

Monthly Returns Specification

June 2018

Employer Upload Process

The first step of the monthly returns process is for the employer to upload the file in the following format.

Incoming File Format and Field Validations

The format of the incoming file from employers is detailed below.

Column	Field Name	Description	Format	Max Length	Validations against this field	Can be provided for Joiners	Can be provided for Changes	Can be provided for Leavers	Can be provided for Monthly	Format Example
A	EMPLOYERNO	UPM Pay Location Reference	Text	5	<ul style="list-style-type: none"> Error: EMPLOYERNO must be provided and must be a recognised pay location reference in UPM 	✓	✓	✓	✓	062
B	EMPLOYEEMEMBERSHIPNO	UPM Folder Reference - Enter 0 if no member number available	Text	8	<ul style="list-style-type: none"> Error: EMPLOYEEMEMBERSHIPNO must be present - Enter 0 if no member number available 	✓	✓	✓	✓	10234567 Enter 0 if no member number available
C	EMPLOYEEPAYROLLNO	Employee payroll number - as per employer payroll/HR system. Must be a unique reference to identify an individual pensionable employment	Text	16	<ul style="list-style-type: none"> Error: EMPLOYEEPAYROLLNO must be provided 	✓	✓	✓	✓	123456B
D	NINO	Member National Insurance number. <i>(No 'temporary' numbers are accepted)</i>	Text	9	<ul style="list-style-type: none"> Error: NINO must be provided in the correct format i.e. AA121212B Error: NINO must not be a temporary number 	✓	✓	✓	✓	NA123456A

E	TITLE	Members Title – enter the full description for example Mr, Lady, Rev, Prof	Text	10	<ul style="list-style-type: none"> Error: TITLE must be provided and must be a recognised title in UPM i.e. Mr, Mrs etc 	✓	✓	✓		Mr Mrs Lady Rev
F	FORENAMES	Members Forenames	Text	40	<ul style="list-style-type: none"> Error: FORENAMES must be provided and must not contain numeric characters 	✓	✓	✓	✓	Alan Edward
G	SURNAME	Members Surname	Text	40	<ul style="list-style-type: none"> Error: SURNAME must be provided and must not contain numeric characters 	✓	✓	✓	✓	Smith
H	GENDER	Member Gender	Text	1	<ul style="list-style-type: none"> Error: GENDER must be either M or F 	✓	✓		✓	M - Male F - Female
I	DOB	Members Date of Birth	Date	10	<ul style="list-style-type: none"> Error: DOB must be provided and must be in a valid date format Error: For joiners, DOB must not be greater than DOA Error: For joiners, DOB must not be 75 at DOA 	✓	✓		✓	01/01/1960
J	MARITALSTATUS	Members Marital Status	Text	20	<ul style="list-style-type: none"> Error: MARITALSTATUS must be provided for rows which are flagged as a Joiner or Leaver Error: MARITALSTATUS must be a recognised marital status in UPM. 	✓	✓			Married Divorced
K	DATEOFMARRIAGE	Enter the date of marriage or the date of divorce for changes	Date	10	<ul style="list-style-type: none"> Error: DATEOFMARRIAGE must be in valid date format 		✓			01/01/2017
L	PHONENUMBER	Members Mobile Phone Number (no spaces)	Numb	11		✓	✓			01132441404
M	EMAILHOME	Members Personal Email Address	Text	70	<ul style="list-style-type: none"> Error: EMAILHOME must be in a valid email address format 	✓	✓			Clare@yahoo.com

