the market value of each RESP contract as of the last day of the previous reporting period.

When submitting electronic files to the CESG Program, each Sender must use its own CESG Business Number. This BN is a 15 character, alphanumeric field. The first nine digits are the Registration Number assigned by CRA when they enter into business. The remaining six characters are a suffix assigned by the CESG Program.

The full 15 character BN uniquely identifies each financial institution conducting business with the Program. The BN of the Sender appears in the transaction file name and in the header and trailer records of the file. The BN of the promoter appears in each of the transactions supplied in the file.

It is mandatory that the Sender pass industry testing with a score of 90 per cent or greater before submitting files for processing. If a service provider is sending files on behalf of different Senders, each one of those Senders must pass industry testing using their own data. Although a service provider may be submitting files on a Sender's behalf, the promoter's BN must appear on all transactions.

File Format Overview

Senders can submit one or more files for processing in a reporting period. The file name is structured to allow several files to be reported on one day. In addition to the Sender BN and the date, a file number is added for further distinction. The file number need not be in any specific order. It exists solely to make multiple file names unique for files sent on the same day.

The file itself must conform to a specific structure. A file must consist of a header record (Record Type 001) followed by the transaction(s) formatted as specified by the *ITS*, with a trailer record (Record Type 999) at the end. Failure to follow this structure will result in rejection of the file.

Any files the Program receives from a Sender after the data delivery cut-off date will be held and processed in the next reporting period, unless otherwise notified. The Sender is responsible for ensuring that files arrive in a timely manner to be processed within a particular processing period.

Record Format Overview

Once all certification requirements are met, it is necessary for the Sender to inform the CESG Program of all relevant RESP activity. Contract activity must be reported to the Program electronically as follows:

- Contract information informing the Program of the non-financial aspects of the RESP, such as subscriber and beneficiary information (personal information) and contract information (details of the contract).

- Financial transactions informing the Program of contributions, PSE withdrawals, educational assistance payments, grant repayments, transfers, termination adjustments, and reversals of these transactions.

Transactions submitted to the Program are categorised by record type and transaction type. For example, contract information is reported using a record type 100, while beneficiary and subscriber information is reported using a record type 200. All financial transactions fall into record type 400. Within each record type are one or more transaction types.

When the CESG Program receives a file for processing, the format and content of each transaction is validated (please see each record type as described in this document for layout format and validation rules). If transactions are not submitted within the guidelines outlined, the transactions may be rejected and the Sender will be responsible for performing the necessary corrections and resubmitting the data. The Sender will receive confirmation of acceptance in the processing reports that the Program sends back to the Sender. If any transaction was rejected, it will appear in the error report or the severe error report, depending on the nature of the error.

For RESP contracts that have a 60-day “cooling-off” period, transactions should not be forwarded to the Program until after this period has expired.

Transaction Reporting Sequence

Transactions must be submitted in a logical sequence. A beneficiary record must be established before the Program can process financial transactions for that beneficiary. Senders must register contracts before submitting financial transactions for those contracts. Since the Program processes transaction in that sequence, contract, beneficiary and financial transactions can be reported in the same transaction file.

Transaction Date

Each transaction is reported with a transaction date. This date refers to the date on which the transaction occurred between the subscriber and the promoter. For example, the date on a contract transaction would be the date on which the subscriber entered into the contract. For a contribution transaction, the transaction date is the date the contribution was made by the subscriber to the RESP contract.

Late Transaction Processing

The Program expects Senders to report all transactions in the reporting period following the period in which the transaction occurred. If the grant room has

already been consumed (i.e. if the beneficiary has an RESP at another Promoter for which grant has been requested and received), the contribution will not be eligible to receive grant.

Reporting period Cut-Off Date

The Program will process files and pay grant on a monthly basis. Schedules with processing dates (transaction periods, file submission cut-off and grant payment dates) will be sent out to the Sender via ListServ (an electronic notice) on a periodic basis. Reporting periods extend from the first day of the month to the last day of the same month. Senders are given four business days after the reporting period ends to finalize their file(s) to be sent for processing. Senders are not to include any transactions that occurred after the last day of the reporting period.

Transaction Formats

As can be seen in the detailed description of the record types, some record types are used for more than one purpose. Record type 200 is used to report both beneficiary and subscriber information and record type 400 is used for reporting several different types of financial transactions. In each case, the specific use of the record is indicated by the transaction type. The information requirements of the various transaction types within a record may differ, resulting in fields that are not required in some transactions but are mandatory in others. Where fields reported in a transaction are unnecessary for that transaction, e.g. an educational institution reported in a contribution transaction, it could lead to a question as to the intent of the Sender. Did the Sender mean to report a contribution and inadvertently added an educational institution or did the Sender mean to report an EAP and accidentally miscoded the transaction? Senders are advised that inadvertently reporting unnecessary information in a transaction will not result in the rejection of that transaction. The Program assumes that the reported transaction type is correct and will ignore any information reported in a transaction that is not related to the transaction type.

Record Type “100” - Contract Information

Senders must submit a Contract Information transaction (Record Type 100, Transaction Type 01) in order to establish the contract in the CESG database and to register the contract. The Program will collect the information required to register an RESP under the *Income Tax Act* and will acknowledge registration of the contract on behalf of the CRA. The Program must be advised of all new contracts and be informed of the contract details.

Before registration of a contract can occur, the Sender must also submit transactions that provide the Program with information on the beneficiary

(Record Type “200”, Transaction Type “03”) and the subscriber (Record Type “200”, Transaction Type “04”).

In addition to the record type 900 acknowledging receipt of the contract information transactions, a “.reg” processing report (Contract Registration Report Type 950) will be sent to the Sender to indicate whether the contract is registered or not registered.

Record Type “200”, Transaction Type “03” - Beneficiary Information

Senders must submit sufficient information to register a contract including a Beneficiary Information transaction (Record Type 200, Transaction Type 03) prior to sending financial transactions associated with the beneficiary. The return of a processing report (“.pro”) or an error report (“.err”) will confirm the acceptance or rejection of the beneficiary record. A Beneficiary Information transaction may be rejected for the following reasons:

- The Beneficiary Social Insurance Number (SIN) must be present and valid. The Program validates the SIN, given name, surname, date of birth and gender of all beneficiaries with the Social Insurance Registry (SIR). If a beneficiary fails validation at SIR, the transaction will be rejected and a beneficiary account will not be established. In order to establish the account, Senders must resubmit the Beneficiary Information transaction with the correct information. To minimise errors, the beneficiary’s given name and surname should be submitted to the Program exactly as they appear on the SIN card.
- The custodial parent’s name is mandatory information on a Beneficiary Information transaction only if the beneficiary is under the age of 19.
- Other mandatory information missing from the Beneficiary Information transaction will also cause the transaction to reject. Again, the transaction must be corrected and resubmitted to the Program before financial transactions, such as contributions, can be processed and grant can be paid. Any rejections will appear in an error report that the Program returns to the Sender.

Once the contract has been established and registered and a beneficiary has been established in the CESG database, Senders must report financial activities pertaining to that beneficiary and contract. New beneficiaries or replacement beneficiaries added to already existing plans must be submitted using a new Beneficiary Information transaction. Promoters do not report the removal of either subscribers or beneficiaries from contracts.

The successful processing of each of these transactions is reported in record type 900.

Record Type “200”, Transaction Type “04” - Subscriber Information

A Subscriber Information transaction (Record Type 200, Transaction Type 04) may be rejected for missing or invalid information that is mandatory for processing. If a Subscriber Information transaction is rejected, the corresponding contract cannot be registered. Any rejection will appear in the error report (Transaction Error Report Type 800) which the Program returns to the Sender. The correction and resubmission of the transaction is required before the contract can be registered.

Contracts created before January 1, 1999, do not require a Subscriber SIN. For contracts created on or after January 1, 1999, a Subscriber SIN must be provided. The Subscriber SIN must pass a Modulus 10 calculation. (For information on how this calculation is performed, please see *ITS, Appendix C*).

In order to keep contract information updated on successfully processed Beneficiary or Subscriber Information transactions (e.g. change of address), Senders should submit a new Beneficiary/Subscriber Information transaction with the updated information.

Record Type “400” - Financial Transaction

To ensure the proper payment of the CES grant, Senders must report to the Program the financial transactions for all beneficiaries and contracts. Financial transactions include all movements of funds in and out of an RESP, but not the growth or investment activities. The Program bases the payment of grant on the reported transactions. A contract must be registered through the Program before Senders can submit any of the following transactions:

- Contributions
- Educational Assistance Payments (EAPs)
- Post Secondary Education (PSE) Withdrawals
- Grant Repayment, including contract terminations,
- Transfers
- Termination Adjustments

Transaction Type “11” - Contribution

Senders must provide the details of all contributions made to an RESP after 1997. The Program will process these contributions in the beneficiary record and update beneficiary limits accordingly.

Grant room is calculated on a “first come, first served” basis within a reporting period. If, for example, a beneficiary has two RESPs at two different promoters, and both promoters submit a contribution transaction in the same reporting period, the Program awards grant to the contribution with the earlier transaction date. If not all of the grant room is used up on the first contribution, then the second contribution may receive grant as well. If the transaction date of both contributions is the same, the grant is prorated across the two contributions. If a contribution was processed and received grant in an earlier reporting period and a new contribution is received in a later reporting period, but with an earlier transaction date than the first contribution, then the grant awarded to the first contribution is not re-calculated. In this case, grant is awarded by date of reporting.

Transaction Type “13” - Educational Assistance Payment

Senders must report to the Program the amount of grant paid to the beneficiary as part of the EAP as well as the total amount of the EAP, which includes the grant portion. Where there is no grant paid as part of the EAP, the grant amount must still be reported, but with the grant amount equal to zero (\$0). Senders must also supply supporting information, such as the beneficiary’s educational institution postal code, the academic year start date and the academic year length for the beneficiary.

