National Fraud Initiative 2008/09

Handbook - Scotland

audit commission

AUDIT SCOTLAND

Contents

Introduction

1. Since 1996 the Audit Commission in England has run the National Fraud Initiative (NFI), a sophisticated data matching exercise which matches electronic data within and between participating bodies to prevent and detect fraud. The NFI in Scotland is Audit Scotland's data matching exercise that runs every two years in line with the Audit Commission's NFI timetable. The Audit Commission processes the data for NFI in Scotland on behalf of Audit Scotland.

2. NFI helps participating bodies to identify possible cases of fraud, and detect and correct any consequential under or overpayments. NFI also helps auditors, for example, to satisfy their duties to assess bodies' arrangements for preventing, deterring and detecting fraud.

3. The most recent Audit Scotland exercise (NFI 2006/07) identified at least £9.7 million of outcomes (fraud, error, overpayments and forward savings). Including previous exercises the cumulative outcomes are now around £37 million. Audit Scotland's report on NFI 2006/07 and other material relating to NFI in Scotland can be downloaded from the NFI page on Audit Scotland's web site http://www. audit-scotland.gov.uk/work/nfi.php

4. Across the UK, the cumulative outcomes from NFI exercises now exceed £450 million.

5. To ensure fair processing and other compliance requirements of the Data Protection Act 1998, a Code of Data Matching Practice was issued by Audit Scotland in July 2006. All participating bodies and their auditors are expected to comply with the Code. However, section 2.6 and Appendix 1 of the Code are amended by new guidance about fair processing notices included later in this handbook. The UK Information Commissioner's Office and all Scottish NFI participating bodies were consulted about this guidance prior to it being finalised.

6. Once the data-matching process is completed, the output is returned to the relevant participating body for consideration and investigation. Responsibility for investigating any matches will rest with participants.

7. It is essential that the Audit Commission guidance provided with the NFI match output is considered as it will assist with prioritisation of the NFI reports and the matches within them. It is vital to note that the matches are not necessarily fraudulent but that they are potentially worthy of further investigation.

8. External auditors will continue to be involved in NFI. Auditors will monitor bodies' participation in NFI and use their findings from the exercise to help them assess the arrangements that audited bodies have in place to prevent and detect fraud in accordance with the Code of Audit Practice. Auditors usually refer to bodies' participation in NFI in their annual audit reports. Auditors are also likely to be asked to provide more detailed information to the Audit Strategy Group in Audit Scotland to aid the preparation of a published report on the 2008/09 exercise.

Statutory framework

9. From 2008, the Audit Commission will conduct data matching exercises under its new statutory powers in the Audit Commission Act 1998, Part 2 A.

10. Equivalent legislation is expected to be provided in due course for Scotland but, until then, NFI will continue to operate in Scotland as part of the statutory audits. The Scottish legal framework is explained in the Level 3 'full text' part of the fair processing notice later in this handbook. This 'full text' notice is also published on the NFI page on Audit Scotland's web-site so that it can accessed readily by anyone whose personal information is provided for NFI purposes.

11. The processing of data by Audit Scotland for NFI purposes is carried out with statutory authority. It does not require the consent of the individuals concerned under the Data Protection Act 1998.

Fair processing notices

Background
12. As indicated previously, Audit Scotland issued a Code of Data Matching Practice in July 2006. Section 2.6 and Appendix 1 of that Code refer to forms of fair processing notices that participating bodies should use to inform individuals whose personal information is to be provided for the purpose of the National Fraud Initiative in Scotland (NFI).

13. The Audit Commission, which matches the data for NFI in Scotland on behalf of Audit Scotland, has recently prepared a new draft Code to reflect new powers in the English legal framework and to provide new guidance on the form of fair processing notices. The UK Information Commissioner regards the new guidance as demonstrating a commitment to good practice standards that will help organisations to comply with data protection principles.

14. Although these new powers were not extended to Scotland because of other legislative priorities at the time of the Scottish Parliament elections in 2007, Audit Scotland has held discussions with the Scottish Criminal Justice Directorate and we are optimistic that equivalent provisions will be introduced in Scotland at the earliest opportunity.

15. At that time, Audit Scotland will redraft its Code in its entirety and consult participating bodies on the changes.

Purpose
16. The purpose of this section of the handbook is to ensure that the most

up to date guidance on fair processing notices is available to NFI participating bodies in Scotland in good time for the 2008/09 NFI exercise.

17. Paragraphs 18 to 36 below represent the revised guidance on fair processing notices.

Fair processing notices – guidance for participating bodies

18. The processing of data by Audit Scotland for NFI purposes (or by the Audit Commission on behalf of Audit Scotland) is carried out as part of statutory audits. It does not require the consent of the individuals concerned under the Data Protection Act 1998.

19. The Data Protection Act 1998 normally requires participating bodies to inform individuals that their data will be processed. Unless an exemption applies (eg the section 34 exemption for information available to the public by or under enactment) for data processing to be fair, the first data protection principle requires data controllers to inform individuals whose data is to be processed of:

- the identity of the data controller;

- the purpose or purposes for which the data may be processed; and

- any further information which is necessary to enable the processing to be fair.

20. The provision of this information is known as a fair processing notice.

21. Participating bodies should, so far as practicable, ensure that fair processing notices are actively provided, or at least made readily available to the individuals about whom they are sharing information. The notice should clearly set out an explanation that their data may be disclosed for the purpose of preventing and detecting fraud. The notice should state that the data will be provided to Audit Scotland for this purpose. The notice should also

contain details of how individuals can find out more information about the processing in question.

22. Communication with individuals whose data is to be matched should be clear, prominent and timely. It is good practice for reminder notices to be issued before each round of data matching exercises. If data matching exercises require new sets of data, which individuals are currently unaware of, then new notices need to be issued outlining the further information which is now required. Even where a notice is not required (eg the section 34 exemption) it is good practice for new notices to be issued anyway.

23. When providing data to Audit Scotland (or the Audit Commission), participating bodies must submit the declaration at Appendix 1 of the handbook, confirming compliance with the fair processing notification requirements. If an auditor becomes aware that fair processing requirements have not been adhered to, they should agree the steps necessary for the participant to achieve compliance.

Layered notices

24. The Information Commissioner recommends a layered approach to fair processing notices. Usually there are three layers: summary notice, condensed text and full text. Taken together, the three layers comprise the fair processing notice.

25. The **summary notice** should provide the minimum necessary content and should be provided to the individuals whose data is to be matched. Where practicable, it should point to where more detailed information can be found, for example, by providing web-links to the condensed text layer, or contact details for a named person such as the participating body's Key Contact or data protection officer. Participating bodies should make clear where individuals can obtain further information about how, why and by whom their data is being processed.

26. In the case of benefits, licences and applications for services, for example, the summary notice should usually be included on the application form used to collect the data in the first place.

27. In other cases, such as occupational pensioners and tenants, participating bodies usually communicate formally at least once a year, for example by newsletter. Summary notices should be included in these communications, which should be sent to named individuals in advance of each data matching exercise where practicable. This will avoid the cost of a separate mailing.

28. Participants should notify their employees both at the time of the original application for their post and before each exercise, for example, by including a summary notice in their payslip.

