

Employer, trustee and advisor use only.

Automatic enrolment assessment file user guide

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Overview

The Aviva automatic enrolment technology requires you to submit an assessment file for all employees for every pay reference period. The quality of the output is reliant upon the quality of the data you supply in your assessment file. You should build your file exactly to the required specification we outline below.

You'll need to ensure the person in your organisation who's responsible for the creation of your assessment files receives the information in this guide.

Please ensure that you review all sections in this guide. This will help you to fully understand the processing requirements for your assessment file, which will prevent the failure of the validation and assessment process.

Creating your assessment file

It's critical that you only include the employee data as specified within this guide; failure to do so means we won't be able to assess the workers in your file.

The data you provide in your assessment file must be accurate and meet the field, data rules and formats as listed below. If errors are identified in your file you'll need to rectify the incorrect data before the assessment process can be completed.

We recommend you perform a data validation check of your worker records prior to your duty start date to ensure your information is accurate. Aviva doesn't offer a data correction service.

Your assessment file must include all the data column headers listed in this guide and must remain the same every month. Ideally the data columns should be provided in the order listed in this guide.

All data column headers will be required in your assessment file even if the content of the column is blank.

The data column headers must be provided in the first row of the data file. No blank rows or other data can come above the column headers.

The column heading names must not contain any additional (double) spaces before, after or between the words which make up the heading name.

Double or treble spaces must not be included anywhere in your assessment file data.

Care must be taken when using the hyphen (-) in each of the column headings of the four lines of address. Sometimes a hyphen will change to a dash (–) when spaces are added after the hyphen. If the hyphen has changed to a dash you must remove the dash and replace with a hyphen otherwise the validation of your file will fail.

Value and percentage fields can't be negative.

All currency numbers must be in pounds and pence.

All percentages are limited to two decimal places.

All date fields must be in the format DD/MM/YYYY.

There must not be any spaces added as prefixes or suffixes to either data column headers or data elements within the file.

Your assessment file must be saved in .csv format.

The file name can't contain a " (full stop) other than before the file type suffix (i.e. ".csv").

The following characters must **not** be used in the member data fields but can be used in the column headings within your assessment file:

* \$ £ # ~ , ? | : & ^ “ ! ¬ ` () []
{ } = + ; < > - € ª á Ñ í é Ç ó ú š C
r ž ý u ü ñ °

Please don't use bold or coloured text in your assessment file as this will cause the validation of your file to fail.

You must supply a separate assessment file for each payroll frequency, e.g. monthly and weekly paid workers can't be processed in the same data file.

Naming your assessment file

We recommend that all your assessment files submitted are uniquely named in order to avoid confusion.

We recommend that you name your assessment files using the following structure:

Company Name, Pay Frequency, Month, Version.csv; example: ABC Company Weekly August 2.csv

What your assessment file must contain

Your assessment file must contain all of your workers who could be automatically enrolled into your Aviva scheme(s) every pay period. This should include:

- a. All members of the scheme
- b. All workers not in the scheme or who've opted out

When a worker leaves your employment for any reason the date they left must be reported within your assessment file for the pay period in which they left. This will ensure contributions are correctly and promptly ceased.

All new hires should be included in your first assessment file of their employment. If this isn't possible you must include the new hires in the next assessment file. Where a new hire is missed from an assessment file all data for previous pay periods must be submitted before the current pay period data is submitted.

Example: If a worker joins in January but you don't submit any data for that worker until March, you must submit January and February data for the worker to Aviva before you submit your March assessment file.

The assessment file must contain the final earnings figures for the pay period when it is submitted.

What your assessment file must not contain

Your assessment file must not contain information relating to workers who've left your employment prior to your duty start date. You shouldn't include any workers who are being automatically enrolled in another company pension scheme.

Finalising your assessment results data file and timescales

It's important that you've included all workers to be assessed for automatic enrolment plus your existing pension scheme members in your file.

To prevent any incorrect assessments in the two weeks prior to your scheme's duty start date you must not join any workers to your scheme. All new joiners must only be enrolled using the automatic enrolment technology after your duty start date. Failure to adhere to this will lead to incorrect member records, incorrect assessment of your workers and incorrect notices being issued. Aviva is unable to provide a data correction service.

Assessment results and error handling

If one or more errors are identified in your assessment file, the whole file will fail the assessment process.