Transaction Type “14” - PSE Contribution Withdrawal

A PSE Withdrawal is a contribution refund to the subscriber when the beneficiary is qualified for, but not necessarily receiving an EAP. When a PSE contribution withdrawal is reported, the Sender must also report the academic year start date, the academic year length, PSE amount and the postal code of the educational institution.

Transaction Types “19” and “23” - Contract Transfer

Transfer transactions are reported when a subscriber transfers some or all of the funds in an RESP to another RESP (either between or within a financial institution). Both the originating and the receiving Sender must submit a transfer transaction to the Program. The transfer transaction reports the transfer of the grant notional amount only. The Program will return a confirmation to both Senders and adjust the promoters’ grant accounts accordingly.

The transfer transactions require that the each promoter supply both their own specimen plan and contract identifiers and the other promoter’s specimen plan and contract identifiers. The originating, or relinquishing, promoter will send a transaction type 23 (Transfer Out) and put its specimen plan and contract IDs into the fields labelled “Specimen Plan ID” and “Contract ID” and the other, or receiving, promoter’s specimen plan and contract IDs into the fields labelled “The

Other Specimen Plan ID” and “The Other Contract ID”. The receiving promoter will send a transaction type 19 (Transfer In) to the Program and put its specimen plan and contract IDs into the fields labelled “Specimen Plan ID” and “Contract ID” and the other, or relinquishing, promoter’s specimen plan and contract IDs into the fields labelled “The Other Specimen Plan ID” and “The Other Contract ID”.

If either a Transfer In or a Transfer Out transaction can not be matched within three processing periods (3 months), the CESG program will reverse the transaction(s) and report them back to the promoter(s) with a Transaction Origin flag of “Unresolved Transfer”. If the Transfer In and Transfer Out transactions are matched within three processing periods, no further acknowledgement is sent by the CESG program.

Transaction Type “21” - Grant Repayment

There are various financial transactions included in the grant repayment transaction type (Record Type 400, Transaction Type 21). Repayment reasons are as follows:

- Contribution Withdrawals
- Accumulated Income Payments (AIPs)
- Contract Termination
- Ineligible Transfer
- Ineligible Beneficiary Replacement
- Payment to an Educational Institution
- Contract Revocation

In all of the repayment transactions, Senders must report only the amount of grant being repaid to the Program.

Contribution withdrawals must be reported to the Program when the subscriber withdraws all or part of their contributions from the RESP. Contribution withdrawals must come out of assisted contributions first (meaning contributions that have received grant), requiring that the grant paid on those contributions be repaid. Senders must report only the amount of grant being repaid as a result of the withdrawal, not the contribution withdrawal amount itself.

When the promoter makes an **accumulated income payment** to a subscriber, the grant remaining in the account must be repaid to the Program.

When a RESP is **terminated**, the grant remaining in the account must be repaid to the Program. Where there is no grant remaining at the time the contract is terminated, the termination must still be reported to the Program, but with the grant amount equal to zero (\$0).

An **ineligible transfer** occurs when the regulatory conditions governing a transfer are not met. The grant in the originating RESP prior to the transfer must be repaid.

An **ineligible beneficiary replacement** occurs when the regulatory conditions for replacement of a beneficiary are not met. When this occurs, grant is to be repaid to the Program.

Where a promoter makes a **payment to a designated educational institution**, the grant remaining in the RESP must be repaid to the Program.

If for any reason, the RESP fails to comply with legislative requirements, the registration of the contract may be revoked by CRA. In that case, the grant remaining in the RESP at the date of revocation must be repaid.

Transaction Type “22” - Termination Adjustments

Adjustment transactions will be necessary when promoters terminate a contract and find that, due to the application of investment losses, there are insufficient funds to cover the grant liability of the contract. The promoter repays the grant that is available and sends a Termination Adjustment transaction to inform the Program of the shortfall.

The Program expects to receive a grant repayment transaction for reason of contract termination (transaction type 21) for each termination adjustment transaction. Adjustments to promoter grant liability for the reasons described above require that the contract be terminated, which must be reported to the Program in each case.

Corrections to Record Type “400” - Financial Transactions

The Program supports corrections of financial transactions. This is accomplished by reversing the original transaction and submitting the correct information in a separate transaction.

It is not necessary to report to the Program any financial transaction changes that occurred as a result of movement of funds inside the RESP contract. For example, if contributions that have already received grant are withdrawn from one mutual fund investment and reinvested in another mutual fund, a reversal should not be performed. The contribution remains the same and, therefore, the grant attracted by that contribution does not change.

If, on the other hand, financial transactions are reported inaccurately to the Program, Senders are responsible for submitting the necessary corrections. For example, a reversal is performed if a contribution of \$100 should have been reported as a contribution of \$1000.

To submit a correction, a Sender must first submit a reversal transaction followed by a transaction with the corrected amount(s). Reversals indicate that the transaction and amounts reported did not actually occur as reported. This process provides an auditable source record of all changes to financial records. The reversal transaction must always reference the financial transaction being reversed. Referring to the Promoter Business Number and transaction ID that appears on the original financial transaction does this. Upon matching the original and reversal transactions, the Program undoes the effect of the original transaction. Senders may then report the corrected transaction to the Program by submitting a new financial transaction with the corrected fields.

When Senders submit the corrected transaction to the Program, the Promoter transaction ID on the original transaction may not be reused. It must be a new and unique identifier. Since the corrected transaction cannot be distinguished from other new transactions, the Program processes the corrected transaction in the same manner as new transactions.

Record Type “700” – Summary Reporting

As part of its mandate, the CESG Program must report on its success in meeting its goals to various organisations within the federal government. Since the primary goal of the Program is to encourage Canadians to save for their children’s post-secondary education, the growth in the total assets available to those beneficiaries for post-secondary education is a good measure of the success of the Program.

Senders must send records of type 700 to the Program once per reporting period giving the market value of each RESP contract under their management as of the last business day of the month. Record Type 700 can be submitted to the CESG Program anytime within the following month. The summary transactions are sent in a separate file containing only records of type 700 (as well as the header and trailer, of course).

Reports

Regardless of how many files a Sender submits to the Program in one reporting period, the Program will send one of each of the following report types:

- The error report, containing record type 800,
- The severe error report, containing record type 850.

- The transaction processing report, containing record type 900, and
- The contract registration report, containing record type 950.

Report Type “800” - Transaction Error Report

This document details the format for each transaction type, and provides the Sender with the validation rules for those types. If transactions are not submitted within the guidelines outlined in this document, the transactions are subject to rejection. It is the responsibility of the Sender to perform the necessary corrections and resubmit the data.

Each transaction error, whether due to problems in format or invalid data, is reported back to the Sender for correction and resubmission. This is done electronically via the Transaction Error Report.

The Error Report contains the transactions submitted to the Program by a Sender that have not been accepted due to the following reasons:

- Failure to correctly format the transaction,
- Failure to supply the necessary information for mandatory fields, or
- Failure to comply with business rules.

The complete list of error codes is outlined in the section on transaction error codes in Appendix A.

Validation is always done first on the format of the transaction (please see each Record Type in the *ITS* for validation rules), then on the transaction's compliance with the business rules. If a transaction is rejected for format problems, a compliance validation is not performed on the transaction. Therefore, a transaction rejected for format may also contain a business compliance error not specified in the error report.

Errors are reported individually for each field in each record whenever they are detected. The field name and an error code describing the error encountered for that field identify each error. Many error messages are generated for a single record if it contains many formatting errors.

Transactions that conflict with the business rules are also identified and reported. Only a single business error is reported per transaction. For business errors the transaction error code describes the error. Business rules are not validated for transactions that contain data format errors.

When Senders receive an Error Report, it is their responsibility to correct the transaction and resubmit it for processing. When resubmitting, the Promoter transaction ID must not be reused. A new identifier is required.

Report Type “850” - Severe Error Report

A Severe Error Report contains transactions that have been previously sent to the Program (the BN and the Promoter transaction ID already exist in the CESG database) or contain an invalid record type. Rejection will also occur if the BN is not 15 characters long or the Promoter transaction ID is not provided on the transaction.

When Senders receive a Severe Error Report, it is their responsibility to correct the transaction and resubmit it for processing. When resubmitting, the Promoter transaction ID must not be reused. A new identifier is required.

Report Type 900 - Transaction Processing Report

At the end of each processing period, the Program returns a Transaction Processing Report to the Sender. The Processing Report gives the details of the results of processing each financial transaction submitted (e.g. how much grant money was attracted by each contribution or how much grant money was repaid for each withdrawal). Every transaction submitted to the Program and successfully processed will appear in this report. The report is the Program's confirmation to the Sender that the submitted transactions were correctly formatted, contained all the mandatory information and passed all the necessary business rules. The Processing Report will also list all contract, beneficiary information and subscriber information transactions that were successfully processed.

The processing of a Sender's file(s) results in a series of grant payments and repayments. Repayments are netted out from the payments, generally resulting in a payment to the Sender. The payment will be automatically deposited into the Sender's account according to the banking information supplied to the Program upon certification. Senders are to use the transaction processing report to update their own contract notional accounts regarding grant payment.

The record type 900 carries with it an indication of the effect the transaction has on the payment received by the sender. The Payment Requisitioned flag tells the sender if the 900 record is a payment of grant money from the Program or a repayment of grant money to the Program. For example, the processing of a contribution transaction would result in the payment of grant to the promoter (assuming it passed all the rules). The Payment Requisitioned flag would be set in this case. In the case of an EAP, PSE contribution withdrawal, transfer or termination adjustment, there is no money moving between the promoter and the Program. The Payment Requisitioned flag would not be set for those

transactions. The promoter can then reconcile all transactions with the flag set against the payment received from the Program.

Report Type “950” - Contract Registration Report

The Program will also acknowledge every contract that was successfully registered, or not registered, in the Contract Registration Report for the reporting period. This indicates whether or not all the Contract Information, Subscriber Information and Beneficiary Information transactions have been successfully processed and met the conditions for registration. Promoters should note that a rejected Contract Information transaction (record type 100) is not considered a request to register a contract.