29. The **condensed text** should give a summary of Audit Scotland's data matching exercises, and should be available on the participating body's website as well as in hard copy on request. This layer should provide a link to the more detailed full text.

30. The **full text** will be available on Audit Scotland's website and will include an explanation of the legal basis for its data matching exercises and a more detailed description of how the initiative works.

31. While participants should decide the content and means of issue of fair processing notices for themselves, good practice examples of a three-layered approach for public bodies are included at Appendix 2 of this handbook. Such notices may have the effect of deterring fraud as well as informing applicants about the use of data in data matching.

32. The benefit of using a layered approach is that it gives appropriate levels of fair processing information to different audiences, depending on their information needs. Individuals

who wish to have a relatively short explanation can access this in a summary notice, while more comprehensive information can be made available for others.

Collection of new data

33. Participating bodies should provide summary fair processing notices at the point of collecting personal data, where practicable. Participants should in any event provide such notices before disclosure of the data to Audit Scotland (or the Audit Commission), unless it is impractical to do so.

Retrospective fair collection notices

34. Sometimes it will not be practicable to provide a summary fair processing notice at the time of the original collection of the data. In such cases, participants should provide retrospective summary fair processing notices at the earliest reasonable opportunity, and before disclosure for NFI purposes, unless it is impracticable to do so.

35. Examples of when it might be impracticable are where the current address is not known or clearly disproportionate effort would be needed. Giving notice will enable people to know that their data is being included in NFI and to take appropriate steps if they consider the use is unjustified or unlawful in their particular case.

Deceased persons

36. Some of the data used for NFI exercises relates to deceased persons. Although information relating to a deceased individual cannot be regarded as personal data of the deceased person under the DPA 1998, common law rules of confidentiality may restrict disclosure in certain circumstances. In order not to cause unnecessary distress or harm, particular care and sensitivity should be taken in dealing with data concerning deceased persons throughout the exercise, but particularly in the case of the investigation of matches.

Contact nominations and responsibilities

37. The **Director of Finance** or other equivalent senior named officer acting as senior responsible officer for NFI, has key responsibilities to ensure the statutory requirements for bodies participating in NFI are met, as follows:

- nominate a key contact by logging in to the NFI Contacts database (https://www.nfilog.co.uk/ nfiloguploads2008/)

- provide the key contact with access to the matches (via the secure NFI software) when they become available (28 January 2009)

- ensure that the key contact fulfils all data protection requirements.

38. The **key contact** will be responsible for:

- nominating appropriate data download contacts. This should be the person with the most knowledge of the system in question

- nominating appropriate dataset contacts. For example, trade creditor duplicate payments may be best looked at by a nominated person in Internal Audit or the creditors payment section

- ensuring that the data formats guidance and data specifications are adhered to

- fulfilling data protection requirements. The key contact should be in direct communication with their organisation's data protection officer or person with equivalent responsibility

- coordinating and monitoring the overall exercise

- providing feedback on the outcomes of the exercise.

39. Further information on the key contact role is provided in the 'key contact' online interactive training module, which will be available to NFI participants from 1 September 2008.

40. A **data download contact** is responsible for submission of the data:

- in accordance with the specifications

- in the correct format

- using the Data File Upload (DFU) facility in the NFI software

- by the required time.

41. A **dataset contact** is responsible for investigating the matches allocated to them by the key contact. The dataset contact may also be responsible for responding to enquiries from other matched bodies if this role is delegated to them by the key contact.

42. In small organisations, it is understandable that the key contact, data download contact and dataset contact roles may be fulfilled by one person.

43. Key contact information is used to populate the 'authority code' look up facility within the NFI software. This look-up facility provides contact details for each matched body so there can be liaison over matches, where applicable. Consequently, the nomination of dataset contacts is encouraged where someone other than the key contact is responsible for investigating specific matches and dealing with queries from other participating bodies.

44. Please note that the contact details provided using the process outlined above are not used to create users on the NFI software application. Access to the secure NFI software application is a separate task administered locally by the Director of Finance and key contact.

Data requirements

45. The data requirements for the 2008/09 NFI exercise are set out in Table 1 (page 6). The corresponding data specifications are set out in Appendix 3. There are a number of points to note in relation to this exercise:

- Data requirements are not the same in Scotland and England. In contrast to England, there are still some 'risk-based' datasets in Scotland for NFI 2008/09. Please bear this in mind if you are looking at the Audit Commission NFI web pages.

- The blue badge and supported care home resident data sets have been reclassified as mandatory for NFI in Scotland 2008/09.

- The fair processing notice requirements set out previously should be adhered to. Liaise with your own Data Protection Officer or person with equivalent responsibility, if you require any clarification.

- The Data Submission section of this handbook provides details on how to upload data securely. This is the only acceptable method.

- As in previous exercises, wherever possible data will be collected in bulk on behalf of participants. For example, in Scotland, data relating to housing benefit and council tax benefit, and full time students will be collected from the Department for Work and Pensions (DWP) and the Student Awards Agency for Scotland respectively.

- In England providers of insurance services to Local Authorities are also being approached to provide insurance data on behalf of local authorities and an update on this will be provided well in advance of the data submission deadline. Any Scottish council interested in taking advantage of this approach

should contact Audit Scotland as soon as possible.

- As in 2006/07, arrangements have been made by the NHSScotland payroll managers' group for Atos Origin Alliance to prepare a programme to extract the required NHS payroll information. Further details can be obtained from Melanie Stewart on 01382 424474 However, it is each NHS body's responsibility to ensure that employees are notified in line with the fair processing requirements.

- Experience from previous NFI exercises has shown that Trade Creditors standing and payments history data is a complicated specification so extreme care should be taken when extracting the data otherwise the quality of the output can be severely affected. If you are submitting this data for the first time, there is an opportunity to send in test files for both the standing and payment history datasets during July 2008. In addition you will be invited to use this service if your 2006/07 matches were affected by issues relating to meeting the data specification. Instructions on how to take up this opportunity will be posted on the home page of the web based NFI application.

Timetable

46. The timetable, from collection of data through to distribution of matches, is set out in Table 2 (pages 7 and 8).

Downloading the data

47. Before data is extracted from local systems, it is essential that the data download guidance at Appendices 4 and 5 is taken into account:

- Download instructions (Appendix 4)

- Data formats (Appendix 5)

48. To assist with this process a selection of Frequently Asked Questions can also be accessed on the Audit Commission's FAQ web page.

49. Data should be submitted using the Data File Upload (DFU) facility within the NFI secure web site. This is now the only acceptable method for supplying data and the Audit Commission's policy will be to inform the Director of Finance if data is received by any other means that puts it at risk. Further details can be found in the Data submission section

50. If you require any further guidance on how to extract, download or submit data please contact the NFI Data Centre (Synectics Solutions Ltd) via email (nationalfraudinitiative@nfi. gov.uk) or call 01782 664066 or 01782 664057.

Data submission

51. A secure electronic upload facility is now available enabling data for NFI to be submitted direct from local computers. This facility is contained within the existing secure NFI web application. It features 128 bit Secure Sockets Layer encryption and enables password protection and consequently provides the same controlled access environment.

