

A decorative graphic consisting of three overlapping circles. The largest circle is a dark red color. A smaller circle in a lighter red color overlaps the bottom-left of the dark red circle. A third circle in a greyish-green color overlaps the bottom-left of the dark red circle and the bottom of the lighter red circle.

Employer payroll guide

Guidance for employers on file specification

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1 How to use this guide

NEST's payroll guide gives you the detailed file specification for:

- enrolment schedules
- contribution schedules
- enrolment cancellations
- exception schedules
- additional files you receive or collect from NEST.

Its split into three sections: enrolling workers, submitting a contribution schedule and additional files.

For more information visit our [help centre](#). If you're using SFTP see [SFTP Overview](#).

Enrolling workers

The law requires you to provide us with certain information when you enrol workers. When you agree to our Employer Terms and Conditions, you agree to ensure the information you give us is accurate.

This section explains what information you need to send us about your workers when you enrol them using a file, such as their name, date of birth and address. You need to send this when you first start enrolling workers and afterwards whenever a new worker is added to your NEST account using a file.

You can also enrol workers in NEST online at any point through the secure area of the NEST website rather than using a file.

We also show you how to cancel an enrolment if a member has been enrolled by mistake. You can only do this by file upload or SFTP.

You may want to use this document alongside our NEST CSV templates and XSD files, which provides CSV templates, XML schema documents (XSDs) and example files. This is available from the [helpful resources](#) area of our help centre.

Submitting a contribution schedule

This section explains what you need to provide when completing a contribution schedule using a file. There's one contribution schedule for every group of workers who are paid with the same frequency and timings of pay and contributions, and from the same payment source.

Submitting a contribution schedule is a two step process. First, you'll need to give us information about the contributions for each worker. This includes the pensionable earnings you're basing contributions on as well as the employer and member contributions. If you don't have to pay a contribution for a worker you'll have to tell us why. If there are any errors you'll need to resolve these.

Secondly, you'll need to approve the schedule and then send us the payment. You'll need to do this each time you complete a contribution schedule.

Additional files

If you're a large employer and using SFTP, additional files are available. All of these files are returned as ZIP files. This section provides the file specification for:

- successful enrolments file
- unsuccessful enrolments file
- enrolment error log file
- successful contributions/payment submission file
- contributions error log file
- unsuccessful contributions file
- payment submission outcome file
- payment submission rejection file
- opt-out file
- contributions stopped (worker/employer notified) files
- opt-out contributions expected file
- refunded Direct Debit/debit card contribution files

1.1 How can I send my files?

There are two types of information you'll regularly send to NEST - enrolment information and contribution schedules.

You'll need to decide how you want to send and receive this information. There are three ways you can exchange information with NEST:

- manually on our secure website - this is easier to manage for small numbers of members with each record updated separately on screen.
- file upload - this allows you to upload files in CSV format using our secure website.
- secure file transfer protocol (SFTP) - this is suitable for uploading large CSV or XML files.

If you're uploading files through our website these files must be comma separated value (CSV) files. If you're transferring files to us using SFTP then files can either be in CSV or extensible markup language (XML).

For more information see our help centre topic [Exchanging information with NEST](#).

Checking your file before sending it to us

Once you've sent us your file we'll process it to make sure it's in the right format and contains the information we're expecting. If there are any errors in your file we'll send a message to your secure NEST inbox with more information.

To reduce the amount of errors in your files you can use NEST's CSV and XSD templates and our NEST file tester. These are available to download from the [helpful resources](#) area of our help centre. They'll help improve the quality of the data by validating it before you send it to us.

NEST's CSV and XSD templates

When you use our templates they'll check some of your information for you, including:

- that the date formats are correct
- whether there are any duplicate names
- whether there are any duplicate email and postal addresses.

You can find these templates and files in NEST CSV templates and XSD files or in the secure area of our website. If you want to, you can also create your own CSV file without using our template. If you do this we recommend using the NEST file tester before you send it to us.

Download [NEST's CSV and XSD templates](#)

NEST file tester

Our file tester validates the data in your file including checking that all entries are in the right format. For example, it'll check:

- that any National Insurance (NI) numbers have the correct number of digits
- if there are duplicate NI numbers for workers being enrolled
- if a UK address is supplied with a postcode in the correct format
- if fields include special characters that aren't supported in our system.

It's a good idea to use our templates and the file tester for at least the first few files you produce. You should do this until you're comfortable with the format and the information you need to send to us.

Download our [NEST file tester](#)

1.2 Important notes

We make regular improvements to our service, and sometimes this means changing our file formats. We try to make sure these changes have minimal impact on employers using NEST. Wherever possible we'll make sure that if you send us a valid file in the old format, our system will still read it without returning an error. For instance, if we need to add an extra field to a file you send us, we'll add it to the end of the header, detail or trailer record. We will continue to accept files that do not contain a value for this new field but we do encourage you to update your processes to use the new file format as soon as you can.

Please bear in mind that changes to our file formats can also affect some of the files we send you, if you've chosen to receive CSV or XML return files through SFTP, or if you use the CSV files we send to your secure mailbox. You should make sure your system can process extra fields at the end of header, detail or trailer records. This means your system will always be able to read files that contain extra fields without rejecting them.

This document explains the setup of the CSV file format only. Our XML schema definitions (XSDs) will help you get your XML file in the right format. You can find more information in [NEST's CSV templates and XSD files](#) or in the secure area of our website. Go to the *Templates for uploading files and registration page* in the *Manage workers and Manage your contribution schedules* sections.

However, some information in this guide is still relevant to XML for example, field names, acceptable characters and information on which fields are mandatory.

If you open CSV files after creating them through the template, please use Wordpad or Notepad. Avoid opening CSV files with MS Excel as there's a risk the format will become corrupted. For example, dates are sometimes changed automatically and this may result in your file being rejected. Information you enter isn't case sensitive unless specifically indicated.

1.3 File encoding

NEST accepts one encoding type:

- UTF-8 without BOM (byte order mark).

The same formats apply to the CSV and XML files that you collect from NEST.

For line endings, NEST accepts:

- CRLF (carriage return followed by line feed)
- LF alone (line feed)
- CR alone (carriage return).

2 Enrolling workers

2.1 Background

What can you do using our worker enrolment process?

- Enrol workers into NEST.
- Cancel enrolment made in error - this should be used for one-off cases and not as a regular solution.

When downloading NEST's CSV templates please select 'Save' rather than opening the template directly. This will make it less likely that the macros contained are removed by a firewall.

Accented characters such as â are not accepted. Please use unaccented versions of the same characters. Don't include commas in any fields as the CSV template assumes this is a new field and the file will become misaligned. For example '200-210, High Street' should be entered as '200-210 High Street'.

How to send us your information

CSV:

File name	<p><<Name of the file uploaded by user>>.csv</p> <p>The maximum number of characters allowed in the file name is 150. This includes the dot and extension (.csv or .xml) in the filename.</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>	<p>What does this mean?</p> <p>When you create the file you can give it any name you want to help you identify it subject to the rules in the previous box.</p> <p>NEST will append a date and time to the filename in the following format:</p> <p>YYYYMMDDHHMMSS</p>
File type	<p>Please send your files in this format:</p> <ul style="list-style-type: none"> • comma separated values (.csv). 	<p>What does this mean?</p> <p>You can send CSV files by uploading through NEST's website or sending by SFTP. See SFTP Overview for information on SFTP.</p>
File size	<p>Up to 2MB per file - if you're uploading via NEST's website.</p> <p>No limit via SFTP.</p>	<p>What does this mean?</p> <p>Each file should be no larger than 2MB which is normally around 10,000 workers. If your system creates a file larger than this you'll need to split it into smaller files.</p> <p>For SFTP we can take records for as many workers as you want to enrol.</p>

XML:

File name	<p><<Name of the file uploaded by user>>.xml</p> <p>You should use a file name containing no more than 150 characters.</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>	<p>What does this mean?</p> <p>When you create the file you can give it any name you want to help you identify the file subject to the rules in the previous box.</p> <p>NEST will append a date and time to the file the following format:</p> <p>YYYYMMDDHHMMSS.</p>
File type	<p>Please send your files in this format:</p> <ul style="list-style-type: none"> • extensible markup language (.xml). 	<p>What does this mean?</p> <p>You can only send XML files by SFTP. See How do I set up secure file transfer protocol for information on SFTP.</p>
File size	<p>N/A via NEST's website.</p> <p>No limit via SFTP.</p>	<p>What does this mean?</p> <p>We can take records for as many workers as you want to enrol.</p>

2.1.3 Processing times

Enrolling workers into NEST

Please remember it's part of your duties to enrol workers on time so you'll need to take these timelines into account.

If you received any errors when enrolling workers using a file, you'll be able to correct these online. We normally process enrolment files seven days a week. There may be exceptions to this when we need to carry out system maintenance. When this happens we might only process files on business days from Monday to Friday, this doesn't include bank holidays.

If you're uploading files through the secure website

We have a daily cut-off point of 6pm when we start processing files containing 1,000 records or more. If you miss this deadline your files won't be picked up for processing until after 6pm the following evening.

We'll normally process files using the following timelines.

Size of file	Time to complete processing
Up to 50 worker records	You'll see an on-screen message confirming processing is complete within 30 seconds.
From 50 up to 999 worker records	We'll normally send a message to your mailbox confirming that we've processed your file within one hour.
1000 or more worker records received before 6pm	We'll normally send a message to your mailbox confirming that we've processed your file by 8am the following morning but we may need extra time for additional checking. In this case everything will be ready no later than 6pm that day.
1000 or more worker records received between 6pm and midnight	As the cut-off time was missed we won't process these files until the following evening. They'll normally be ready by 8am the next day but we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.

If you're using secure file transfer protocol (SFTP)

We'll process files that contain less than 1,000 records within one hour.
We process larger files overnight with a 6pm cut-off time.

If we receive your file before 11pm that day we put return files containing the processing results into the NEST file gateway in an overnight batch process. We'll normally process files sent using SFTP using the following timelines.

Size of file	Time to complete processing and receive return files
Up to 999 worker records received before 11pm	<p>We'll normally send a message to your mailbox confirming that we've processed your file within one hour.</p> <p>Return files are normally ready to collect by 8am the following morning. Sometimes we may need extra time for additional checking. In this case everything will be ready no later than 6pm that day.</p> <p>Any messages we send you using SFTP we'll also send to your secure mailbox. If you don't want to wait for files to be processed overnight you can log in to the secure area of our website to see them.</p>
Up to 999 worker records received between 11pm and midnight	<p>We'll normally send a message to your mailbox confirming that we've processed your file within one hour.</p> <p>As the cut-off time of 11pm was missed we won't send the return files until the following night. You'll normally receive these by 8am the next day. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p> <p>Any messages we send you using SFTP we'll also send to your secure mailbox. If you don't want to wait for files to be processed overnight you can log in to the secure area of our website to see them.</p>
1000 or more worker records received before 6pm	<p>We'll normally send a communication to your mailbox confirming that we've processed your file by 8am the following morning. By this time your return files will also normally be ready to collect. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p>
1000 or more worker records received between 6pm and midnight	<p>As the cut-off time was missed we won't process these files until the following evening. We'll normally send a message to your mailbox confirming that we've processed your file by 8am the next day. By this time your return files will also normally be ready to collect. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p>

Cancelling enrolments to NEST

If you accidentally enrol a member you can cancel their enrolment. However, you shouldn't do this if you meant to enrol them but entered their information incorrectly. Cancelling enrolments doesn't take the same amount of time as processing the original enrolment. If a contribution hasn't been invested, we can cancel enrolments within two working days after the day the request is made, provided we receive the file before 6pm. If money has been invested, the cancellation will be carried out within four working days following the day the request was made.

You'll also need to make sure that the member's enrolment has been cancelled before you can attempt to re-enrol them again.

2.2 The details you need to send us

Please note the information you supply will form the basis of what your worker sees when they look at their account or receive communications from NEST.

2.2.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	<p>Please enter H.</p> <p>If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file.</p> <ul style="list-style-type: none"> • This is case sensitive, so make sure you use capital letters. 			
2	NEST employer reference number	NEST employer reference number as supplied on completion of step 2 in the employer set-up process. This is stated in all communications to the employer and displayed online in most screens.	Mandatory	12
Notes	<p>Please enter the employer reference number in the following format: EMPnnnnnnnnnn.</p> <p>Your NEST ID is a unique employer identifier given to you after you complete step 2 in the employer set up process. It's 12 characters long and shown on most screens when you're logged into your account. If you set up more than one scheme in NEST, for example one for each subsidiary company, then these will each have their own NEST ID.</p> <p>For example:</p> <ul style="list-style-type: none"> • EMP123456789 • This is case sensitive, so make sure you use capital letters - 'EMP' not 'emp'. 			
3	Process type	Process type for the file you send		Process type
Notes	<p>For this type of file the process type will be either:</p> <ul style="list-style-type: none"> • ME - for member enrolment • DE - for cancelling enrolment (de-enrolment). • This is case sensitive, so make sure you use capital letters - 'ME' not 'me'. 			