N	EMAILWORK	Members Work Email Address	Text	70	<ul style="list-style-type: none"> Error: EMAILWORK must be in a valid email address format 	✓	✓			Clare@work.co.uk
O	ADDRESSLINE1	Members address line 1	Text	50	<ul style="list-style-type: none"> Error: ADDRESSLINE1 must be provided for rows which are flagged as a Joiner Error: ADDRESSLINE1 must not contain commas 	✓	✓			1 Test Street
P	ADDRESSLINE2	Members address line 2	Text	50	<ul style="list-style-type: none"> Error: ADDRESSLINE2 must not contain commas 	✓	✓			Test
Q	ADDRESSLINE3	Members address line 3	Text	50	<ul style="list-style-type: none"> Error: ADDRESSLINE3 must not contain commas 	✓	✓			Morley
R	ADDRESSLINE4	Members town/city	Text	50	<ul style="list-style-type: none"> Error: ADDRESSLINE4 must not contain commas 	✓	✓			Leeds
S	ADDRESSLINE5	Members county	Text	50	<ul style="list-style-type: none"> Error: ADDRESSLINE5 must not contain commas 	✓	✓			West Yorkshire
T	POSTCODE	Members Postcode	Text	8	<ul style="list-style-type: none"> Error: POSTCODE must be provided for rows which are flagged as a Joiner Error: POSTCODE is not in correct format 	✓	✓			LE12 5HG
U	JOBTITLE	Members Job title	Text	60		✓	✓			Cleaner
V	SCHOOL	If you have a school with an outsourced payroll provider, enter the School Name here	Text	50	<ul style="list-style-type: none"> Error: SCHOOL must not contain numeric characters 	✓	✓			St Peters
W	EFFECTIVEDATE	<ul style="list-style-type: none"> For MONTHLY RETURNS this should be set as the end of the month. For LEAVERS this should be the Date left scheme. <p><i>(Changes are dealt with by</i></p>	Date	10	<ul style="list-style-type: none"> Error: EFFECTIVEDATE must be provided and must be in a valid date format Error: EFFECTIVEDATE must be provided and must be within the month of the process key date – except if 		✓	✓	✓	01/01/2017

		<i>the HOURSCHANGESTARTDATE and DATEOFMARRIAGE fields all other changes can use the monthly returns date if needed for the updates.)</i>			the LEAVERFG = Y					
X	SCHEMESECTION	Section of the scheme employee was member of at end of period or at the date of cessation of active membership in the employment.	Text	1	<ul style="list-style-type: none"> Error: SCHEMESECTION must be either 1 for Main section or 2 for 50/50 section 	✓	✓		✓	Main section = 1 50/50 section = 2
Y	CONTRATE	Employee contribution rate payable at end of period. Standard contribution rate being deducted at the end of the period.	Real	10	<ul style="list-style-type: none"> Error: CONTRATE must be provided Error: CONTRATE is not a valid entry: <p>If Schemesection = 2 and HALFCONTRATE paylocation element is set to Y then use the EFFECTIVEDATE field and the CONTRATE field x 2 to check that there is a contrate for the date within UPMCONTRIBUTIONRATE table – error if not.</p> <p>If SCHEMESECTION = 1 OR SCHEMESECTION = 2 and HALFCONTRATE paylocation element is set to N or doesn't exist then use the EFFECTIVEDATE field and the CONTRATE field to check that there is a contrate for the date within UPMCONTRIBUTIONRATE table – error if not.</p>	✓	✓		✓	5.5 2.75

Z	BASICPENSIONCONTS	Employee Contributions paid in main section. Contributions paid in the main section for the period excluding Part Time Buy Back (PTBB), APCS, ARCs, Reg 55 and AVCs.	Real	10	<ul style="list-style-type: none"> • Error: BASICPENSIONCONTS has been provided but the SCHEMESECTION is not set as 1 (Main Section) • Error: You have not provided a BASICPENSIONCONTS figure and the member is flagged as SCHEMESECTION = 1 and BREAKREASON is NULL or CASUAL is Y • Error: BASICPENSIONCONTS have been provided but MAINSECTIONPENSIONABLE PAY has not 			✓	950.23 0 if contributions not paid in the period
AA	MAINSECTIONPENSIONABLEPAY	Pensionable Pay received in main section. <u>Actual pay</u> received on which LG contributions have been calculated in the main section of the scheme <u>and</u> any <u>Assumed Pensionable Pay</u> the member is treated as receiving during the period.	Real	10	<ul style="list-style-type: none"> • Error: MAINSECTIONPENSIONABLE PAY has been provided but the SCHEMESECTION is not set as 1 (Main Section) • Error: You have not provided a MAINSECTIONPENSIONABLE PAY figure and the SCHEMESECTION = 1 and BREAKREASON is NULL or CASUAL is Y • Error: MAINSECTIONPENSIONABLE PAY have been provided but BASICPENSIONCONTS has not 	✓		✓	2345.5 0 if no pay received relating to main section