52. Data File Upload is now the only acceptable method for supplying NFI data. If any other method of submission is used the Audit Commission's policy will be to inform the Director of Finance that data has been put at unnecessary risk.

53. To take advantage of the data submission facility you need to log in to the NFI secure website (https://www.nfi.gov.uk) and select the Data File Upload option from the homepage.

54. This will open the 'NFI data submission wizard' and provides prompts throughout the process.

Table 1
Data requirements - NFI 2008/09 - Scotland

Dataset/bodies	Mandatory/ risk based*	Fair processing notice req'd?	Notes
HB/CTB (Councils)	Mandatory	Yes	NB: Data is obtained via DWP. No upload required by councils.
Payroll (NHS bodies)	Mandatory	Yes	
Payroll (Councils, Police and Fire and Rescue Boards, Strathclyde Partnership for Transport)	Mandatory	Yes	
Pensions (Councils, Police and Fire and Rescue Boards)	Mandatory	Yes	Includes deferred pensions and pension gratuities. Three separate files are required.
Pensions (SPPA)	Mandatory	Yes	Data provided by SPPA.
Payroll (other LA Joint Boards or Committees)	Risk-based	Yes	
Students (SAAS)	Mandatory	On application forms.	Data provided by SAAS.
Current tenants (Councils)	Mandatory	Yes	For 2008/09 bodies are requested to provide three separate files for tenancy data.
Tenants (right to buy) (Councils)	Mandatory	Yes	
Tenants (former tenants arrears >£1,000) (Councils)	Mandatory	N/A (gone away)	
Trade Creditors payments history and standing data (LAs and NHS bodies)	Risk-based	N/A – not personal data	Bodies are encouraged to take up the opportunity of these matches. Matches will identify, for example, duplicate payments and relative numbers of creditor standing records. Also the number of small value payments made. Data is also matched to Companies House directors and matches will be provided to auditors to consider declarations of interests etc.
Trade creditors standing data (LAs and NHS bodies)	Risk-based	N/A – not personal data	
Disabled parking (blue badges) (Councils)	Mandatory	Yes	Match is to dead persons. These should be provided in two separate files.
Residents' parking (Councils)	Risk-based	Yes	
Private supported care home residents (Councils)	Mandatory	No	Match is to dead persons only. Notices may cause alarm or confusion for residents and are not recommended.
Personal injury etc insurance claimants (Councils)	Risk based	Yes	Match is to other claims and to HB/CTB (declaration of capital). It is industry standard to data match in this area, claim forms may already have suitable FPN wording.
Taxi licence holders (Councils)	Risk based	Yes	Main match is to HB/CTB. Three separate files are required.
Market traders licences (Councils)			If applicable
Personal licences for the supply of alcohol (Councils)			If applicable
Dead persons (DWP)	N/A	N/A	Provided by DWP.

Dataset/bodies	Mandatory/ risk based*	Fair processing notice req'd?	Notes
Failed asylum seekers and expired Visas	N/A	N/A	Provided by Home Office.
Company directors	N/A	N/A	Provided by DTI Companies House. Matched to creditor payments and public sector employees (declaration of interests etc.)

* Where a dataset is described as 'risk-based', bodies should discuss the provision of the data with their external auditors and agree whether or not these represent areas where the council is at risk or whether there could be benefits from the data being included in the exercise. If so, the data will be required for NFI purposes in the same way as for the mandatory datasets.

Table 2
2008/09 timetable

Activity	Who	How	Timing
Notify scope of NFI 2008/09 – consult on FPNs	Audit Scotland	Letter to CEOs (or equivalent). Email to 2006/07 key contacts.	Done 25 April 2008
Issue instructions/ Handbook	Audit Scotland	Letter to CEOs and Email link to key contacts	Done June 2008
Nominate NFI key contact	Director of Finance	https://www.nfi.gov.uk select 'Contacts' from the Home page or via https://www.nfilog.co.uk/ nfiloguploads2008/	Early June 2008 onwards and when change occurs
Upload test data, as required	Key contact/ data download contact	https://www.nfi.gov.uk select 'Data File Upload' from left hand menu.	Summer 2008
Nominate other contacts (data download contacts and data set contacts, if applicable)	Key contact	https://www.nfi.gov.uk select 'Contacts' from the Home page or https://www.nfilog.co.uk/ nfiloguploads2008/	By Monday, 1 September 2008 and when changes occur
Passwords for the 2008/09 web application sent to DoFs	Audit Commission		From Monday, 1 September 2008
On line Interactive Training modules are available	Audit Commission	https://www.nfi.gov.uk select 'On-line Interactive Training' on the Home page	From Monday, 1 September 2008
2008 data			
Submit fair processing compliance return	Key contact	https://www.nfi.gov.uk select 'Form 3 – Fair processing compliance return' from the Home page or the Help menu.	By Tuesday, 30 September 2008
Extract data	Key contact/ data download contact		Monday, 6 October 2008

Activity	Who	How	Timing
Upload live data	Key contact/ data download contact	https://www.nfi.gov.uk select 'Data File Upload' from the Home page.	From Monday, 6 October 2008
2008 matches available	Audit Commission	By email to directors of finance.	From Tuesday, 28 January 2009
2009 data [1]			
Submit fair processing compliance return	Key contact	https://www.nfi.gov.uk select 'Form 3 – Fair processing compliance return' from the Home page or the home menu.	By Wednesday, 30 September 2009
Extract Council Tax data	Key contact or data download contacts		Monday, 12 October 2009 [2]
Upload Council Tax data	Key contact or data download contacts	https://www.nfi.gov.uk select 'Data File Upload' from the Home page.	From Monday, 12 October 2009 [2]
Extract Electoral Register data	Key contact or data download contacts		From Tuesday, 1 December 2009 [2]
Upload Electoral Register data	Key contact or data download contacts	https://www.nfi.gov.uk select 'Data File Upload' from the Home page.	From Tuesday, 1 December 2009 [2]
2009 matches available	Audit Commission	By email to Directors of Finance.	From Wednesday, 31 March 2010 [2]

1. Audit Scotland's letter of 25 April 2008 to Scottish councils setting out the scope of NFI 2008/09 did not refer to council tax matching taking place in 2009. However, councils should anticipate a request to provide this data again in 2009.

2. Provisional date until the date of the 2009 annual canvass of electors is confirmed.

55. If you require any further guidance on extracting, downloading or submitting data, contact the NFI Data Centre (Synectics Solutions Ltd) via email (nationalfraudinitiative@nfi.gov. uk) or call 01782 664066 or 01782 664057

Fees

56. Audit Scotland will pay the Audit Commission for processing the data for NFI in Scotland although this will inevitably require to be recovered through our normal audit charging

regime (ie the costs will be recovered through the allocation of the Audit Scotland fixed charge).

57. Indicative audit fees (ie auditors' fees) have not been increased because of NFI as, in most cases, the local audit resource requirements are generally undertaken as part of auditors' work on governance, internal controls and reviewing the arrangements for preventing and detecting fraud. However, if the auditor identifies weaknesses in a body's approach to NFI this may be

reflected in a higher fee proposal from the auditor.