2.2.2 Detail record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	<p>Please enter D for each record or line of data.</p> <p>If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file.</p> <ul style="list-style-type: none"> • This is case sensitive, so make sure you use capital letters. 			
2	Title	Title of the worker	Mandatory for ME Not needed for DE	10
Notes	<p>Please enter one of the following:</p> <ul style="list-style-type: none"> • Mr • Mrs • Miss • Ms • Dr <p>Please select the most appropriate title if there's not an exact match. The selection needs to be compatible with field 19 'Gender'. For example a combination of 'Miss' and 'M' or 'Mr' and 'F' wouldn't be accepted.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
3	Forename	Forename of the worker	Mandatory for ME Not needed for DE	30
Notes	<p>Please enter first name of the worker.</p> <p>For a full list of acceptable characters please refer to section 6.4</p> <p>What you enter here will be what your worker sees when they log into their account to receive communications from NEST. You should supply a full name and not just an initial.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
4	Middle name	Middle name of the worker	Optional	30
Notes	<p>Please enter middle name of the worker.</p> <p>For a full list of acceptable characters please refer to section 6.4</p> <p>What you enter here will be what your worker sees when they log into their account to receive communications from NEST. You should supply a full name and not just an initial.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
5	Surname	Surname of the worker	Mandatory	30
Notes	<p>Please enter last name of the worker.</p> <p>For a full list of acceptable characters please refer to section 6.4</p> <p>What you enter here will be what your worker sees when they log into their account to receive communications from NEST. You should supply a full name and not just an initial.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
6	Date of birth	Date of birth of the worker	Mandatory	10
Notes	<p>Please enter the date in the format of YYYY-MM-DD. For example for a worker born on 22 July 1988:</p> <ul style="list-style-type: none"> • 1988-07-22. 			
7	NI number	The worker's NI number	Conditional Mandatory if you have the NI number	9
Notes	<p>Please enter the worker's NI number.</p> <p>The NI number will be used to identify the individual worker contribution record. If you have two workers with the same number then you'll receive an error for the second worker. You should call our contact centre in order to resolve this issue.</p> <p>Don't use spaces.</p> <p>For example:</p> <ul style="list-style-type: none"> • AA123456B. <p>If you have a worker's NI number, you're required by law to provide us with it when you enrol them. If you don't have their NI number to hand, you'll have the extra administrative burden of phoning our contact centre to give us the worker's NI number and update their tax relief status. Once you've given us a member's NI number we'll claim tax relief on their contribution. You'll need to make sure you only deduct the net contribution from their pay in future.</p> <p>There's an exception for foreign workers who are waiting to receive their NI numbers - we're able to claim tax relief for this group of workers by law. You'll need to let us know if this applies to any of your workers when you're enrolling them. You can do this entering a Y in field 25, <i>Is member an overseas national awaiting an NI number?</i></p> <p>For more information see our article <i>Why National Insurance numbers are important</i>.</p> <p>For example:</p> <p>A worker earns £100 and contributes 1 per cent (£1) of this to their retirement pot.</p> <p>If the member is eligible for tax relief you will need to deduct:</p> <ul style="list-style-type: none"> - £0.80 from the member's pay - and NEST will claim £0.20 from HMRC <p>If the member isn't eligible for tax relief then you will need to deduct the full £1 from the member's pay.</p>			
8	Is NI number unavailable?	A declaration from you that you don't hold an NI number for this worker	Conditional Mandatory for ME if NI number is not present	1
Notes	<p>Please enter Y (Yes) if you don't hold the worker's NI number. This is sufficient to declare that you don't hold an NI number for the worker (where field 7 is left blank).</p> <p>Fields 9 and 25 also need to be populated. Field 25 will enable us to determine whether we can claim tax relief on behalf of the member.</p> <p>If you've entered an NI number please leave blank.</p> <p>If you choose N or any other entry and you haven't provided an NI number then the worker won't be enrolled.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		For cancelling enrolments this field doesn't need to be filled in. This is case sensitive, so make sure you use capital letters.		
9	Alternative unique identifier	An alternative unique identifier will be needed if the NI number isn't available Generally this is the worker's payroll number with the current employer It should be a unique identifier for the worker in your organisation	Conditional Mandatory if Y is input in field 8	30
Notes	<p>Please enter a reference you can use to identify the worker.</p> <p>For a full list of acceptable characters refer to section 6.4. We recommend you use a mixture of both letters and numbers.</p> <p>For example:</p> <ul style="list-style-type: none"> • XYZ4321567 <p>If you use only letters, members won't be able to opt out using our automated telephone service.</p> <p>If the reference you use starts with one or more zeros please make sure the spreadsheet you're working with doesn't remove them.</p> <p>The NI number must be supplied within one month of it being provided to you.</p> <p>You can supply both an NI number and alternative unique identifier.</p> <p>For cancelling enrolments this field is only required where field 7 NI number isn't supplied.</p>			
10	Blank	See notes below	Optional	10
Notes	<p>This field was previously known as 'House number'. Employers who have previously entered the 'House number' can continue to do so. Employers who haven't used this field to enter 'House number' before shouldn't use this field. In the future NEST may remove this field so employers that continue to use it may want to start using Address line 1 instead.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
11	Address line 1	Address line 1 of the worker's address	Optional	80
Notes	<p>Please use the worker's home address.</p> <p>For a full list of acceptable characters refer to section 6.4.</p> <p>This is the first of two fields that you'll need to enter the worker's address in minus the Town/City, County, Postcode and Country. You can spread the first part of the address over Address field 1 and 2 however you like but one must be used. Employers who have previously entered 'House name' can continue to do so.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
12	Address line 2	Address line 2 of the worker's address	Conditional - mandatory if field 11 isn't provided, otherwise it's optional. Not needed for DE	80
Notes	<p>Please use the worker's home address.</p> <p>For a full list of acceptable characters refer to section 6.4.</p> <p>This is the second of two fields that you'll need to enter the worker's address in minus the Town/City, County, Postcode and Country. You can spread the first part of the address over Address field 1 and 2 however you like but one must be used.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
13	Town/city	Town/city of the worker's correspondence address. This field is usually found in 'Address line 3'	Mandatory for ME Not needed for DE	35
Notes	<p>Please enter the town or city where the worker lives.</p> <p>For a full list of acceptable characters refer to section 6.4.</p> <p>For example:</p> <ul style="list-style-type: none"> • London • Stratford-upon-Avon • Great Yarmouth • Westward Ho! should be provided as WestwardHo <p>For islands off the UK mainland, for example Jersey, the address could be split across Town/city, County and Country as follows:</p> <ul style="list-style-type: none"> • Town/city - St Helier • County - Jersey • Country - Channel Islands <p>For information on British Forces Post Office (BFPO) addresses see section 2.2.2.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
14	County	County of the worker's correspondence address.	Optional	35
Notes	<p>Please enter the county where the worker lives.</p> <p>Only enter letters: (A-z) and single or double spaces between words.</p> <p>For example:</p> <ul style="list-style-type: none"> • Cheshire • Isle of Wight • Dumfries & Galloway should be provided as Dumfries and Galloway <p>For islands off the UK mainland, for example Jersey, enter the name of the island here. Channel islands can also be added, for example 'Jersey Channel Islands' would be acceptable in this field.</p> <p>For information on British Forces Post Office (BFPO) addresses see section 2.2.2.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
15	Postcode	Postcode of the worker's correspondence address.	Mandatory for ME if a United Kingdom address Optional for ME if not a United Kingdom address Not needed for DE	10
Notes	<p>Please enter the postcode where the worker lives.</p> <p>Only enter letters (A-z), numbers (0-9) and single space.</p> <p>For example:</p> <ul style="list-style-type: none"> • SW1 9DG <p>You should also use this field for BFPO postcodes.</p> <p>Validation of the postcode only applies to United Kingdom addresses. Where an invalid postcode is provided the member won't be enrolled. For overseas entries the only validation will be against the length of the field.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
16	Country name	Country of the worker's correspondence address.	Mandatory for ME Not needed for DE	50
Notes	<p>Please enter the country where the worker lives.</p> <p>Only enter letters (A-z), hyphen (-), ampersand (&), apostrophe ('), full stop (.), curved brackets () and single spaces.</p> <p>If the worker's correspondence address is anywhere within the UK please enter United Kingdom.</p> <p>If any of the following are entered, we'll alter it to United Kingdom:</p> <ul style="list-style-type: none"> • Alderney • Britain • Channel Islands • England • Great Britain • GBR • Guernsey • Isle of Man • Jersey • N. Ireland • Northern Ireland • Scotland • Sark • UK • U.K. • Wales. <p>Otherwise please enter the non-UK country.</p> <p>For all other acceptable country names see the Appendix at the end of this document. The entry must be provided exactly as shown.</p> <p>For information on British Forces Post Office (BFPO) addresses see section 2.2.2.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
17	Work email address	The worker's work email address	Optional	50
Notes	<p>Please enter the worker's email address for where they work. It shouldn't be an email address that's shared with anyone else.</p> <p>Email addresses should be in the proper format and can start with numeric characters.</p> <p>For example: • aperson@xyzltd.co.uk • 123aperson@xyz.com</p> <p>Capital letters are allowed.</p> <p>You should consider whether supplying your workers' email addresses conflicts with any internet usage restrictions or policies. If it does, you can provide a personal email address.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
18	Personal email address	The worker's personal email address	Optional	50
Notes	<p>Please enter the worker's personal email address.</p> <p>Refer to 'Work email address' (field 17) for formatting rules.</p> <p>This email address is preferred as it will help us keep in touch with the worker outside their employment with you.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			
19	Gender	Gender of the worker	Mandatory	1
Notes	<p>Please enter either M (male), F (female) or U (unknown).</p> <p>For example:</p> <ul style="list-style-type: none"> • M • F • U <p>The selection needs to be compatible with field 2 'Title'. For example, a combination of 'Miss' and 'M' or 'Mr' and 'F' wouldn't be accepted.</p> <p>The Occupational and Personal Pension Scheme (Automatic Enrolment) Regulations 2010 (SI 2010 No. 772) requires you to provide the gender.</p> <p>Gender is used to check against member records already set up to identify any possible existing matches. Gender of 'unknown' is valid and the member will still be enrolled. However, you should check this, before enrolling the member, as communications to the member may be addressed incorrectly.</p>			
20	Information about worker enrolment received	This confirms whether the worker has been informed about NEST and enrolment before enrolling them into the scheme	Optional for ME Not needed for DE	1
Notes	<p>If you do enter a value in this field, please enter Y (Yes) to confirm that you've informed your worker about NEST.</p> <p>If you enter any value other than Y, N or space then the worker won't be enrolled. This is an optional field, but if you do decide to enter a value, we will validate it.</p>			
21	Enrolment type	Enrolment type of the worker that shows whether they're enrolling as a result of automatic enrolment or voluntarily	Mandatory for ME Not needed for DE	35
Notes	<p>You don't necessarily have to automatically enrol all your workers into NEST. You only do this for workers who meet certain criteria. See <i>Who should be enrolled?</i> in our help centre for details.</p> <ul style="list-style-type: none"> • AE • OPTIN • WWQE • OTHERS • VOLUNTARY <p>The first four enrolment types are only valid on or after an employer's duty staging date or duty start date. If you're entering the enrolment types yourself, please make sure you follow the spelling above. Please note they're not case sensitive so you can enter them in lower or upper case.</p> <p>AE (automatic enrolment)</p> <p>Use this for eligible job holders.</p> <p>OPTIN</p> <p>Use this for non-eligible jobholders or eligible jobholders opting in during a waiting period.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>WWQE (worker without qualifying earnings)</p> <p>Use this for entitled workers including those who ask to join during a waiting period.</p> <p>OTHERS</p> <p>This is the category of member enrolment that applies to workers being enrolled under full employer duties after the staging date or duty start date, but where an opt-out period shouldn't be applied. Workers enrolled in this way won't have an opt-out period.</p> <p>For example, if you accidentally cancel a member's enrolment.</p> <p>Please enter VOLUNTARY as the enrolment type if you're using NEST before your employer staging date or duty start date. Workers enrolled in this way won't have an opt-out period, but like all NEST members they can choose to stop or take a break from making contributions at any time. This is purely for employers that want to use NEST on a voluntary basis and not for employers coming to NEST to meet their duties.</p> <p>If you're not sure when your employer staging date or duty start date is, you can find out on The Pensions Regulator's website at tpr.gov.uk</p> <p>For more information on each enrolment type see the <i>How to enrol workers</i> section of our Employer help centre.</p>		
22	Group	Full name of the group to which the worker belongs	Conditional for ME Not needed for DE	40
Notes		<p>If you do enter a workers group, the group name must exactly match the name of a group you've set up with NEST. It's case sensitive, for example, Group 1 must be typed as Group 1 and not group 1. You may have more than one group, for example for different levels of contributions, different pay reference periods (weekly, monthly and so on), locations, and organisational structure.</p> <p>If you only have one group, then this field is optional. If you have more than one group then this is a mandatory field and you must provide a group for the member.</p> <p>If a member has previously been enrolled as an entitled worker (WWQE) and is now being enrolled as an eligible jobholder (AE) the group you supply for the new enrolment will override the existing group the worker is allocated to if you change it.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>		
23	Payment source	<p>This is the payment source for the worker</p> <p>Workers may fall under different payment sources or all workers can come under a single payment source</p>	Conditional for ME Not needed for DE	40
Notes		<p>Please enter the worker's payment source.</p> <p>You must provide a payment source for the member. There'll be a check on this name to see if it matches up with the payment source as defined by you during the set-up process or any time afterwards. It's case sensitive, for example, Ps 1 must be typed as Ps 1 and not ps 1. The payment source name must exactly match the name of a payment source you've set up with NEST.</p> <p>If you only have one payment source, then this field is optional. If you have more than one payment source then this is a mandatory field and you must provide a payment source for the member.</p> <p>If a member has previously been enrolled as an entitled worker (WWQE) and is now being enrolled as an eligible jobholder (AE) the payment source you supply for the new enrolment will override the existing payment source the worker is allocated to if you change it.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>		

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
24	Start date	<p>Date from which the worker's enrolment in NEST is effective</p> <p>This is usually the date the worker becomes or became eligible for automatic enrolment.</p> <p>If you're using a waiting period this date should be the deferred automatic enrolment date.</p>	<p>Conditional</p> <p>Mandatory for ME if the enrolment type is</p> <ul style="list-style-type: none"> • AE • WWQE • OPTIN • OTHERS <p>Not needed for DE or for an enrolment type of VOLUNTARY</p>	10
Notes	<p>The worker's start date depends on the category of worker when they're enrolled in NEST. It's not necessarily the date that you enrol them into our system.</p> <p>Eligible jobholder being automatically enrolled</p> <p>The date your pension duties apply to them. This will be either your staging date or duty start date, your deferred duty date if you're using a waiting period or the date they become an eligible jobholder.</p> <p>Non-eligible jobholder</p> <p>If the worker tells you they want to join NEST before your payroll cut-off date has passed their start date is the first day of the next pay period. If they tell you after it's passed then the start date is the first day of the following pay period.</p> <p>Entitled workers, also known as workers without qualifying earnings</p> <p>There are no specific rules about which date you must put in. To keep things simple, you can follow the same rule as for non-eligible jobholders or agree a date with the worker.</p> <p>Volunteer worker</p> <p>We don't ask for a start date for volunteer workers. We'll treat their date of enrolment as their start date.</p> <p>Other workers</p> <p>This can vary, but you should generally use the first date that they are entitled to contributions.</p> <p>See the <i>What start date should I enter when I enrol a worker into NEST?</i> section of our Employer help centre for more information.</p>			
25	Is member an overseas national awaiting an NI number?	<p>This is a declaration from you stating whether or not the member is an overseas national who is due to get an NI number but hasn't received it yet</p>	<p>Conditional</p> <p>Mandatory for ME if the NI number is not present.</p> <p>Not needed for DE</p>	1
Notes	<p>Can be Y or N.</p> <p>If NI number is present (field 7), then this field will be optional. Even if the value is provided, this field will be ignored.</p> <p>If Y, tax relief will be claimed for the member.</p> <p>If N, tax relief will not be claimed for the member.</p> <p>If the NI number isn't present and this declaration isn't given, or any other reason is used, then an error will occur and the enrolment will be rejected.</p> <p>For cancelling enrolments this field doesn't need to be filled in.</p>			

British Forces Post Office (BFPO) address

British Forces Post Office (BFPO) addresses must have a BFPO Number, for example, BFPO 52, on the last address line.

The format of the BFPO address should look like the following:

- enter the service number/rank in Address Line 1
- enter the unit/regiment in Address Line 2
- enter the operation name in the City/Townfield
- enter the BFPO postcode, if you know it, for example, BF1 2AR, to the end of what you enter in the Town/Cityfield
- enter the BFPO number, for example, BFPO 52, in the postcode field
- enter United Kingdom in the Country field - this isn't displayed on screens or in communications issued afterwards.

2.2.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	Please enter T. If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file. <ul style="list-style-type: none"> • This is case sensitive, so make sure you use capital letters. 			
2	Total number of member records	Total number of workers to enrol	Mandatory	10
Notes	Please enter only numbers (0-9). This value should be the number of records that start with the identifier D . For example, for 150 worker records: <ul style="list-style-type: none"> • 150 If using NEST's file template this will appear as part of the header information. We suggest you enter this information after all the lines with record identifier D have been added.			
3	Version	Version number of the NEST file format used	Optional	10
Notes	Please enter 3 If using NEST's file template, when you click <i>Generate file</i> this information will be added to the CSV file.			

The trailer record should be the last line in a CSV file. It's possible that an additional line could be produced below this if the file is opened in Excel.

You'll need to delete this line before submitting a file to NEST.

3 Submitting a contribution schedule

3.1 Background

3.1.1 What can you do through the contribution schedule process?

- submit earnings and contribution data for each pay period
- let NEST know when members opt out, stop contributions, change groups or change payment source
- let NEST know you're using one of the available reasons why you're not making a payment for a member
- submit an exception schedule for payments not tied to a pay period. For example, if there's a shortfall in minimum contributions paid during the year, a member is enrolled late or for payments made after a member leaves employment.¹
- if you want to pay an additional contribution
- approve contribution corrections - see section 3.1.4
- let NEST know when there are multiple members who have insufficient earnings for a pay period.

When downloading NEST's CSV templates please select 'Save' rather than opening the template directly. This will make it less likely that the macros contained are removed by a firewall.

Accented characters such as â are not accepted. Please use unaccented versions of the same characters. Don't include commas in any fields as the CSV template assumes this is a new field and the file will become misaligned.

¹ Where the start date of the member is backdated by more than six weeks from the date of enrolment then the employer may need to pay using an exception schedule for that member.

3.1.2 Who should be included?

You should include all current members you're paying contributions for by the latest payment due date. You should also include those you're not paying contributions for but give us a reason why, for example they've opted out, stopped contributions or left employment. Examples of exit events are members leaving the employer, opting out or choosing to stop contributions. You need to inform NEST of exit events through their contribution schedules.

If you're holding on to a member's contributions during their opt-out period, you shouldn't include an entry for them. Once the opt-out period is over you'll need to make sure you include any members who haven't opted out in each separate schedule in which they appear. You can't provide their combined contributions in the latest contribution schedule.

3.1.3 Sending on time

Please remember that a contribution schedule must be approved in enough time to allow the payment to be cleared in our bank account by the payment due date. For more information see *Avoiding late payments*.

The way payment due dates are set for each contribution schedule is agreed with you when you start using NEST.

After successfully submitting and processing your contribution schedule you must then make the payment. Note that the Direct Debit isn't attached to a specific date in this instance. To trigger the collection of the Direct Debit payment you'll need to approve your contribution for payment or if you're using SFTP, by returning the process payment file amending P to A in 'Process Payment flag' (header field 11).

You need to ensure that payment reaches us by the due date that you set. In any case you're legally required to pay all worker contributions by the 22nd of the month following the pay date. You should also bear in mind that the Pensions Ombudsman expects you to pay over contributions as soon as is practical and can penalise you if it believes you're not doing this.

Late payments may result in you being reported to The Pensions Regulator.

You can find out more about paying contributions on time on our website.

3.1.4 Processing times

We normally process contribution schedule files seven days a week. There may be exceptions to this when we need to carry out system maintenance. When this happens we might only process files on business days from Monday to Friday, this doesn't include bank holidays.

If you're uploading files through the secure website

We have a daily cut-off point of 6pm when we start processing files containing 1,000 records or more. If you miss this deadline your files won't be picked up for processing until after 6pm the following evening.

We'll normally process files using the following timelines

Size of file	Time to complete processing
Up to 50 worker records	You'll see an on-screen message confirming processing is complete within 30 seconds.
From 50 up to 999 worker records	We'll normally send a message to your mailbox confirming that we've processed your file within one hour.
1000 or more worker records received before 6pm	We'll normally send a message to your mailbox confirming that we've processed your file by 8am the following morning but we may need extra time for additional checking. In this case everything will be ready no later than 6pm that day.
1000 or more worker records received between 6pm and midnight	As the cut-off time was missed we won't process these files until the following evening. They'll normally be ready by 8am the next day but we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.

If you're using secure file transfer protocol (SFTP)

We'll process files that contain less than 1,000 records within one hour. We process larger files overnight with a 6pm cut-off time.

If we receive your file before 11pm that day we put return files containing the processing results into the NEST file gateway in an overnight batch process. We'll normally process files sent using SFTP using the following timelines.

Size of file	Time to complete processing
Up to 999 worker records received before 11pm	<p>We'll normally send a message to your mailbox confirming that we've processed your file within one hour.</p> <p>Return files are normally ready to collect by 8am the following morning. Sometimes we may need extra time for additional checking. In this case everything will be ready no later than 6pm that day.</p> <p>Any messages we send you using SFTP we'll also send to your secure mailbox. If you don't want to wait for files to be processed overnight you can log in to the secure area of our website to see them.</p>
Up to 999 worker records received between 11pm and midnight	<p>We'll normally send a message to your mailbox confirming that we've processed your file within one hour.</p> <p>As the cut-off time of 11pm was missed we won't send the return files until the following night. You'll normally receive these by 8am the next day. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p> <p>Any messages we send you using SFTP we'll also send to your secure mailbox. If you don't want to wait for files to be processed overnight you can log in to the secure area of our website to see them.</p>
1000 or more worker records received before 6pm	<p>We'll normally send a communication to your mailbox confirming that we've processed your file by 8am the following morning. By this time your return files will also normally be ready to collect. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p>
1000 or more worker records received between 6pm and midnight	<p>As the cut-off time was missed we won't process these files until the following evening. We'll normally send a message to your mailbox confirming that we've processed your file by 8am the next day. By this time your return files will also normally be ready to collect. Sometimes we may need extra time for additional checking. In this case they'll be ready no later than 6pm that day.</p>

3.1.5 Corrections

If you need to make a correction to a contribution schedule then how you do this depends on the status of the contribution schedule.

Corrections before approving for payment

You can always amend a contribution schedule that hasn't been submitted for payment either by editing it online or submitting a new file. The corrected contributions schedule is then submitted the same way that you submit a contribution schedule. The new details overwrite the original details.

Corrections after approving for payment

You can amend original paid contribution schedule details to the correct value either by editing them online or submitting a new file. Submit the corrected contributions schedule the same way that you would usually submit a contribution schedule.

You can only provide revised details for the following details record fields:

- 5 (Pensionable earnings)
- 7 (Employer contribution)
- 8 (Member contribution).

All other details for the member's record you're correcting must be exactly as originally provided, including field 9 (Reason for partial or non-payment of contributions).

If the reason you originally provided for partial or non-payment of contributions was '5 Member has Insufficient earnings' then you cannot correct a contribution schedule to provide contributions. You'll need to use an exception schedule. See the [Making a one-off contribution using an exception schedule](#) section of our [help centre](#) for more information.

If the corrections are all increases, we'll ask you for the amount required. If the corrections are all reductions then we'll sell the units purchased by the overpayment and a refund will be made to your refund account. If the corrections are a mixture of the two we'll sell the units purchased by the overpayments and then offset the refund against the increments and either make a balancing refund or ask for the balance from you as appropriate.

We can't accept negative amounts in the contribution schedule.

3.1.6 Refunds

When you make contributions for your workers the money is used to buy units in their NEST retirement funds. We also deduct a contribution charge before we invest the contributions. The price of these units may have gone up or down since the contributions were invested. Because the value of the units change, you may get back less than you invested when you ask us for a refund.