Mergers

Corporate purchases, amalgamations, realignments and other such business transactions occur frequently within the Financial Services and RESP industry. These changes are typically accompanied by revisions to the relevant business information e.g., new business number (BN), changes to the types of plans offered, change of trustee, or company name changes, etc.

The CESG Program needs to be made aware of these corporate changes as early as possible. This is necessary to allow sufficient time to determine if a new CESG promoter or trustee agreement is required and, to make the required updates to the CESG database to ensure grant payments continue uninterrupted.

1 Introduction

This document is the Human Resources and Skills Development Canada (HRSDC), Canada Education Savings Grant (CESG) Program, *Interface Transaction Standards* (ITS). This document contains the detailed data format for electronically exchanging financial and contract transactions with The CESG Program.

1.1 Scope

This document describes the data interface for the exchange of information between the CESG Program and financial service organisations applying for grants under the CESG Program. This specification is intended for use in support of system development to implement data interchange with the CESG system.

This document is the standard by which information is exchanged with the financial services industry for the application and administration of the CESG Program. Data integrity rules are described in detail in this document. Descriptions of the business and general rules under which data is processed within the CESG system are described in the foreword of this document.

Operational aspects of the movement of data and functions used to manage the movement of data files are not part of this specification and are found in *Data Interface Operations and Connectivity*. Operational functionality includes the following:

- logging of files
- authentication of Sender
- transmission verification
- transmission mechanisms
- operational schedules for file receipt and processing

Detailed operational instructions concerning reporting schedules and methods of transfer of information may be obtained from:

HRSDC

CESG Program Operations

140 Promenade du Portage, Phase IV

Gatineau, Quebec

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Contact: Senior Operations Officer

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2 CESG Transaction Processing Record Format Overview

This specification describes a data interface that is based on the exchange of bulk data files. Senders are required to conform to the record formats and rules specified in the *ITS* as well as other data interchange rules described in the *Data Interface Operations and Connectivity*.

The *ITS* consists of both input and output data record formats. Input records are used to record contract information, record beneficiary information and report financial transactions. Output records report the status of reported data in the form of transaction processing reports and error reports on a record by record basis.

2.1 Logical Record Types

Source transactions are identified by a "Record Type" code as outlined in the following table:

Logical Record Types	
Record Type	Description
001	Header Record (Source of transaction) Data Version Validation
002	Sub-header Record (Used for processing report)
003	Files Processed
100	Contract Information
200	Beneficiary Information Subscriber Information
300	Remove Subscriber / Beneficiary (Discontinued)
400	Financial Transaction – Contributions – EAP – PSE Contribution Withdrawals – Grant Repayment – Contract Transfers – Termination Adjustments
500	Transfer Transaction (Discontinued)
700	Summary Reporting
800	Transaction Error Report
850	Severe Error Report

Logical Record Types	
Record Type	Description
900	Transaction Processing Report
910	Transaction Transfer Report (Discontinued)
950	Contract Registration Report
999	Trailer Record (Control Count)

2.1.1 Discontinued Record Types

Record types “300”, and “500”, and report record type “910”, are no longer supported. Discontinued record types received by the Program are rejected as incorrect record types and generate a record in a Severe Error Report.

2.2 File / Record Structure

1. All transaction files have a header record containing standard identification details.
2. All files have a trailer record containing a control count of the number of records in the file including the header and trailer records.
3. Files contain a mix of transactions, identified by a numeric record type code. This has been set at 3 digits to allow for possible future expansion.
4. Source input files contain fixed length records, with record types being padded as necessary to meet a consistent standard. This enables different record types to be included on the same file.

2.3 Data Formats

1. The ISO-8859-1 Latin 1 Character Set is the official Treasury Board of Canada, Information Technology Standard (TBITS) for data interchange. All data is provided in ISO-8859-1 format (numeric values are stored in their character representation) as shown in Appendix B.
2. All fields are fixed length and occupy fixed positions within a record.
3. Character data is left justified and padded with trailing spaces except for Business Number. If character data is received right justified, the CESG system will convert it to left justified and transaction reports will show the data left justified.

Note: Business Numbers can not be padded with spaces. If a record Type "001" contains a space character (ASCII value 32) the file is rejected, and if any other record contains a space in the Sender BN field the record is rejected.

4. Numeric data is right justified with leading zeroes.
5. Most amount fields are standardised at 9 digits with two implied decimal places (i.e. up to a maximum of \$9,999,999.99). Negative amounts contain a minus sign "-" as the first character in the field.

Note: The Amount field in record Type "002" is longer than other Amount fields allowing a maximum value of 12 characters \$9,999,999,999.99

6. List-type data fields use code tables whenever practical (e.g. Province codes and Error codes).
7. All record types 100, 200 and 400 include a "Transaction Type" code. Separate codes are used with each type of transaction in order to identify the specific processing requirements.

2.3.1 Record Separators

Records within files must be separated by a record separator character(s). Record separator characters vary depending on the operating system of the originating system. The CESG transfer process replaces the *carriage return* (CR, decimal value 13) record separator character with the UNIX *new line* character (NL, decimal value 10).

Only the *new line* and *carriage return* characters are acceptable as record separators. No other record separator characters may be used.

2.3.2 End of File

The CESG system rejects files that do not conform to CESG end of file format. The following rules apply to end of file format:

- Files must have a Type "999" record as the last record.
- The Type "999" must have a record separator character following it.

If the end of file (EOF) character is provided, the following rules apply:

- The CESG system accepts any single character as an EOF character following the Type "999" record.
- No characters may follow the EOF character.

2.4 File Processing Notes

The CESG transaction processing design supports the following file processing features:

1. A physical file may include records relating to the following:
 - A Trustee and one or more Promoters (if the Sender is the Trustee).
 - A single Promoter (if a Promoter or other agent is acting on behalf of a Trustee).
2. Physical files are rejected if one of the following conditions applies:
 - the CESG system can not read either the file or the header record
 - the header record contains invalid data, is missing, or appears more than once
 - a duplicate header (the same Promoter BN + Date-Sent + File number) is already recorded in the CESG system
 - the data version number is incorrect
 - the filename does not match header record
 - the trailer record contains invalid data, is missing, or appears more than once
 - the Sender BN is not authorised to send files
 - the record count in trailer record is incorrect
 - the filename does not follow the naming convention
 - the header record is not the first record in the file
 - the date sent in the file name or the header contains a date later than the current date
3. In all other cases the incoming file records are read into the CESG database. Transactions are validated and incomplete or invalid transactions reported back to the Sender, along with appropriate error codes.
4. Transactions are processed during the reporting periods defined by CESG Program Operations. All transactions with a Transaction Date on or before the reporting period end date are processed during that period.

5. Files are processed during the reporting periods as outlined in *Data Interface Operations and Connectivity*. All files with the same Sender BN are processed in date-sent order. If the date sent is the same for more than one file in a reporting period, the files are processed by file number.

2.5 Record Table Terms

The following terms and abbreviations are used in the record format tables in section 3.

Discontinued	A field no longer required. Discontinued fields may be filled with any characters. Discontinued fields are not validated or recorded by the CESG Program and are treated as Filler.
Ref.	Refer to section indicated.
Trxn. Posn.	Transaction Position
Unassigned	Unassigned Transaction Types are previously allowed field values that are no longer supported.

2.6 File Naming Standards

The physical naming of files is described as follows:

To CESG: **File type + Sender BN + Date Sent + Sender File number**

From CESG: **File type + Sender BN + Date Processed + CESG File number + . + extension**

The filename must be 26 characters long, or the file is rejected.

The following definitions apply to the components of the file naming standard:

File Naming Components	
Component	Format
File type	<p>A single uppercase character indicates the file type. The file type character indicates whether the file is a production file, a test file or a summary reporting file.</p> <p>P = Production Data File S = Summary Reporting File T = Test Data File Z = Test Summary Reporting File</p>
Sender BN	15 character Business Number

File Naming Components	
Component	Format
Date Sent	8 numeric character date YYYYMMDD
File number	2 digit file number Generated by CESG for .pro , .err , .ser , and .reg files.
.	. (Period)
Extension	The file extension is one of: pro = processing report from the Program to Sender err = error report from the Program to Sender reg = contract registration report from the Program to Sender ser = severe error report from the Program to Sender

2.6.1 File Type

Files beginning with "T" are used strictly for industry testing and are never a part of a production file group. Files beginning with "Z" are used to test the Summary Reporting File and also are never a part of a production file group. The procedures for industry testing are outlined in *Data Interface Operations and Connectivity*.

2.6.2 File number

There may be occasions when a Sender wishes to send more than one file in a single day. In order to be able to give each file a unique name, the file name contains a file number. If the Sender sends one file in a day, a file number must be provided, though it can be any two-digit value.

The ordering of the file numbers will not be enforced. The file number is used purely to distinguish files sent on the same day. This differs from previous releases of the Interface Specification, where the files would be rejected if the file number did not follow a strict sequence.

2.6.3 File Extension

Files returned to the Sender have the same file type and BN but have the CESG processing date and CESG file number in the prefix. In each reporting period a **.pro**, **.err**, **.ser**, and **.reg** file is returned to the Sender. The following is an example of a filename group:

Input Files P123456789RC00011998113098
P123456789RC00011998113099

Output Files P123456789RC00011998121501.**ser**
P123456789RC00011998121501.**err**
P123456789RC00011998121501.**reg**
P123456789RC00011998121501.**pro**

All file names are in uppercase (majuscule) except file extensions.

2.6.4 Header and Trailer Record

The Header Record (adhering to the File Identification Standard) is the first record in the file and the Trailer Record, providing a control count of the records in the file, is the last.

For the trailer record sent by the Program:

- The file number is a unique number that the Program assigns.
- The date when CESG processing occurred.

2.7 Source Data Definition Standard

Transaction format and content is defined in this document using a common (COBOL) standard, with the following symbols for data attributes:

Source Data Definition Standard	
Symbol	Description
A	Alphabetic data. Only the characters A through Z (upper and lowercase) are allowed in a field with this description. It is very rarely used due to the limitations imposed on it (no numbers, punctuation or special characters). The alphanumeric descriptor (X) is usually used in its place due to its broader flexibility.
X	Any printable alphanumeric character (includes numbers, letters, punctuation marks, spaces and other special characters). The entire field contains spaces if not used. If larger than 1 character, the contents are left justified with trailing spaces. For example: the letter A in a 3 character alphanumeric field is stored as "A ". The number 5 in a character alphanumeric field is stored as "5 ".