Making the process more efficient

58. The 2008/09 exercise will see the launch of new on-line interactive training modules. These modules, available to participants via the secure NFI software from 1 September 2008, will provide relevant training material on how to use the software. The interactive training modules will be available throughout the initiative and will include demonstrations and

tutorial exercises. This facility will be particularly useful to those that are new to NFI. Each user will be advised to complete the appropriate training module before they access the matches and commence their review.

59. There are also a number of measures that can be taken locally to make the NFI process more efficient, including:

- checking the NFI web page and NFI publications to ensure you are aware of the coverage of the forthcoming exercise;

- identifying a key contact to be responsible for control and monitoring of the project ensuring the Audit Commission is advised of their contact details;

- ensuring that the key contact is provided with access to the NFI software;

- reviewing the Data Quality reports from NFI 2006/07 (this can be accessed from the left hand menu on the 2006/07 version of the NFI software);

- taking advantage, where relevant, of the option to supply test data for the creditors data matching (details will be issued in due course)

- ensuring all guidance documents are reviewed by appropriate staff prior to extraction of data;

- planning in advance what investigative resources are needed based on particular expertise and knowledge so that matches can be dealt with promptly, once available (eg trade creditors duplicate matches may be best dealt with by a nominated person in Internal Audit or the creditors payment section);

- making proper use of the filter and sort facilities within the NFI application. Also, recording the approach taken to the follow up of matches in the global report facility, and recording meaningful comments and outcomes against individual matches; and

- rectifying any issues raised by local auditors during the 2006/07 NFI.

Communications

60. The Audit Commission and Audit Scotland are committed to improving the effectiveness of NFI and will continue to work closely with key contacts and others to provide regular and timely information to all parties involved in the investigation process. The NFI communication plan for 2008/09 includes:

- access to NFI related reference material on the NFI web page (www.audit-commission.gov.uk/nfi) Bodies in Scotland need to be be aware, however, that the scope of the exercise and the status of the datasets is not the same in Scotland. Risk-based status applies to some datasets in Scotland, but not England;

- important messages to be placed within the NFI software on the home page;

- periodic newsletters (NFI matters), letters and emails, highlighting important issues that arise during the exercise. These will be sent to directors of finance (as appropriate), key contacts and external auditors;

- the NFI queries voicemail (0844 798 2222) and email address (nfiqueries@audit-commission. gov.uk) for participating bodies and other agencies to channel the more technical queries directly to the Audit Commission NFI team. General enquiries about NFI in Scotland should be addressed in the first instance to Dave Beveridge (dbeveridge@ audit-scotland.gov.uk or 0131 625 1791) or Tim Bridle (tbridle@audit-scotland.gov.uk or 0131 625 1793);

- access to the NFI output will be provided to external auditors to assist the local audit review of progress with the NFI matches and the assessment of audited bodies' arrangements for preventing and detecting fraud and corruption under the Code of Audit Practice

Appendix 1.

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FAIR PROCESSING NOTICE COMPLIANCE RETURN (NFI Form 3) – SCOTLAND

NFI 2008/09

Completed forms (available from the NFI web application) should be emailed to the Audit Commission by **30 September 2008** (nationalfraudinitiative@nfi.gov.uk).

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Organisation name:

Declaration: I confirm that appropriate steps (as outlined in the 2008/09 NFI Handbook for Scotland) have been taken to notify all relevant data subjects that the data may be used for the prevention and detection of fraud.

Full name (please print)

Full job title

Telephone number:

Email address:

Date form completed

PLEASE RETAIN A COPY OF THE COMPLETED FORM FOR AUDIT PURPOSES.

Appendix 2.

Examples of good practice layered fair processing notices for public bodies

The Information Commissioner recommends that a layered approach is adopted when issuing fair processing notices. The purpose of each layer and the benefits of the approach are described in the main body of this handbook.

Bodies participating in NFI in Scotland must decide for themselves the content and means of issue of fair processing notices, but good practice examples for public bodies are set out below. Bodies should seek to incorporate notices into existing forms of communication wherever possible.

Level 1 – Summary Text - Example for Application Forms (for example, for benefits, housing tenancies, employment, market traders and taxi drivers)

This authority is under a duty to protect the public funds it administers, and to this end may* use the information you have provided on this form for the prevention and detection of fraud. It may* also share this information with other bodies responsible for auditing or administering public funds for these purposes.

For further information, see {web-link to Level 2 notice on authority's website} or contact {name and contact details in authority}.

Level 1 – Summary Text – Example for Payslips (for employees)

Please note that key payroll data may* be provided to bodies responsible for auditing and administering public funds for the purposes of preventing and detecting fraud. For more details, see {web-link to Level 2 notice on authority's website} or contact {name and contact details in authority}.

Level 1 – Summary Text – Example for Letters (for example, to pensioners, employees and tenants, where communication by newsletter, payslip and so on is not practicable)

This example has been drafted for pensioners; the words in [square brackets] should be amended accordingly for employees, tenants etc.

Dear {name [of pensioner]}

THIS LETTER IS FOR INFORMATION ONLY – YOU ARE NOT REQUIRED TO TAKE ANY ACTION

{Name of Participant} is participating in an exercise to promote the proper spending of public money.

The {name of Participant} is required by law to protect the public funds it administers. It may share information provided to it with other bodies responsible for auditing or administering public funds in order to prevent and detect fraud.

Audit Scotland currently requires us to participate in its anti-fraud initiative. For this initiative, we are providing details of [pensioners] so that they can be compared with information provided by other public bodies. This will ensure, for example, that [no pensions are being paid to persons who are deceased or no longer entitled, and that occupational pension income is being declared when housing benefit is applied for].

Sometimes wrong payments are made because of a genuine error. Previous exercises have uncovered instances of [pensioners] receiving too little [pension], resulting in the payments to [pensioners] being increased. These exercises, therefore, help promote the best use of public funds.

You do not need to respond to this letter. You may be contacted again in the future if the exercise suggests you are not receiving the correct amount of [pension]. Further information is also available on our website at {participant's web-link}. However, if you have any questions you should contact {name and contact details}, who can also provide hard copies of information available on our website.

Level 2 – Condensed Text – to be published on participant's website

This authority is required by law to protect the public funds it administers. It may share information provided to it with other bodies responsible for auditing or administering public funds, in order to prevent and detect fraud.

On behalf of {the Accounts Commission/the Auditor General for Scotland – delete as appropriate}, Audit Scotland appoints the auditor to audit the accounts of this authority. Audit Scotland also assists appointed auditors by conducting a National Fraud Initiative which is a data matching exercise.

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* In certain circumstances bodies may prefer to use 'will' in place of 'may'. The word 'may' in this context is intended to mean 'permitted' – and not to be ambiguous or evasive about intentions. As indicated above, bodies should decide the content of the notice themselves and should use the word 'will' if they prefer it. However, 'may' would be more appropriate when revising the wording on applications and other documents, especially if the data is not yet required for NFI.

Data matching involves comparing computer records held by one body against other computer records held by the same or another body. This is usually personal information. Computerised data matching allows potentially fraudulent claims and payments to be identified. Where a match is found it indicates that there is an inconsistency which requires further investigation. No assumption can be made as to whether there is fraud, error or other explanation until an investigation is carried out.