If the data in your assessment file fails the validation process an error report will be generated. Please refer to the “Automatic enrolment assessment file error guide” for information on how to correct the errors.

Once you’ve corrected the data errors, you’ll need to resubmit your assessment file. You should use the same file name as your original assessment file.

Data provided in your assessment files will update the worker’s assessment record when that data is processed by the Aviva automatic enrolment technology.

Postponement

If a postponement period exists for your scheme, the legislation requires a postponement notice to be issued within six weeks of employment start date (or duty start date). If this notice isn’t issued, you’re unable to apply postponement and you must assess the worker from the employment start date (or duty start date).

Where data is submitted later than this, the Aviva automatic enrolment technology we’ll apply the legislation which means that postponement can’t be applied. We’re unable to override this facility.

Should any workers join in a pay period but after you’ve prepared your file, we recommend you submit a supplementary file of these joiners at the end of the pay period. This should enable your new workers to be assessed within legislative timescales.

Cyclical automatic re-enrolment

To process your re-enrolled workers you don’t need to make any changes to the format and data fields of your assessment file. However, the employee and employer regular contributions data fields become mandatory.

Hints and Tips

If you’ve a company structure with more than one duty start date you’ll need to submit separate assessment files for each duty start date.

If you’ve more than one pay frequency (e.g. weekly, monthly), or more than one pay period (e.g. 1st – 31st and 15th – 14th), multiple, separate assessment files will be required: one for each pay frequency/reference period. For overlapping pay periods the payroll system must be different e.g. sage, sage 1.

You’ll need to provide one assessment file for each separate pay date.

Note: Pay date is the date the contribution was deducted from the worker’s salary.

The assessment file can’t be used as the vehicle to communicate amended data. Once a worker becomes a member of the pension scheme, they should contact Aviva to ensure their individual records are updated accordingly i.e. name change, change of address, change of National Insurance number, notification of leaver.

The format provided in the assessment file for the title, forename, surname and address will be the same for all communications. If the worker’s name and address is provided in all capital letters (or similarly all lower case), then this is how their name will appear on all communications (e.g. miss, MISS, HELEN, helen, SMITH smith etc).

The postcode needs to be provided in full and use the correct numeric values and letters. The use of ‘o’ instead of ‘0’ (zero) and vice versa will cause the assessment file to fail.

Aviva can only accept applicants from UK residents with UK addresses.

If your scheme is contract based, we won't enter into a contract with non UK residents. This is because we're unable to reasonably guarantee that the contract will meet the legal and regulatory requirements of the country of residence. Non UK residents can't be automatically enrolled into the Aviva scheme and they shouldn't be included on the data file sent to Aviva. You may need to automatically enrol these employees into an alternative scheme which can accept non UK residents.

If your scheme is trust based the Trustees will decide whether to accept non UK residents. If the Trustees have agreed to include non UK residents in the scheme you should include them in the data file with a UK c/o address.

We don't provide advice to scheme Trustees and accept no liability for the automatic enrolment of non UK residents into the scheme. The Trustees should obtain advice from a suitably qualified adviser before making a decision to accept non UK residents.

Data items required for your assessment file

We encourage you to use the below order for the data in your assessment file. The order of the data items must remain in the same format for all future files.

Field rules for your assessment file

Please note: All data column headers must be provided in your assessment file even if the content of the column is blank. Where possible, all fields should be populated.

A rule has been applied to each data item in your assessment file as follows:

- **Mandatory:** You must provide a valid value in the field within your assessment file for each payroll submission. If the data item field is left blank, an error message will be produced and your file won't be processed for assessment.
- **Optional:** You're required to provide a valid value in the field within your assessment file where possible. If the data item field is left blank, no errors will be produced.
- **Conditionally Mandatory:** The automatic enrolment technology will expect a value in the field if certain conditions are met. If a value is required, the field must be populated for each data file submission. If a blank is provided where not permitted, an error message will be produced.

