

National Fraud Initiative in Northern Ireland 2008/09

Instructions

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Introduction

1. The Comptroller and Auditor General for Northern Ireland (C&AG), head of the Northern Ireland Audit Office (NIAO), has been given new statutory powers to conduct data matching exercises for the purpose of assisting in the prevention and detection of fraud. The new powers are contained in the Serious Crime Act 2007, which adds Articles 4A to 4H to the Audit and Accountability (Northern Ireland) Order 2003.
2. The Serious Crime Act imposes a regulatory regime alongside existing fair processing and other compliance requirements of the Data Protection Act 1998. Any person or body conducting or participating in the C&AG's data matching exercises must by law, have regard to a statutory Code of Data Matching Practice.
3. 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 to see how far they match. This allows potentially fraudulent claims and payments to be identified.
4. The first data matching exercise under the C&AG's new powers will be undertaken in 2008/09. The Audit Commission for Local Authorities and the National Health Service in England (the Audit Commission), which has been conducting a sophisticated data matching exercise since 1996 under the banner of the National Fraud Initiative (NFI) (www.audit-commission.gov.uk/nfi), will carry out the key aspects of the exercise on behalf of the C&AG, including the collection and processing of data.
5. The data obtained for the 2008/09 exercise will be matched on a cross jurisdictional basis in the UK and therefore will be included in a much wider NFI exercise.

Distribution of Matches

6. Once the data-matching process is completed, the output is returned to the relevant participating body for consideration and investigation via the secure NFI software. Responsibility for investigating any matches will rest with participants.
7. It is essential that the guidance provided with the output is considered as it will assist with prioritisation of the 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.

Audit

8. The C&AG and local government auditors will use the output from the exercise to help them assess the arrangements that the bodies they audit have in place to prevent and detect fraud.

9. Information on the role of the C&AG and the local government auditors can be found at www.niauditoffice.gov.uk.

Statutory framework

10. The C&AG will conduct data matching exercises under his new statutory powers in the Audit and Accountability (Northern Ireland) Order 2003.
11. The legislation requires the C&AG to prepare a code of practice to govern his data matching exercises. The Code was issued for consultation on 12 March 2008 and responses invited by 4 June 2008. It is planned that it will be finalised, published and laid before the Assembly in July 2008.
12. Under the legislation, the C&AG may carry out data matching exercises for the purpose of assisting in the prevention and detection of fraud, as part of an audit or otherwise. The C&AG may require certain bodies to provide data for a data matching exercise. These are bodies whose accounts are required to be audited by:
 - the C&AG, other than any body whose accounts are required to be audited by virtue of section 55 of the Northern Ireland Act 1998 which includes North/South Implementation bodies audited jointly by the C&AG and the Irish Comptroller and Auditor General; and
 - a local government auditor.

Therefore central government bodies (that is Northern Ireland Departments, Executive Agencies, Non-Departmental Public Bodies and Health and Personal Social Services Bodies) and local government bodies (District Councils) must participate if required.

13. Other bodies may participate in his data matching exercises on a voluntary basis where the C&AG considers it appropriate. The requirements of the Data Protection Act 1998 continue to apply.
14. The C&AG may disclose the results of a data matching exercise to bodies that have provided the data. He may also disclose both data provided for data matching and the results of data matching to the Audit Commission, the Auditor General for Wales, the Auditor General for Scotland, the Accounts Commission for Scotland and Audit Scotland, for the purposes of preventing and detecting fraud. This is an important aspect of the legislation as it enables cross jurisdictional data matching.
15. The processing of data by the C&AG in a data matching exercise 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

16. Participants in the C&AG's data matching exercises should inform individuals that their data will be processed, as required by the Data Protection Act 1998. For data processing to be fair, the first data protection principle requires data controllers to inform individuals whose data is to be processed of:
 - a) the identity of the data controller;
 - b) the purpose or purposes for which the data may be processed; and
 - c) any further information which is necessary to enable the processing to be fair.