Source Data Definition Standard	
Symbol	Description
9	Any number. The entire field contains zeros if unused (blanks are not allowed). If larger than 1 digit, the contents are right justified with leading zeroes. For example: the number 5 in a 3 character numeric field is stored as "005". Note: Negative amounts are preceded by a minus sign "-" as the first character in the field.
()	Indicates a recurrence of the preceding data type, with the number of occurrences stored inside of the parenthesis. For example: 9(6) means a number up to six digits long, X(6) means 6 consecutive characters of alphanumeric data.
V	Implied decimal point. A character (byte) is not used in the storage of a decimal point but its existence and position is implied. When the field is printed and used in a calculation, an implied decimal point is inserted at the point where the V appears. For example: a field defined as 9V9 is interpreted as 9.9 but is stored as 99. Example: 9(7)V9(3) = 9(7)V999 = 9999999V999 = 9999999V9(3) In all cases, the field is stored as 0123456789 but is interpreted as 0123456.789

2.8 Standard Data Formats

The following table outlines standard formatting rules for common data field types:

Standard Data Format		
Type	Standard Format	Format
Record Type	9(3)	001-999
Transaction Date	9(8)	Valid date formatted YYYYMMDD.
Transaction Type	9(2)	Codes vary according to transaction.
Promoter BN	X(15)	The Promoter's Business Number, any 15 characters.
Specimen plan ID	9(10)	Unique Specimen Plan Identifier assigned by Canada Revenue Agency.
Contract ID	X(15)	Assigned by the Promoter, any string of characters.
SIN	9(9)	Social Insurance Number

Standard Data Format		
Type	Standard Format	Format
Amount Fields	9(9)V99 or -9(8)V99	Up to maximum of \$999,999,999.99. Decimals are implied i.e. a contribution of \$1000.00 is reported as 100000 with the appropriate number of leading zeros for padding the field to the correct length (00000100000). Minus \$1000.00 is -0000100000
Name Fields	X(20)	Given Name, Surname.
Province	A(2)	Ref.: Appendix A
Country	A(3)	CAN, USA, OTH
Valid Date	9(8)	All dates must be formatted YYYYMMDD, numerals only, without delimiters such as spaces or punctuation.
Filler	X(n-500)	Unused field. Must contain the specified number of spaces, or optional comments and is ignored regardless of its contents.
Error Code	X(4)	Ref.: Appendix A

All record types follow a standard layout, with the same fields occurring in the same positions to the extent possible.

2.9 Transaction Sequence

Transaction must be submitted in a logical sequence. The beneficiary must be established in the CESG system before financial transactions affecting a beneficiary can be accepted by the CESG system.

Type "400" records may be sent in the same files as the Type "100" and "200", or in subsequent files.

3 Transaction Formats

This section contains detailed descriptions of all transaction record formats.

If any record is rejected, at least one record of the error is written into the Error Report (***filename.err***) except in the case of Severe Error. A record of severe error is written into the Severe Error Report (***filename.ser***) if, in any transaction record, the Promoter Business Number or Transaction Identifier is blank, the combination of Promoter Business Number and Transaction Identifier is not unique or the record type is invalid.

If any field designated “mandatory” is blank, an error message is generated with an Error Code of “***7005***”.

3.1 Record Type “001” – Header Record

PURPOSE:

To identify the source of a transaction file.

REQUIREMENTS:

None.

Record Type “001”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"001" – Header Record	
Sender BN	X(15)	4-18		
Date Sent	9(8)	19-26	Date on which file sent to the Program.	
File number	9(2)	27-28	Number to distinguish files sent on the same day.	
Data Version	9(2)V9	29-31	Version of the CESC data interface standard currently in use. 030	
Filler	X(469)	32-500		

3.1.1 Type “001” Validation Rules

The header record, Type “001”, is validated and error codes are generated for failures as outlined in the following table and notes:

Type “001” Validation Rules		
Field	Rule	Error Code(s)
Record Type	<ul style="list-style-type: none"> There must be a header. The first record in every file must be Type “001”. No other record can be Type “001”. 	6003 6016 6005

Type "001" Validation Rules		
Field	Rule	Error Code(s)
Sender BN	<ul style="list-style-type: none"> Mandatory field. The Sender BN must match the Sender BN in the filename. The Sender BN must exist in the CESG database. The Sender BN must be identified in the CESG system as authorised to send files. 	7005 6000 7001 6006
Date Sent	<ul style="list-style-type: none"> Mandatory field. The Date Sent must match the date in the filename. The Date Sent must precede or match the current date. The Date Sent must not precede the 1st of January, 1998. 	7005 6000 7000 7000
File number	<ul style="list-style-type: none"> Mandatory field. The File number must match the File number in the filename. 	7005 6000
Data Version	<ul style="list-style-type: none"> Mandatory field. The Data Version must match the current version number. 	7005 6014
Filler	<ul style="list-style-type: none"> Not validated. 	

- If the filename is not 26 characters long, and formatted as outlined in section 2.6, an error record Type **6001** is generated.
- The combination of Business Number, Date Sent, and File number must be unique. If the same combination has already been received and processed by the CESG system, the file is rejected and an error record Type **6002** is generated. A file number can be repeated only if the Date Sent is different as outlined in section 2.6.

3.2 Record Type “002” – Sub-Header record (Transaction Processing Report)

The record Type “002” is included in the transaction processing report.

PURPOSE:

The sub-header records supply reporting period information for each promoter in the transaction processing report.

REQUIREMENTS:

This record is generated by the CESG system and occurs as the second record type in the transaction processing report.

Record Type “002”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"002" – Sub-header Record	
Promoter BN	X(15)	4-18	Business Number of the Promoter.	
Start date of reporting period	9(8)	19-26	Valid date.	
End date of the reporting period	9(8)	27-34	Valid date.	
Summary amount	9(10)V99	35-46	Sum of grant payments less the sum of grant re-payments for a promoter in this reporting period.	Positive if Grant issued. Negative if Repayment exceeds Grant Amount.
Payment Amount	9(10)V99	47-58	Grant money paid to sender in this reporting period.	\$0 if net re-payment of grant.
Payment Requisition ID	9(10)	59-68		Generated by CESG system.
Filler	X(432)	69-500		

3.2.1 Type “002” Validation Rules

Because Record Type “002” is generated by the Program, validation rules are not applicable.

3.3 Record Type “003” – Files Processed record (Transaction Processing Report)

The record Type “003” is included in the transaction processing report.

PURPOSE:

The Files Processed record gives the name of a production file sent by the Sender that was processed by the CESG Program during the production run. One record is generated for each production file sent and processed.

REQUIREMENTS:

This record is generated by the CESG system and occurs as the third record type in the transaction processing report.

Record Type “003”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"003" – Files Processed Record	
Sender BN	X(15)	4-18	Business Number of the Sender.	
Date Sent	9(8)	19-26	Date Sender sent the file to the Program.	
File Number	9(2)	27-28	File Number generated by the Sender.	
Filler	X(472)	29-500		

3.3.1 Type “003” Validation Rules

Because Record Type “003” is generated by the Program, validation rules are not applicable.

3.4 Record Type “100” – Contract Information

Record Type “100” is used to provide contract information or request registration of a contract.

PURPOSE:

To provide contract information necessary to request registration of a new contract or update an existing contract.

REQUIREMENTS:

Corresponding Records Type “200” for a Beneficiary and Subscriber must be submitted to complete contract registration.

Record Type “100”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"100" – Contract Information	
Transaction Date	9(8)	4-11	Contract creation date	
Promoter Transaction ID	X(15)	12-26	Unique identifier assigned to each transaction by the promoter.	Promoter Transaction Identifier must not be reused to submit corrections.
Promoter BN	X(15)	27-41		
Transaction Type	9(2)	42-43	1 – Contract Information	Transaction Types 2 and 20 are unassigned.
Specimen Plan ID	9(10)	44- 53	Specimen Plan approval number.	Assigned by Canada Revenue Agency
Contract ID	X(15)	54-68		
Contract Term Date	X(8)	69-76		Discontinued Record Type “400” used to terminate.
Contract Term Reason	X(1)	77-77		Discontinued
Balance Capital Account	X(9)	78-86		Discontinued
Reversal Flag	X(1)	87-87		Discontinued
Originating Promoter Transaction ID	X(15)	88-102		Discontinued
Filler	X(398)	103-500		

3.4.1 Type “100” Validation Rules

The contract information record, Type “100”, is validated and error codes are generated for failures as outlined in the following table and notes:

Type “100” Validation Rules		
Field	Rule	Error Code(s)
Record Type	<ul style="list-style-type: none"> Mandatory field. 	.ser file
Transaction Date	<ul style="list-style-type: none"> Mandatory field. Valid date. The Transaction Date must be on or before the current reporting period end date set by the Program. 	7005 7000 1004
Promoter Transaction ID	<ul style="list-style-type: none"> Mandatory field. The Promoter Transaction Identifier must be unique for each promoter. 	.ser .ser
Promoter BN	<ul style="list-style-type: none"> Mandatory field. Must be 15 characters. The Promoter Business Number must exist in the CESG database. 	.ser .ser 7001
Transaction Type	<ul style="list-style-type: none"> Mandatory field. The Transaction Type must be valid for the Record Type. 	7005 7002
Specimen plan ID	<ul style="list-style-type: none"> Mandatory field. Must be numerals only. Specimen plan must exist in the CESG database . The Promoter must be associated with the specimen plan identified in the Specimen Plan ID field. The Sender BN specified in the header record must be authorised to send data for the Specimen plan. 	7005 7001 1005 7008 7030
Contract ID	<ul style="list-style-type: none"> Mandatory field. 	7005
Contract Term Date	<ul style="list-style-type: none"> Discontinued. 	
Contract Term Reason	<ul style="list-style-type: none"> Discontinued. 	
Balance Capital Account	<ul style="list-style-type: none"> Discontinued. 	
Reversal Flag	<ul style="list-style-type: none"> Discontinued. 	
Originating Promoter Transaction ID	<ul style="list-style-type: none"> Discontinued. 	
Filler	<ul style="list-style-type: none"> Not validated. 	