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|--------------------|---|--|---|--|
| 1 | Employer Reference | The worker ID - A unique reference for the individual worker. Once this identifier has been provided to us, it can never be changed | Mandatory Maximum field length 36 Field type: alphanumeric All letters must be upper case Can't be changed once provided | This ID must remain unique to the worker and must not be repeated within the assessment file for another worker (e.g. if your payroll numbers for past workers are re-used for new workers or employee IDs change during the course of their employment, your payroll number would not be suitable for use in this field). A new employer reference must be provided for all new workers (including those previously employed by you). | Provide a unique identifier for the relevant worker |
| 2 | Title | The worker's title. Acceptable values: Mr, Mrs, Miss, Dr, Ms, Sir, Dame, Lord, Lady, Reverend, Professor | Mandatory Maximum field length: 10 Acceptable values: Letters A-Z, hyphens (-) and apostrophes (') | The format the title is provided in will be the same for all communications. If the worker's title is provided in all capital letters (or similarly all lower case), then this is how their title will appear on all communications (e.g. miss, MISS, mr, MR, mrs, MRS etc). | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. Also used for communications, reports and searches through the enrolment engine |
| 3 | Surname | The worker's surname | Mandatory Maximum field length: 50 Acceptable values: Letters A-Z, hyphens (-) and apostrophes (') | If the worker's surname is provided in all capital letters (or similarly all lower case), then this is how their surname will appear on all worker facing communications (e.g. jones, JONES, smith SMITH). | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. Also used for communications, reports and searches through the enrolment engine. |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|---------------------------|--|---|---|--|
| 4 | First Name | Worker's full forename | Mandatory Maximum field length: 50 Acceptable values: Letters A-Z, hyphens (-) and apostrophes (') | The worker's forename should be entered in full (avoid entering just an initial or a variation of their forename). How the name is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. Also used for communications, reports and searches through the enrolment engine |
| 5 | National Insurance number | The worker's National Insurance number | Mandatory Maximum field length: 9 Field type: alphanumeric Field format: AA123456A All letters must be upper case | In the event that you don't have a NINO for the worker in question, a temporary one will need to be entered. Standard format for temporary NINOs = TN, date of birth, male/female i.e. TN010260F for a lady born on 1 Feb 1960. For the first assessment the worker's National Insurance number must match the NI on the policy administration system. | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. It's a legal requirement for schemes which claim tax relief on its members' contributions via Relief at Source. Also used for communications, reports and searches through the enrolment technology. |
| 6 | Gender | The gender of the worker | Mandatory Field length:1 Acceptable format: Restricted to F or M only. All entries must be upper case | This data item isn't currently validated against the title field | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. |
| 7 | Date Of Birth | The worker's date of birth | Mandatory Acceptable format: DD/MM/YYYY | The date of birth must be provided in the stated format. This is used to calculate pension age which determines eligibility. | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|-------------------------|---|--|---|---|
| 8 | Scheme Number | Your Aviva Scheme Number | Mandatory Maximum field length: 36 Field type: alphanumeric All Letters must be upper case. | If you're unsure of your scheme details, please contact Aviva. | Provide Aviva with information to ensure the worker is assessed for entry into the correct scheme. If you're unsure of your scheme details, please get in touch with your usual Aviva contact for clarity. |
| 9 | Platform Sub Group | The Platform Sub Group which was created for Embassy schemes only. Embassy is your previous administration system with Heritage AXA. | Optional Field length: 80 Field type: numeric Must match your Embassy Platform Sub Group | Required for Embassy schemes only, Embassy scheme numbers don't use letters. If used, this field must match the appropriate subgroup name already configured within your pension scheme. Otherwise leave blank. If you're unsure of your scheme subgroups please contact Aviva. | Although this data item doesn't need to be populated for schemes set up on the NGP admin platform, the item must be present in the file headers and must be mapped to the template. |
| 10 | Member Category | The category the worker's role falls into, e.g. Manager or Worker | Mandatory Maximum field length: 150 Field type: alphanumeric | You must provide a member category which matches the category names supplied during scheme setup. If you're unsure please contact Aviva for the acceptable values. | Segment the workforce into different categories and allows different payroll contributions for different groups of workers. |
| 11 | Selected Retirement Age | The worker's Selected Retirement Age | The column must be included within the .csv file, but must be left blank | This field must be left blank | |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|--|---|---|---|---|