Audit Scotland currently requires us to participate in a data matching exercise to assist in the prevention and detection of fraud. We are required to provide particular sets of data to Audit Scotland for matching for each exercise, and these are set out in Audit Scotland's handbook, which can be found at http://www.audit-scotland.gov.uk/work/nfi.php

The use of data by Audit Scotland in a data matching exercise is carried out with statutory authority, under auditors' powers in section 100 of the Local Government (Scotland) Act 1973 and section 53 of the Local Government in Scotland Act 2003. It does not require the consent of the individuals concerned under the Data Protection Act 1998.

Data matching by Audit Scotland is subject to a Code of Data Matching Practice. This may also be found at http://www.audit-scotland.gov.uk/work/nfi.php

For further information on Audit Scotland's legal powers and the reasons why it matches particular information, see the Level 3 fair processing notice at http://www.audit-scotland.gov.uk/work/nfi.php or contact {name and contact details in authority}.

Level 3 – Full Text – published on Audit Scotland's website

Audit Scotland's National Fraud Initiative (NFI)

Introduction

Audit Scotland conducts a National Fraud Initiative (NFI) to assist in the prevention and detection of fraud. This is a data matching exercise and one of the ways in which Audit Scotland helps auditors to meet their responsibilities, including promoting economy, efficiency and effectiveness in the use of public money.

Data matching involves comparing sets of data, such as the payroll or benefits records of a body, against other records held by the same or another body. The data is usually personal information. The data matching allows potentially fraudulent claims and payments to be identified. Where a match is found it indicates that there is an inconsistency which requires further investigation. No assumption can be made as to whether there is fraud, error or other explanation until an investigation is carried out.

The processing of data for NFI in Scotland is carried out by the Audit Commission, on Audit Scotland's behalf, under the legal framework set out below. It does not require the consent of the individuals concerned under the Data Protection Act 1998.

All bodies participating in Audit Scotland's NFI exercises receive a report of matches that they should investigate, so as to detect instances of fraud, over or under-payments and other errors, to take remedial action and update their records accordingly.

Since 2000, Audit Scotland's National Fraud Initiative (NFI) has led to the detection of fraud and overpayments of around £37million. Across the UK, since 1996, similar exercises undertaken by the Audit Commission have led to the detection of fraud and overpayments totalling in excess of £450million.

Legal framework

The NFI is conducted in Scotland as part of the statutory audits of public bodies. It is a condition of the statutory audit appointments for auditors to follow a Code of Audit Practice prepared by Audit Scotland. That Code and relevant auditing standards impose certain duties on auditors relating to the prevention and detection of fraud and the arrangements made by audited bodies. The Code of Audit Practice is available to download from Audit Scotland's web-site http://www.audit-scotland.gov.uk/about/as/docs.php

Data is required from bodies by auditors under section 100 of the Local Government (Scotland) Act 1973. Under section 100 a local authority auditor may obtain information from the audited body and 'any other person' provided that information appears to the auditor to be necessary for the purpose of auditing the accounts of a body governed by the 1973 Act. Auditors may therefore obtain information from non local authority bodies, for example, to help detect housing benefit fraud committed in councils by students and individuals employed elsewhere in the public sector.

It is a criminal offence for a person to wilfully or negligently fail to comply with a requirement of an auditor under section 100.

For NFI purposes, auditors are assisted by staff in Audit Scotland and the Audit Commission under arrangements permitted under section 53 of the Local Government in Scotland Act 2003.

The Audit Commission also has powers under paragraph 9 of Schedule 2A of the Audit Commission Act 1998 to provide advice and assistance to another public authority. The definition of a public authority includes Audit Scotland and appointed auditors of public bodies in Scotland.

The Audit Commission matches the data on behalf of Audit Scotland.

Audit Scotland will report the results of NFI exercises to the Accounts Commission and the Auditor General for Scotland, and may publish any such report. Audit Scotland expects that such reports will deter individuals from defrauding public bodies.

Bodies required to provide data for matching

Currently [notice will be updated when required] Audit Scotland requires the following bodies to provide data for NFI in Scotland:

- Councils

- Police Authorities

- Fire and Rescue Authorities

- Strathclyde Partnership for Transport

- Health bodies

- Scottish Public Pensions Agency

- Student Awards Agency for Scotland

Code of Data Matching Practice

Data matching by Audit Scotland is subject to a Code of Data Matching Practice which can be found on the same web-page as this document http://www.audit-scotland.gov.uk/work/nfi.php

The data that is matched and the reasons for matching it

For information describing the individual matches between datasets undertaken currently by Audit Scotland please refer to the NFI Handbook, again available on this web-page and NFI guidelines available at {link to Audit Commission NFI Guidelines}. The purpose of each match is described in the NFI Guidelines.

Further information

More details on Audit Scotland's data matching exercises, including national reports, other publications and guidance, can again be found on the same web page as this notice http://www.audit-scotland.gov.uk/work/nfi.php

Alternatively please contact the Director of Audit Strategy, Audit Scotland, 110 George Street, EDINBURGH, EH2 4LH; tel 0845 146 1010. Email enquiries should be addressed to Dave Beveridge, Senior Manager (Audit Strategy & NFI) dbeveridge@audit-scotland.gov.uk

Appendix 3.

Data specifications

1. There is a separate data specification for each dataset type collected for the NFI. The table on the right sets out the updates/changes to the specifications for the 2008/09 exercise, where applicable.

2. To find out what data to supply refer to the Data requirements table (Table 1 - Data requirements) in the main body of this handbook.

3. To avoid any unnecessary re-submission of data it is vital that the data download instructions and data format guidance (Appendices 4 and 5) are considered before extracting any data.

4. Data should be provided in accordance with the predetermined timetable set out in Table 2 – NFI timetable in the main body of this handbook.

Data specification updates/changes for 2008/09

Data specification	Update for 2008/09
Payroll	There are revised comments against the 'Department code' field. An additional flag can be supplied in the 'fulltime/part time flag' field to enable Casual/'As and when' staff to be identified.
Pensions	Data is now required in three separate files to make the use of the Data File Upload (DFU) facility more straightforward. An 'Injury pension flag' field has been added to identify pensioners in receipt of enhanced pensions (applies to police and fire authorities only).
Trade creditors payment history	A 'Site ID' field has been added.
Trade creditors standing data	A 'Site ID' field has been added..
Housing	Data is now required in three separate files to make the use of the Data File Upload (DFU) facility more straightforward.
Council Tax	No change – but not required again until 2009
Electoral register	No change – but not required again until 2009
Insurance claimants	An 'Expected cost' field has been added. The 'Total cost' field has been renamed 'Actual cost' and revised comments have been added.
Private supported care home residents	No change
Transport passes and permits	Data is now required in two separate files to make the use of the Data File Upload (DFU) facility more straightforward. Fields for 'Pass/permit number' and 'Vehicle registration number' have been added to the blue badges and residents parking data specification.
Licences	Data is now required in three separate files to make the use of the Data File Upload (DFU) facility more straightforward. This specification has been extended to include data in respect of licences to supply alcohol. A new 'Premises name' field has been added.