3.5 Record Type “200” – Beneficiary / Subscriber Information

Record Type “200” is used to submit beneficiary and subscriber information both for contract registration, and creating or updating beneficiary records.

PURPOSE:

To provide the CESG system with the following information:

- a) Beneficiary Information
- b) Subscriber Information

REQUIREMENTS:

Subscriber SIN must be provided for all contracts created after December 31, 1998.

Record Type “200”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"200" – Ben / Sub Info	
Transaction Date	9(8)	4-11	Date Beneficiary or Subscriber is added to the Contract.	
Promoter Transaction ID	X(15)	12-26	Unique identifier assigned to each transaction by the promoter.	Promoter Transaction Identifier must not be reused to submit corrections.
Promoter BN	X(15)	27-41		
Transaction Type	9(2)	42-43	3 – Beneficiary Info 4 – Subscriber Info	Transaction Types 5, 6, 7, and 8 are unassigned.
Specimen Plan ID	9(10)	44-53	Specimen Plan approval number.	Assigned by Canada Revenue Agency
Contract ID	X(15)	54-68		
SIN	9(9)	69-77	Beneficiary or Subscriber SIN	
Given Name	X(20)	78-97		
Surname	X(20)	98-117		
Birth Date	9(8)	118-125		
Gender	9(1)	126-126	1 – Female 2 – Male	

Record Type "200"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Relationship Type	9(1)	127-127	Relationship of Subscriber to Beneficiary 1 – Parent 2 – Grandparent 3 – Aunt/Uncle 4 – Sibling 5 – Not related 6 – Other	
Address Line 1	X(40)	128-167	Street name, number, & apartment.	
Address Line 2	X(40)	168-207	Province or equivalent if Country not CAN.	
Address Line 3	X(40)	208-247	Country if Country = OTH	
City	X(30)	248-277		
Province	A(2)	278-279	Ref.: Appendix A.	If Country not CAN, Province ignored.
Country	A(3)	280-282	CAN, USA or OTH.	If OTH, Address Line 3 contains the full name of the country.
Postal Code	X(10)	283-292	Postal Code if Country CAN	
Telephone	X(10)	293-302		Discontinued
Fax	X(10)	303-312		Discontinued
E-Mail	X(40)	313-352		Discontinued
Old Ben SIN	X(9)	353-361		Discontinued
Old Ben Given Name	X(20)	362-381		Discontinued
Old Ben Surname	X(20)	382-401		Discontinued
Old Ben Birth Date	X(8)	402-409		Discontinued
Language	9(1)	410-410	1- English 2- French	Type 3 is unassigned.
Custodial Parent Name	X(30)	411-440	Custodial parent name in free form text.	Given name + space + Surname
Lifetime Contribution	X(9)	441-449		Discontinued
Reversal Flag	X(1)	450-450		Discontinued
Original Promoter Transaction ID	X(15)	451-465		Discontinued
Filler	X(35)	466-500		

3.5.1 Type “200” Validation Rules

The subscriber / beneficiary information record, Type “200”, is validated and error codes are generated for failures as outlined in the following table and notes:

Type “200” Validation Rules		
Field	Rule	Error Code(s)
Record Type	<ul style="list-style-type: none"> Mandatory field. 	.ser file
Transaction Date	<ul style="list-style-type: none"> Mandatory field. Valid date. Transaction Date must be on or before the current reporting period end date set by the Program. Transaction Date must be on or after the beneficiary Birth Date if Transaction Type 3. 	7005 7000 1004 2027
Promoter Transaction ID	<ul style="list-style-type: none"> Mandatory field. Promoter Transaction Identifier must be unique for each promoter. 	.ser .ser
Promoter BN	<ul style="list-style-type: none"> Mandatory field. Must be 15 characters. Promoter BN must exist in the CESG database. 	.ser .ser 7001
Transaction Type	<ul style="list-style-type: none"> Mandatory field. Transaction must be valid for the Record Type. 	7005 7002
Specimen plan ID	<ul style="list-style-type: none"> Mandatory field. Must be numeric. Specimen plan must exist in the CESG database. The Promoter must be associated with the specimen plan identified in the Specimen Plan ID field. 	7005 7001 1005 7008
Contract ID	<ul style="list-style-type: none"> Mandatory field. 	7005
SIN	<ul style="list-style-type: none"> Mandatory field. Numerals (9) only. Mod 10 check always, as outlined in Appendix C. If Transaction Type 3, must pass SIR validation as outlined in Appendix C. 	7005 7001 7006 7006

Type “200” Validation Rules		
Field	Rule	Error Code(s)
Given Name	<ul style="list-style-type: none"> Mandatory field. If Transaction Type 3, must pass SIR validation as outlined in Appendix C. 	7005 7006
Surname	<ul style="list-style-type: none"> Mandatory field. If Transaction Type 3, must pass SIR validation as outlined in Appendix C. 	7005 7006
Birth Date	<ul style="list-style-type: none"> Mandatory if Transaction Type 3. Valid date. If Transaction Type 3, must pass SIR validation as outlined in Appendix C. 	7005 7000 7006
Gender	<ul style="list-style-type: none"> Mandatory if Transaction Type 3. Must be a valid gender. If Transaction Type 3, must pass SIR validation as outlined in Appendix C. 	7005 7001 7006
Relationship Type	<ul style="list-style-type: none"> Mandatory if Transaction Type 4. Must be a valid relationship type. 	7005 7001
Address Line 1	<ul style="list-style-type: none"> Mandatory field. 	7005
Address Line 2	<ul style="list-style-type: none"> Not Validated. 	
Address Line 3	<ul style="list-style-type: none"> Not Validated. 	
City	<ul style="list-style-type: none"> Mandatory field. 	7005
Province	<ul style="list-style-type: none"> Mandatory if Country CAN. If Country CAN, must match code in Appendix A, Province Codes. 	7005 7001
Country	<ul style="list-style-type: none"> Mandatory field. Must be a valid country code. 	7005 7001
Postal Code	<ul style="list-style-type: none"> Mandatory if Country CAN. 	7005
Telephone	<ul style="list-style-type: none"> Discontinued. 	
Fax	<ul style="list-style-type: none"> Discontinued. 	
E-Mail	<ul style="list-style-type: none"> Discontinued. 	
Old Ben SIN	<ul style="list-style-type: none"> Discontinued. 	
Old Ben Given Name	<ul style="list-style-type: none"> Discontinued. 	
Old Ben Surname	<ul style="list-style-type: none"> Discontinued. 	
Old Ben Birth Date	<ul style="list-style-type: none"> Discontinued. 	
Language	<ul style="list-style-type: none"> Mandatory if Transaction Type 3. 	7005
Custodial Parent Name	<ul style="list-style-type: none"> Mandatory if Transaction Type 3, and Beneficiary is under 19 years of age. 	7005
Lifetime Contribution	<ul style="list-style-type: none"> Discontinued. 	

Type "200" Validation Rules		
Field	Rule	Error Code(s)
Reversal Flag	<ul style="list-style-type: none">Discontinued.	
Original Promoter Transaction ID	<ul style="list-style-type: none">Discontinued.	
Filler	<ul style="list-style-type: none">Not validated.	

3.6 Record Type “300” – Remove Subscriber / Beneficiary

Note: Record Type “300” is no longer supported by the CESG system after Release 3.0 implementation. If a Record Type “300” is received by the Program, a **.ser** error record is generated indicating the presence of an invalid record type.

3.7 Record Type “400” – Financial Transaction

Financial Transaction, Type 400, is used to report financial activity on an RESP contract.

REQUIREMENTS:

A contract must be registered before any financial transactions are reported.

The Beneficiary record must be established in the CESG database.

Record Type “400”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"400" – Financial Transaction	
Transaction Date	9(8)	4-11	The date on which the subscriber conducted the financial business with the Promoter.	
Promoter Transaction ID	X(15)	12-26	Unique identifier assigned to each transaction by the promoter.	Promoter Transaction Identifier must not be reused.
Promoter BN	X(15)	27-41		
Transaction Type	9(2)	42-43	11 – Contribution 13 – EAP 14 – PSE Contribution Withdrawal 19 – Transfer In 21 – Grant Repayment 22 – Termination Adjustment 23 – Transfer Out	Type 12, 15, and 16 are Unassigned.
Specimen Plan ID	9(10)	44-53	Specimen Plan approval number.	Assigned by Canada Revenue Agency
Contract ID	X(15)	54-68		
Subscriber SIN	9(9)	69-77		Subscriber SIN must be provided for all contracts created on or after January 1, 1999.
Beneficiary SIN	9(9)	78-86		
Contribution Amount	9(7)V99	87-95	The amount of the contribution.	

Record Type "400"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Grant Requested	X(1)	96-96	0 – no 1 – yes	If the Grant Requested flag is not 1, no Grant is awarded.
Institution Code	X(4)	97-100	Replaced by new field.	Discontinued
Academic Year Start Date	9(8)	101-108	The date of the start of the current academic year of study.	Default day to "01".
Academic Year Length	9(3)	109-111	Contiguous number of weeks the beneficiary is enrolled in post-secondary education in the current academic year.	
Contract Term Date	X(8)	112-119		Discontinued
Contract Term Reason	X(1)	120-120		Discontinued
Reversal Flag	9(1)	121-121	1 – Normal 2 – Reversal	
Original Promoter Transaction ID	X(15)	122-136	Transaction ID of the transaction to be reversed, if Reversal Flag is 2.	
Original Promoter BN	X(15)	137-151	Promoter BN reported on the transaction to be reversed, if Reversal Flag is 2.	
Grant Amount	9(7)V99	152-160	The grant amount being transferred, adjusted or repaid to the Program.	
EAP Grant Amount	9(7)V99	161-169	The grant portion of an EAP.	
EAP Amount	9(7)V99	170-178	The total amount of the EAP, including grant.	
PSE Amount	9(7)V99	179-187	The contribution withdrawn while the beneficiary is enrolled in post-secondary education.	
The Other Specimen Plan ID	9(10)	188-197	Used in transfer transactions (type 19 and 23) to report the other specimen plan ID.	