Where contributions have been invested, the amount you get back will depend on the value of the invested funds when we sell them. If the investments have gone down in value, you'll receive less than you originally contributed. If the value has gone up, you'll receive the value of your contributions, but you won't receive more than you contributed.

Whether the value of the investments has gone up or down, you need to make sure your workers are refunded the full amount that was deducted from their pay.

Please note that the contribution charge won't be refunded if we've already invested the contributions.

3.1.7 Telling us about changes

Sometimes a member's circumstances change. For example, if they've chosen to stop contributions part-way through their pay period. If this happens you'll need to enter the appropriate reason code in the contribution schedule.

Reasons could include:

- the member has left your employment
- the member is on family leave
- the member has chosen to stop contributions
- transferring the member to a different group and payment source.

You may need to give us an effective date for some of these changes in your contribution schedule. For more information see the notes in field 10.

3.1.8 How to send us your information

File name	<p><<Name of the file uploaded by user>>.csv</p> <p>You should use a file name containing no more than 150 characters.</p> <p>The following characters are not allowed as part of the file name:</p> <p>\ / : * ? " < > + -</p>	<p>What does this mean?</p> <p>When you create the file you can give it any name you want to help you identify it subject to the rules in the previous box.</p> <p>NEST will append a date and time to the file in the following format:</p> <p>YYYYMMDDHHMMSS.</p>
File type	<p>Please send your files in this format:</p> <ul style="list-style-type: none"> • comma separated values (.csv) 	<p>What does this mean?</p> <p>You can send CSV files by uploading through NEST's website or send them using SFTP. There's more detail on SFTP in SFTP Overview.</p>
File size	<p>Up to 2MB per file - if uploading via NEST's website.</p> <p>No limit via SFTP.</p>	<p>What does this mean?</p> <p>Each file should be no larger than 2Mb, normally around 50,000 workers. If your system creates a file larger than this you'll need to split it into smaller files.</p> <p>For SFTP we can take records for as many workers as you want to provide contribution data for.</p>

XML:

File name	<p><<Name of the file uploaded by user>>.xml</p> <p>You should use a file name containing no more than 150 characters.</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>	<p>What does this mean?</p> <p>When you create the file you can give it any name you want to help you identify the file, subject to the rules in the previous box.</p> <p>NEST will append a date and time to the file in the following format:</p> <p>YYYYMMDDHHMMSS</p>
File type	<p>Please send your files in this format:</p> <ul style="list-style-type: none"> • extensible markup language (.xml) 	<p>What does this mean?</p> <p>You can send XML files using SFTP. There's more detail on SFTP in SFTP Overview.</p>
File size	<p>N/A via NEST's website.</p> <p>No limit via SFTP.</p>	<p>What does this mean?</p> <p>We can take records for as many workers as you want to provide contribution data for.</p>

3.2 The details you need to send us

3.2.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	<p>Please enter H.</p> <p>If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file.</p> <ul style="list-style-type: none"> This is case sensitive, so make sure you use capital letters. 			
2	NEST employer reference number	NEST employer reference number as supplied on completion of step up 2 of the employer set up process. This is stated in all communications to the employer and displayed online in most screens.	Mandatory	12
Notes	<p>Please enter the employer reference number in the following format: EMPnnnnnnnnnn</p> <p>Your NEST ID is a unique employer identifier given to you after you complete step 2 in the employer set up process. It's 12 characters long and shown on most screens when you're logged into your account. If you set up more than one scheme in NEST, for example one for each subsidiary company, then these will each have their own NEST ID.</p> <p>For example:</p> <ul style="list-style-type: none"> EMP123456789 This is case sensitive, so make sure you use capital letters - 'EMP' not 'emp'. 			
3	Process type	Process type for the file you send	Mandatory	2
Notes	<p>The process type should be 'CS'.</p> <p>This is case sensitive, so make sure you use capital letters - 'CS' not 'cs'. For an exception schedule the process type should be 'ES'.</p> <p>If the process type is 'ES' then fields 8 and 9 become mandatory in the header record and fields 4, 6 and 7 don't need to be filled in.</p>			
4	Earnings period end date (EPED)	End date of the contribution schedule created by NEST.	Mandatory for CS Not needed for ES	10
Notes	<p>Please enter the date in the format of YYYY-MM-DD.</p> <p>For example for an EPED of 31 January 2013:</p> <ul style="list-style-type: none"> 2013-01-31 <p>This is the end date of the period in which wages are paid and not the period they were earned. It's important if workers are paid in arrears. The date entered must be the same as the date NEST created the contribution schedule. If the dates don't align you'll need to use the date required by NEST and check your set up against payroll, for example whether it should be aligned to tax periods.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
<p>For more information see our help centre topic How do I align my worker group to a tax period? For ES this field doesn't need to be filled in.</p>				
5	Payment source	<p>This is the worker's payment source.</p> <p>Payment sources are created when you set up your scheme and all enrolled workers are assigned to a payment source.</p> <p>Workers may fall under different payment sources or all workers can come under a single payment source.</p> <p>Contribution schedules can apply to only one given payment source. If you're paying contributions for workers for more than one payment source then you'll need to create separate contribution files.</p>	Mandatory	40
Notes	<p>Please enter the worker's payment source.</p> <p>There'll be a check on the payment source name to see if it matches up with a current payment source.</p> <p>It's case sensitive, for example:</p> <p>Ps 1 must be typed as Ps 1 and not ps 1.</p> <p>Only enter letters (A-z), numbers (0-9) and single spaces.</p>			
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Conditional for CS Not needed for ES	10
Notes	<p>This is the latest date by which the payment must have cleared in NEST's bank account.</p> <p>Payment due dates are set for each contribution schedule when you set up your scheme. The due dates are displayed online for each contribution schedule and in communications from us confirming when a contribution schedule is ready for you to populate it.</p> <p>You will need to provide the payment due date if:</p> <ul style="list-style-type: none"> we are unable to identify a contribution schedule with the provided fields because more than one schedules are matching. If this is the case, then an error will be shown to request you to provide the payment due date if the details provided correspond to two contribution schedules in the system, then an error will be shown stating which of the optional fields (Payment due date or Earnings Period Start Date) are needed to process the file. if the details provided match with more than two contribution schedules in the system, then a generic error message will be shown stating all the fields (EPSD, Payment Due Date) are required to process the file <p>Please leave enough time for the payment to move from your bank account to NEST's bank account.</p> <p>If full payment for all workers on the contribution schedule isn't cleared by or on the payment due date, the member isn't in an opt-out period or you've not provided a valid reason for non-payment for each member, our late payment process will begin. This could result in you being reported to The Pensions Regulator.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>Please enter the date in the format of YYYY-MM-DD.</p> <p>For example, for a payment due date of 31 January 2013:</p> <ul style="list-style-type: none"> • 2013-01-31 <p>For ES this field doesn't need to be filled in.</p>		
7	Frequency	Payment frequency of this contribution schedule	Mandatory Not needed for ES	11
Notes	<p>Please enter exactly as shown either:</p> <ul style="list-style-type: none"> • Weekly • Tax Weekly • Fortnightly • Four Weekly • Monthly • Tax Monthly <p>The frequency of payments for each contribution schedule is set when you set up your scheme. The frequency is displayed in the contribution schedule.</p> <p>For ES this field doesn't need to be filled in.</p> <p>This is case sensitive.</p>			
8	Reason for exception schedule	<p>This is used to show why you're submitting an exception schedule.</p> <p>If the field isn't filled in then we'll identify the file as a normal contribution schedule.</p> <p>If the field is filled in then we'll identify the file as an exception schedule.</p> <p>All members in an exception schedule should have a contribution for the same reason. You'll need to create a separate exception schedule for each different reason.</p> <p>Contributions are treated in different ways for different reasons so it's important you use the correct reason.</p>	Mandatory for ES Not needed for CS	2
Notes	<p>If you're creating a CSV file without using the NEST template then please only enter numbers from the list below. Don't include the reason explanation.</p> <p>1 to 5 should be used only for members with the following enrolment types, which show that the member didn't have an opt-out period following enrolment:</p> <ul style="list-style-type: none"> • WWQE • VOLUNTARY • OTHERS <p>6 to 10 should be used only for members with the following enrolment types, which show that the member did have opt-out period following enrolment:</p> <ul style="list-style-type: none"> • AE • OPTIN <p>A drop down list is provided in NEST's template.</p> <p>1 Payment of shortfall of minimum contributions for previous tax year (member without opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OTHER and the employer has underpaid the legal minimum contributions expected for the member in a previous tax year.</p> <p>2 Payment of shortfall of minimum contributions for this tax year</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>(member without opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OTHER and the employer has underpaid the legal minimum contributions expected for the member in the current tax year.</p>		
		<p>3 Payment not covered by a contribution schedule for previous tax year (member without opt-out rights)</p> <p>For example:</p> <p>Enrolment type is WWQE and the employer has underpaid contributions for the member in a previous tax year due to late enrolment. No contribution schedule is available to include the member on.</p>		
		<p>4 Payment not covered by a contribution schedule for minimum contributions for this tax year (member without opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OTHER and the employer has underpaid contributions for the member in the current tax year due to late enrolment.</p> <p>No contribution schedule is available to include the member on.</p>		
		<p>5 Payment not covered by a contribution schedule for excess contributions for this tax year (member without opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OTHER and the employer has underpaid contributions, but in excess of minimum contributions for the member in the current tax year due to late enrolment.</p> <p>No contribution schedule is available to include the member on.</p>		
		<p>6 Payment of shortfall of minimum contributions for previous tax year (member with opt-out rights)</p> <p>For example:</p> <p>Enrolment type is AE and the employer has underpaid the legal minimum contributions expected for the member in a previous tax year.</p>		
		<p>7 Payment of shortfall of minimum contributions for this tax year (member with opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OPTIN and the employer has underpaid the legal minimum contributions expected for the member in the current tax year.</p>		
		<p>8 Payment not covered by a contribution schedule for previous tax year (member with opt-out rights)</p> <p>For example:</p> <p>Enrolment type is AE and the employer has underpaid contributions for the member in a previous tax year due to late enrolment. No contribution schedule is available to include the member on.</p>		
		<p>9 Payment not covered by a contribution schedule for minimum contributions for this tax year (member with opt-out rights)</p> <p>For example:</p> <p>Enrolment type is OPTIN and the employer has underpaid contributions for the member in the current tax year due to late enrolment.</p> <p>No contribution schedule is available to include the member on.</p>		
		<p>10 Payment not covered by a contribution schedule for excess contributions for this tax year</p>		

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>(member with opt-out rights)</p> <p>For example:</p> <p>Enrolment type is AE and the employer has underpaid contributions, but in excess of minimum contributions for the member in the current tax year due to late enrolment.</p> <p>No contribution schedule is available to include the member on.</p> <p>11 Payment by insolvency practitioner/official receiver for current tax year (member without opt-out rights)</p> <p>12 Payment by insolvency practitioner/official receiver for previous tax year (member without opt-out rights)</p> <p>13 Payment by NIF for current tax year (member without opt-out rights)</p> <p>14 Payment by NIF for previous tax year (member without opt-out rights)</p> <p>15 Payment by insolvency practitioner/official receiver for current tax year (member with opt-out rights)</p> <p>16 Payment by insolvency practitioner/official receiver for previous tax year (member with opt-out rights)</p> <p>17 Payment by NIF for current tax year (member with opt-out rights)</p> <p>18 Payment by NIF for previous tax year (member with opt-out rights) (NIF - NI Fund)</p> <p>Validations</p> <p>We'll check that the enrolment types for workers in the schedule and the reason selected match. If they don't then this will be raised as an error.</p> <p>For example:</p> <p>If reason 6 is selected then we'll check that the member had an enrolment type of AE or OPTIN. If the enrolment type is anything else an error will be raised.</p> <p>For CS this field doesn't need to be filled in.</p>		
9	Generation date	<p>If the exception schedule was created online, the 'generation date' is the date it was created.</p> <p>If you're using SFTP and the schedule wasn't created online, use the current date to identify the particular exception schedule.</p>	<p>Mandatory for ES</p> <p>Not needed for CS</p>	10
Notes	<p>This will be in the format YYYY-MM-DD. The generation date provided can't have a value greater than the current business date. If so, the file won't be processed.</p> <p>In the case of correcting a previously generated exception schedule, you must provide the generation date of the original exception schedule.</p> <p>For CS this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
10	Earnings period start date (EPSD)	Start date of the pay period to which the contribution relates	Conditional	10
Notes	<p>This will be in the format YYYY-MM-DD</p> <p>You will need to provide the EPSD if:</p> <ul style="list-style-type: none"> we are unable to identify a contribution schedule with the provided fields because more than one schedules are matching. If this is the case, then an error will be shown to request you to provide the EPSD if the details provided correspond to two contribution schedules in the system, then an error will be shown stating which of the optional fields (Payment due date or Earnings Period Start Date) are needed to process the file. if the details provided match with more than two contribution schedules in the system, then a generic error message will be shown stating all the fields (EPSD, Payment Due Date) are required to process the file <p>For contribution schedules, if it's provided this field will be validated for the format and a check will be undertaken to confirm the date provided relates to a valid contribution schedule.</p> <p>It's recommended that employers using SFTP supply this date.</p> <p>For ES this field doesn't need to be filled in.</p>			
11	Bulk update for members with insufficient earnings	This allows multiple records with the status of 'Action needed- Not yet validated' to be updated as no contributions due with the reason of insufficient earnings.	Optional Not needed for ES	1
Notes	<p>Value entered can be Y or N or blank. If you have members with insufficient earnings for that period, you can notify us by entering Y. This means at the point of the payment file submission, any member with the status 'Action needed- Not yet validated' will be marked as insufficient earnings - no contributions due.</p>			

3.2.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	<p>Please enter D for each record or line of data.</p> <p>If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file.</p> <ul style="list-style-type: none"> This is case sensitive, so make sure you use capital letters. 			
2	Surname	Surname of the worker	Optional	30
Notes	<p>This field is no longer used to validate the worker contribution record and will be ignored if you supply</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		it.		
3	NI number	NI number of the worker	Conditional Mandatory if an alternative unique identifier is not given	9
Notes	<p>Please enter the worker's NI number.</p> <p>The NI number or the alternative unique identifier (field 4) will be used to identify the individual worker contribution record. It should be the NI number held by NEST. You can't update the NI number here if it doesn't match our records. If the worker hasn't activated their account and was enrolled in the previous 6 weeks you can do it online in the Manage your workers area of our secure website. Otherwise, you'll need to call our contact centre. Don't use spaces. This is case sensitive.</p> <p>For example:</p> <ul style="list-style-type: none"> • AA123456B <p>In the event two workers in a contribution schedule share the same NI number you should provide an alternative unique identifier for them instead of an NI number. The alternative unique identifier must match their member records.</p> <p>You can provide contribution details manually online for the workers sharing the same NI number. See our help centre topic <i>Making contributions manually online</i> for more information.</p>			
4	Alternative unique identifier	An alternative unique identifier will be needed if the NI number is not available Generally this is the worker's payroll number with the current employer It should be a unique identifier for the worker in your organisation	Conditional Mandatory if NI number is not given	30
Notes	<p>Please enter a reference you can use to identify the worker. You may want to use the worker's payroll number.</p> <p>For a full list of acceptable characters refer to section 6.4.</p> <p>This field or NI number (field 3) is used to validate the identity of the worker. In the event you have two workers in a contribution schedule that share the same NI number you should provide an alternative unique identifier for workers affected and omit the NI number. If you provide both the NI number and alternative unique identifier then the entry in this field is ignored.</p>			
5	Pensionable earnings	The pensionable earnings of the worker for the relevant pay period Contributions are based on this amount as a percentage	Mandatory for CS Not needed for ES	15
Notes	<p>Please enter the worker's pensionable earnings for that period. It should be the same pay you've used to calculate pension contributions. You choose how pensionable earnings are worked out when setting up a group. For more information on how to work out a worker's pensionable earnings see the 'How to calculate contributions' section of our <i>Employer help centre</i>.</p> <p>The pensionable earnings figure will be required to validate the contribution amount.</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example if the pensionable earnings for the contribution is £562.43 enter:</p> <ul style="list-style-type: none"> • 562.43 <p>You can use up to two numeric characters after the decimal point. If the value is a whole number you</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>can enter one number if you want. For example, you can enter 7 instead of 7.00.</p> <p>If you change a member's group and both of the groups are on the same contribution schedule you should enter the pensionable earnings for their original group in this field. For more information see our article <i>Changing a member's group</i>.</p> <p>Sometimes you may need to enrol a worker again with a new enrolment type because their worker category has changed. For example, a worker's pay may have increased and their worker category has changed from worker without qualifying earnings (WWQE) to eligible jobholder. If this happens you should enter the pensionable earnings for their original enrolment type in this field. In this case, WWQE.</p> <p>0.00 is a valid entry.</p> <p>For ES this field doesn't need to be filled in.</p> <p>Family leave</p> <p>If a member is on family leave such as maternity leave and the employer contributions and member contributions are based on different earnings then this field should be used to provide the pensionable earnings that you're basing the employer contributions on. Use field 6 for the pensionable earnings that the member contributions are based on.</p> <p>For all other circumstances this field will be used to validate both Employer contribution field 7 and Member contribution field 8.</p>		