Payroll

To find out who should supply payroll data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- All payrolls (for example, monthly, weekly, and quarterly, members/councillors, schools, teachers, pensions) should be provided. However, data should not generally be provided in respect of payrolls processed for other organisations on an agency basis (unless the body is also an NFI participating body and has arranged for data to be provided on its behalf).

- Ensure that there is only a single record for each reference number.

- Include current employees only.

Field name	Data format	Comments
Employee reference number	Character	
Employee post number	Character	Leave blank if not applicable, but do not omit this field
Department	Character	Revised - Provide the Department where the employee works, for example, Social Services, Education. If this field contains a code, please provide a lookup table.
Title or sex	Character	
Surname	Character	
Forename(s)	Character	
Address line 1	Character	
Address line 2	Character	
Address line 3	Character	
Address line 4	Character	
Post code	Character	
Date of birth	Date	
Date started	Date	
Date left	Date	Included as an independent check that only current employees are included
Leaver indicator	Character	
National insurance number	Character	
Full-time/part-time flag	Character	Revised - Insert 'F' for full time (employed for more than 30 hours per week), 'P' for part time (less than 30 hours per week) or 'C' for Casual/'As and when' employees.
Gross pay to date	Numeric	This should be gross pay to date as at 6 October 2008 NOT taxable pay to date. Do not submit a record if this field is zero.
Standard hours per week	Numeric	eg. 16 hours as 1600.
Date last paid	Date	
Teacher flag	Character	Insert 'T' for a teacher.
Sort code	Character	6 numeric characters in groups of 2 which may be separated by hyphens, eg, 20-45-23.
Bank account	Character	Usually 9 numeric characters.
Building society roll number	Character	Building societies have a roll number where payments are disbursed to after being paid into a single account.

Pensions

Including occupational pensions, pension gratuities and deferred pensions.

To find out who should supply pensions payroll data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- To ensure that the submission of data using the new DFU facility is as straightforward as possible data should now be uploaded in three separate files:

  1. Current pensioners.

  2. Pensioners currently in receipt of a pension gratuity (if applicable).

  3. Deferred pensioners (optional).

Field name	Data format	Comments	Fields required		
			1	2	3
Employee reference number	Character		✓	✓	✓
Employee post number	Character	Leave blank if not applicable, but do not omit this field.	✓	✓	✓
Title or sex	Character		✓	✓	✓
Surname	Character		✓	✓	✓
Forename(s)	Character		✓	✓	✓
Address line 1	Character		✓	✓	✓
Address line 2	Character		✓	✓	✓
Address line 3	Character		✓	✓	✓
Address line 4	Character		✓	✓	✓
Post code	Character		✓	✓	✓
Date of birth	Date		✓	✓	✓
Date started pension	Date		✓	✓	✓
Date employment ended	Date	Included as an independent check that only pensioners are included	✓	✓	✓
Leaver indicator	Character		✓	✓	✓
Pensioner's widow indicator	Character		✓		
National insurance number	Character		✓	✓	✓
Gross pension to date	Numeric	This should be gross pension to date as at 6 October 2008 NOT taxable pension to date. Do not submit a record if this field is zero.	✓	✓	
Date last paid	Date		✓	✓	
Injury pension flag	Character	New - Police and Fire pensions only. Include a 'Y' in this field if the pensioner is in receipt of an enhanced pension due to injuries suffered at work.	✓		

Trade creditors standing data

To find out who should provide trade creditor standing data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- Standing data should be current at the date of extraction and should exclude dormant or suspended creditors.

It is essential that the guidance provided is referred to in conjunction with this data specification.

Field name	Data format	Comments
Creditor reference	Character	Revised - This is the unique identifier for an individual creditor. This can be in the form of a numeric or alpha numeric string.
Site ID	Character	New - If Creditors can have more than one address these should be separately identifiable via this Site ID [1]
Creditor name	Character	
Alternative payee	Character	Eg, it could be the name or even the reference of a factoring company.
Address 1	Character	If the address is held in a single field, use the Address 1 field.
Address 2	Character	
Address 3	Character	
Address 4	Character	
Postcode	Character	
Telephone number	Character	This may or may not have the area/STD code. It should be output as a character field so the leading zeros are not lost.
VAT registration number	Character	This should be in the form of a nine figure number, but should not be numeric as this could lose any leading zeros.
Bank sort code	Character	Six numeric characters in groups of two which may be separated by hyphens, eg 20-45-23.
Bank account number	Character	Usually 9 numeric characters.
Building Society Roll number	Character	Building societies have a roll number where payments are disbursed to after being paid into a single account. This should be blank for normal bank accounts.
Creditor type [2]	Character	For example, 0 = trade creditor, 1 = benefits, 2 = payroll, 3 = factor, 4 = grants, 5 = temporary/one-off, etc. Then provide a key to the codes used. If this type of identifier is not available from the system it would be to your advantage to populate this field to enable you to filter the output more easily and focus resources on what you may deem to be the most worthwhile matches.

1. If a Site ID is provided in the standing data file, it should also be included on the payments history file so that there is a unique linking field between the two datasets. This will make it possible to establish cumulative payments to individual trade creditor sites (which are attached to the standing data) and to attach the trade creditor names to each transaction on the payments history file.

2. This field only needs to be populated if you are unable to submit trade creditors data on its own.

Trade creditor payments history data

To find out who should supply trade creditor payments history data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- Trade creditor's payments history data should cover the period 1 April 2005 to date of extract (6 October 2008) or 1 April 2008 to date of extract as a minimum.

It is essential that the guidance provided is referred to in conjunction with this data specification.

Field	Data format	Comments
Creditor reference	Character	Revised - This is the same reference as shown in the standing data specification. See note below[1] regarding inclusion of a Site ID.
Site ID	Character	New - If trade creditors can have more than one address these should be separately identifiable via the Site ID [1].
Suppliers invoice number	Character	This should be the reference shown on the supplier's invoice – usually a number but may have alpha prefixes or suffixes.
Internal/system invoice number	Character	Most systems generate a unique, sequential transaction number so all invoices, credit notes, payments, etc. can be separately identifiable.
Invoice date	Date	This should be the date on the invoice, but could be the date of input if the invoice date is not available.
Due date	Date	This may be automatically generated by the system according to the conditions attached to each creditor.
Payment date	Date	If the invoice has not been paid then leave blank. If your system enters a default date and therefore you can't leave it blank, please tell us what the default date is.
Total invoice amount	Numeric	The 'total invoice amount' is inclusive of VAT, less any discount. However, some systems hold VAT exclusive amounts, with the VAT figure held separately. In this case these figures should be added together to produce the 'total invoice amount'.
VAT amount	Numeric	This should be separately identifiable for each invoice but could be nil.
Method of payment	Character	Eg: BACS, cheque, cash, payable order etc. If codes are used, a 'key' to the codes should be sent with the data submission.
Payment reference number	Character	This field should contain the cheque, payable order (PO) or BACS reference number by which the invoice was paid. This means that invoices that have been paid together would have the same cheque/PO/BACS number.
Remarks	Character	Describes, in text narrative, what the payment relates to.

1. If a Site ID is provided in the payments history data file, it should also be included on the standing data file so that there is a unique linking field between the two datasets. This will make it possible to establish cumulative payments to individual trade creditor sites (which are attached to the standing data) and to attach the trade creditor names to each transaction on the payments history file.