Record Type "400"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
The Other Contract ID	X(15)	198-212	Used in transfer transactions (type 19 and 23) to report the other contract ID.	
Repayment Reason	9(2)	213-214	1 – Contribution Withdrawal 2 – AIP 3 – Contract Termination 4 – Ineligible Transfer 5 – Ineligible Beneficiary Replacement 6 – Payment to Educational Institution 7 – Revocation	
PSE Program Length	9(1)	215-215	Length of the degree or diploma program, in years. 0 - less than one year 1 - one year 2 - two years • • • 8 - eight years 9 - nine or more years	
PSE Program Type	9(2)	216-217	01 - University 02 - Community college or CEGEP 03 - Private trade, vocational or career college 04 - Other	
Educational Institution Postal Code	X(10)	218-227	Postal code of the post-secondary educational institution attended by beneficiary. If the institution does not have a postal code or a zip code, the country name should be used.	

Record Type "400"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
PSE Program Year	9(1)	228-228	Year of the current program of studies in which beneficiary is enrolled. 1 - first year 2 - second year 3 - third year • • • 8 - eight year 9 - ninth or later year	
Filler	X(272)	229-500		

3.7.1 Type "400" Validation Rules

The financial transaction record, Type "400", is validated and error codes are generated for failures as outlined in the following table and notes:

Type "400" Validation Rules		
Field	Rule	Error Code(s)
Record Type	<ul style="list-style-type: none"> Mandatory field. 	.ser file
Transaction Date	<ul style="list-style-type: none"> Mandatory field. Valid date. Transaction Date must be on or before the current reporting period end date set by the Program. Transaction Date must be on or after Beneficiary Birth Date, if Transaction Type 11, 13, or 14. Transaction Date must be on or after January 1, 1998. Transaction date must be on or after original transaction date if reversal flag = 2. 	7005 7000 1004 2027 7017 7018
Promoter Transaction ID	<ul style="list-style-type: none"> Mandatory field. Promoter Transaction Identifier must be unique. Original transaction and its reversal were found in the same processing period. 	.ser .ser 7021

Type "400" Validation Rules		
Field	Rule	Error Code(s)
Promoter BN	<ul style="list-style-type: none"> Mandatory field. Must be 15 characters. Promoter BN must exist in the CESG database. 	.ser .ser 7001
Transaction Type	<ul style="list-style-type: none"> Mandatory field. The Transaction Type must be valid for the Record Type. 	7005 7002
Specimen Plan ID	<ul style="list-style-type: none"> Mandatory field. Must be numeric. Specimen plan must exist in the CESG database. The Promoter must be associated with the specimen plan identified in the Specimen Plan ID field. The Sender BN specified in the header record must be authorised to send data for the Specimen plan. The beneficiary must be associated with the specimen identified in the Specimen Plan ID field if Transaction Type is 11, 13 or 14. 	7005 7001 1005 7008 7030 7031
Contract ID	<ul style="list-style-type: none"> Mandatory field. 	7005
Subscriber SIN	<ul style="list-style-type: none"> Not validated 	
Beneficiary SIN	<ul style="list-style-type: none"> Mandatory if Transaction Type is 11, 13, or 14. The Beneficiary SIN must exist in the CESG database 	7005 7001
Contribution Amount	<ul style="list-style-type: none"> Mandatory if Transaction Type is 11. Numerals only. Value must be 0.01 to 9,999,999.99 	7005 7001 3006
Grant Requested	<ul style="list-style-type: none"> Mandatory if Transaction Type 11. 	7005
Institution Code	<ul style="list-style-type: none"> Discontinued. 	
Academic Year Start Date	<ul style="list-style-type: none"> Mandatory if Transaction Type 13 or 14. Valid date. 	7005 7000
Academic Year Length	<ul style="list-style-type: none"> Mandatory if Transaction Type 13 or 14. Numerals only. 	7005 7001
Contract Term Date	<ul style="list-style-type: none"> Discontinued. 	
Contract Term Reason	<ul style="list-style-type: none"> Discontinued. 	
Reversal Flag	<ul style="list-style-type: none"> Mandatory field. Must be 1 or 2. 	7005 7001

Type "400" Validation Rules		
Field	Rule	Error Code(s)
Original Promoter Transaction ID	<ul style="list-style-type: none"> Mandatory if Reversal Flag is 2. Can not process if original transaction is in error. Must exist in the CESG database for field Original Promoter BN. Original transaction must not have been reversed. 	7005 7020 7022 7023
Original Promoter BN	<ul style="list-style-type: none"> Mandatory if Reversal Flag = 2 Original Promoter BN must exist in CESG database. 	7005 7001
Grant amount	<ul style="list-style-type: none"> Mandatory if Transaction Type is 19, 21, 22 or 23. Numerals only. Dollar value must be 0.00 to 9,999,999.99 	7005 7001 3099
EAP Grant Amount	<ul style="list-style-type: none"> Mandatory if the Transaction Type is 13. Numerals only. Dollar value must be 0.00 to 9,999,999.99 	7005 7001 3099
EAP Amount	<ul style="list-style-type: none"> Mandatory if the Transaction Type is 13. Numerals only. Value must be 0.01 to 9,999,999.99 	7005 7001 3006
PSE Amount	<ul style="list-style-type: none"> Mandatory if the Transaction Type is 14. Numerals only. Value must be 0.01 to 9,999,999.99 	7005 7001 3006
The Other Specimen plan ID	<ul style="list-style-type: none"> Mandatory if Transaction Type 19 or 23. Must be numeric. Must exist in CESG database if Transaction Type 19 or 23. 	7005 7001 1005
The Other Contract ID	<ul style="list-style-type: none"> Mandatory if Transaction Type 19 or 23. 	7005
Repayment Reason	<ul style="list-style-type: none"> Mandatory if Transaction Type 21. 	7005
PSE Program Length	<ul style="list-style-type: none"> Must be numeric Mandatory if Transaction Type 13 or 14. 	7001 7005
PSE Program Type	<ul style="list-style-type: none"> Mandatory if Transaction Type 13 or 14. Must be numeric. Must be a valid program type. 	7005 7001 7001
Educational Institution Postal Code	<ul style="list-style-type: none"> Mandatory if Transaction Type 13 or 14. 	7005

Type "400" Validation Rules		
Field	Rule	Error Code(s)
PSE Program Year	<ul style="list-style-type: none">• Must be numeric.• Mandatory if Transaction Type 13 or 14.• Must be a valid program year.	7001 7005 7001
Filler	<ul style="list-style-type: none">• Not validated.	

3.8 Record Type “500” – Transfer Transaction

Note: Record Type “500” is no longer supported by the CESG system after Release 3.0 implementation. If a Record Type “500” is received by the Program, a **.ser** error record is generated indicating the presence of an invalid record type.

3.9 Record Type “700” – Summary report transaction

Record Type “700” is used to provide the Program with the total assets in each RESP with a promoter. This record type is reported in its own file (see section 2.6), which has the same structure as the transaction file.

The summary report consists of:

- A header record – Type “001”
- A series of summary reporting records - Type “700”
- A trailer record – Type “999”

PURPOSE:

As part of its mandate, the CESG Program must report on its success in meeting its goals to various organisations within the federal government. Since the primary goal of the Program is to encourage Canadians to save for their children’s post-secondary education, the growth in the total assets available to those beneficiaries for post-secondary education is a good measure of the success of the Program.

Record Type “700”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"700" – Contract Information	
Transaction Date	9(8)	4-11	Evaluation date (last business day of the month).	
Promoter BN	X(15)	12-26		
Specimen Plan ID	9(10)	27- 36	Specimen Plan approval number.	Assigned by Canada Revenue Agency
Contract ID	X(15)	37-51		
Total RESP Assets	9(7)V99	52-60	Market value of the RESP as of the last business day of the month.	Includes contributions, grants and earnings.
Filler	X(440)	61-500		

3.9.1 Type “700” Validation Rules

There are no validation rules for this record type.

3.10 Record Type "800" – Transaction Error Report

Transaction error reports advise the Sender that an error is present in a transaction record or that a record or file is rejected and must be corrected and resubmitted. If an error is detected, a Type "800" transaction error record is created and added to the Transaction Error Report.

The error report consists of:

- A header record - Type "001"
- A series of error report records - Type "800"
- A trailer record- Type "999"

PURPOSE:

Report transactions containing errors identified during processing, which allows the originators to correct and resubmit. Transaction errors are reported in report files referencing the promoter transaction identifier, along with the name of the field in error. The error report file is only sent by the Program to Senders. The file is always sent back to a Sender whether or not there are errors.

The report records the following types of error:

- Data format errors
- Business rule errors

REQUIREMENTS

Based on CESG transaction records received.

Record Type "800"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"800" – Error Report	
Transaction Date	9(8)	4-11		
Promoter Transaction ID	X(15)	12-26	(mandatory for Transaction Error, not for File Error)	
Promoter BN	X(15)	27-41	(mandatory for Transaction Error, not for File Error)	
Field Name	X(30)	42-71	Any valid field name (mandatory for data errors, optional for business errors)	

Record Type "800"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Error Code	9(4)	72-75	Ref.: Appendix A, Error Codes	
SIN	X(1)	76-76	Blank if modulus 10 error Flag indicating results of SIR Validation 0 - Failed SIR Validation 1 - Passed SIR Validation	7006 errors on beneficiary transactions
Given Name	X(1)	77-77	Blank if modulus 10 error Flag indicating results of SIR Validation 0 - Failed SIR Validation 1 - Passed SIR Validation	7006 errors on beneficiary transactions
Surname	X(1)	78-78	Blank if modulus 10 error Flag indicating results of SIR Validation 0 - Failed SIR Validation 1 - Passed SIR Validation	7006 errors on beneficiary transactions
Birth Date	X(1)	79-79	Blank if modulus 10 error Flag indicating results of SIR Validation 0 - Failed SIR Validation 1 - Passed SIR Validation	7006 errors on beneficiary transactions
Gender	X(1)	80-80	Blank if modulus 10 error Flag indicating results of SIR Validation 0 - Failed SIR Validation 1 - Passed SIR Validation	7006 errors on beneficiary transactions
Filler	X(420)	81-500		

3.10.1 Type "800" Validation Rules

Because Record Type "800" is generated by the CESG system, validation rules are not applicable.