Exemptions

17. However, when certain exemptions within the Data Protection Act 1998 apply, data controllers are not required to provide fair processing information. For example, where personal information must be made available to the public because of a statutory requirement, there is no need to provide fair processing information (the section 34 exemption).

The Notice

18. Communication with individuals whose data is to be matched should be clear, prominent and timely. Where further data sets are required that individuals were not informed about in the original notices, new notices should be issued outlining the additional information needed. Where a data controller is not required to provide a notice e.g. because of the section 34 exemption, it is good practice for new notices to be issued anyway.
19. Participants should submit a declaration confirming compliance with the fair processing notification requirements (NFI Form 3 – Fair processing compliance return – [Appendix 1](#))

Layered notices

20. 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.

Summary Notice

21. 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 second and third

layers, or contact details for a named person such as the Key Contact or Data Protection Officer. Participants should make clear where individuals can obtain further information about how, why and by whom their data is being processed.

22. Where an application form is used to collect the data, the summary notice should usually be included on this form.
23. In other cases, where Participants usually communicate with the data subject formally at least once a year, for example by newsletter the summary notices should be included in these communications. This should be sent to named individuals, in advance of each data matching exercise where practicable. This will avoid the cost of a separate mailing.
24. 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.

Condensed Text

25. The condensed text should give a summary of the C&AG's data matching exercises, and should be available on the Participant's website as well as in hard copy on request. This layer should provide a link to the more detailed full text.

Full Text

26. The full text will be available on the Northern Ireland Audit Office's website and will include an explanation of the legal basis for the C&AG's data matching exercises and a more detailed description of how the initiative works.
27. 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](#). Such notices will have the effect of deterring fraud as well as informing applicants about the use of data in data matching.

Benefits of a Layered Approach

28. The benefits of using a layered approach are to give 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 is made available for others.

Contact nominations and responsibilities

Director of Finance Role

29. The Director of Finance, or equivalent senior named officer acting as 'senior responsible officer' for the purposes of data matching exercises, has key responsibilities to ensure the statutory requirements for bodies participating in NFI in Northern Ireland 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); and
 - ensure that the key contact fulfils all data protection requirements.

Key contact role

30. 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 best be looked at by a nominated person in Internal Audit or Accounts Payable;
 - ensuring that the data formats guidance and data specifications are adhered to;
 - fulfilling data protection requirements;
 - coordinating and monitoring the overall exercise; and
 - providing feedback on the outcomes of the exercise.
31. 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.

Data download contact role

32. A data download contact is responsible for submission of the data:
- in accordance with the specifications;
 - in the correct format;
 - by the specified submission method (DFU);
 - by the required time.

Data set contact role

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

How contact information is used

34. 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.
35. 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

36. The data requirements for the 2008/09 data matching exercise are set out in Table 1- Data Requirements for 2008/09, with the corresponding data specifications set out in Appendix 3. There are a number of points to note in relation to this exercise:
- The requirements of the Code of Data Matching Practice of the Comptroller and Auditor General for Northern Ireland in relation to fair processing notices should be adhered to once the Code has been finalised. Liaise with your own Data Protection Officer if you require any clarification
 - The [Data Submission](#) section provides details on how to upload data securely. This is the only acceptable method.
 - Wherever possible data will be collected in bulk on behalf of participants.
 - In cases where a provider (eg payroll) submits data direct to the Audit Commission on behalf of a body, it is the bodies' responsibility to ensure that the provider receives full and timely instructions about this requirement and 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 this is the first time you have been required to submit this data there is an opportunity to send in test files for both the standing and payment history datasets during summer 2008. Instructions on how to take up this opportunity will be distributed.