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
6	Blank	This field should only be used for member contributions if the reason for partial or non-payment of contributions in field 9 is reason 3 - 'Member is on family leave'	Optional	15
Notes	If a member is on family leave the employer contribution and member contribution may have been calculated on different earnings. When this happens you should provide the member's earnings that you've used to calculate their contributions in this field.			
7	Employer contribution	Employer contribution	Optional	15
Notes	<p>Please enter your contribution amount. We'll check that you're paying contributions against the pensionable earnings you've provided.</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example if the amount is £54.32 enter:</p> <ul style="list-style-type: none"> • 54.32 <p>If you change a member's group and both of the groups are on the same contribution schedule you should enter the employer contribution for their original group in this field. For more information see our article Changing a worker's group.</p> <p>Sometimes you may need to enrol a worker again with a new enrolment type because their worker category has changed. For example, a worker's pay may have increased and their worker category has changed from worker without qualifying earnings (WWQE) to eligible jobholder. If this happens you should enter the employer contribution for their original enrolment type in this field. In this case, WWQE.</p> <p>0.00 is a valid entry.</p> <p>For CS - contributions will be validated against the contributions we're expecting based on the pensionable earnings provided and contribution rates set out by you for this member's group.</p> <p>Family leave</p> <p>If a member is on family leave and the employer and member contributions are based on different pay, please enter the employer's contribution based on their notional earnings rather than the actual earnings entered in field 5.</p>			
8	Member contribution	Worker contribution	Optional	15
Notes	<p>Please enter the worker's contribution amount.</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example if the amount is £54.32 enter:</p> <ul style="list-style-type: none"> • 54.32 <p>You can use up to two numeric characters after the decimal point.</p> <p>If you change a member's group and both of the groups are on the same contribution schedule you should enter the member contribution for their original group in this field. For more information see Changing a worker's group.</p> <p>If the member is eligible for tax relief remember to leave off 20 per cent of the member contribution here. We claim tax relief directly from the government via HMRC on a worker's behalf. This is called 'relief at source'. See example below.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>You can get more information on tax relief by visiting the Calculating contributions section of our Employer help centre.</p> <p>It's your responsibility to check with them if you're unsure about a worker's eligibility for tax relief.</p> <p>Example</p> <p>If when setting up the scheme you told us to expect 5 per cent from a member's pensionable earnings:</p> <ul style="list-style-type: none"> • put the cash value of 4 per cent in here if they're eligible for tax relief. If they're not eligible for tax relief, you should put the cash value of 5 per cent if pensionable earnings were £100, put 4.00 if eligible for tax relief and 5.00 if not. <p>Sometimes you may need to enrol a worker again with a new enrolment type because their worker category has changed. For example, a worker's pay may have increased and their worker category has changed from worker without qualifying earnings (WWQE) to eligible jobholder. If this happens you should enter the member contribution for their original enrolment type in this field. In this case, WWQE.</p> <p>If you want to submit contributions for both enrolments then the start date can't be the start of the pay period as no payment will be expected.</p> <p>0.00 is a valid entry.</p> <p>For CS - contributions will be validated against the contributions we're expecting based on the pensionable earnings provided and the contribution rates set out by you for this member's group.</p> <p>Family leave</p> <p>If a member is on family leave and the employer and member contributions are based on different pay, please enter the member's contribution based on their actual earnings entered in field 5.</p>		
9	Reason for partial or non-payment of contributions	This is the explanation for why contributions received don't match up with the payment schedule	<p>Conditional</p> <p>Mandatory where zero is entered in fields 7 and 8 and no change of group has been initiated for the member record</p> <p>Not needed for ES</p>	2
Notes	<p>If using your own template, please only enter numbers from the list below. Don't include the reason explanation.</p> <p>1 No further contributions payable. This includes:</p> <ul style="list-style-type: none"> • Member has left your employment • Member has chosen to stop contributions • Employer duties are being fulfilled elsewhere <p>This will trigger the relevant processes for dealing with this event, such as sending communications to you and the member, and separating the employer and member records. You should only use this reason code in the last schedule you intend to pay for the member.</p> <p>You can provide a partial or zero payment and we won't expect further contributions on future schedules. Refer to the note at the end of this field.</p> <p>If one of your workers dies, please notify us of their death by telephone before submitting contributions using this reason code. This will ensure that letters aren't sent to the member. You should pay any legacy contributions that have been deducted from their salary.</p> <p>Please note, this isn't the same as opt-out and reason 9 should be used instead if a worker is opting out. This reason code should be used if a worker decides to stop contributions either after the opt-out</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>period or during the opt-out period where a refund of contributions isn't required by the member. The member retains an account in NEST and there is no refund of contributions.</p> <p>This will trigger the relevant processes for dealing with this event, such as sending communications to you and the member.</p> <p>If a member chooses to stop contributions, you can provide a partial or non-payment and we'll expect no further contributions on future schedules. Refer to the note at the end of this field.</p> <p>If the member wants to start contributions again through payroll they'll need to be re-enrolled with an enrolment type of OPTIN (the member will be entitled to an opt-out period) or WWQE if they're an entitled worker.</p> <p>You should use this reason code if a member wants to take their money out of NEST, for example when they retire. You also need to tell the member to contact NEST directly to let us know.</p> <p>You may no longer want to use NEST to meet your duties for a particular member. For example this could happen if the member joins a different arrangement they've become eligible for in the event of a promotion.</p> <p>You can provide a partial or non-payment and we won't expect further contributions on future schedules.</p> <p>3 Member is on family leave (Fields 5, 6, 7 and 8 required)</p> <p>This could apply where a member is on maternity or paternity leave. You can provide a partial or non-payment. We'll expect further contributions on future schedules and the member will automatically be included on these. Refer to the note at the end of this field and the guidance in pensionable earnings (field 5).</p> <p>5 Member has insufficient earnings (No other fields required)</p> <p>This applies where the member has no pensionable earnings in the contribution period. We won't expect any contributions and the employer won't normally submit the contribution schedule with any contributions greater than zero. We'll expect further contributions on future schedules and the member will automatically be included on these.</p> <p>6 Transferring member to a different payment source (Fields 5, 7, 8, 10 and 13 required)</p> <p>This applies where you want to move a member from a payment source in the current contribution schedule to another payment source. Payment sources are created when you set up your account and determine how contributions will be paid to NEST and where any refunds will be paid to.</p> <p>Please note:</p> <p>You can only change a payment source for a member by updating a contribution schedule.</p> <p>We won't expect any future contributions from this source. You could submit the current contribution schedule with contributions greater than zero but the date supplied in field 10 'Effective date of partial or non-payment' cannot be the start of the contribution schedule or pay period.</p> <p>Refer to the note at the end of this field.</p> <p>7 Change member groups and pay contributions (Fields 5, 7, 8, 11 and 12 required. Fields 14, 15 and 16 conditional)</p> <p>This allows you to change a member's group. More than one group can be in a contribution schedule if certain conditions are met. Where these conditions are not met then the member's new group will be in a different schedule. See our article Changing a worker's group for more information on what to do if you're changing a member's group.</p> <p>Groups are created when you set up your account and determine, amongst other things, frequency of pay periods, payment due dates, pensionable earnings bases and contribution rates.</p> <p>8 Group changed - pay for new and old group</p>		

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
		<p>(Fields 5, 7 and 8 required. Fields 14, 15 and 16 conditional)</p> <p>The group has already been changed through the Manage workers screens.</p> <p>This lets you pay contributions for the member in both groups if both groups are on the same schedule. 9 Member has opted out (Fields 17 and 18 required)</p> <p>You can use this reason to confirm the member has opted out. You can only use this reason if your worker has provided you with a valid opt-out form during the opt-out period. This will trigger the relevant processes for dealing with this event, for example sending communications to employers and members, and processing any refunds to employers.</p> <p>Contribution amounts and pensionable earnings should be zero.</p> <p>We won't expect further contributions on future schedules.</p> <p>10 Pay for more than one enrolment type (Fields 5, 7, 8, 19, 20 and 21 required)</p> <p>This lets you pay contributions for more than one enrolment. For example, if the member was previously enrolled as WWQE and was then enrolled as AE during the pay period, you should pay separate contributions for each enrolment type.</p> <p>You only need to use this reason and pay for two enrolments if both enrolments appear on the same contribution schedule. For example, if the enrolments have different payment frequencies they will appear on different contribution schedules then you pay for each enrolment using the respective contribution schedules.</p> <p>If you want to submit contributions for both enrolments then the enrolment date can't be the start of the pay period as no payment will be expected.</p> <p>For example:</p> <ul style="list-style-type: none"> • the worker was previously a worker without qualifying earnings and was automatically enrolled by the employer on 1 February • weekly pay period from 1 to 7 February • you won't be able to make a payment for a worker without qualifying earnings for this payment period. <p>12 Change of payment source and group (Fields 5, 7, 8, 10, 11 and 13 required)</p> <p>This allows you to change a member's payment source and group simultaneously. The same rules apply as for reason 6 Transferring member to a different payment source.</p>		
10	Effective date of partial or non-payment	Effective date of the event which resulted in no contribution being paid	<p>Conditional</p> <p>You'll only need to enter an effective date if you've used reason code 6 and 12 in field 9.</p> <p>Not needed in ES</p>	10
Notes	<p>Please enter the date in the format of YYYY-MM-DD.</p> <p>For example, for an effective date of partial or non-payment of 22 January 2012:</p> <ul style="list-style-type: none"> • 2012-01-22 <p>For reason codes 6 and 12</p> <p>The effective date can be any date from the start date of the pay period covered by the contribution schedule to one day after the end date. Using the start date makes the ongoing submission of contributions more straightforward and so it's worth using that date if you can. However, if you want to pay contributions for the current pay period then you can't use the start date for this schedule.</p> <p>The date will be ignored for all other reasons.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
11	New or second group name	To define the worker's new or second group	<p>Conditional</p> <p>Mandatory when reason for partial or non-payment is 7 or 12 in field 9. If you do not provide a reason code then it will be derived from other information provided.</p> <p>Optional in ES</p>	40
Notes	<p>Please enter the name of the member group you're moving them to if you've used reason code 7 in field 9. When processed this will move the member into the new group from the effective date of group change - see field 12 below. If a worker moves to a different group their new group must be confirmed.</p> <p>This field can also be used for paying contributions for a second group where the group has already been changed in the <i>Manage workers</i> screen in your secure area and reason code 8 in field 9 is provided. For more information on how to complete a contribution schedule when you're changing a member's group see our article Changing a worker's group.</p> <p>The entry in this circumstance should be the group name the member wasn't attached to at the time they were added to the contribution schedule.</p> <p>This will be the name of a group exactly as set up previously.</p> <p>It's case sensitive, for example:</p> <p>Group 1 must be typed as Group 1 and not group 1.</p> <p>For ES this field doesn't need to be filled in.</p>			
12	Effective date of change of group	This is the effective date of when the worker changed group	<p>Conditional</p> <p>Mandatory only when reason code 7 is provided in field 9.</p> <p>If you do not provide a reason code then it will be derived from other information provided..</p> <p>Not needed in ES</p>	10
Notes	<p>Please enter the date in the format of YYYY-MM-DD.</p> <p>For example, for an effective date of partial or non-payment of 22 January 2012:</p> <ul style="list-style-type: none"> • 2012-01-22 <p>The effective date can be any date from the start date of the pay period covered by the contribution schedule to one day after the end date. If you want to pay contributions then the effective date cannot be the contribution schedule or pay period start date.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
13	New payment source	For a change in a worker's payment source this will be the name of the new payment source	<p>Conditional</p> <p>Mandatory where 6 or 12 is provided in field 9</p> <p>If you do not provide a reason code then it will be derived from other information provided.</p> <p>Not needed in ES</p>	40
Notes	<p>Please enter the name of the worker's new payment source.</p> <p>If a worker switches to a different payment source then their new payment source must be confirmed. This will be the name of the payment source exactly as given by you.</p> <p>It's case sensitive, for example:</p> <p>Ps 1 must be typed as Ps 1 and not ps 1.</p> <p>The first day that the member is applied to the new source should be entered in field 10.</p> <p>Please note:</p> <p>Changing payment source isn't a two-step process. You don't have to remove a member from one payment source in a contribution schedule. You only have to give us the new payment source and the effective date of change of the payment source.</p> <p>If you need to change a group and a payment source for a member please call our contact centre.</p>			
14	Pensionable earnings for new or second group	Provide where you have more than one contribution group and the worker has moved from one group to another	<p>Conditional</p> <p>Mandatory where reason code 7 is provided or derived in field 9 or where reason code 8 is provided in field 9. If field 9 has a reason code of 7 or 8 and group selected in field 11 belongs in the same contribution schedule as the existing group. Do not provide for any other reason code in field 9. Not needed for ES.</p>	15
Notes	<p>Please enter the pensionable earnings for the group used in detailed record field 11, only where field 9 has a value of</p> <p>7 Change member groups and pay contributions</p> <p>or</p> <p>8 Group changed - pay for new and old group</p> <p>and the group selected in field 11 is in the same contribution schedule as the existing group. Where the group selected in field 11 is in a separate contribution schedule you'll need to submit the pensionable earnings in that contribution schedule. For more information on how to complete a contribution schedule when you're changing a member's group see our article Changing a worker's group.</p> <p>The value 0.00 is a valid entry.</p> <p>For ES this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
15	Employer contribution for the new or second group	Provide where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided or derived in field 9 or where reason code 8 is provided in field 9. . Not needed for ES.	15
Notes	<p>Please enter the employer contribution for the group used in detailed record field 11, only where field 9 has a value of</p> <p>7 Change member groups and pay contributions</p> <p>or</p> <p>8 Group changed - pay for new and old group.</p> <p>and the group selected in field 11 is in the same contribution schedule as the existing group. Where the group selected in field 11 is in a separate contribution schedule you'll need to submit the employer contribution in that contribution schedule. For more information on how to complete a contribution schedule when you're changing a member's group see our article Changing a worker's group. The value 0.00 is a valid entry.</p> <p>For ES this field doesn't need to be filled in.</p>			
16	Member contribution for the new or second group	Provide where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided or derived in field 9 or where reason code 8 is provided in field 9. Not needed for ES	15
Notes	<p>Please enter the worker contribution for the group used in detailed record field 11, only where field 9 has a value of</p> <p>7 Change member groups and pay contributions</p> <p>or</p> <p>8 Group changed - pay for new and old group.</p> <p>and the group selected in field 11 is in the same contribution schedule as the existing group. Where the group selected in field 11 is in a separate contribution schedule you'll need to submit the member contribution in that contribution schedule. For more information on how to complete a contribution schedule when you're changing a member's group see our article Changing a worker's group.</p> <p>The value 0.00 is a valid entry.</p> <p>For ES this field doesn't need to be filled in.</p>			
17	Notice to opt-out reference number	<p>Unique reference number shown in the opt-out paper notice</p> <p>Provide where you have given the non-payment reason as Member has opted out</p>	Conditional Mandatory if reason code 9 is provided or derived in field 9 for partial or non-payment of contributions is 9 in field 9	20

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Not needed for ES				
Notes	<p>Please enter the opt-out reference from the opt-out notice.</p> <p>You only need to provide this number or details of any opt-out where your workers return a paper opt-out notice to you. It's the opt-out reference stated on the paper-opt out notice.</p> <p>If they don't match, the opt-out request won't be accepted. For example, if the number provided is 001234 it must be entered like this, and not as 1234.</p> <p>If your reference starts with one or more zeros, please make sure the spreadsheet you're working with doesn't remove them.</p> <p>For ES this field doesn't need to be filled in.</p>			
18	Notice to opt out of pension saving form submitted by member within allowed opt-out period	A declaration that the opt-out notice was received by the employer from the worker within the opt-out period	Conditional Mandatory if reason code 9 is provided or derived in field 9 Not needed for ES	1
Notes	<p>Can only be Y.</p> <p>If the declaration isn't provided or any other value other than Y is provided, the opt-out request won't be accepted.</p> <p>You can find the end date for the relevant opt-out period for the worker in the <i>Managing workers</i> area of the website.</p> <p>It's also provided in the enrolment confirmation communication sent to your secure mailbox.</p> <p>For ES this field doesn't need to be filled in.</p>			
19	Pensionable earnings for second enrolment	Pensionable earnings for second enrolment	Conditional Mandatory if reason code 10 is provided or derived in field 9 Do not provide for any other reason Not needed for ES	15
Notes	<p>Please enter the worker's pensionable earnings for second enrolment if field 9 has a value of 10 Pay for more than one enrolment type.</p> <p>The pensionable earnings figure will be required to validate the contribution amount.</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example, in case of CS files: if the earnings to be used for the contribution are £562.43 enter:</p> <ul style="list-style-type: none"> • 562.43 <p>For members who have two enrolments for which contributions need to be paid in a pay period and a reason stating 10 Pay for more than one enrolment type is selected, this will be the earnings related to the second enrolment. This is only likely to happen in one pay period or contribution schedule.</p> <p>0.00 is a valid entry.</p> <p>For ES this field doesn't need to be filled in.</p>			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
20	Employer contribution for second enrolment	Employer contributions for second enrolment	Conditional Mandatory if reason code 10 is provided or derived in field 9 Do not provide for any other reason Not needed for ES	15
Notes	<p>Please enter the employer's contributions for second enrolment if field 9 has a value of 10 Pay for more than one enrolment type (reason code 10).</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example, in case of CS files: if amount is £54.32 enter:</p> <ul style="list-style-type: none"> • 54.32 <p>Employer contributions should be based on the contribution levels of the group that the worker has been enrolled into. This contribution should be based on the pensionable earnings provided in field 19.</p> <p>For ES this field doesn't need to be filled in.</p>			
21	Member contribution for second enrolment	Worker's contribution for second enrolment	Conditional Mandatory if reason code 10 is provided or derived in field 9 Do not provide for any other reason Not needed for ES	15
Notes	<p>Please enter the worker contributions for second enrolment if field 10 has a value of Pay for more than one enrolment type (reason code 7).</p> <p>Only enter numbers (0-9) and decimal point.</p> <p>For example, in case of CS files: if amount is £54.32 enter:</p> <ul style="list-style-type: none"> • 54.32 <p>Member contributions should be based on the contribution levels of the group that the worker has been enrolled into. This contribution should be based on the pensionable earnings provided in field 19.</p> <p>For ES this field does not need to be filled in.</p>			

3.2.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	Please enter T. If using the NEST file template then on clicking 'Generate file' this information will be populated into the CSV file. <ul style="list-style-type: none"> This is case sensitive, so make sure you use capital letters. 			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	Please enter only numbers (0-9). This value should be the number of records that start with the identifier D . We suggest you enter this information after all the lines with record identifier D have been added. For example, for 150 worker records: <ul style="list-style-type: none"> 150 We suggest you enter this information after all the lines with record identifier D have been added.			
3	Version	Version number of the NEST file format used	Optional	10
Notes	Please enter 4 If using NEST's file template, when you click 'Generate file' this information will be added to the CSV file.			

The trailer record should be the last line in a CSV file. An additional line could be produced below this if the file is opened in Excel. You'll need to delete this line before submitting a file to NEST.

4 Specifications for additional files issued by file transfer

If you're using SFTP you can select the option to receive return or daily notification files. To collect these files you need to request them in the employer setup. See 'Process for sending and collecting files' in [SFTP Overview](#) for further details. We'll provide these files in a zipped format.

You'll find formatting guidance for the fields in these files in the earlier sections of this guide. You can also see some example files, templates and XSD files in NEST's CSV templates and XSD files.

Return or daily notifications files will only be available to collect where there's information for NEST to report on. We do not issue blank or empty files.

4.1 Successful enrolments files

4.1.1 Header record

Description:	Daily file that gives you the details of your successfully enrolled workers.
File name:	ME_<Employer Reference>_< Date Timestamp>.csv or .xml The file name returned will be no more than 40 characters. The Date Timestamp will be 15 characters in the format DDMMYYHHMMSSsss where sss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as per employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that you provided to NEST. The format is 'EMPnnnnnnnn'			
3	Process type	This is the process type and will always be ME for member enrolment	Mandatory	2
Notes	For this type of file the type is: 'ME' - for member enrolment.			