3.11 Record Type "850" – Severe Error Report

Severe error reports advise the Sender that a severe error is present in a transaction, that the record is rejected and must be corrected and resubmitted.

The severe error report consists of:

- A header record – Type "001"
- A series of error report records – Type "850"
- A trailer record – Type "999"

PURPOSE:

Transactions containing severe errors that can not have regular error messages applied to them are reported in the Severe Error Report. These errors include the inability to identify the incoming record type or duplicate Promoter transaction identifiers. This file reports an error type and contains the rest of the data record.

REQUIREMENTS

Based on CESG transaction records received.

Record Type "850"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"850" – Severe Error Report	
Error Type	9(4)	4-7	1 – Duplicate Promoter Transaction Identifier 2 – Invalid or Discontinued Record Type 3 – Promoter Transaction ID not provided 4 – Promoter BN not 15 characters	
Transaction Data	X(493)	8-500	Original record as received by the Program.	Also Filler.

3.11.1 Type “850” Validation Rules

Because Record Type “850” is generated by the CESG system, validation rules are not applicable.

3.12 Record Type “900” – Transaction Processing Report

Each transaction processed by the CESG system is acknowledged by a Type “900” transaction processing report.

The transaction processing report consists of:

- A header record - Type “001”
- One or more sub-header records - Type “002”
- One or more file processed records - Type “003”
- A series of transaction processing report records - Type “900”
- A trailer record - Type “999”

PURPOSE:

To create a list of transaction details for each Sender.

REQUIREMENTS:

None.

Record Type “900”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"900" – Transaction Report	
AC Amount	9(9)V99	4-14		Discontinued
UC Amount	9(9)V99	15-25		Discontinued
Grant Amount	9(9)V99	26-36	Gives the amount by which to grant balance changed due to successful processing of a financial transaction.	Zero filled for no grant paid or non-financial transaction
Promoter BN	X(15)	37-51	BN of the current Promoter of the specimen plan ID	
Promoter Transaction ID	X(15)	52-66		ID number assigned by CESG if Transaction Origin = 2

Record Type "900"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Reason	X(1)	67-67	Indicates why full grant amount not paid on a contribution. 1 - Annual Grant Limit Exceeded 2 - Lifetime Contribution Limit Exceeded 3 - Age of Beneficiary 5 - Specimen Plan Not Eligible 6 - Transaction Requested No Grant 9 - Other E - Lifetime Grant Limit Exceeded	If full grant amount is paid, the Reason field is "0". Reason codes 4, 7, 8, A, B, C, and D are unassigned. Blank if not a contribution.
Transaction Origin	X(1)	68-68	Indicates origin of transaction. 0 – Promoter Initiated 1 – Re-adjudication 2 – CESG initiated 3– unresolved transfer	See Note 1 at end of table.
Original Promoter BN	X(15)	69-83	Promoter BN under which the Promoter Transaction ID was reported	
Payment Requisitioned	X(1)	84-84	Indicates whether Payment Amount is affected. 1 – Yes 2 – No	
Specimen Plan ID	9(10)	85-94	Specimen Plan Approval Number	Assigned by Canada Revenue Agency.
Contract ID	X(15)	95-109		Blank if Transaction Origin = 0,1 or 3
CESG Transaction Date	9(8)	110-117	Date on which the CESG Program initiated a transaction (Transaction Origin = 2).	Zero filled if Transaction Origin = 0, 1 or 3.
SIN	9(9)	118-126	Beneficiary SIN	Zero filled if Transaction Origin = 0, 1 or 3.
Filler	X(374)	127-500		

Record Type "900"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Filler	X(374)	127-500		

Note 1

Occasions may arise where the Program will create a transaction for processing and report the results back to a promoter. This will be a very rare case. In the event that it does happen, the Program will indicate the type of transaction in the Transaction Origin field as "CESG Initiated". Other values that this flag can assume are "Promoter Initiated" for transactions received from promoters, "Re-adjudication" where the Program re-adjudicates a transaction and must report the results to the promoter and "Unresolved Transfer" for Transfer In/Out transactions that are reversed due to a matching Transfer Out/In not being processed within 90 days.

3.12.1 Type "900" Validation Rules

Because Record Type "900" is generated by the CESG system, validation rules are not applicable.

3.13 Record Type "910" – Transaction Processing Report

Note: Report Type "910" is no longer supported by the CESG system after Release 3.0 implementation.

3.14 Record Type “950” – Contract Registration Report

Contract Registration Record, Type “950”, reports contracts registered during a reporting period and contracts that have not yet met registration requirements during that specific reporting period.

The contract registration report consists of:

- A header record – Type “001”
- A series of contract registration report records - Type “950”
- A trailer record – Type “999”

PURPOSE:

The Type “950” record reports to the Sender that a contract is registered.

REQUIREMENTS:

None.

Record Type “950”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"950" – Contract Registration Report	
Promoter BN	X(15)	4-18		
Specimen Plan ID	9(10)	19-28	Specimen Plan approval number.	Assigned by Canada Revenue Agency
Contract ID	X(15)	29-43		
Processing Date	9(8)	44-51		
Registration Status	9(1)	52-52	1 – Registered 2 – Not registered	

Record Type "950"				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Reason for Registration Failure	9(1)	53-53	Gives the reason for the failure to register a contract. 1 - Missing subscriber information 2 - Missing beneficiary information 3 - Missing both subscriber and beneficiary information 4 - Rejected contract transaction	
Filler	X(447)	54-500		

3.14.1 Type "950" Validation Rules

Because Record Type "950" is generated by the CESG system, validation rules are not applicable.

3.15 Record Type “999” – Trailer Record (Transaction Control Count)

Record Type “999” is the last record in every file sent to or by the CESG Program.

Note: If a Type “999” record is rejected, the file is rejected and a record of the error is written into the Error Report (*filename.err*).

PURPOSE:

To provide the CESG and promoter systems with a control count of the number of records in a file.

REQUIREMENTS:

The Type “999” record must be the last record in each file and contain an accurate control count or the file is rejected.

Record Type “999”				
Data Element Name	Type Size	Trxn Posn	Description	Notes
Record Type	9(3)	1-3	"999" – Trailer Record	
Sender BN	X(15)	4-18		
Date Sent	9(8)	19-26	Date file sent to CESG Program if file sent by Sender. Date of transaction processing if file sent by CESG Program.	
File number	9(2)	27-28	Range 01-99	
Record Count	9(9)	29-37	Total number of records in the file. (Total transactions in file including header, sub-header, and trailer record counts.)	
CESG Processing Date	9(8)	38-45		Discontinued
Filler	X(455)	46-500		

3.15.1 Type “999” Validation Rules

The Trailer record, Type “999”, is validated and error codes are generated for failures as outlined in the following table and notes:

Type "999" Validation Rules		
Field	Rule	Error Code(s)
Record Type	<ul style="list-style-type: none"> • The Trailer record is mandatory. • The Type "999" record must be the last record in the file. • No other record may be Type "999". 	6012 6015 6011
Sender BN	<ul style="list-style-type: none"> • Not validated. 	
Date Sent	<ul style="list-style-type: none"> • Not validated. 	
File number	<ul style="list-style-type: none"> • Not validated. 	
Record Count	<ul style="list-style-type: none"> • Mandatory field. • Must correspond with record count. 	7005 6010
CESG Processing Date		
Filler	<ul style="list-style-type: none"> • Not validated. 	

Appendix A – Standard Code Tables

This section contains lists of codes used by the CESG system.

Transaction Error Codes

Transaction error codes are used to identify errors or discrepancies found in processing the various record types. Error codes are common across all transaction types, so that the same error generates the same code for all transaction record types.

The following table lists the business errors generated by the CESG system:

Transaction Error Codes	
Code	Description
1004	Transaction is for a future reporting period.
1005	Specimen plan does not exist.
2027	Transaction Date precedes Beneficiary Birth Date.
3006	Amount must be greater than zero.
3099	Amount must not be negative.
6000	Physical file name does not correspond to file name in header record.
6001	Incorrect format of physical file name.
6002	Duplicate record with same file name found in the database.
6003	No header record.
6005	Too many header records in File.
6006	This BN is not authorised to send files.
6010	Record count does not match the number of records in File.
6011	Too many trailer records in file.
6012	No trailer records in file.
6014	The data version in header does not match the current version.
6015	Trailer record not last in file.
6016	Header record is not the first record in the file.
7000	Invalid date.
7001	Invalid value.
7002	Invalid transaction type.
7005	Data is missing from field.

Transaction Error Codes	
Code	Description
7006	Invalid SIN.
7008	Promoter is not associated with the specimen plan.
7017	Date of financial transaction must be later than December 31 st , 1997.
7018	Date is earlier than original transaction date.
7020	Error in original transaction, current transaction cannot be processed.
7021	Original transaction and its reversal were found in the same processing period - no processing performed.
7022	Unable to locate the original transaction.
7023	The status of the original transaction is invalid.
7030	Sender not authorised to send data for the specimen plan.
7031	Beneficiary is not associated with the specimen plan

Province Codes

Province codes are based on the Canada Post Standard.