AB	PENSIONABLEPAY	Annual Full Time Equivalent Final Pensionable Pay (as per 2008 regs). <u>Annualised full time equivalent pay</u>	Real	10	<ul style="list-style-type: none"> Error: If PENSIONABLEPAY < £7000.00:- PENSIONABLEPAY is the full-time equivalent Pensionable Salary and cannot be < £7000.00 			✓	✓	27666.8
AC	FIFTYFIFTYSECTPENSIONABLEPAY	Pensionable Pay received in 50/50 section. <u>Actual pay</u> received in the 50/50 section of the scheme and any <u>Assumed Pensionable Pay</u> the member is treated as receiving during the period.	Real	10	<ul style="list-style-type: none"> Error: FIFTYFIFTYSECTPENSIONABLEPAY has been provided but the SCHEMESECTION is not set as 2 (50/50 Section) Error: You have not provided a FIFTYFIFTYSECTPENSIONABLEPAY figure and the SCHEMESECTION = 2 and BREAKREASON is NULL or CASUAL is Y Error: FIFTYFIFTYSECTPENSIONABLEPAY has been provided but FIFTYFIFTYPENSIONCONTS has not 		✓		✓	10000.2 0 if no pay received relating to 50/50 section
AD	FIFTYFIFTYPENSIONCONTS	Employee Contributions paid in 50/50 section. Contributions paid in the 50/50 section for the period excluding Part Time Buy Back (PTBB), APCS, ARCs, Reg 55 and AVCs to Equitable Life or Prudential.	Real	10	<ul style="list-style-type: none"> Error: FIFTYFIFTYPENSIONCONTS have been provided but the SCHEMESECTION is not set as 2 (50/50 Section) Error: You have not provided a FIFTYFIFTYPENSIONCONTS figure and the member is flagged as SCHEMESECTION = 2 and BREAKREASON is 				✓	400.66 0 if contributions not paid in the period

					NULL or CASUAL is Y • Error: FIFTYFIFTYPENSIONCONTS have been provided but FIFTYFIFTYSECTPENSIONABL EPAY has not					
AE	APCSEMPLOYEEEREGULAR	Employee Additional Pension Contributions (APC's) - regular contribution	Real	10					✓	1000.37 0 if contributions not paid in the period
AF	APCSEMPLOYEEELUMPSUM	Employee Additional Pension Contributions (APC's) - lump sum	Real	10					✓	500.48 0 if contributions not paid in the period
AG	AVCS	Employee AVC Contributions AVCs paid to Scottish Widows or Standard Life.	Real	10					✓	750 0 if contributions not paid in the period
AH	ARCS	Employee ARC contributions paid (Reg 14 2008 regs)	Real	10					✓	150.5 0 if contributions not paid in the period
AI	ADDYRSCONTSUM	Employee Additional contributions paid E.g. Reg 55 - Purchase of additional membership.	Real	10					✓	300.33 0 if contributions not paid in the period
AJ	EMPLOYERCONTS	Contributions made by employer in respect of employee's pensionable pay	Real	10					✓	1001.24 0 if contributions not paid in the period
AK	APCSEMPLOYERREGULAR	Employer Additional Pension Contributions (APC's) - regular contribution	Real	10					✓	835.48 0 if contributions not paid in the period

AL	APCSEMPLOYERLUMPSUM	Employer Additional Pension Contributions (APC's) - lump sum	Real	10					✓	5000 0 if contributions not paid in the period
AM	EMPLOYERAVCS	Employer AVC Contributions	Real	10					✓	205.2 0 if contributions not paid in the period
AN	PARTTIMEBUYBACKCONTS	Part time buy-back contributions	Real	10					✓	950.23 0 if contributions not paid in the period
AO	BREAKSTARTDATEPM	Start Date of Break in Pensionable Membership. Only required where a break in membership is being notified	Date	10	<ul style="list-style-type: none"> • Error: If present, BREAKSTARTDATE must be in valid date format • Error: BREAKSTARTDATE cannot be in the future 		✓			01/11/2017
AP	BREAKENDDATEPM	End Date of Break in Pensionable Membership. Only required where a break in membership is being notified This field can be left blank in case of sickpay and maternity	Date	10	<ul style="list-style-type: none"> • Error: If present, BREAKENDDATEPM must be valid date format • Error: If BREAKENDDATEPM present, this must be greater than or equal to BREAKSTARTDATEPM. • Error: If BREAKENDDATEPM present, the BREAKSTARTDATEPM should not be null • Error: BREAKENDDATEPM cannot be in the future 		✓			15/11/2017
AQ	BREAKREASON	Reason for Break (Only required where a break in membership is being notified)	Text	4	<ul style="list-style-type: none"> • Error: If BREAKSTARTDATEPM is provided, BREAKREASON must be either S, C, PL, M or A and cannot be NULL 		✓			S - Strike break C - Career break PL - Paternity leave M - Maternity