4.1.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'			
2	Forename	Worker's forename	Mandatory	30
Notes				
3	Surname	Worker's surname	Mandatory	30
Notes				
4	Date of birth	Worker's date of birth	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
5	NI number	Worker's NI number	Conditional (Mandatory if the alternative unique identifier isn't present)	9
Notes				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
6	Alternative unique identifier	This is the alternative unique identifier that you provided	Conditional (Mandatory if the NI number isn't present)	30
Notes				
7	Enrolment type	Enrolment type that you used to enrol the worker	Mandatory	35
Notes List of enrolment types are: • AE • WWQE • OPTIN • VOLUNTARY • OTHERS.				
8	Group	Full name of the group to which the worker belongs	Mandatory	40
Notes				
9	Date of enrolment	This is the date on which the worker was enrolled into the scheme	Mandatory	10
Notes This will be in the format YYYY-MM-DD.				
10	Opt-out start date	This is the date on which the opt-out period starts, if one is applicable.	Conditional (If opt-out period applies value is 'Y')	10
Notes This will be in the format YYYY-MM-DD, It will be blank if the enrolment is not eligible for opt-out.				
11	Opt-out period applies	This shows whether the enrolment is eligible for opt-out or not.	Mandatory	1
Notes The values this field can take are - Y or N.				
12	Opt-out end date	This is the last day on which the worker can opt-out, if applicable.	Conditional	10
Notes This will be in the format YYYY-MM-DD. It will be blank if the enrolment is not eligible for opt-out.				

4.1.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			

4.2 Unsuccessful enrolments file

If you've set up a process to automatically read the Unsuccessful enrolments file you must download the new Unsuccessful enrolments XSD file we previously released in November 2013 and which we haven't updated for this release. If you don't you'll receive errors because the old field names will no longer be recognised (for example, house name, house number and street).

Description:	Daily file that returns the records of unsuccessful enrolments of the workers you attempted to enrol through secure file transfer. NOTE: This is an existing file, available through the file upload screens since scheme launch and known as the error file.
File name:	<Input file name>_ME_<Employer Reference>_< date timestamp>_error.csv or .xml The file name returned will be no more than 240 characters. The Date Timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.2.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record Identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that you provided to NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type and will always be ME for member enrolment	Mandatory	2
Notes	For this type of file the type is: 'ME' - for member enrolment.			

4.2.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'.			
2	Title	Worker's title	Mandatory	10
Notes				
3	Forename	Worker's forename	Mandatory	30
Notes				
4	Middle name	Worker's middle name	Optional	30
Notes				
5	Surname	Worker's surname	Mandatory	30
Notes				
6	Date of birth	Worker's date of birth	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
7	NI number	Worker's NI number	Conditional (Has a non-blank value if the alternative unique identifier isn't present)	9
Notes				
8	Is NI number unavailable?	This is a declaration from you that you don't hold an NI number for this worker	Conditional (Has a non-blank value if the NI number isn't present)	1
Notes	Will be 'Y' or 'N'.			
9	Alternative unique identifier	This is the alternative unique identifier that you provided.	Conditional (Has a non-blank value if Y is input in 8 'Is NI Number unavailable'.	30
Notes				
10	Blank	See notes below.	Optional	10
Notes	This field will repeat the information you entered in this field when you enrolled the worker.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
11	Address Line 1	This item is usually found in 'Address line 1'	Optional	80
Notes				
12	Address Line 2	This item is usually found in 'Address line 2'	Conditional mandatory - mandatory if field 11 isn't completed.	80
Notes				
13	Town/city	Town/city of the worker's correspondence address This item is usually found in 'Address line 3'	Mandatory	35
Notes				
14	County	County of the worker's correspondence address This item is usually found in 'Address line 4'	Optional	35
Notes				
15	Postcode	Postcode of the worker's correspondence address	Mandatory for ME if a United Kingdom address Optional for ME if not a United Kingdom address	10
Notes				
16	Country name	Country of the worker's correspondence address	Mandatory	50
Notes				
17	Work email address	Worker's work email address	Optional	50
Notes				
18	Personal email address	Worker's personal email address	Optional	50
Notes				
19	Gender	Gender of the worker	Mandatory	1
Notes Values will be: M - for male F - for female U - for unknown.				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
20	Information about member enrolment received	This confirms whether the worker has been informed about NEST and the enrolment option before enrolling them into the scheme	Optional	1
21	Enrolment type	Enrolment type that you used to enrol the worker	Mandatory	35
Notes	List of enrolment types are: AE WWQE OPTIN VOLUNTARY OTHERS.			
22	Group	Full name of the group to which the worker belongs	Optional	40
Notes	This field will contain the value that was input			
23	Payment source	This was the payment source of the workers supplied in the file that was originally submitted.	Optional	40
Notes	This field will contain the value that was input			
24	24	Start date	Date from which the worker's enrolment in NEST was effective. This is usually the date the worker becomes or became eligible for automatic enrolment	Conditional (Mandatory if the enrolment type is AE, WWQE, OPTIN, or Others)
Notes	This will be in the format YYYY-MM-DD.			
25	Is member an overseas national awaiting an NI number?	This is a declaration from you stating whether or not the worker is an overseas national who's due to get an NI number and hasn't received it yet	Conditional (Mandatory if the NI number is not present for ME)	1
Notes	Can be 'Y' or 'N' Y - 'Worker is an overseas national awaiting an NI number' N - 'Worker is a UK national and has not given employer and NI Number'.			

4.2.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T.			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			

4.3 Enrolment error log file

Description:	Daily file that contains the errors explaining why workers couldn't be enrolled. NOTE: This is an existing file, available through the file upload screens since scheme launch and known as the error log file.
File name:	<Input file name>_ME_<Employer Reference>_< Date Timestamp>_errorlog.csv or .xml The file name returned will be no more than 240 characters. The date timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.3.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number you provided to NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type of the file you sent	Mandatory	2
Notes	For this type of file the type is - 'ME' - for member enrolment.			

4.3.2 Detailed record header

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'.			
2	Sequence number for particular error record	This is the sequence number for the particular error record.	Mandatory	10
Notes	For example, if source record number 10 has 5 errors on it, then the first error record will have a sequence number of 1, the second will have a sequence number of 2, and so on.			
3	Record number from submitted file	This is the record number of the record in the original file submitted that caused the error.	Mandatory	30
Notes	Starts with 'Source record' and then the number of records. Example: Source record 2. Source record 1 will be the header record, so the first detailed record will be source record 2.			
4	Error message	Error message according to the particular error.	Mandatory	500
Notes	The error message related to the error will show here. If a record in the file that was submitted has more than one error, there'll be a separate detail record for each error.			

4.3.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T.			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be the same as this value.			

4.4 Successful contributions/payment submission file

Description:	<p>Confirms successfully accepted workers from your contribution or exception schedule.</p> <p>You can send this back to us to submit the total amount for payment.</p> <p>This file is triggered by the submission of a contribution file. However it represents the current state of the contribution schedule and will include all validated records in the file regardless of how or when they were submitted.</p>
File name:	<p>CS_<Employer Reference>_<Timestamp>.csv or .xml</p> <p>The file name returned will be no more than 40 characters. The date timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>
File type:	CSV or XML based on employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.4.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This will be the NEST employer reference number that was provided to you by NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type.	Mandatory	2
Notes	Will have value as 'CP (contribution schedule) / EP (exception schedule) Please note: the return values are different from the file that was originally submitted.			
4	Earnings period end date (EPED)	End date of the pay period to which the contribution relates	Mandatory for contribution schedules Optional for exception schedules	10
Notes	This will be in the format YYYY-MM-DD. For exception schedule this field will be blank.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
5	Payment source	This was the payment source supplied in the file that was originally submitted.	Mandatory	40
Notes				
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Mandatory for contribution schedules Optional for exception schedules	10
Notes This will be in the format YYYY-MM-DD For exception schedule this field will be blank.				
7	Frequency	Payment frequency of this particular payment. Possible values are: Weekly Tax Weekly Fortnightly Four Weekly Monthly Tax Monthly	Mandatory Optional for exception schedules	11
Notes This is case sensitive. For exception schedule this field will be blank.				
8	Reason for exception schedule	This is the reason you uploaded the exception schedule and is as supplied by you on the input file.	Mandatory if exception schedule, Optional if contribution schedule	2
Notes Where populated, the values that this field will contain will be 1 to 10. The description that these values map to is specified below. For a list of the reasons refer to 'Submitting a contribution schedule, 'Reason for exception Schedule' (field 8) For contribution schedule this field will be blank.				
9	Generation date	This is the date on which the exception schedule was generated	Mandatory if exception schedule Optional if contribution schedule	10
Notes This will be in the format YYYY-MM-DD. For contribution schedule this field will be blank.				
10	Earnings period start date (EPSD)	Start date of the pay period that the contribution represents as supplied on the input file	Optional	10
Notes This will be in the format YYYY-MM-DD or blank if not supplied within the input file. EPSD will always appear even if not entered in input file.				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
For exception schedule this field will be blank.				
11	Process payment flag	This field is used to specify the status of the process payment file. It's initially populated as 'P' by NEST to signify that it's a process payment file.	Mandatory	1
Notes	Value will be 'P' when you collect the file. When you submit it for payment the value must be changed to 'A' to indicate that you're authorising the submission of the contribution/exception schedule.			
12	Amount payable for newly validated members	This is the total amount expected for all the validated workers who've never been paid successfully before in the schedule. This field value is calculated by NEST	Mandatory	15 (this will include up to 2 numeric characters after the decimal point)
Notes	This will be 0.00 if there are no validated members who've never been paid successfully before in the schedule. This excludes any contribution correction amounts.			
13	Amount for corrected members	This is the total amount expected for all those corrected workers where there was only an increase as part of the contribution correction, or where the amount after disinvestment is now known. This field value is calculated by NEST	Mandatory	15 (this will include up to 2 numeric characters after the decimal point)
Notes	This will be 0.00 when there are no corrected members, only reductions done as part of the contribution correction or where the amount isn't known as disinvestment is yet to happen as part of the contribution correction.			
14	Total amount payable	This is the total amount expected from the employer as part of submitting the particular schedule. It's a total value of fields 12 and 13. This field value is populated by NEST.	Mandatory	15 (this will include up to 2 numeric chars after the decimal point)
Notes	This will be 0.00 if there are only non-payment reasons being processed in the schedule.			
15	Schedule reference number	This is the schedule reference number of the schedule that is to be submitted. This field value is calculated by NEST.	Mandatory	30
Notes	The format of this reference number will be the same as the schedule reference number displayed in the contribution schedule within the Manage schedule screen for that contribution schedule.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
16	Bulk update for members with insufficient earnings	This allows multiple records with the status of 'Action needed-Not yet validated' to be updated as no contributions due with reason of insufficient earnings.	Optional	1
Notes	Value will be Y or N or blank as entered in contribution file			

4.4.2 Detail record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'.			
2	Surname	Surname of the worker	Mandatory	30
Notes	Surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
3	NI number	NI number of the worker	Conditional Mandatory if the alternative unique identifier is not present	9
Notes				
4	Alternative unique identifier	This is the alternative unique identifier that you provided	Conditional Mandatory if the NI number isn't present	30
Notes				
5	Pensionable Earnings	The pensionable earnings of the worker for the relevant pay period you provided.	Mandatory for contribution schedules Optional for exception schedules	15 (this will include up to 2 numeric characters after the decimal point)
Notes	For exception schedule field will be blank			
6	Blank	The pensionable earnings of the worker for the relevant pay period you provided, where reason 3 for partial or non-payment of contributions was used.	Optional	15 (this will include up to 2 numeric characters after the decimal point)
Notes	If a value was provided then this will be replayed where you provided reason 3 in the reason for partial or non-payment of contributions field. For an exception schedule this will be blank.			
7	Employer contribution	Employer contribution	Optional	15 (this includes 2 numeric characters after the decimal point)
Notes				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
8	Member contribution	Worker contribution	Optional	15 (this includes 2 numeric characters after the decimal point)
Notes				
9	Reason for partial or non-payment of contributions	This is the explanation for why contributions received don't match up with the payment schedule	Conditional Mandatory where zero is input in fields 7 and 8 and no change of group has been initiated for the member record Optional for exception schedules	2
Notes For exception schedule this value will be blank. When submitting the process payment file for an exception schedule this field is optional and will be ignored. For details of the possible values see 'Submitting a contribution schedule' 'Reason for partial or non-payment of contributions' (field 9).				
10	Effective date of partial or non-payment	Effective date of the event, which resulted in no contribution being paid	Conditional Mandatory where the input in field 9 is 6 or 12 Optional for exception schedules	10
Notes Should be in format YYYY-MM-DD For an exception schedule this value will be blank. When submitting the process payment file for an exception schedule this field is optional and will be ignored.				
11	New or second group name	The worker's new or second group for which contributions are being paid.	Conditional Mandatory when reason code 7 or 12 is provided as input in field 9	40
Notes For an exception schedule this value will be blank. When submitting the process payment file for an exception schedule this field is optional and will be ignored.				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
12	Effective date of change of group	This is the effective date of when the worker changed group	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	10
Notes	Should be in format YYYY-MM-DD For an exception schedule this value will be blank. When submitting the process payment file for an exception schedule this field is optional and will be ignored.			
13	New payment source	For a change in a worker's payment source this is the name of the new payment source as supplied on the input file	Conditional Mandatory where reason 6 and 12 selected in field 9 Optional for exception schedules	40
Notes	For an exception schedule this value will be blank. When submitting the process payment file for an exception schedule this field is optional and will be ignored.			
14	Pensionable earnings for new or second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			
15	Employer contribution for the new or second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			
16	Member contribution for the new or second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional if exception schedule	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
17	Notice to opt-out reference number	Unique reference number shown in the opt-out notice.	Conditional Mandatory if reason for partial or non-payment of contributions provided is 9 (opt-out) Optional for exception schedules	20
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			
18	Notice to opt-out of pension saving form submitted by member within the allowed opt-out period?	A declaration that an opt-out notice was received from the worker within the permitted opt-out period.	Conditional Mandatory if reason for partial or non-payment of contributions provided is 9 (opt-out) Optional for exception schedules	1
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			
19	Pensionable earnings for second enrolment	Pensionable earnings for second enrolment	Conditional Mandatory if reason for partial or non-payment is selected as 10 (paying for both enrolments) Optional for exception schedules	15 (this may include up to two numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			
20	Employer contribution for second enrolment	Employer contributions for second enrolment	Conditional Mandatory if reason for partial or non-payment is selected as 10 (paying for both enrolments) Optional for exception schedules	15 (this may include up to two numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
21	Member contribution for second enrolment	Worker's contribution for second enrolment	Conditional Mandatory if reason for partial or non-payment is selected as 10 (paying for both enrolments) Optional for exception schedules	15 (this may include up to two numeric characters after the decimal point)
Notes	For exception schedules this value will be blank. When submitting the process payment file for exception schedules this field is optional and will be ignored.			

4.4.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	Always 'T'			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			
3	Count of pending members	Count of members with a status of 'Action needed - not yet validated' in the contribution schedule	Optional	10
Notes	This is the number of member records in the contribution schedule that have a status of 'Action needed - not yet validated'. For these records you'll need to provide us with the correct contribution information or a reason for partial or non-payment. You'll need do this by your payment due date or you'll risk making a late payment. While you're providing this information you can approve your schedule for payment and make a payment for any validated member records if you want to.			

4.5 Unsuccessful contributions file

Description:	<p>Daily file that returns the records of unsuccessfully submitted contributions for workers.</p> <p>NOTE: This is an existing file, available via the file upload screens since scheme launch and known as the error file.</p> <p>It also includes any members where the details you've provided are invalid. for example contributions are below the expected level based on the earnings supplied.</p>
File name:	<p><Input file name>_CS_<Employer Reference>_< Date Timestamp>_error.csv or .xml</p> <p>The file name returned will be no more than 240 characters. The date timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.5.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that you provided to NEST. The format is 'EMPnnnnnnnn'.			
3	Process Type	This is the process type	Mandatory	2
Notes	For a normal contribution schedule the process type will be 'CS'. For an exception schedule the process type will be 'ES'.			
4	Earnings period end date (EPED)	End date of the pay period to which the contribution relates	Mandatory for contribution schedules Optional for exception schedules	10
Notes	This will be in the format YYYY-MM-DD. For exception schedules, this value will be blank.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
5	Payment source	This was the payment source supplied in the file that was originally submitted.	Mandatory	40
Notes				
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Optional for contribution schedules Optional for exception schedules	10
Notes This will be in the format YYYY-MM-DD. A value will only be output if a value was input in the original submission. For exception schedules, this value will be blank				
7	Frequency	Payment frequency of this particular payment as supplied on the input file. Possible values are: Weekly Tax Weekly Fortnightly Four Weekly Monthly Tax Monthly	Mandatory for contribution schedules Optional for exception schedules	11
Notes This is case sensitive. The input should exactly match the value stored in the system. For exception schedules, this value will be blank.				
8	Reason for exception schedule	This is the reason why the employer uploaded the exception schedule and is as you supplied on the input file.	Mandatory for exception schedules Optional for contribution schedules	2
Notes Where populated, the values that this field will contain will be 1 to 10. The description that these values map to is specified below. For a list of the reasons refer to 'Submitting a contribution schedule' 'Reason for exception Schedule' (field 8). For contribution schedules, this field will be blank.				
9	Generation Date	This is the date on which the exception schedule was generated	Mandatory for exception schedules Optional for contribution schedules	10
Notes This will be in the format YYYY-MM-DD. For contribution schedules, this field will be blank.				
10	Earnings period start date (EPSD)	Start date of the pay period which the contribution represents as supplied on the input file	Optional	10

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Notes	This will be in the format YYYY-MM-DD or blank if not supplied by you within the input file. For exception schedules this field will be blank.			