Housing

To find out who should supply housing data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- In order to ensure that the submission of data using the new DFU facility is as straightforward as possible data should now be uploaded in three separate files:

  1. Current first named tenants including those where a right to buy purchase is in progress.

  2. Former tenants who completed a right to buy application between 1 April 2005 to the date of extract (6 October 2008), or as a minimum 1 April 2008 to date of extract.

  3. Former tenants with arrears of £1,000 or more where a current address is not available.

Field name	Data format	Comments	Fields required		
			1	2	3
Tenant status flag[1]	Character	Insert an indicator (plus look-up table) in this field if the data does not relate to a first named tenant	✓	✓	✓
Surname	Character		✓	✓	✓
Forename(s)	Character		✓	✓	✓
Address line 1	Character	Where the address is a permanent address.	✓	✓	✓
Address line 2	Character		✓	✓	✓
Address line 3	Character		✓	✓	✓
Address line 4	Character		✓	✓	✓
Post code	Character		✓	✓	✓
Date of birth	Date		✓	✓	✓
Number living permanently at address	Numeric		✓		
Tenant/account reference	Character	This uniquely identifies the person.	✓	✓	✓
Housing benefit reference	Character	Include the housing benefit reference if applicable.	✓		
Former tenant flag[2]	Character	Insert 'F' in this field for former tenants.			✓
Amount of former tenant arrears	Numeric	Only provide where £1,000 and above is still outstanding and the forwarding address is not known.			✓
Right to buy flag	Character	Insert 'I' in this field to identify where a purchase is in progress (current tenant) under right to buy or a 'C', where the purchase is complete (former tenant).	✓	✓	
Tenancy start date	Date		✓		
Tenancy end date	Date	Included as an independent check that only current tenants are included.	✓		
Right to buy completion date	Date			✓	

1. This field only needs to be populated if you are unable to achieve a download of only first named tenants.

2. This field only needs populated if you are unable to submit three separate files.

Council Tax

Not required until 2009.

Requirements:
- Only current/live accounts should be extracted

- Date of birth field is included, but it is accepted that, apart from in Scotland, this is not routinely stored as it is not mandatory for charging of council tax. However, if it is captured, even as an optional field, it should be included in the extraction.

- The data extracted should relate to all CT accounts, whether or not there is a discount or exemption. Therefore, this should cover every domestic property i.e. where CT is applicable.

Field	Data format	Comments
Council Tax Account reference	Character	This should be unique
Unique Property Reference Number (UPRN)	Character	This is likely to be an optional field but if completed, it should be unique
Title	Character	
Surname	Character	
Forename	Character	
Middle name or middle initial	Character	
Date of Birth	Date	Not always held due to DP issues
Address 1	Character	
Address 2	Character	
Address 3	Character	
Address 4	Character	
Postcode	Character	
Title of other liable person	Character	This should be blank if only one liable person and should be the second named if more than 2 liable persons
Surname of other liable person	Character	This should be blank if only one liable person and should be the second named if more than 2 liable persons
Forename of other liable person	Character	This should be blank if only one liable person and should be the second named if more than 2 liable persons
Middle name (initial) of other liable person	Character	This should be blank if only one liable person and should be the second named if more than 2 liable persons
Date of Birth of other liable person	Date	Not always held due to it not being mandatory - DP issues – but this will be blank if there is no other liable person and should be the second named if more than 2 liable persons
Discount/Exemption start date	Date	
Discount/Exemption expiry date	Date	
Discount type/code	Character	Please insert a flag to indicate the discount type/code*
Disregard type/code	Character	Please insert a flag to indicate the disregard type/code*
Exemption type/code	Character	Please insert a flag to indicate the exemption code/type *
Benefit Recipient	Character	Preferably Y/N but if otherwise specify key
Disabled Reduction indicator	Character	Preferably Y/N but if otherwise specify key
Council Tax Band	Character	A to H (A to I in Wales)
Council Tax amount	Numeric	This should be the full liability i.e. according to the banding pre discount etc.
Discount/Exemption amount	Numeric	This should be the actual amount discounted/exempted rather than the amount due after discount/exemption
Billing Address 1	Character	If applicable – it could be called a forwarding address but if a 2nd Home discount applies, this is where it should be
Billing Address 2	Character	
Billing Address 3	Character	
Billing Address 4	Character	
Billing address Postcode	Character	

* These codes and types vary between systems so a key is required. However, we are only interested in knowing the equivalent codes/types for certain entries and so it is important for us to be able to distinguish these from the rest. Irrespective of what other codes and types mean, at the very least it must be clear as to which fields represent the following:

Discounts

Single person
suggested field entry = SINGLE

2nd home
suggested field entry = 2NDHOME

Disregards

Student
suggested field entry = STUDENT

Exemptions

CLASS A
Uninhabitable

CLASS B
Owned by Charity unoccupied for less than six months

CLASS C
Unoccupied unfurnished for less than six months

CLASS D
Unoccupied in prison/detention under M Health Act

CLASS E
Unoccupied in Hosp/Care Home/ Hostel

CLASS F
Unoccupied probate not granted

CLASS G
Unoccupied occupation prohibited by law

CLASS H
Unoccupied awaiting minister of religion

CLASS I
Unoccupied receiving care

CLASS J
Unoccupied to provide care

CLASS K
Unoccupied owner student

CLASS L
Unoccupied repossessed by mortgage lender

CLASS N
All occupiers Students

CLASS O
Armed forces accommodation

CLASS S
All occupiers under 18

CLASS T
Unoccupied granny annex/staff flat

CLASS U
All occupants severely mentally impaired

CLASS V
Liable person Diplomat

CLASS W
Occupied by dependant relative

Electoral register

Not required until 2009.

Requirements:

- This should be from the 'full version' of the Electoral register (not the commercially available 'edited version').

- This data should relate to the October 2009 registration exercise.

- This should be the first Register published after the canvassing that takes place between August and November 2009

- It should be extracted and submitted as soon as it is formally published (in December 2009).

Field	Data format	Comments
Electoral Register reference number	Character	This should be unique
Unique Property Reference Number (UPRN)	Character	This may not exist but if it does then it should be unique
Title	Character	
Surname	Character	
Forename	Character	
Middle name or middle initial	Character	
Address 1	Character	
Address 2	Character	
Address 3	Character	
Address 4	Character	
Postcode	Character	
Date of Birth	Date	This should exist when a member of the household has reached, or is soon to reach, the age of majority (18)

Insurance claimants

For information at this stage – final version will be found in due course on the Audit Commission's web-site.

To find out who should supply insurance claimants data refer to the Data requirements table (Table 1). However, see paragraph 45 of the handbook.

Requirements:

- Data should only be submitted via the Data File Upload facility.

- Claim details from 1 April 2005 to date of extract (6 October 2008) should be provided, or as a minimum 1 April 2008 to date of extract.