										leave A - Authorised absence
AR	HOURSCHANGESTARTDATE	Start Date of Hours Change Only required where a change of hours is being notified and the member is protected	Date	10	<ul style="list-style-type: none"> Error: If HOURSCHANGESTARTDATE has been provided it must be in valid date format Error: If HOURSCHANGESTARTDATE has been provided and NEWSTANDARDHOURS is NULL or = 0.00 		✓			10/11/2017
AS	NEWCONTRACTEDHOURS	New Weekly Contracted Hours (Required for all joiners. Also required where a change of hours is being notified and the member is protected)	Real	10	<ul style="list-style-type: none"> Error: For joiners, NEWCONTRACTEDHOURS must be present Error: For joiners, where the casual flag is Y, NEWCONTRACTEDHOURS should be 0.01 Error: For non-joiners, this field should not be equal to PREVCONTRACTEDHOURS Error: NEWCONTRACTEDHOURS should not be greater than NEWSTANDARDHOURS 	✓	✓		✓	18.50 Casual - 0.01 Full Time - 0.00 Part Time - actual weekly contracted hours (e.g. 18.50)
AT	NEWSTANDARDHOURS	New Weekly Standard Hours (Full time equivalent). Only required where a change of hours is being notified for a protected member or if it's a new joiner	Real	10	<ul style="list-style-type: none"> Error: For joiners, NEWSTANDARDHOURS must be present Error: NEWSTANDARDHOURS shouldn't match the NEWCONTRACTEDHOURS 	✓	✓			37.00

AU	PREVCONTRACTEDHOURS	Previous Weekly Contracted Hours. Required where a change of hours is being notified and the member is protected.	Real	10	<ul style="list-style-type: none"> Error: For Joiners, PREVCONTRACTEDHOURS must be null 	✓			20.00
AV	PREVSTANDARDHOURS	Previous Weekly Standard Hours (Full time equivalent). Only required where a change of hours is being notified for a protected member.	Real	10	<ul style="list-style-type: none"> Error: For Joiners, PREVSTANDARDHOURS must be null 	✓			37.00
AW	DOA	Date of Scheme Admission DD/MM/YYYY	Date	10	<ul style="list-style-type: none"> Error: DOA must be present for joiners Error: For joiners, DOB must not be greater than DOA Error: For joiners, DOA must be in valid date format Error: For joiners, DOA cannot be after EFFECTIVEDATE Error: DOA must not be more than 3 months ago 	✓			01/11/2017
AX	CASUAL	Flag to indicate the member is casual	Text	1	<ul style="list-style-type: none"> Error: If NEWCONTRACTEDHOURS = 0.01 then CASUAL should be Y 	✓			Y - Yes
AY	PENPAY	Annual Pensionable Pay for new joiners based on hours worked. If annual pay is 20000 and they work 17.5/35 hours the PENPAY would be 10000.	Real	10	<ul style="list-style-type: none"> Error: For Joiners, must be provided Error: PENPAY cannot be 0 	✓			20000
AZ	AE	Flag to indicate this member has been Auto Enrolled	Text	4	<ul style="list-style-type: none"> Error: For joiners, AE must be either Y or N 	✓			Y - Yes N - No