4.5.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'.			
2	Surname	Surname of the worker	Mandatory	30
Notes	Surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
3	NI number	NI number of the worker	Conditional Mandatory if the alternative unique identifier isn't present	9
Notes				
4	Alternative unique identifier	This is the alternative unique identifier that you provided	Conditional. Mandatory if the NI number isn't present	30
Notes				
5	Pensionable earnings	The pensionable earnings of the worker for the relevant pay period as provided on the input file	Mandatory for contribution schedules Optional for exception schedules	15 (this will include up to 2 numeric characters after the decimal point)
Notes				
6	Blank	This field should only be used for the member earnings if the reason for partial or non-payment of contributions in field 9 is reason 3 - 'Member is on family leave'	Optional	15 (this includes 2 numeric characters after the decimal point)
Notes				
7	Employer	Employer contribution	Optional	15 (this

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
	contribution			includes 2 numeric characters after the decimal point)
Notes				
8	Member contribution	Worker contribution	Optional	15 (this includes 2 numeric characters after the decimal point)
Notes				
9	Reason for partial or non-payment of contributions	This is the explanation for why contributions received don't match up with the payment schedule	Conditional Mandatory where zero is input in 7 and 8 and no change of group has been initiated for the member record Optional for exception schedules	2
Notes	For exception schedules, this value will be blank. For details of the possible values see 'Submitting a contribution schedule' 'Reason for partial or non-payment of contributions' (field 9).			
10	Effective date of partial or non-payment	Effective date of the event, which resulted in no contribution being paid.	Conditional Mandatory where the input in field 9 is 6 or 12 Optional for exception schedules	10
Notes	Should be in format YYYY-MM-DD. For exception schedules, this value will be blank.			
11	New or second group name	The worker's new or second group for which contributions are being paid.	Conditional Mandatory when reason code 7 or 12 is provided as input in field 9	40
Notes	For exception schedules, this value will be blank.			
12	Effective date of change of group	This is the effective date of when the worker changed group	Conditional Mandatory where reason code 7 is provided in field 9	10

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
			Optional for exception schedules	
Notes	Should be in format YYYY-MM-DD. For exception schedules, this value will be blank.			
13	New payment source	For a change in a worker's payment source this is the name of the new payment source as supplied on the input file	Conditional Mandatory where reason 6 or 12 selected in field 9 Optional for exception schedules	40
Notes	For exception schedules, this value will be blank.			
14	Pensionable earnings for new or second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			
15	Employer contribution for the new or second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			
16	Member contribution for the second group	Provided where you have more than one contribution group and the worker has moved from one group to another	Conditional Mandatory where reason code 7 is provided in field 9 Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			
17	Notice to opt-out reference number	Unique reference number shown in the opt-out notice.	Conditional Mandatory if reason for partial or non-payment of contributions provided is 9 (opt-out) Optional for exception schedules	20
Notes	For exception schedules, this value will be blank.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
18	Notice to opt out of pension saving form submitted by member within the allowed opt-out period?	A declaration that opt-out notice was received from the worker within the permitted opt-out period.	Conditional Mandatory if reason for partial or non-payment of contributions provided is 9 (opt-out) Optional for exception schedules	1
Notes	For exception schedules, this value will be blank.			
19	Pensionable earnings for second enrolment	Pensionable earnings for second enrolment	Conditional Mandatory if reason for partial or non-payment of contributions is selected as 10 (Paying for both enrolments) Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			
20	Employer contribution for second enrolment	Employer contributions for second enrolment	Conditional Mandatory if reason for partial or non-payment of contributions is selected as 10 (Paying for both enrolments) Optional for exception schedules	15 (this may include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			
21	Member contribution for second enrolment	Worker's contribution for second enrolment	Conditional Mandatory if reason for partial or non-payment of contributions is selected as 10 (Paying for both enrolments) Optional for exception schedules	15 (this will include up to 2 numeric characters after the decimal point)
Notes	For exception schedules, this value will be blank.			

4.5.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer Record Identifier	Mandatory	1
Notes	Always 'T'.			
2	Total number of member records	Total number of worker records in the file.	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			

4.6 Contributions error log

Description:	Daily file that contains the errors explaining why workers' contributions couldn't be submitted. NOTE: This is an existing file, available through the file upload screens since scheme launch and known as the 'Error log'.
File name:	<Input file name>_CS_<Employer Reference>_< Date Timestamp>_errorlog.csv or .xml The file name returned will be no more than 240 characters. The date timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.6.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that was provided to you by NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type	Mandatory	2
Notes	For a normal contribution schedule the process type will be 'CS'. For an exception schedule the process type will be 'ES'.			
4	Earnings period end date (EPED)	End date of the pay period to which the contribution relates	Mandatory for contribution schedules Optional for exception schedules	10
Notes	This will be in the format YYYY-MM-DD. For exception schedules, this field will be blank.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
5	Payment source	This was the payment source supplied in the file that was originally submitted.	Mandatory	40
Notes				
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Optional for contribution schedules Optional for exception schedules	10
Notes This will be in the format YYYY-MM-DD. A value will only be output if a value was input in the original submission. For exception schedules, this field will be blank.				
7	Frequency	Payment frequency of this particular payment. Possible values are <ul style="list-style-type: none"> • Weekly • Tax Weekly • Fortnightly • Four Weekly • Monthly • Tax Monthly 	Mandatory Optional for exception schedules	11
Notes This is case sensitive. For exception schedules, this field will be blank.				
8	Reason for exception schedule	This is the reason you uploaded the exception schedule and is as you supplied on the input file	Mandatory if exception schedule Optional for contribution schedules	2
Notes Where populated, the values that this field will contain will be 1 to 10. The description that these values map to is specified below. For a list of the reasons refer to 'Submitting a contribution schedule' 'Reason for exception schedule' (field 8) For contribution schedules, this field will be blank.				
9	Generation date	This is the date on which the exception schedule was generated	Mandatory if exception schedule Optional for contribution schedules	10
Notes This will be in the format YYYY-MM-DD. For contribution schedules, this field will be blank.				
10	Earnings period start date (EPSD)	This is the start date of the pay period which the contribution represents	Optional	10
Notes This will be in the format YYYY-MM-DD or blank if not supplied within the input file.				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
For exception schedules this field will be blank.				

4.6.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'			
2	Sequence number for particular error record	This is the sequence number for the particular error record.	Mandatory for CS/ES	10
Notes	For example, if source record number 10 has 5 errors on it, then the first error record will have a sequence number of 1, the second will have a sequence number of 2, and so on.			
3	Record number from submitted file	This is the record number of the record in the original file that was submitted that caused the error.	Mandatory for CS/ES	30
Notes	Starts with 'source record' and then the number of each member record that has an error. For example, source record 1 is the header, source record 2 is the first member record.			
4	Error message	Error message according to the particular error.	Mandatory for CS/ES	500
Notes	The error message related to the error will show here. If a record in the file that was submitted has more than 1 error, there'll be a separate detail record for each error.			

4.6.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer Record Identifier	Mandatory	1
Notes	T			
2	Total number of member records	Total number of worker records in the file	Mandatory	10

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Notes	The number of records with record identifier 'D' should be same as this value.			

4.7 Payment submission outcome file

Description:	Tells you the final amount to pay to NEST for your workers. If you're paying by Direct Debit, the payment will now be collected. If you are using direct credit, this file contains the reference to quote when making your payment.
File name:	CS_<Employer Reference>_< Date Timestamp>_outcome.csv or .xml The file name returned will be no more than 40 characters. The date timestamp will be 15 characters in the format DDMMYYHHMMSSsss where sss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.7.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	This was the NEST employer reference number in the file that was originally submitted.	Mandatory	12
Notes	This was the NEST employer reference number you provided to NEST. The format is 'EMPnnnnnnnnn'.			
3	Process Type	This is the process type.	Mandatory	2
Notes	Will have value as 'CP (Contribution schedule) / EP (Exception schedule). Please note: The return values are different from the file that was originally submitted.			
4	Earnings period end date (EPED)	This was the end date of the pay period supplied in the file that was originally submitted.	Mandatory for process payment	10
Notes	This will be in the format YYYY-MM-DD. This field will be blank for exception schedules.			
5	Payment source	This was the payment source of the worker supplied in the file that was originally submitted.	Mandatory	40

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Notes				
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Mandatory for process payment	10
Notes This will be in the format YYYY-MM-DD. This field will be blank for exception schedules.				
7	Frequency	This was the frequency supplied when the file was originally submitted.	Mandatory for process payment	11
Notes This field will be blank for exception schedules.				
8	Reason for exception schedule	This is the reason you uploaded the exception schedule and is as you supplied on the input file.	Mandatory for process payment	2
Notes Where populated, the values that this field will contain will be 1 to 10. The description that these values map to is specified below. For a list of the reasons refer to 'Submitting a contribution schedule' 'Reason for exception Schedule' (field 8) For contribution schedules this field will be blank.				
9	Generation date	This is the date on which the exception schedule was generated	Mandatory for Process Payment	10
Notes This will be in the format YYYY-MM-DD. For contribution schedule this field will be blank.				
10	Earnings period start date (EPSD)	This is the start date of the pay period which the contribution represents	Optional	10
Notes This will be in the format YYYY-MM-DD or blank if not supplied on the input file. EPSD will always appear even if not entered in input file. For exception schedule this field will be blank.				
11	Amount to be paid	If your payment method is Direct Debit, then this is the amount that will be raised as part of the Direct Debit request. If the payment method is debit card or direct credit, this is the final amount that you'll need to pay.	Mandatory	15 (this will include up to 2 numeric characters after the decimal point)
Notes 0.00 will be displayed if this value is empty. This will be the original amount from the payment file but it could be a reduced amount if there were any failures to the member records after processing of the file following submission for payment.				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
12	Payment reference	If you use direct credit, this is the reference number you need to provide so that this payment can be identified. This value is only provided when direct credit is the payment method.	Optional	15
Notes	For all other payment methods, this value will be blank.			
13	Invalid member count	This will have a count of all the workers that have been invalidated as part of the processing of the file following submission for payment. This could be as a result of you changing the group of a worker or changing the contribution percentages of a group after the schedule is submitted for payment and before the processing of the record starts.	Mandatory	10
Notes	The count of records.			
14	Ineligible member count	This will have a count of all the workers included in the CP (contribution schedule) version of the file who'll be excluded from the total employer contributions. This could be as a result of a worker opt-out, enrolment cancellation or the member exiting before the processing of the record starts	Mandatory	10
Notes	If there are no ineligible records the output will be 0.			
15	Count of members automatically updated by system as 'no contributions due'	This will have the count of all members that are implicitly marked as 'no contributions due' as part of the invoice batch processing on the return on CP file	Mandatory	10
Notes	If there are no members marked as 'no contributions due', this field will have a value of 0.			

4.7.2 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Notes	Always 'T'.			
2	Total number of member records	Total number of worker records in the file.	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value. In this case, it will be zero as there are no detail records.			

4.8 Payment submission rejection file

Description:	Tells you that your payment submission file has been rejected. No payments have been processed.
File name:	CS_<Employer Reference>_< Date Timestamp>_reject.csv or .xml The file name returned will be no more than 40 characters. The date timestamp will be 14 characters in the format DDMMYYHHMMSSss where ss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII Text format, zipped.

4.8.1 Header trailer

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	This was the NEST employer reference number in the file that was originally submitted.	Mandatory	12
Notes	This will be the NEST employer reference number you provided to NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type of the file you sent.	Mandatory	2
Notes	Will have value as 'CP (Contribution schedule) / EP (Exception schedule). The return values are different from the file that was originally submitted.			
4	Earnings period end date (EPED)	This was the end date of the pay period supplied in the file that was originally submitted.	Mandatory for process payment	10
Notes	This will be in the format YYYY-MM-DD. This field will be blank for exception schedules.			
5	Payment source	This was the payment source supplied in the file that was originally submitted.	Mandatory	40
Notes				

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
6	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Optional	10
Notes	This will be in the format YYYY-MM-DD. A value will only be output if entered in the original submission. This field will be blank for exception schedules.			
7	Frequency	This was the frequency supplied when the file was originally submitted.	Mandatory for process payment	11
Notes	This field will be blank for exception schedules.			
8	Reason for exception schedule	This is the reason for you uploaded the exception schedule and is as you supplied on the input file.	Mandatory for process payment	2
Notes	Where populated, the values that this field will contain will be 1 to 10. The description that these values map to is specified below. For a list of the reasons refer to 'Submitting a contribution schedule' 'Reason for exception Schedule' (field 8). For contribution schedules this field will be blank.			
9	Generation date	This is the date on which the exception schedule was generated	Mandatory for process payment	10
Notes	This will be in the format YYYY-MM-DD. For contribution schedules this field will be blank.			
10	Earnings period start date (EPSD)	This is the start date of the pay period which the contribution represents	Optional	10
Notes	This will be in the format YYYY-MM-DD or blank if not supplied within the input file. For exception schedules this field will be blank.			
11	Failure record number	This is the record number of the first record that caused a failure while validating the process payment file. This value will be blank if the error is in the header or the trailer record.	Mandatory	10
Notes	The value will be the record number. If the first detail record has an error then the error record reference will be 1. This value will be blank if the error is in the header or the trailer record.			
12	Error message	Error message according to the particular error.	Mandatory	500
Notes	The error message related to the rejection reason will be displayed.			

4.8.2 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T.			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value. Here, there are no detail records and this value will be zero.			

4.9 Opt-out file

Description:	This lists all members who opted out during the previous day up to the cut-off time. If there were no opt outs then we won't send the file. If contributions were allocated to the member's NEST account before the opt-out process was completed the file will show the refund amount.
File name:	OO_<Employer Reference>_< Date Timestamp>.csv or .xml The file name returned will be no more than 40 characters. The date timestamp will be 15 characters in the format DDMMYYHHMMSSsss where sss is microseconds For details of acceptable characters refer to section 6.3 Filename acceptable characters.
File type:	CSV or XML based on employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

4.9.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This will be the NEST employer reference number that was provided to you by NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type	Mandatory	2
Notes	This will have a value as 'OO' to indicate that it's a daily notification file for opt-outs.			

4.9.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'.			
2	Forename	Forename of the worker	Mandatory	30
Notes				
3	Surname	Surname of the worker	Mandatory	30
Notes	If opt-out was confirmed via a file the Surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
4	NI number	NI number of the worker	Conditional (Mandatory if the alternative unique identifier isn't present)	9
Notes	This will be the NI number as held by NEST on the worker's record.			
5	Alternative unique Identifier	This is an alternative unique identifier that is required if the NI number is not available. For example, staff worker number	Conditional. (Mandatory if the NI number isn't present)	30
Notes	This will be the alternative unique identifier as held by NEST on the worker's record.			
6	Date of birth	Date of birth of the worker	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
7	Enrolment type	This will be the type of enrolment	Mandatory	5 - Please note that the maximum length of this field is different to the length of this field when used in other files.
Notes	Enrolment type values that will appear in this file are: AE OPTIN.			
8	Opt out notification date	This will be the date when NEST received the opt-out notice	Mandatory	10

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
Notes	This will be in the format YYYY-MM-DD.			
9	Employer contribution refund	This is the amount of employer paid contributions being refunded to you	Mandatory	15 - this includes 2 numeric characters after the decimal point.
Notes	If there's no amount for this field the output will be 0.00.			
10	Member contribution refund	This is the amount of the worker payroll contributions received by NEST in respect of the enrolment up to the time the opt-out is successfully processed. That's the amount you must refund to the worker.	Mandatory	15 - this includes 2 numeric characters after the decimal point.
Notes	If there's no amount for this field the output will be 0.00.			
11	Payment source	The payment source the member is attached to at the time the opt-out processing is completed.	Mandatory	40
Notes				
12	Group	The group the member is attached to at the time the opt-out processing is completed.	Mandatory	40
Notes				

4.9.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T.			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			
3	Total employer contribution refund	This will be the total amount of employer contributions for all the worker records included in the file		15 (this includes 2 numeric characters after the decimal point)
Notes	If there's no amount for this field the output will be 0.00.			
4	Total member contribution refund	This will be the total amount of worker contributions for all the worker records included in the file		15 (this includes 2 numeric characters after the decimal point)
Notes	If there's no amount for this field the output will be 0.00.			
5	Grand total of contribution refund	This will be the total amount of worker and employer contributions for all the worker records included in the file. This will be sum of fields 3 and 4 in the trailer record		15 (this includes 2 numeric characters after the decimal point)
Notes	If there's no amount for this field the output will be 0.00.			

4.10 Contributions stopped (worker/employer notified) files

Description:	<p>Daily files giving details of stopped contributions.</p> <p>One file contains those workers who've asked you to stop making contributions. The other file contains those workers who stopped contributions by contacting NEST directly.</p> <p>This will only be available where one or more of your workers has asked to stop making contributions.</p>
File name:	<p>CC_<Employer Reference>_<Date Timestamp>_Member.csv or .xml</p> <p>The file name returned will be no more than 42 characters. The date timestamp will be 15 characters in the format DDMMYYHHMMSSss where ss is microseconds.</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

10.0.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'.			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that was provided to you by NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type	Mandatory	2
Notes	Will have value as 'CC' to indicate it's a daily notification file for cease contributions.			

4.10.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'			
2	Forename	Worker's forename	Mandatory	30
Notes				
3	Surname	Worker's surname	Mandatory	30
Notes	Surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
4	NI number	Worker's NI number	Conditional (Mandatory if the alternative unique identifier isn't present)	9
Notes				
5	Alternative unique identifier	This is an alternative unique identifier that's required if the NI number isn't available. For example, staff worker number	Conditional. (Mandatory if the NI number isn't present)	30
Notes				
6	Date of birth	Worker's date of birth	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
7	Date request processed	This will be the date that the request to cease contributions was successfully processed by NEST	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
8	Cease contribution effective date	This will be the date of the start of the pay period from which the request to cease contribution will be effective	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			

4.10.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T.			
2	Total number of member records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be same as this value.			

4.11 Opt-out contributions expected file

Description:	<p>A daily file that lists all members for whom contribution collection had started before the opt-out processing was completed, but for whom the contribution was not received at this time. These contributions will not appear in Opt-out file 4.9 and the CSV equivalent 4.13 by the time the opt-out was processed. Direct Debit and debit card payments take several working days, so for these cases we know the payment is going to be received by NEST and will be refunded on receipt. This file will also include details of expected direct credit payments if the employer has approved a contribution schedule for payment but we haven't received the payment at the time of opt-out. We may or may not receive the direct credit payment.</p> <p>This file will only be available if we expect contributions.</p>
File name:	<p>OI_<Employer Reference>_< Date Timestamp>.csv or .xml</p> <p>The filename returned will be no more than 240 characters. The Date Timestamp will be 15 characters in the format DDMMYYHHMMSSsss where sss is microseconds</p> <p>For details of acceptable characters refer to section 6.3 Filename acceptable characters.</p>
File type:	CSV or XML as determined by employer choice.
File record length:	Variable record length.
Data format	ASCII text format, zipped.

10.0.1 Header record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Header record identifier	Mandatory	1
Notes	Always 'H'			
2	NEST employer reference number	The NEST employer reference number	Mandatory	12
Notes	This was the NEST employer reference number that was provided to you by NEST. The format is 'EMPnnnnnnnn'.			
3	Process type	This is the process type	Mandatory	2
Notes	This will have value 'OI' to indicate it's a daily notification file for refunds of contributions from opt-outs.			

