# Appendix C
# Assessing a worker (opt in or joining) – Transcript

This is a transcript of the flowchart intended as supporting material for **Detailed guidance no. 3c – Having completed the assessment**.

A flowchart showing the next steps following the first assessment of a worker aged between 16 and 74 where the first assessment is because the worker has asked to become a member of a pension scheme during a postponement period.

If the first assessment date for the worker is the deferral date see Appendix B.

For the other first assessment dates see Appendix A.

Please note:
* This amount is for the 2020-2021 tax year. These figures are reviewed annually by the Department for Work and Pensions (DWP). Where there is a change, the figures for the next tax year after they have been announced by the DWP, as well as the historic and current amounts can be found on our website at: www.tpr.gov.uk/earnings-thresholds.

## 1. Are they working, or ordinarily working, in the UK under their contract?

No – No duties
Yes – Go to 2

## 2. Are they an active member of a qualifying scheme with that employer?

No – Go to 4
Yes – Go to 3

## 3. No information or enrolment duties. The employer must not take any act or omission which ceases that active membership of the qualifying scheme.

## 4. Have they previously been paid a Winding Up Lump Sum (WULS) whilst in employment, and during the 12 month period that started on the date the payment was made left employment and then been re-employed?

No – Go to 7
Yes – Go to 5

## 5. Was the WULS paid in the last 12 months?

No – Go to 7
Yes – Go to 6

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6. The worker does not have the right to opt in or the right to join during the remainder of the 12 month period that started on the date the WULS was paid. Assess again on the deferral date to identify whether the eligible jobholder criteria are met, unless the employer has pre-determined business rules about the exercise of their discretion for the automatic enrolment duty during the 12 month period that started on the date the WULS was paid.

## 7. Have they given or been given their notice to end their employment?

No – Go to 9
Yes – Go to 8

## 8. The employer is not required to take any action to opt in or join the worker.

Assess again on the deferral date (if employment has not ended by that date) to identify whether the eligible jobholder criteria are met, unless the employer has pre-determined business rules about the exercise of their discretion for the automatic enrolment duty when notice is given.

## 9. Assess earnings

(1) Identify relevant pay reference period
(2) Assess qualifying earnings payable in relevant pay reference period
(3) Compare against the lower level of qualifying earnings (£6,240) appropriate to the pay reference period

£6,240 (pro rata)* or below – Go to 9.2
More than £6,240 (pro rata)* – Go to 9.1

## 9.1. Jobholder

The employer has been given an opt-in notice and must make arrangements so that the jobholder becomes an active member of an automatic enrolment scheme with effect from the enrolment date. For more information on identifying the enrolment date and the process of opt in see Detailed guidance no.6 – Opting in, joining and contractual enrolment.

## 9.2. Entitled workers

Are they an active member of a pension scheme which does not meet all the qualifying criteria but is tax registered?

Yes – Go to 9.4
No – Go to 9.3

## 9.3. Joining notice

The employer has been given a joining notice and must make arrangements so that the entitled worker becomes an active member of a pension scheme. For more information about the process of joining see Detailed guidance no.6 – Opting in, joining and contractual enrolment.

## 9.4. The entitled worker does not have the right to join a pension scheme.

Assess again on the deferral date to identify whether the eligible jobholder criteria are met.