Field name	Data format	Comments
Case/claim reference	Character	
Title	Character	
Surname	Character	This should be the claimants details, eg NOT the Solicitor.
Forename	Character	
Address line 1	Character	This should be the claimants home address, eg NOT the Solicitor's address.
Address line 2	Character	
Address line 3	Character	
Postcode	Character	
Claimant's occupation	Character	
Date of birth	Date	
National insurance number	Character	
Witness title	Character	
Witness surname	Character	
Witness forename	Character	
Witness address line 1	Character	
Witness address line 2	Character	
Witness address line 3	Character	
Witness postcode	Character	
Witness NINO	Character	
Incident date	Date	
Time of incident	Character	
Nature of incident	Character	Include a brief description only.
Nature of injuries	Character	
Details of financial losses incurred	Character	
Location of incident	Character	
Date claim received	Date	
Insurer	Character	
Expected cost	Numeric	New field.
Actual cost (previously 'Total cost')	Numeric	Revised field name - Include actual payments.
Date paid	Date	Provide the date the claim was paid.
Solicitor	Character	
Claims agent or farmer	Character	
Status	Character	Insert an 'O' in this field if the case is still open, 'C' if it is closed or 'R' if it was repudiated.
Name of expert	Character	

Private supported care home residents

To find out who should supply private supported care home residents data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload facility.

- Data should relate to current care home residents.

Field name	Data format	Comments
Case reference	Character	
Title	Character	
Surname	Character	
Forename	Character	
Middle name or middle initial	Character	
Current address line 1	Character	This should be the care home address.
Current address line 2	Character	
Current address line 3	Character	
Current address line 4	Character	
Current address postcode	Character	
Date of admission	Date	
Previous address line 1	Character	
Previous address line 2	Character	
Previous address line 3	Character	
Previous address line 4	Character	
Previous address postcode	Character	
Date of birth	Date	Better quality matches will be achieved by submitting this data.
National insurance number	Character	

Transport passes and permits

Including residents' parking and blue badges.

To find out who should supply transport passes and permits data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- In order to ensure that the submission of data using the new DFU is as straightforward as possible, data should now be uploaded in two separate files:

  1 Current holders of a resident's parking permit.

  2 Current holders of a blue badge (including local schemes).

Field name	Data format	Comments	Fields required	
			1	2
Reference number	Character	This should be the internal reference number	✓	✓
Pass/Permit number	Character	New - This should be the actual residents permit, blue badge or travel pass reference number	✓	✓
Title	Character		✓	✓
Surname	Character		✓	✓
Forename	Character		✓	✓
Middle name or middle initial	Character		✓	✓
Address 1	Character		✓	✓
Address 2	Character		✓	✓
Address 3	Character		✓	✓
Address 4	Character		✓	✓
Postcode	Character		✓	✓
Date of birth	Date		✓	✓
National insurance number	Character		✓	✓
Permit start date	Date		✓	✓
Permit expiry date	Date		✓	✓
Permit type flag[1]	Character	Insert 'B' in this field to indicate if the data relates to a blue badge, 'R' for a residents permit.	✓	✓
Vehicle registration number	Character	New - Provide if applicable.	✓	✓

1   This field only needs to be populated if you are unable to submit data in two separate files.

Licences[1]

Including market trader, taxi driver and personal licenses for the supply of alcohol.

To find out who should supply licences data refer to the Data requirements table (Table 1).

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.

- In order to ensure that the submission of data using the DFU is as straightforward as possible data should now be uploaded in three separate files:

  1　Current holders of a market trader/operator licence.

  2　Current holders of a taxi driver licence.

  3　Current holders of a personal licence to supply alcohol to small [2] outlets (ie not one-off licences for private events).

Field name	Data format	Comments	Fields required		
			1	2	3
Reference number	Character	This should uniquely identify the individual, i.e. the licence number.	✓	✓	✓
Title	Character		✓	✓	✓
Surname	Character		✓	✓	✓
Forename	Character		✓	✓	✓
Middle name or middle initial	Character		✓	✓	✓
Address line 1	Character		✓	✓	✓
Address line 2	Character		✓	✓	✓
Address line 3	Character		✓	✓	✓
Address line 4	Character		✓	✓	✓
Address Postcode	Character		✓	✓	✓
Date of birth	Date		✓	✓	✓
National insurance number	Character		✓	✓	✓
Premises name	Character	New - This field is required as a check that data only relates to small outlets			✓
System type flag[3]	Character	Revised - Insert 'M' in this field to indicate the data relates to a market trader/ operator, 'T' for taxi driver or 'P' for a Personal licence to supply alcohol	✓	✓	✓

1　This data will primarily be matched to identify undeclared income and recourse to public funds.

2　Data relating to major outlets, such as Tesco or Sainsburys is not required.

3　This field only needs to be populated if you are unable to submit data in three separate files.

Appendix 4.

Data download instructions

The following checks will minimise the risk of the data having to be re-submitted, which typically can cause a delay of more than a week and results in unnecessary increases in download costs for participating bodies. Ultimately, poor-quality data will produce poor-quality matches therefore, it is essential that the NFI key contact ensures that:

- a data download contact is nominated (ie, whoever extracts the data). This should be the person with the most knowledge of the system in question;

- the data is extracted and submitted by the required deadlines (6 October 2008 and 13 October 2008 respectively);

- the data is readable and complete. If missing data is available from a second, third, etc system it should be brought across to complete the data submission;

- the record layout is consistent with the data specification;

- a 'look up' table is provided that describes the codes used in fields, whether system or manually generated;

- in case the data supplied proves unreadable, copies of any intermediate files should be retained so that the data may be re-supplied;

- data is only submitted using the Data File Upload (DFU) facility within the NFI secure web site. This is now the only acceptable method to supply data. If another submission method is used our policy will be to inform the Director of Finance that data have been put at risk unnecessarily.

If you require any further guidance on extracting, downloading or submitting data contact the NFI Data Centre (Synectics Solutions Ltd) via email (nationalfraudinitiative@nfi.gov.uk) or call 01782 664066 or 01782 664057

Appendix 5.

Data format

Data should be extracted in the following formats:

- Data: ASCII (preferred) or EBCDIC.

- Date fields: ddmmyyyy (preferred, but ddmmyy acceptable). If a date separator is used, it can be either a forward slash (/) or a hyphen (-)

- Numeric fields: Numeric characters without a £ sign, or decimal point (for example, £123.45 as 12345). The use of binary fields should be avoided. If monetary values cannot be supplied these should be space filled (as for blank fields below). Please do not insert a zero.

- Character fields: If a field type is neither a date nor numeric (ie, alpha numeric) this is referred to as a 'character' field for the purposes of this exercise, ie, fields such as 'VAT registration number', 'suppliers invoice number' that are a combination of letters and numbers.

- Blank fields: should be space filled for fixed-length records. For CSV records, the blank field must still be represented by a delimiter.

- Fixed length or character-delimited records (e.g. CSV) are acceptable. If commas (,) or inverted commas ("") appear within any of the data fields, a pipe (|) should be used as a field delimiter instead of the conventional comma.

Data should only be submitted using the Data File Upload (DFU) facility within the NFI secure web site. This is now the only acceptable method to supply data. If another submission method is used our policy will be to inform the Director of Finance that data have been put data at risk unnecessarily.

If you require any further guidance on extracting, downloading or submitting data contact the NFI Data Centre (Synectics Solutions Ltd) via email (nationalfraudinitiative@nfi.gov.uk) or call 01782 664066 or 01782 664057

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