BA	EETYPE	Employee Type	Text	6	<ul style="list-style-type: none"> Error: For joiners, EETYPE must be provided if the AE = Y Error: For joiners, EETYPE must be either EJ, NEJ, EW or CO 	✓				EJ - Eligible Jobholder NEJ - Non-Eligible Jobholder EW - Entitled Worker CO - Contractual Joiner
BB	OORECDDATE	Date the 'Declaration of Opt Out' received by Employer	Date	10	<ul style="list-style-type: none"> Error: If present, OORECDDATE must be in valid date format 	✓				05/11/2017
BC	ERDEC	Declaration that the Employer has seen the Opt Out notice and provided enrolment information	Text	1	<ul style="list-style-type: none"> Error: For joiners, ERDEC should be populated with Y, if the OOFG = Y 	✓				Y - Yes N - No
BD	OOFG	Opt out immediately flag (Only set to Y if member opted-out within 3 months of joining & contributions have been refunded via the payroll)	Text	1	<ul style="list-style-type: none"> Error: For joiners, OOFG should be Y or N and not NULL Error: For joiners, if OOFG is Y, OODATE should be populated Error: For joiners, if OOFG is Y, OOREASON should be populated Error: For joiners, if OOFG is Y ERDEC must be populated with Y 	✓				Y - Yes N - No
BE	OODATE	Opt out date Mandatory if opt-out flag = Y	Date	10	<ul style="list-style-type: none"> Error: For joiners, OODATE must be in valid date format Error: For joiners, check that OODATE is not less than DOA Error: For joiners, OODATE must not be greater than 3 months from DOA 	✓				05/11/2017

BF	OOREASON	Opt Out Reason Mandatory if opt-out flag = Y	Text	2	<ul style="list-style-type: none"> Error: For joiners, if OOREASON is populated this should be either AE or C 	✓				AE – Auto Enrolment C - Contractual i.e. LGPS regulations
BG	DISCFG	Has the member opted out of Electronic Communication for disclosure purposes?	Text	1		✓				Y - Yes N - No
BH	JOINERFG	Joiner indicator – This will trigger the row to be executed through the Joiner BDI	Text	1	<ul style="list-style-type: none"> Error: JOINERFG must be either Y or N 				✓	Y if Yes - if member joined the scheme during the period. N if No
BI	LEAVERFG	Leaver indicator – This will trigger the row to be executed through the Leaver BDI	Text	1	<ul style="list-style-type: none"> Error: LEAVERFG must be either Y or N or T 				✓	Y if Yes - <i>if member left the scheme during the period.</i> N if No T if TUPE Transfer
BJ	REASONFORLEAVING	Reason for leaving the pension scheme	Text	100	No validation on this field. Sites must ensure they provide guidance to their employers in line with what is currently submitted on the leaver form.			✓		Freetext field – guidance to be given by each site to their employers <ul style="list-style-type: none"> Voluntary Resignation Redundancy Normal Serious Ill Health TUPE
BK	REDUCTIONINPAY	Has the member had a reduction in pay?	Text	1	<ul style="list-style-type: none"> Error: For leavers, REDUCTIONINPAY must be either Y or N 				✓	Y N

BL	PIOVERRIDEDATE	If you are using previous years pay, you must confirm the effective date of the pay	Date	10	<ul style="list-style-type: none"> Error: If REDUCTIONINPAY = Y then PIOVERRIDEDATE must be provided 			✓		12/04/2016
BM	PRE2008FTEPAY	Annual Full Time Equivalent Final Pensionable Pay (as per 2008 regs). <u>Annualised full time equivalent pay</u> from the previous 365 days or grossed upto an annual figure if the period covered is less than 365 days. Where member works term-time only, provide the FTE pay for the term-time periods only or best 1 in 3	Real	10	<ul style="list-style-type: none"> Error: If REDUCTIONINPAY = Y then PRE2008FTEPAY must be provided 			✓		21000
BN	REDUCTIONWAIVED	Is the employer waiving the early retirement reduction?	Text	1				✓		Y N
BO	TYPEOFILLHEALTHRET	Tier 1, 2 or 3	Text	1				✓		1 2 3
BP	SERIOUSILLHEALTH	This should be Y if it is a Serious Ill Health	Text	1				✓		Y N
BQ	ASSUMEDPENPAY	This is the members actual annual pay figure to be used in the calculation of ill health enhancement	Real	10				✓		20000
BR	NOTES	Freetext field for any notes. These will only show on the BDI tables and will not be updated on the member record.	Text	250		✓	✓	✓	✓	*FREETEXT*