

**CASCADE HR Data
Template
For Auto Enrolment
User Guide**

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Contents

| | |
|----------------------------------|---|
| Introduction | 3 |
| Field Types | 3 |
| Tool Tips..... | 3 |
| Data Sorting and Filtering | 4 |
| System Lists | 4 |
| Help & Assistance | 4 |
| PRP Calendars | 4 |
| Auto Enrolment Profiles | 5 |
| Employee Auto Enrolment..... | 6 |
| Employee assessments | 7 |
| Employee Dates (EJH) | 7 |
| Employee Dates (JH) | 8 |
| Employee Dates (EW) | 9 |

Introduction

This document is a guide to help you to populate the Auto Enrolment Already Staged data template. This template will be provided by Cascade HR to customers who are migrating their Auto Enrolment solution to the Cascade product, having already passed staging with an alternative solution.

It is very important this document is referred to when populating the data template. Any assumptions made may result in the Cascade system working differently than you thought. This may result in substantial time being spent by you correcting issues.

There are multiple data sheets for you to populate. The key below details how to identify which columns and sheets are mandatory:

| | | |
|------------------------------|-------------|--|
| Column Key | | |
| Mandatory | Orange | Must always contain an entry |
| Mandatory (with blanks) | Yellow | Must have an entry where applicable |
| Optional | White/Blank | These fields are optional |
| | | |
| Work Sheet Key | | |
| Mandatory | Orange | These sheets must be filled in |
| Mandatory (where applicable) | Yellow | These sheets must have an entry where applicable |
| Optional | White/Blank | These sheets are optional |

Field Types

All fields have a 'type' associated to them. These types must be conformed to and they are outlined below. Each field type is detailed at the top of each column.

Text

Any character can be added into this field. The amounts of characters that are allowed in a text field are limited to 3, 50 or 1000 characters. Any extra characters added will be removed to meet the limit of the field.

Numeric

Enter numbers only in this field. You can enter decimal places but not commas or symbols.

Integer

Enter whole numbers only in this field. You cannot enter decimal places, commas or symbols.

Date

All dates must be in the format dd/MM/yyyy e.g.: 01/01/2020, not 01/01/20. **Yes/No**

Must only contain the word Yes or No. If left blank it will default to No.

Tool Tips

In the column headers on each data sheet, you will see a small red triangle in the corner of the field name. This is a tool tip. Hold the cursor over the field you will see a text box appear; indicating what data is required in that column. Please ensure you review this information as you complete each field.

Data Sorting and Filtering

You must not change the field names in the column headers or the order in which they appear, as this will affect the data review and data transfer and you may incur an additional cost for rectifying and completing your transfer.

If you wish to change the field name, you can easily change this in Cascade at a later date, using the Screen and Database Customiser tool (if you have purchased this functionality).

You can perform data sorts and filtering on your data in all the worksheets but please ensure that you don't include the column headers.

System Lists

When populating some of the columns with a 'Text' field type, you will be creating a system list (drop-down menu) within Cascade.

Try and be as accurate and consistent with your spelling/wording as possible so that the system lists in Cascade are kept tidy. However, you can easily edit system lists in Cascade at a later date.

There are columns that create system lists on each data sheet. Read the tool tip for each column as it will be noted there if it will create a system list or not. Examples of the incorrect and correct way of creating system lists are below:

Help & Assistance

This document should answer any questions you may have in relation to the data template. Also please remember the tool tips on each field in the template.

Should you still need assistance you can contact your project manager or email the Technical Services Team:

TechnicalServices@cascadehr.co.uk

Any questions relating to your data specifically should be raised with your current auto enrolment supplier or The Pensions Regulator.

We hope you have found this guide useful in helping you populate the Cascade Data Template.

PRP Calendars

This sheet is mandatory.

Before we transfer the Employee-level data into Cascade, we need to set up your pay reference periods in the administration section of Cascade.

A pay reference period (PRP) is the period of time that earnings and contributions are measured for automatic enrolment purposes. This can either be aligned to the Tax Period, or a corresponding calendar period.

For example, the Tax Month may run from the 6th April to the 5th April, and the pay date must be before 5th April. However, the payment made on this date might be “for” the work done between the 1st April and 30th April. In this scenario, either of the following ranges would be valid:

- 1st to the End of the Month
- 6th to the 5th of the next month

Similar logic can be applied to weekly, fortnightly, and lunar payroll pay frequencies.