| 12 | Date Joined Employer | The date the worker started with you | Mandatory Acceptable format: DD/MM/YYYY | If the worker has previously worked for you the most recent start date must be included. | |
| 13 | Date Left Employer | Where a worker will be or has already left your employment please include the date the worker left | Conditional Mandatory Acceptable format: DD/MM/YYYY | The date the worker left your employment must be reported in the assessment file for the same pay period. If the worker has previously worked for you the most recent end date must be included. | Provide Aviva with the relevant information to cease employer duties against a member/worker. |
| 14 | Salary Exchange (Y/N) | Whether or not the worker has opted to exchange any of their salary to pay into the pension scheme. | Mandatory Field length:1 Acceptable values: Y or N All entries must be upper case | Y = Worker is using salary exchange to contribute to their pension N= Worker isn't using salary exchange to contribute to their pension This information ensures the correct wording is used in the communications issued to the employee | Set up the worker record with relevant information around the payroll contribution type. |
| 15 | Permanent Residential Address – Line 1 | The first line of the worker's address | Mandatory Acceptable values: Letters, Numbers, hyphens (-), apostrophes ('), spaces and full stops (.) Maximum field length: 80 | This address will be used for all communications relating to automatic enrolment. How the address is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case. | Used for worker communications |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|--|---|--|--|---------------------------------|
| 16 | Permanent Residential Address – Line 2 | The second line of the worker's address | <p>Mandatory</p> <p>Acceptable values: Letters, Numbers, hyphens (-), apostrophes ('), spaces and full stops (.)</p> <p>Maximum field length: 80</p> | <p>This address will be used for all communications relating to automatically enrolment.</p> <p>How the address is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case.</p> | Used for worker communications. |
| 17 | Permanent Residential Address – Line 3 | The third line of the worker's address | <p>Optional</p> <p>Acceptable values: Letters, Numbers, hyphens (-), apostrophes ('), spaces and full stops (.)</p> <p>Maximum field length: 80</p> | <p>This address will be used for all communications relating to automatic enrolment.</p> <p>How the address is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case.</p> | Used for worker communications. |
| 18 | Permanent Residential Address – Line 4 | The fourth line of the worker's address | <p>Optional</p> <p>Acceptable values: Letters, Numbers, hyphens (-), apostrophes ('), spaces and full stops (.)</p> <p>Maximum field length: 80</p> | <p>This address will be used for all communications relating to automatic enrolment.</p> <p>How the address is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case.</p> | Used for worker communications. |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|--|---|---|---|---|
| 19 | Permanent Residential Address Postcode | The worker's UK postcode | Mandatory Maximum field length: 8 Acceptable values: Letters A-Z, a single space and Numbers 1-9. | Additional spaces or numerical values included instead of letter characters will cause an error A valid and complete UK postcode must be entered. For example, CF71 7AN, SN1 8TG. Including CF41 or SN1 as the postcode will cause an error. How the address is entered into the file is exactly how it'll appear on the communications issued to the worker e.g. all capitals or all lower case. | Used for worker communications. |
| 20 | Country of Residence | The worker's country of residence | Mandatory Maximum field length: 3 Field type: alphanumeric | ISO Country Code - the 3 letter country code which represents the country the employee lives in. e.g. United Kingdom=GBR | This will always be GBR. We don't accept non UK addresses |
| 21 | Telephone Number Home Mobile | The worker's home or mobile telephone number | The column must be included within the .csv file, but the fields in this column must not be populated with any data | This field must be left blank | |
| 22 | Telephone Number Work | The worker's work landline or mobile telephone number | The column must be included within the .csv file, but the fields in this column must not be populated with any data | This field must be left blank | |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|-----------------------------------|--|--|---|--|
| 23 | Email Address Work | The worker's primary work email address. | Optional Field length = 60 Acceptable values: letters A-Z, numbers 0-9, '@', hyphens (-), full stops (.), underscores (_) and apostrophe's (') only | Must be populated where the worker has a valid email address and email communication has been selected. Using a work email address will help guarantee delivery | Used for worker communications. If no email address is supplied, correspondence will be sent by post. |
| 24 | Email Address Personal | The worker's personal email address. | The column must be included within the .csv file, but the fields in this column must not be populated with any data | This field must be left blank | |
| 25 | Preferred Email Work Personal | To clarify the worker's preferred email address for communications | The column must be included within the .csv file, but the fields in this column must not be populated with any data | This field must be left blank | |