4.11.2 Detailed record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Detail record identifier	Mandatory	1
Notes	Always 'D'			
2	Forename	Worker's forename	Mandatory	30
Notes				
3	Surname	Worker's surname	Mandatory	30
Notes	If opt-out was confirmed via a file the surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
4	NI number	Worker's NI number	Conditional. (Mandatory if the alternative unique identifier isn't present)	9
Notes	If we hold the NI number for the worker, then it will always be output even if we have an alternative unique identifier for the worker.			
5	Alternative unique identifier	This is an alternative unique identifier that's required if the NI number isn't available. For example, staff worker number	Mandatory	30
Notes	If we hold an alternative unique identifier for the worker, then it will always be output even if we have the NI number for the worker.			
6	Date of birth	Worker's date of birth	Mandatory	10
Notes	This will be in the format YYYY-MM-DD.			
7	Payment source	The payment source of the schedule whose reference is provided in field 9	Mandatory	10
Notes				
8	Group	The group the worker is attached to at the time the opt-out processing was completed	Mandatory	40
Notes				
9	Schedule reference number	The schedule reference number	Mandatory	30
Notes	The value of this reference number will be the same as the schedule reference number shown when you view the schedule through your online account.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
10	Earning period start date	Earning period start date of the schedule	Conditional: mandatory if a contribution schedule, otherwise optional	10
Notes	This will be in the format YYYY-MM-DD. It will only be populated for regular contribution schedules. For ES this field will be blank.			
11	Earning period end date	Earning period end date of the schedule	Conditional: mandatory if a contribution schedule, otherwise optional	10
Notes	This will be in the format YYYY-MM-DD. It will only be populated for regular contribution schedules. For ES this field will be blank.			
12	Payment due date	Payment due date of the schedule	Conditional: mandatory if a contribution schedule, otherwise optional	10
Notes	This will be in the format YYYY-MM-DD. It will be populated only for regular contribution schedules. For ES this field will be blank.			
13	Generation date	Generation date of the exception schedule	Conditional: mandatory if a contribution schedule, otherwise optional	10
Notes	This will be in the format YYYY-MM-DD. It will be populated only for ES. For CS this field will be blank.			
14	Reason for exception schedule	Reason of the exception schedule	Conditional: mandatory if a contribution schedule, otherwise optional	2
Notes	Please refer to the description of this field in Section 2.2 to understand the different values this field can take. It will only be populated only for ES. For CS this field will be blank.			
15	Employer contribution	This will be the amount of employer contributions present in the schedule	Mandatory	15 (this includes 2 numeric characters after the decimal point)
Notes	0.00 will be the output if there is no amount for this field. There will not be any leading zeros present for this amount field.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
16	Member contribution	This will be the amount of the employee payroll contributions present in the schedule	Mandatory	15 (this includes 2 numeric characters after the decimal point)
Notes	0.00 will be the output if there is no amount for this field. There will not be any leading zeros present for this amount field.			

4.11.3 Trailer record

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
1	Record identifier	Trailer record identifier	Mandatory	1
Notes	T			
2	Total number of detailed records	Total number of worker records in the file	Mandatory	10
Notes	The number of records with record identifier 'D' should be the same as this value.			
3	Total employer contribution	This will be the total amount of employer contributions for all the worker records included in the file	Mandatory	15 (this includes 2 numeric characters after the decimal point)
Notes	0.00 will be the output if there is no amount for this field. There will not be any leading zeros present for this amount field.			
4	Total member contribution	This will be the total amount of worker contributions for all the worker records included in the file	Mandatory	15 (this includes 2 numeric characters after the decimal point)
Notes	0.00 will be the output if there is no amount for this field. There will not be any leading zeros present for this amount field.			

Field	Data field name	Description	Mandatory/optional	Maximum number of characters
5	Grand total contribution	This will be the total amount of worker and employer contributions for all the worker records included in the file. This will be sum of fields 3 and 4 in the trailer record	Mandatory	15 (this includes 2 numeric characters after the decimal point)
Notes	0.00 will be the output if there is no amount for this field. There will not be any leading zeros present for this amount field.			

5 Specifications for additional files issued with secure messages

This section explains more about the zipped CSV files that we'll send to your secure mailbox. These are issued to employers and delegates who have appropriate delegated access for the process. They're not available via SFTP.

Messages that include these files will only be sent to you when there's information for NEST to report on. We don't issue blank or empty files.

5.1 Opt-out file

Description:	<p>This zipped CSV file is sent with the secure message that includes the PDF letter 'Details of workers opting out of NEST'. If there are contributions that haven't been allocated to the worker's pot it will also include the opt-out contributions expected file described in 5.02 below. Employers using SFTP will also receive the opt-out file described in section 4.9 of this document.</p> <p>This will include opt-outs that have been received and processed on the previous business day through the NEST website, telephone opt-out or where the employer has processed a paper opt-out form.</p>
File name:	<p>OO_nnnnnnn.csv</p> <p>This is a random number and isn't related to your employer reference.</p>
File type:	CSV
File record length:	Variable record length
Data format	ASCII text format, zipped.

5.1.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Worker first name	Worker's forenames.	Mandatory
Notes			
2	Worker last name	Worker's surname.	Mandatory
Notes If opt-out was confirmed via a file the surname in this file will be as held on the record and not the entry supplied on the file you sent us.			
3	NI number, if provided	Worker's NI number.	Conditional: mandatory if the alternative unique identifier isn't present
Notes The worker's NI number as held by NEST on the worker's record.			
4	Alternative identifier, if provided	An alternative unique identifier that's required if the NI number isn't available. For example, staff worker number.	Conditional: mandatory if the NI number isn't present
Notes The alternative reference number as held by NEST on the worker's record.			
5	Date of birth	Worker's date of birth.	Mandatory
Notes This will be in the format YYYY-MM-DD.			
6	Type of enrolment	The enrolment code you used when enrolling the worker in NEST.	Mandatory
Notes Enrolment type values that will appear in this file are: <ul style="list-style-type: none"> • AE • OPTIN 			
7	Date opt-out notified to NEST	This will be the date when NEST received the opt-out notice.	Mandatory
Notes This will be in the format YYYY-MM-DD.			
8	Employer refund	This is the amount of employer contributions being refunded to you.	Mandatory
Notes If there's no amount for this field the output will be 0.00.			

Field	Data field name	Description	Mandatory/optional (for info only)
9	Worker refund	This is usually the amount of the worker payroll contributions received by NEST in respect of the enrolment up to the time the opt-out is successfully processed. That's the amount you must refund to the worker. For late opt-outs where contributions have been invested this is the refund amount NEST will return but you should refund the actual amount deducted from a worker's pay.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
10	Payment source	The payment source the member is attached to at the time the opt-out processing is completed.	Mandatory
Notes			
11	Group	The group the member is attached to at the time the opt-out processing is completed.	Mandatory
Notes			
Totals			
1	Total employer contribution refund amount	This will be the total amount of employer contributions being refunded to the employer for all the member records included in the file.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
2	Total member contribution refund amount	This will be the total amount of member contributions being refunded to the employer for all the member records included in the file.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
3	Total refund amount	This will be total amount of worker and employer contributions being refunded to the employer for all the worker records included in the file. This will be sum of fields 1 and 2 in the Totals section.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		

5.2 Opt-out contributions expected file

Description:	<p>This zipped CSV file is sent with the secure message that includes the PDF letter ‘Details of workers opting out of NEST’. It lists all members for whom contribution collection had started before the opt-out processing was completed, but where the contribution was not received at this time. The contribution amounts detailed in this file will be in addition to contributions detailed in the opt-out file described in section 4.9 and the CSV equivalent described in section 5.01.</p> <p>Direct Debit and debit card payments take several working days, so for these cases we know the payment is going to be received by NEST. This file will also include details of expected direct credit payments if the employer has approved a contribution schedule for payment but we haven’t received the payment at the time of opt-out. NEST may or may not receive the direct credit payment.</p> <p>The amounts will be refunded once received.</p> <p>The format of this file is different to that received by employers using SFTP who’ll also receive Opt-out contributions expected file 4.11 detailed earlier in this document.</p> <p>This will only be available where there are contributions expected.</p>
File name:	<p>OI_nnnnnnn.csv</p> <p>This is a random number and isn’t related to your employer reference.</p>
File type:	CSV
File record length:	Variable record length.
Data format	ASCII text format, zipped.

5.2.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Worker first name	Worker’s forenames.	Mandatory
Notes			
2	Worker last name	Worker’s surname.	Mandatory
Notes	If opt-out was confirmed via a file the surname in this file will be as held on the record and not the entry supplied on the file you sent us.		
3	NI number, if provided	Worker’s NI number.	Conditional: mandatory if the alternative unique identifier isn’t present
Notes	The NI number as held by NEST on the worker’s record.		

Field	Data field name	Description	Mandatory/optional (for info only)
4	Alternative identifier, if provided	An alternative unique identifier that's required if the NI number isn't available. For example, staff worker number.	Conditional: mandatory if the NI number isn't present
Notes	The alternative reference number as held by NEST on the worker's record.		
5	Date of birth	Worker's date of birth.	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
6	Payment source	The payment source of the schedule whose schedule reference number is provided in field 8.	Mandatory
Notes			
7	Group	The group the member is attached to at the time the opt-out processing is completed.	Mandatory
Notes			
8	Schedule reference number	The schedule reference number.	Mandatory
Notes	This is the same as the schedule reference number shown in the Manage schedule screen for that schedule.		
9	Earning period start date	Start date of the pay period to which the contribution relates.	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
10	Earning period end date	End date of the pay period to which the contribution relates.	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
11	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account.	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
12	Schedule generation date	The date the exception schedule was generated.	Mandatory for exception schedules
Notes	This will be in the format YYYY-MM-DD.		
13	Exception schedule reason	The reason the employer uploaded the exception schedule, as supplied on the input file.	Mandatory for exception schedules
Notes	A number between 1 and 18, where supplied.		

Field	Data field name	Description	Mandatory/optional (for info only)
14	Employer refund	The amount of employer contributions being refunded to you.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
15	Worker refund	The amount of the worker payroll contributions expected or received by NEST in respect of the enrolment up to the time the opt-out is successfully processed. That's the amount you must refund to the worker.	Conditional: mandatory if the NI number isn't present
Notes	If there's no amount for this field the output will be 0.00.		
Totals			
1	Total employer refund amount	The total amount of employer contributions expected to be refunded to the employer for all the member records included in the file.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
2	Total worker refund amount	The total amount of member contributions expected to be refunded to the employer for all the member records included in the file.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		
3	Total refund amount	The total amount of worker and employer contributions expected to be refunded to the employer for all the worker records included in the file. This will be sum of fields 1 and 2 in the totals section.	Mandatory
Notes	If there's no amount for this field the output will be 0.00.		

5.3 Opt-out or enrolment cancellation

Description:	<p>This zipped CSV file is embedded in the pdf we send to your secure mailbox with the message 'Details of workers opting out of NEST'. If there are contributions that haven't been allocated to the worker's pot it will also include the opt-out contributions expected file described in 5.02 below. Employers using SFTP will also receive the opt-out file described in section 4.9 of this document.</p> <p>This will include opt-outs that have been received and processed on the previous business day through the NEST website, telephone opt-out or where the employer has processed a paper opt-out form.</p>
File name:	<p>OO_nnnnnnn.csv</p> <p>This is a random number and isn't related to your employer reference.</p>
File type:	CSV
File record length:	Variable record length
Data format	ASCII text format, zipped.

5.3.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Worker first name	Worker's forenames.	Mandatory
Notes			
2	Worker last name	Worker's surname.	Mandatory
Notes	If opt-out or enrolment cancellation was confirmed via a file the surname in this file will be as held on the record and not the entry supplied on the file you sent us.		
3	NI number, if provided	Worker's NI number.	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an NI number for the worker.		
4	Alternative identifier, if provided	The alternative reference used to enrol a worker into NEST if their NI number wasn't provided. For example, staff worker number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an alternative identifier reference for the worker.		
5	Date of birth	Worker's date of birth	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
6	Type of	The enrolment code used when enrolling the worker	Mandatory

Field	Data field name	Description	Mandatory/optional (for info only)
	enrolment	in NEST	
Notes	Enrolment type values for the opt-out file are: <ul style="list-style-type: none"> • Auto enrolment • Opt-in Enrolment type values for the enrolment cancellation file are: <ul style="list-style-type: none"> • Auto enrolment • Opt-in • Without qualifying earnings • Voluntary • Others 		
7	Refund reason	The reason the money is being refunded	Mandatory
Notes	Refund reason values for this file are: <ul style="list-style-type: none"> • Member opt-out • Enrolment cancellation 		
8	Total refund amount	The value of the employer and employee contributions being refunded to you	Mandatory
Notes	This is the value of the employer and employee contributions being refunded to you.		
9	Payment source	The payment source the worker is attached to at the time the opt-out or enrolment cancellation processing is completed	Mandatory
Notes			

5.4 Direct Debit/credit card in-transit refund file

Description:	<p>This zipped CSV file details contributions made by Direct Debit/debit card that are being refunded following a worker's opt-out or enrolment cancellation. These in-transit contributions are ones you've sent to us that we haven't allocated to the worker's pot yet. It's sent with the secure message that includes the pdf letter 'You're due a refund'.</p> <p>The details of the opt-out contributions are included in the opt-out contributions expected file described in 5.02. Employers or delegates using SFTP may also have received the opt-out file described in section 4.9.</p> <p>This file will include refunds for opt-outs that have been received and processed on the previous business day and/or weekends or bank holidays (non-business days since the last business day) through the NEST website, telephone opt-out or where the employer has processed a paper opt-out form.</p>
File name:	<p>Opt-out version IROO_nnnnnnn.csv</p> <p>Enrolment cancellation version IRDE_nnnnnnn.csv</p> <p>This is a random number and isn't related to your employer reference.</p>
File type:	CSV
File record length:	Variable record length
Data format	ASCII text format, zipped

5.4.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Member first name	Worker's forenames	Mandatory
Notes			
2	Member last name	Worker's surname	Mandatory
Notes	If opt-out or enrolment cancellation was confirmed via a file the surname in this file will be as held on the record and not the entry supplied on the file you sent us.		
3	NI number, if provided	Worker's National Insurance number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an NI number for the worker.		
4	Alternative identifier (if provided)	The alternative reference used to enrol a worker into NEST if their NI number wasn't provided. For example, staff worker number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an alternative identifier reference for the worker.		
5	Date of birth	Worker's date of birth	Mandatory

Field	Data field name	Description	Mandatory/optional (for info only)
Notes	This will be in the format YYYY-MM-DD.		
6	Type of enrolment	The latest enrolment type	Mandatory
Notes	<p>Enrolment type values for the opt-out file are:</p> <ul style="list-style-type: none"> • Auto enrolment • Opt-in <p>Enrolment type values for the enrolment cancellation file are:</p> <ul style="list-style-type: none"> • Auto enrolment • Opt-in • Without qualifying earnings • Voluntary • Others 		
7	Refund reason	The reason the money is being refunded	Mandatory
Notes	<p>Refund reason values for this file are:</p> <ul style="list-style-type: none"> • Overpayment by Direct Debit/debit card for opt-outs • Overpayments by Direct Debit/debit card for cancelled enrolments. 		
8	Payment source	The payment source the worker is attached to at the time the opt-out or enrolment cancellation processing is completed	Mandatory
Notes			
9	Group	The group the worker is attached to at the time the opt-out or enrolment cancellation processing is completed	Mandatory
Notes			
10	Contribution schedule reference	The reference number of the contribution schedule that was submitted	Conditional: only produced for contribution schedules
Notes	This will be the same as the schedule reference number shown on the 'Manage schedule' screen for that contribution schedule.		
11	Exception schedule reference	The reference number of the exception schedule that was submitted	Conditional: only produced for exception schedules
Notes	This will be the same as the schedule reference number shown on the 'Manage schedule' screen for that exception schedule.		
12	Earning period start	Start date of the pay period to which the contribution relates	Conditional: only produced for contribution schedules

Field	Data field name	Description	Mandatory/optional (for info only)
	date		
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		
13	Earning period end date	End date of the pay period to which the contribution relates	Conditional: only produced for contribution schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		
14	Payment due date	Date by which all contributions on the schedule must be cleared in the NEST bank account	Conditional: only produced for contribution schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		
15	Exception schedule generation date	The date the exception schedule was created	Conditional: only produced for exception schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for exception schedules. For contribution schedules this field will be blank.		
16	Exception schedule reason	Reason for the exception schedule	Conditional: only produced for exception schedules
Notes	Please refer to the description of this field in Section 2.2 to understand the different values this field can take. This will only be populated for exception schedules. For contribution schedules this field will be blank.		
17	Employer refund amount	The value of employer contributions present in the schedule	Mandatory
Notes	If there's no amount for this field the output will be £0.00. There will not be any leading zeros present for this amount field.		
18	Member refund amount	This will be the value of the worker's refund	Mandatory
Notes	If there's no amount for this field the output will be £0.00. There will not be any leading zeros present for this amount field.		

5.5 Member no longer eligible for contributions refund file

Description:	This zipped CSV file details contributions being refunded as a result of a worker no longer being eligible for contributions, for example in the event of retirement or death. It's sent with the secure message that includes the pdf letter 'You're due a refund'.
File name:	IE_nnnnnnn.csv This is a random number and isn't related to your employer reference.
File type:	CSV
File record length:	Variable record length
Data format	ASCII text format, zipped

5.5.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Member first name	Worker's forenames	Mandatory
Notes			
2	Member last name	Worker's surname	Mandatory
Notes	Last name in this file will be as held on the record.		
3	NI number, if provided	Worker's National Insurance number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an NI number for the worker.		
4	Alternative identifier (if provided)	The alternative reference used to enrol a worker into NEST if their NI number wasn't provided. For example, staff worker number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an alternative identifier for the worker.		
5	Date of birth	Worker's date of birth	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
6	Type of enrolment	The latest enrolment code used for the worker	Mandatory
Notes	Enrolment type values for this file are: <ul style="list-style-type: none"> • Auto enrolment • Opt-in • Without qualifying earnings • Voluntary • Others 		

Field	Data field name	Description	Mandatory/optional (for info only)
7	Refund reason	The reason the money is being refunded	Mandatory
Notes	The refund reason value for this file is: <ul style="list-style-type: none"> • Member no longer eligible for contributions 		
8	Payment source	The payment source used at the time you submitted the contribution schedule	Mandatory
Notes			
9	Group	The group the worker is attached to at the time the at the time the payment was received	Mandatory
Notes			
10	Contribution schedule reference	The reference number of the contribution schedule that was submitted	Conditional: only produced for contribution schedules
Notes	This will be the same as the schedule reference number shown on the 'Manage schedule' screen for that contribution schedule.		
11	Exception schedule reference	The reference number of the exception schedule that is to be submitted	Conditional: only produced for exception schedules
Notes	This will be the same as the schedule reference number shown on the 'Manage schedule' screen for that exception schedule.		
12	Earning period start date	Start date of the pay period to which the contribution relates	Conditional: only produced for contribution schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		
13	Earning period end date	End date of the pay period to which the contribution relates	Conditional: only produced for contribution schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		
14	Payment due date	Date by which all contributions on the schedule must be cleared in NEST's bank account	Conditional: only produced for contribution schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for regular contribution schedules. For exception schedules this field will be blank.		