You will require at least one row for each Pay Frequency in your Payroll, and multiple rows if you use different Pay Reference Periods for different members of staff.

Each row will require a different “Friendly Name”.

The Cut Off Date rule controls the latest point in the PRP at which an Opt In can be registered, before it will have to be processed in the next PRP.

If you require additional assistance completing this sheet then please contact your project manager.

Auto Enrolment Profiles

This sheet is mandatory.

Before we transfer your data into Cascade, we need to set up your auto enrolment profiles in the administration section of Cascade.

Auto Enrolment Profiles are unique for a given combination of:

- Staging Date
- Pay Reference Period

You may have multiple Staging Dates if you have component businesses that staged at different times.

You will need to enter a row on this sheet per Staging Date, and per PRP Calendar on the previous sheet.

The Re-Enrolment Date be populated with the date you plan to Re-Enrol any employees who have Opted Out or Ceased Contributions after being enrolled.

The Db/Phasing Period End Date is only applicable if you have a prior Defined Benefit pension scheme that is being phased out due to Auto Enrolment.

The Postponement End Date is only applicable if you decided to postpone assessment of employees for the 3month period following your Staging date.

If you require assistance completing this sheet then please contact your project manager.

Employee Auto Enrolment

This sheet is mandatory.

All the employees from your HR system should be included on this tab.

Employee ID:

The Employee ID should be the ID used on the MAIN screen in Cascade. This is the unique identifier used to build the employee record.

The data template refers to Employees by their ID numbers only and not their names, so it's vital that the ID number you enter correlates to the correct employee that you are entering data for.

Exclude Employee:

This is used to prevent the Auto Enrolment module from assessing specific types of employees that are not subject to Auto Enrolment legislation; specifically, employees who are not workers. You should only use this if you know that under TPR guidance, the employee is not a Worker and should never be assessed.

Auto Enrolment Profile:

All employees who are not Excluded should be assigned an Auto Enrolment Profile from the previous sheet. This indicates:

- Their PRP
- The Staging Date from which they should have been assessed each PRP - Their Re-Enrolment Date

You must enter the profile name that you defined on the configuration sheet.

Already a Member (Prior to Staging):

If an employee was already a member of a qualifying scheme when your company staged (and has remained in one since that date), then you may not have any assessment records for them.

Setting this to "Yes" indicates that the employee was already a member of a qualifying scheme, and tells the system not to expect any assessment history, or to assess them.

Qualifying Pension Scheme Name:

For employees who have 'Yes' against 'is a member' above, this is the scheme name. This will become a system list, and if you are using Cascade Payroll, the names should match the names of your schemes in the payroll system. This field is not required if the employee was not already a member of a scheme.

Scheme Join Date:

For employees who have 'Yes' against 'is a member' above, this is the date that they became a member of the scheme. This field is not required if the employee was not already a member of a scheme.

Is On DB Hybrid Scheme:

Set to 'Yes' if the employee is currently on a DB or Hybrids scheme, and you are taking advantage of the specific rules around postponing on this basis. If you are unsure, contact TPR or your pension provider.

If you require assistance completing this sheet, then please contact your project manager.

Employee assessments

This sheet is mandatory for employees who are not:

- Marked as Excluded
- Marked as “Already a Member (Prior to Staging)”

We require the most recent assessment for your employees which determined their current worker status and type.

We can also accept historic assessments, although these are less crucial than the most recent assessment.

Employee ID:

The Employee ID should be the ID used on the MAIN screen in Cascade. This is the unique identifier used to build the employee record.

All employees who are not Excluded from Auto Enrolment or marked as Already a Member should be included on this sheet.

Assessment Date:

Rather than the date the assessment took place, this should be the date the assessment was effective from. For example, the Start of the PRP.

Qualifying Earnings:

The qualifying earnings that, during the assessment, were used to determine the Assessment Result.

Assessment Result (Worker Type):

The outcome of the assessment will determine if the employee one of the following:

- Eligible Jobholder
- Non-Eligible Jobholder
- Entitled Worker
- Non-Entitled Worker

One of the above assessment outcomes is what needs to be entered in this field. This is known as the “Worker Type”.