| 26 | Employer Regular Contribution (%) | The percentage (%) of the worker's gross salary that you'll be paying into the pension scheme on a regular basis | Optional For re-enrolment assessment this field is Mandatory Maximum field length: 8 including the decimal point Acceptable values: Numeric to 2 decimal places Field Type: numeric | Please don't enter a percentage sign (%) For re-enrolment assessment where a worker doesn't receive contributions please input 0 Please only complete this field if your contributions for the worker are different to the default contribution levels determined by the scheme category | Overwrites the default contribution level For re-enrolment assessment this is used to determine the minimum contributions |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|-----------------------------------|---|---|---|---|
| 27 | Employee Regular Contribution (%) | The percentage (%) of the worker's gross salary that they'll be paying into the pension scheme on a regular basis | Optional For re-enrolment assessment this field is Mandatory Maximum field length : 8 including the decimal point Acceptable values: Decimal to 2 decimal places Field Type: numeric | Don't enter a percentage sign (%) For re-enrolment assessment where a worker doesn't receive contributions please input 0 Please only complete this field if the worker contributions are different to the default contribution levels determined by the scheme category | Overwrites the default contribution level For re-enrolment assessment this is used to determine the minimum contributions |
| 28 | Pensionable Salary In Pay Period | The amount (£) of pensionable salary paid to the worker in the reporting period. | Conditional Mandatory Maximum field length: 13 Can't include £ or, Acceptable values: Numeric to 2 decimal places Field Type: numeric | Needed for Tier 1, 2, 3 schemes only, to calculate the % contribution | |
| 29 | Gross Salary In Pay Period | The gross salary (£) paid to the worker for the period in question | Mandatory Maximum field length: 13 Can't include £ or, Acceptable values: Decimal to 2 decimal places Field Type: numeric | Where the worker has had qualifying earnings in the pay period, this field must be populated with the amount. Qualifying earnings include: salary, wages, commission, bonuses, overtime, statutory sick pay, statutory maternity, paternity and adoption pay. This field can't be left blank. Where the worker doesn't have a pensionable salary in the pay period 0.00 should be entered. Don't include a currency sign (i.e. £). | This is the amount of money to be used in the calculation of Qualifying Earnings. Qualifying Earnings is used for two reasons: 1. To determine the AE status of the worker 2. To calculate the contribution amounts if the category Contribution Basis is "Qualifying Earnings". |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|--------------------------|--|---|--|---|
| 30 | Salary Before Tax | The annual gross pensionable salary (£) paid to the worker | Mandatory Maximum field length: 13 Can't include £ or, Acceptable values: Decimal to 2 decimal places Field Type: numeric | Don't include a currency sign (i.e. £) This field can't be left blank. This should be the workers contractual annual salary. Where the worker doesn't have a contractual annual salary (e.g. Temporary workers or those that have zero hour contracts) a realistic estimation of their annual earnings should be entered. | Should the worker be automatically enrolled into the scheme, this data will be used to set up the member records. It'll be confirmed in membership confirmation documentation and their first annual statement. |
| 31 | UK Contract (Y/N) | Is the worker employed under a UK Contract? | The column must be included within the .csv file, but the fields in this column must not be populated with any data | This field must be left blank | |
| 32 | Contractual Joiner (Y/N) | Is the worker a contractual joiner to the pension scheme? | Mandatory Field length: 1 Acceptable values: Y or N All entries must be upper case | Y = Worker is a contractual joiner and won't be assessed for automatic enrolment N = Worker isn't a contractual joiner Where Y is populated, field 33 (Contractual Joiner Date) becomes mandatory. | Determine whether the worker should be assessed for employer duties. |

| Data item position | Column heading | Data item description | Data format/rules | Additional Information | What it's used for |
|--------------------|-------------------------|---|---|--|--|
| 33 | Contractual Joiner Date | The date that the worker contractually joined the scheme | Conditional Mandatory Acceptable format: DD/MM/YYYY | This field is only mandatory when the contractual joiner field in field 32 is populated with a Y | Determines the start date of the pension policy for a contractual joiner |
| 34 | Marketing Opt Out (Y/N) | Informs the system whether to issue worker communications | The column must be included within the .csv file, but the fields in this column must not be populated with any data | Please leave this column blank | |

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 0800 068 6800

 contactus@aviva.com

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Registered in England No. 3253947. Aviva, Wellington Row, York, YO90 1WR.

Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Firm Reference Number 185896.

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