Field	Data field name	Description	Mandatory/optional (for info only)
15	Exception schedule generation date	The date the exception schedule was created	Conditional: only produced for exception schedules
Notes	This will be in the format YYYY-MM-DD. This will only be populated for exception schedules. For contribution schedules this field will be blank.		
16	Exception schedule reason	Reason for the exception schedule	Conditional: only produced for exception schedules
Notes	Please refer to the description of this field in Section 2.2 to understand the different values this field can take. This will only be populated for exception schedules. For contribution schedules this field will be blank.		
17	Employer refund amount	The value of employer contributions present in the schedule	Mandatory
Notes	If there's no amount for this field the output will be £0.00. There will not be any leading zeros present for this amount field.		
18	Member refund amount	This will be the value of the worker's refund	Mandatory
Notes	If there's no amount for this field the output will be £0.00. There will not be any leading zeros present for this amount field.		

5.6 Contribution correction refund

Description:	This zipped CSV file is produced if there are contributions that have been corrected which result in a refund being required. The refund amounts for each contribution schedule are detailed here. It's sent with the secure message that includes the pdf letter 'You're due a refund'.
File name:	CC_nnnnnnn.csv This is a random number and isn't related to your employer reference.
File type:	CSV
File record length:	Variable record length
Data format	ASCII text format, zipped

5.6.1 File details

Field	Data field name	Description	Mandatory/optional (for info only)
1	Member first name	Worker's forenames	Mandatory
Notes			
2	Member last name	Worker's surname	Mandatory
Notes	Last name in this file will be as held on the record.		
3	NI number (if provided)	Worker's National Insurance number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an NI number for the worker.		
4	Alternative identifier (if provided)	The alternative reference used to enrol a worker into NEST if their NI number wasn't provided. For example, staff worker number	Conditional: mandatory if NEST holds this information in a worker's record
Notes	This will always be output when NEST holds an alternative identifier reference for the worker.		
5	Date of birth	Worker's date of birth	Mandatory
Notes	This will be in the format YYYY-MM-DD.		
6	Refund reason	The reason the money is being refunded	Mandatory
Notes	The refund reason value for this file is: Annual contribution limit (ACL) overpayment.		

Field	Data field name	Description	Mandatory/optional (for info only)
7	Payment source	The payment source used at the time you submitted the contribution schedule	Mandatory
Notes			
8	Refund amount	The value of employer contributions being refunded	Mandatory
Notes	There will not be any leading zeros present for this amount field.		

6 Appendix

6.1 Valid NI number formats

The NI Number is validated as per HMRC standards.

- a. Must be nine characters.
- b. First two characters must be alpha.
- c. Next six characters must be numeric.
- d. The last character must be any one of A, B, C, D.
- e. First two characters will be as per Table 1.

(hmrc.gov.uk/payee/payroll/year-end/errors.htm)

First letter	Valid NI number prefixes
A	AA, AB, AE, AH, AK, AL, AM, AP, AR, AS, AT, AW, AX, AY, AZ
B	BA, BB, BE, BH, BK, BL, BM, BT
C	CA, CB, CE, CH, CK, CL, CR
E	EA, EB, EE, EH, EK, EL, EM, EP, ER, ES, ET, EW, EX, EY, EZ
G	GY
H	HA, HB, HE, HH, HK, HL, HM, HP, HR, HS, HT, HW, HX, HY, HZ
J	JA, JB, JC, JE, JG, JH, JJ, JK, JL, JM, JN, JP, JR, JS, JT, JW, JX, JY, JZ
K	KA, KB, KC, KE, KH, KK, KL, KM, KP, KR, KS, KT, KW, KX, KY, KZ
L	LA, LB, LE, LH, LK, LL, LM, LP, LR, LS, LT, LW, LX, LY, LZ
M	MA, MW, MX
N	NA, NB, NE, NH, NL, NM, NP, NR, NS, NW, NX, NY, NZ
O	OA, OB, OE, OH, OK, OL, OM, OP, OR, OS, OX
P	PA, PB, PC, PE, PG, PH, PJ, PK, PL, PM, PN, PP, PR, PS, PT, PW, PX, PY
R	RA, RB, RE, RH, RK, RM, RP, RR, RS, RT, RW, RX, RY, RZ
S	SA, SB, SC, SE, SG, SH, SJ, SK, SL, SM, SN, SP, SR, SS, ST, SW, SX, SY, SZ
T	TA, TB, TE, TH, TK, TL, TM, TP, TR, TS, TT, TW, TX, TY, TZ
W	WA, WB, WE, WK, WL, WM, WP
Y	YA, YB, YE, YH, YK, YL, YM, YP, YR, YS, YT, YW, YX, YY, YZ
Z	ZA, ZB, ZE, ZH, ZK, ZL, ZM, ZP, ZR, ZS, ZT, ZW, ZX, ZY

6.2 Valid country names

When you give NEST a worker's address we accept the following country names. The entry must be provided exactly as shown.

Country names				
Afghanistan	Bolivia	Congo	French Polynesia	Iceland
Aland Islands	Bonaire Sint Eustatius and Saba	Cook Islands	French Southern Territories	India
Albania	Bosnia and Herzegovina	Costa Rica	Gabon	Indonesia
Algeria	Botswana	Croatia	Gambia	Iran
American Samoa	Bouvet Island	Cuba	Georgia	Iraq
Andorra	Brazil	Curacao	Germany	Ireland
Angola	British Indian Ocean Territory	Cyprus	Ghana	Israel
Anguilla	British Virgin Islands	Czech Republic	Gibraltar	Italy
Antarctica	Brunei	Denmark	Greece	Ivory Coast
Antigua and Barbuda	Bulgaria	Djibouti	Greenland	Jamaica
Argentina	Burkina Faso	Dominica	Grenada	Japan
Armenia	Burundi	Dominican Republic	Guadeloupe	Jordan
Aruba	Cambodia	Ecuador	Guam	Kazakhstan
Australia	Cameroon	Egypt	Guatemala	Kenya
Austria	Canada	El Salvador	Guinea	Kiribati
Azerbaijan	Cape Verde	Equatorial Guinea	Guinea-Bissau	Kuwait
Bahamas	Cayman Islands	Eritrea	Guyana	Kyrgyzstan
Bahrain	Central African Republic	Estonia	Haiti	Laos
Bangladesh	Chad	Ethiopia	Heard Island and Mcdonald Islands	Latvia
Barbados	Chile	Falkland Islands	Honduras	Lebanon
Belarus	China	Faroe Islands	Hong Kong	Liberia
Belgium	Christmas Island	Fiji	Hungary	Libya
Belize	Cocos (Keeling) Islands	Finland	Iceland	Liechtenstein
Benin	Colombia	France	India	Lithuania

Bermuda	Comoros	French Guiana	Hungary	Luxembourg
Macao	New Zealand	Russian Federation	Sudan	United States Minor Outlying Islands
Madagascar	Nicaragua	Rwanda	Suriname	Uruguay
Malawi	Niger	Saint Barthelemy	Svalbard and Jan Mayen	Uzbekistan
Malaysia	Nigeria	Saint Helena Ascension and Tristian Da Cunha	Swaziland	Vanuatu
Maldives	Niue	Saint Kitts and Nevis	Sweden	Vietnam
Mali	Norfolk Island	Saint Lucia	Switzerland	Wallis and Futuna
Malta	Northern Mariana Islands	Saint Martin (French part)	Syria	Western Sahara
Marshall Islands	Norway	Saint Pierre and Miquelon	Taiwan	Yemen
Martinique	Oman	Saint Vincent and the Grenadines	Tajikistan	Zambia
Mauritania	Pakistan	Samoa	Tanzania	Zimbabwe
Mauritius	Palau	San Marino	Thailand	
Mayotte	Palestine	Sao Tome and Principe	The Democratic Republic of The Congo	
Mexico	Panama	Saudi Arabia	The Netherlands	
Monaco	Papua New Guinea	Senegal	Togo	
Mongolia	Paraguay	Serbia	Tokelau	
Montenegro	Peru	Seychelles	Tonga	
Montserrat	Philippines	Sierra Leone	Trinidad and Tobago	
Morocco	Pitcairn	Singapore	Tunisia	
Mozambique	Poland	Sint Maarten (Dutch part)	Turkey	
Myanmar	Portugal	Slovak Republic	Turkmenistan	
Namibia	Puerto Rico	Slovenia	Turks & Caicos Islands	
Nauru	Qatar	Solomon Islands	Tuvalu	
Nepal	Republic of Korea	Somalia	Uganda	
Netherlands	Reunion	South Africa	Ukraine	
New Caledonia	Romania	South Georgia and the South Sandwich Islands	United Arab Emirates	

Sri Lanka	Spain	United States
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6.3 Valid filename characters

Character	Description
0123456789	The 10 numeric characters
ABCDEFGHIJKLMNOPQRSTUVWXYZ	The 26 letters of the alphabet (upper case)
abcdefghijklmnopqrstuvwxyz	The 26 letters of the alphabet (lower case)
\$	Dollar
(Open parentheses / round bracket
)	Closing parentheses / round bracket
[Opening square bracket
]	Closing square bracket
{	Opening brace / curly bracket
}	Closing brace / curly bracket
-	Hyphen/Minus
+	Plus
.	Full stop
	Space Consecutive spaces in file names are allowed but if it is present before or after the file name then the file will not be processed. Examples for invalid file names with spaces before/after file name are, file name within the brackets are: [test123.csv], [test123.csv], [test123.csv]
_	Underscore/low line

6.4 Acceptable characters

Below is a list of the acceptable characters for name and address fields, Alternative Unique Identifier, Payment Source name and Group name.

Character	Description
1234567890	The 10 numeric characters
ABCDEFGHIJKLMNOPQRSTUVWXYZ	The 26 letters of the alphabet (upper case)
abcdefghijklmnopqrstuvwxyz	The 26 letters of the alphabet (lower case)
“	Quotation mark (straight)
‘	Single straight quotation mark/apostrophe
#	Number/Hash
\$	Dollar
%	Percent
&	Ampersand
(Open parentheses / round bracket
)	Closing parentheses / round bracket
[Opening square bracket
]	Closing square bracket
{	Opening brace / curly bracket
}	Closing brace / curly bracket
-	Hyphen/Minus
*	Asterisk
+	Plus
.	Full stop
:	Colon
\	Backslash/solidus
/	Slash/solidus
=	Equals
?	Question mark
@	At symbol
	Space
!	Exclamation mark
_	Underscore/low line

Note:

1. For Alternative Unique Identifier, Payment Source name and Group name the leading and trailing spaces for the data fields would be removed and not stored in the system. No restriction on the number of consecutive spaces between the leading and trailing non space characters.
2. For forename, middle name, last name, blank, Address Line 1, Address Line 2, Address Line 3, Town / City and County the leading and trailing spaces for the data fields would be removed and not stored in the system. For consecutive spaces between the leading and trailing non space characters, refer to individual field validations.

7 About this version

Version and date	What's changed
5.0 04 April 2014	<ul style="list-style-type: none"> • Updated following NEST's April service update release <p>Enrolling workers</p> <ul style="list-style-type: none"> • There are no changes to the data NEST requires when enrolling workers. <p>Cancelling an enrolment (also known as de-enrolling)</p> <ul style="list-style-type: none"> • We're consolidating all messages about enrolment cancellations into one daily message. It'll contain a CSV file listing all members whose enrolment we cancelled that day. • We'll send a new CSV file of 'expected contributions' to secure mailboxes. The file will contain a breakdown of the contributions we expect to be returned from workers who cancelled their enrolment after the contribution payment process had begun but before the money was allocated to their record. • We'll let you know about refunds of contributions for the opt-out or enrolment cancellation scenarios described above in a new PDF email attachment. If the employer is using a delegate, they'll receive a CSV file instead. The data on the file is similar to the two opt-out CSV files above, but don't contain the group the member belongs to. <p>Submitting a contribution schedule</p> <ul style="list-style-type: none"> • Reason 2 - Member is temporarily absent - we're not using this reason code anymore. However, if you enter it this code will be accepted as before. • Reason 12 - Change of payment source and group - this is a new code that allows you to change a member's payment source and group in the same contribution schedule, which you couldn't do before. • Effective dates - we've improved the system of effective dates. In many scenarios the effective date is no longer needed and will be ignored if provided. Please note that if you continue to populate the effective date fields - field 10 on the contribution schedule - as usual, the system will accept the date. <p>Additional file specifications</p> <ul style="list-style-type: none"> • Opt-outs - return files - you'll now receive lists of members who opted out as CSV files instead of PDF attachments. This will go straight to secure mailboxes. We're also sending a new CSV file of 'expected contributions' to secure mailboxes. The file will contain a breakdown of the contributions we expect to be returned from workers who completed the opt-out process after the contribution payment process had begun but before the money was allocated to the worker's record. • Opt-outs - SFTP return file - following feedback on our communications we've amended the opt-out return file to include payment sources and groups. We've also extended the trailer record to include three new 'total' fields. Total employer contribution refund, Total member contribution refund and Grand total of contribution refund. <p>Successful contributions/payment submission file</p> <ul style="list-style-type: none"> • We've extended the trailer record to include a new field containing the total members in this schedule that the employer still needs to provide contribution and earnings data for.

New return files

We've created additional return files:

- A file that's submitted daily with details of contributions we expect to be returned for workers who completed the opt-out process after the contribution payment process had begun, but before the money was allocated to the worker's record.
- Two new files that are submitted daily, covering:

Details of refunds after opt outs, where the payment method is either Direct Debit or debit card. The data is broken down by worker and schedule.

Additional file specifications

- Opt-outs - return files - you'll now receive lists of members who opted out as CSV files instead of PDF attachments. This will go straight to secure mailboxes. We're also sending a new CSV file of 'expected contributions' to secure mailboxes. The file will contain a breakdown of the contributions we expect to be returned from workers who completed the opt-out process after the contribution payment process had begun but before the money was allocated to the worker's record.
- Opt-outs - SFTP return file - following feedback on our communications we've amended the opt-out return file to include payment sources and groups. We've also extended the trailer record to include three new 'total' fields. Total employer contribution refund, Total member contribution refund and Grand total of contribution refund.

Successful contributions/payment submission file

- We've extended the trailer record to include a new field containing the total members in this schedule that the employer still needs to provide contribution and earnings data for.

New return files

We've created additional return files:

- A file that's submitted daily with details of contributions we expect to be returned for workers who completed the opt-out process after the contribution payment process had begun, but before the money was allocated to the worker's record.
- Two new files that are submitted daily, covering:
- Details of refunds after opt outs, where the payment method is either Direct Debit or debit card. The data is broken down by worker and schedule.

6.0 09 July
2014

- We've made the description of the processing times for enrolments and contributions clearer.
- We've made the guidance in section 3.1.5, 'Corrections after paying', clearer. We've clarified the guidance on the data that can be amended when correcting contributions using a file.
- We've made the guidance on using reason codes 6 and 12 in fields 9 and 10 clearer.
- We've made the guidance on using reason codes 7 and 8 in fields 14, 15 and 16 clearer.
- We've made small changes to the introduction in section 4 'Additional file specification for use with file transfer'.
- We've made small changes to the description of 'Opt-out file' in section 4.9.
- We've made small changes to the description of 'Opt-out contributions expected file' in section 4.11.
- We've made small changes to the description of 'Refunded Direct Debit/debit card contribution files' in section 4.12.

- We've added a new section 5, 'Additional file specifications issued by secure message' detailing three new CSV files that we'll send to your secure mailbox.
- We've added a new section 6.3, 'Valid filename characters'.

7.0	09 September 2014	<p>Deleted return files</p> <p>We've removed two return files:</p> <ul style="list-style-type: none"> • The Refunded Direct Debit/debit card contributions file from section 4 'Additional file specifications issued by file transfer'. • The Refunded Direct Debit/debit card contribution files CSV version from section 5 'Additional file specifications issued by securemessage'. <p>New file specification</p> <p>We've added five new files to section 5 'Specifications for additional files issued with secure messages':</p> <ul style="list-style-type: none"> • 5.3 Opt-out or enrolment cancellation refund file • 5.4 Direct Debit/debit card in-transit refund file • 5.5 Member no longer eligible for contributions refund file • 5.6 Contribution correction refund • 5.7 Annual contribution limit breach file.
8.0	03 November 2014	<p>Additional guidance on:</p> <ul style="list-style-type: none"> • checking your file before sending it to us (section 1.2) • earnings period end dates • National Insurance numbers • groups and payment sources • reasons for partial or non-payment of contributions.
9.0	15 December 2014	<ul style="list-style-type: none"> • The system has been corrected so that files which have a file name length of 150 characters is accepted. The payroll guide has been updated to reflect this change and specifies that we can now accept file names of no more 150 characters.
10.0	05 February 2015	<ul style="list-style-type: none"> • We have extended the list of acceptable characters allowed in name and address fields, Alternative Unique ID, Group name and Payment source names.
11.0	28 September 2015	<ul style="list-style-type: none"> • We have introduced two new payment frequencies- Tax Weekly and Tax Monthly. • Fields that were previously mandatory in the detailed record of 2.1 have been made optional. These fields are: <i>information about worker enrolment received</i> <i>group</i> <i>payment source.</i> • Reason codes 1, 4 and 11 have been combined into a single reason code. This reason code '1' will now mean 'no further contributions payable'. • We have introduced a bulk update indicator which allows you to tell us if there are no contributions due for multiple members with insufficient earnings.

11.1	07 March 2015	Maximum length of file name for input files changed to 150 characters
12.0	03 Sep 2016	National Insurance number (NINO) KC is now accepted as a valid NINO prefix
13.0	19 Dec 2019	Section 2.1.3 and section 3.1.4 updated for SR18 - 1806 - Employer Enhancements As part of this change, indicative file processing time for file upload for ME and CS via scheme website (50-999 records) and SFTP (0-999 records) updated to less than one hour from 2 hours.

We keep changes to a minimum

NEST's online accounts mean you and your delegates can do almost everything you need to online.

Sometimes we'll need to make changes to our file templates because of things outside our control, such as regulatory changes. If that happens we'll make sure we minimise disruption and we'll give you plenty of time to start using the new templates.

Future service releases

Future service releases will include new functionality for both you and your members. The changes will usually be introduced in two or three service releases each year. You shouldn't need to change anything but we'll let you know in advance if you do.

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