Province Codes	
Code	Canadian Province
AB	Alberta
BC	British Columbia
MB	Manitoba
NB	New Brunswick
NL	Newfoundland and Labrador Note that CESG will continue to accept NF
NS	Nova Scotia
NT	Northwest Territories
NU	Nunavut
ON	Ontario
PE	Prince Edward Island
QC	Quebec
PQ	Quebec
SK	Saskatchewan
YT	Yukon

Appendix B – ISO-8859-1 Latin 1 Character Set

The ISO-8859-1 Latin 1 Character Set is the official Treasury Board Information Technology Standard for data interchange.

Note: The CESG system allows the New Line (NL) character, decimal value 10, and Carriage Return (CR) character, decimal value 13. All other characters must fall between decimal values 32 and 255. Other characters between 0 and 31 inclusive are not used.

The following table illustrates the Latin 1 Character Set:

ISO-8859-1					
Ch	Dec	Description	Ch	Dec	Description
	032	Space	...	133	(unassigned)
!	033	Exclamation Point	†	134	(unassigned)
"	034	Double Quote	‡	135	(unassigned)
#	035	Octothorp	^	136	(unassigned)
\$	036	Dollars	‰	137	(unassigned)
%	037	Percent	Š	138	(unassigned)
&	038	Ampersand	‹	139	(unassigned)
'	039	Single Quote	Œ	140	(unassigned)
(040	Left Parenthesis		141	(unassigned)
)	041	Right Parenthesis		142	(unassigned)
*	042	Asterisk		143	(unassigned)
+	043	Plus		144	(unassigned)
,	044	Comma	‘	145	(unassigned)
-	045	Hyphen	’	146	(unassigned)
.	046	Period	"	147	(unassigned)
/	047	Forward Slash	"	148	(unassigned)
0	048	Numeral 0	•	149	(unassigned)
1	049	Numeral 1	–	150	(unassigned)
2	050	Numeral 2	—	151	(unassigned)
3	051	Numeral 3	~	152	(unassigned)
4	052	Numeral 4	™	153	(unassigned)
5	053	Numeral 5	š	154	(unassigned)
6	054	Numeral 6	›	155	(unassigned)
7	055	Numeral 7	œ	156	(unassigned)

ISO-8859-1					
Ch	Dec	Description	Ch	Dec	Description
8	056	Numeral 8		157	(unassigned)
9	057	Numeral 9		158	(unassigned)
:	058	Colon	ÿ	159	(unassigned)
;	059	Semicolon		160	Hard space
<	060	Less Than	¡	161	Inverted Exclamation Point
=	061	Equals	¢	162	Cent
>	062	Greater Than	£	163	Pound Sterling
?	063	Question Mark	¤	164	General Currency Symbol
@	064	Commercial At	¥	165	Yen
A	065	Majuscule A	‡	166	Broken Vertical Bar
B	066	Majuscule B	§	167	Section Sign
C	067	Majuscule C	¨	168	Dieresis
D	068	Majuscule D	©	169	Copyright
E	069	Majuscule E	ª	170	Feminine Spanish Ordinal
F	070	Majuscule F	«	171	Left Double Guillemet
G	071	Majuscule G	¬	172	Logical Not
H	072	Majuscule H	®	174	Registered Trademark
I	073	Majuscule I	-	175	Beginning of Line
J	074	Majuscule J	°	176	Ring
K	075	Majuscule K	±	177	Plus or Minus
L	076	Majuscule L	²	178	Power of 2
M	077	Majuscule M	³	179	Power of 3
N	078	Majuscule N	´	180	Acute
O	079	Majuscule O	µ	181	Mu
P	080	Majuscule P	¶	182	Paragraph Sign
Q	081	Majuscule Q	·	183	Small Centre Dot
R	082	Majuscule R	¸	184	Cedilla
S	083	Majuscule S	¹	185	Power of 1
T	084	Majuscule T	º	186	Masculine Spanish Ordinal
U	085	Majuscule U	»	187	Right Double Guillemet
V	086	Majuscule V	¼	188	¼
W	087	Majuscule W	½	189	½
X	088	Majuscule X	¾	190	¾

ISO-8859-1					
Ch	Dec	Description	Ch	Dec	Description
Y	089	Majuscule Y	¿	191	Inverted Question Mark
Z	090	Majuscule Z	À	192	A Grave
[091	Left Bracket	Á	193	A Acute
\	092	Backslash	Â	194	A Circumflex
]	093	Right Bracket	Ã	195	A Tilde
^	094	Caret (Circumflex)	Ä	196	A Dieresis
_	095	Underscore	Å	197	A Ring
`	096	Accent Grave	Æ	198	AE Digraph
a	097	Minuscule a	Ç	199	C Cedilla
b	098	Minuscule b	È	200	E Grave
c	099	Minuscule c	É	201	E Acute
d	100	Minuscule d	Ê	202	E Circumflex
e	101	Minuscule e	Ë	203	E Dieresis
f	102	Minuscule f	Ì	204	I Grave
g	103	Minuscule g	Í	205	I Acute
h	104	Minuscule h	Î	206	I Circumflex
i	105	Minuscule I	Ï	207	I Dieresis
j	106	Minuscule j	Ð	208	Majuscule Eth
k	107	Minuscule k	Ñ	209	N Tilde
l	108	Minuscule l	Ò	210	O Grave
m	109	Minuscule m	Ó	211	O Acute
n	110	Minuscule n	Ô	212	O Circumflex
o	111	Minuscule o	Õ	213	O Tilde
p	112	Minuscule p	Ö	214	O Dieresis
q	113	Minuscule q	×	215	Multiply (x)
r	114	Minuscule r	Ø	216	O Slash
s	115	Minuscule s	Ù	217	U Grave
t	116	Minuscule t	Ú	218	U Acute
u	117	Minuscule u	Û	219	U Circumflex
v	118	Minuscule v	Ü	220	U Dieresis
w	119	Minuscule w	Ý	221	Y Acute
x	120	Minuscule x	Þ	222	Majuscule Thorn
y	121	Minuscule y	ß	223	German Double s

ISO-8859-1					
Ch	Dec	Description	Ch	Dec	Description
z	122	Minuscule z	à	224	a Grave
{	123	Left Curly Bracket	á	225	a Acute
	124	Broken Vertical Bar	â	226	a Circumflex
}	125	Right Curly Bracket	ã	227	a Tilde
~	126	Tilde	ä	228	a Dieresis
	128	(unassigned)	å	229	a Ring
	129	(unassigned)	æ	230	ae Digraph
,	130	(unassigned)	ç	231	c Cedilla
f	131	(unassigned)	è	232	e Grave
„	132	(unassigned)	é	233	e Acute
…	133	(unassigned)	ê	234	e Circumflex
†	134	(unassigned)	ë	235	e Dieresis
‡	135	(unassigned)	ì	236	i Grave
^	136	(unassigned)	í	237	i Acute
‰	137	(unassigned)	î	238	i Circumflex
Š	138	(unassigned)	ï	239	i Dieresis
‹	139	(unassigned)	ð	240	Minuscule Eth
Œ	140	(unassigned)	ñ	241	n Tilde
	141	(unassigned)	ò	242	o Grave
	142	(unassigned)	ó	243	o Acute
	143	(unassigned)	ô	244	o Circumflex
	144	(unassigned)	õ	245	o Tilde
‘	145	(unassigned)	ö	246	o Dieresis
’	146	(unassigned)	÷	247	Division
"	147	(unassigned)	ø	248	o Slash
"	148	(unassigned)	ù	249	u Grave
•	149	(unassigned)	ú	250	u Acute
–	150	(unassigned)	û	251	u Circumflex
—	151	(unassigned)	ü	252	u Dieresis
~	152	(unassigned)	ý	253	y Acute
™	153	(unassigned)	þ	254	Minuscule Thorn
š	154	(unassigned)	ÿ	255	y Dieresis

Appendix C - SIN Validation

This section outlines the methods used to validate Social Insurance Numbers (SIN).

Modulus 10 Calculation

The modulus 10 calculation method is provided by HRSDC. For further information about Social Insurance Numbers, contact the following agency:

HRSDC

Social Insurance Registration

PO Box 7000

Bathurst, New Brunswick

E2A 4T1

Telephone: (506)-548-7961

Fax: (506)-548-7960

MODULUS "10" METHOD

To test a Social Insurance Number to see how the check digit works, use the method in the following example:

Write down the first eight digits of a Social Insurance Number - suppose, for instance, they are 998-986-73. Then multiply every second digit by 2 - ($2 \times 9 = 18$, $2 \times 9 = 18$, $2 \times 6 = 12$, $2 \times 3 = 6$) - and add each digit of the totals together (1 plus 8 plus 1 plus 8 plus 1 plus 2 plus 6). The total comes to 27. Now go back to the original number and add the remaining alternate digits together (9 plus 8 plus 8 plus 7 = 32). Now add the two totals together (27 plus 32 = 59) and subtract the total obtained from the nearest greater multiple of 10, which in this case is 60. That leaves 1, which becomes the final, and so-called check digit of this number 998-986-731. The total of the calculation must match the final digit of the original Social Insurance Number.

Note: Senders must also ensure that Social Insurance Numbers do not begin with the excluded numbers "0", "3", or "8".

SIR Validation

Senders must confirm with the subscribers that the basic information provided by the subscriber is exactly the same as the information recorded in the Social Insurance Registry (SIR). Confirmation can be made by referring to the beneficiary's SIN card.

The Beneficiary SIN is electronically validated against the HRSDC Social Insurance Registry database in the following manner:

- Every Beneficiary Information transaction is validated with the HRSDC SIR to ensure that the SIN, Given Name, Surname, Birth Date and Gender reported on the transaction correspond with SIR. If SIR reports that the information provided in the transaction does not match the records in the SIR, then the Program rejects the transaction and reports the error to the Promoter in the Error Report. The SIR check is performed as part of the validation of each beneficiary transaction received.

In an attempt to raise the quality of our data with regards to the use of the SIN, please be advised that we will be systematically blocking all transactions submitted using known misused SINS.

The Social Insurance Registry (SIR) has asked the CESG Program to inform all SIN users that the misuse of a SIN number is a federal offence under the *Employment Insurance (EI)* legislation.