If you require assistance completing this sheet, then please contact your project manager.

Employee Dates (EJH)

This sheet is mandatory for employees who, on the “Employee Assessment” sheet, have an assessment outcome of “**Eligible Jobholder**”.

Employee ID:

All employees who on the “Employee Assessment” sheet who have an assessment outcome of “Eligible Jobholder” should be included on this sheet, as many times as they have that outcome.

Assessment Date:

The Assessment Date from “Employee Assessments” for this Employee ID, that had an assessment outcome of “Eligible Jobholder”.

Auto Enrolment Information Delivered (D3):

The employer must inform the Eligible Jobholder of their Worker Type and inform them that they are due to be enrolled. This is the date that information was delivered to the employee.

Active Membership Completed (D5):

This is the date on which the administrative steps for creating active membership have been achieved following automatic enrolment, i.e the date the employee was actually put onto the scheme.

Qualifying Scheme Name:

The name of the qualifying scheme onto which the employee was enrolled.

Commencement Of Contributions Date (C16):

The contributions date is the date from which the calculation and deduction of contributions begin. This will typically be the start of the PRP in which they were enrolled.

Auto Enrolment Date (C14):

This is the later of:

- Auto Enrolment Information Delivered (D3)
- Commencement of Contributions Date (C16)

Opt Out Window Start (E3):

This is the start of the Opt Out Window for Eligible Jobholders. This will typically be the same date as the Auto Enrolment Date.

Opt Out Window End (E4):

This is the end of the Opt Out Window for Eligible Jobholders. This will be 30 days after the start of the opt out window.

Opt Out Date (B10):

Following automatic enrolment an Eligible Jobholder is permitted to Opt Out within a specified period. This is the date that Opt-Out notice was received.

You must supply this if the employee has ended their pension within the opt out period.

Date of Cessation of Active Membership (B11):

When a worker chooses to stop contributing to their pension scheme after the opt-out period has expired.

You must supply this if the employee ended their pension outside the opt out window.

Employee Dates (JH)

This sheet is mandatory for employees who, on the “Employee Assessment” sheet, have an assessment outcome of “Non-Eligible Jobholder”.

Employee ID:

All employees who on the “Employee Assessment” sheet who have an assessment outcome of “Non-Eligible Jobholder” should be included on this sheet, as many times as they have that outcome.

Assessment Date:

The Assessment Date from “Employee Assessments” for this Employee ID, that had an assessment outcome of “Non-Eligible Jobholder”.

Opt In Date (B9):

Non-Eligible Jobholders have a Right to Opt In to a Qualifying scheme. If the employee – having been found to be a Non-Eligible Jobholder and informed of this fact – has Opted In, then this is the date they provided you with notice.

You must supply this if the employee has Opted In to a Pension.

Qualifying Scheme Name:

The name of the qualifying scheme onto which the employee was enrolled after Opting In ***You must supply this if the employee has Opted In to a Pension.***

Date of Cessation of Active Membership (B11):

When a worker chooses to stop contributing to their pension scheme after Opting in.

You must supply this if the employee ended their pension after Opting In.

Employee Dates (EW)

This sheet is mandatory for employees who, on the “Employee Assessment” sheet, have an assessment outcome of “**Entitled Worker**”.

Employee ID:

All employees who on the “Employee Assessment” sheet who have an assessment outcome of “Entitled Worker” should be included on this sheet, as many times as they have that outcome.

Assessment Date:

The Assessment Date from “Employee Assessments” for this Employee ID, that had an assessment outcome of “Entitled Worker”.

Request to Join Date (B12):

Entitled Workers have the right to Request to Join a qualifying scheme. If the employee – having been found to be an Entitled Worker and informed of this fact – has Requested to Join, then this is the date they provided you with notice.

You must supply this if the employee has Requested to Join a Pension.

Qualifying Scheme Name:

The name of the qualifying scheme onto which the employee was enrolled after Requesting to Join.

You must supply this if the employee has Requested to Join a Pension **Date of**

Cessation of Active Membership (B11):

When a worker chooses to stop contributing to their pension scheme after requesting to join.

You must supply this if the employee ended their pension after Requesting to Join a Pension.