Table 1 - Data requirements 2008/09

Mandatory Participants	Data Sets
<p>Department of Agriculture and Rural Development Forest Service Rivers Agency</p> <p>Department of Culture, Arts and Leisure National Museums and Galleries of Northern Ireland</p> <p>Department of Education Belfast Education & Library Board North Eastern Education and Library Board South Eastern Education & Library Board Southern Education & Library Board Western Education & Library Board Council for the Curriculum, Examinations and Assessment</p> <p>Department for Employment and Learning</p> <p>Department of Enterprise, Trade & Investment Invest Northern Ireland Northern Ireland Tourist Board</p> <p>Department of the Environment Driver & Vehicle Agency Environment & Heritage Service Planning Service</p> <p>Antrim Borough Council Ards Borough Council Armagh City & District Council Ballymena Borough Council Ballymoney Borough Council Banbridge District Council Belfast City Council Carrickfergus Borough Council Castlereagh Borough Council Coleraine Borough Council Cookstown District Council Craigavon Borough Council Derry City Council Down District Council Dungannon & South Tyrone Borough Council Fermanagh District Council Larne Borough Council Limavady Borough Council Lisburn City Council Magherafelt District Council Moyle District Council Newry & Mourne District Council Newtownabbey Borough Council North Down Borough Council Omagh District Council Strabane District Council</p> <p>Department of Finance and Personnel Northern Ireland Statistics and Research Agency</p>	<p>Payroll</p> <p>Trade Creditors payment history and standing data</p> <p>Pensions</p>

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<p>Department of Health, Social Services and Public Safety Eastern Health & Social Service Board Northern Health & Social Service Board Southern Health & Social Service Board Western Health & Social Service Board Central Services Agency Northern Ireland Ambulance Service HSS Trust Northern Ireland Fire & Rescue Service</p> <p>Department for Regional Development</p> <p>Department for Social Development Social Security Agency</p> <p>Office of the First Minister and Deputy First Minister</p> <p>Northern Ireland Assembly</p>	
Roads Service	Payroll; Trade Creditors payment history and standing data; Pensions; Blue Badges
Northern Ireland Housing Executive	Payroll; Trade Creditors payment history and standing data; Pensions; Housing benefit claimants and housing tenants
Land & Property Services	Payroll; Housing benefit claimants; Trade Creditors payment history and standing data; Pensions; Rates
Belfast Health & Social Care Trust Northern Health & Social Care Trust South Eastern Health & Social Care Trust Southern Health & Social Care Trust Western Health & Social Care Trust	Payroll; Trade Creditors payment history and standing data; Pensions; Private supported care home residents.
Northern Ireland Local Government Officers' Superannuation Committee	Pensions
Voluntary Participants¹	Data Sets
Northern Ireland Audit Office	Payroll; Pensions; Trade Creditors payment history and standing data

¹ The C&AG is currently considering the disclosure of datasets on a voluntary basis by bodies not listed in this table.

Timetable

37. The timetable, from collection of data through to distribution of matches, is set out in Table 2 – 2008/09 timetable.

Table 2 – 2008/09 timetable

Activity	Who	How	Timing
Inform bodies of their participation in 2008/09 exercise	Northern Ireland Audit Office	Letter to Finance Director	May 2008
NFI Workshops for participants	Northern Ireland Audit Office	-	2 and 3 July 2008
Issue instructions	Northern Ireland Audit Office	Email link to Directors of Finance	By 18 July 2008
Nominate NFI key contact	Director of Finance	https://www.nfilog.co.uk/nfiloguploads2008/	18 July 2008 onwards and when change occurs
Nominate other contacts (data download contacts and data set contacts, if applicable)	Key contact	https://www.nfilog.co.uk/nfiloguploads2008/	By Monday, 1 September 2008 and when changes occur
Upload test data, as required	Key contact/data download contact	www.nfi.gov.uk , select 'Data File Upload' from left hand menu.	Summer 2008
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	www.nfi.gov.uk , select 'On-line Interactive Training' on the Home page	From Monday, 1 September 2008
2008 data			
Submit fair processing compliance	Key contact	www.nfi.gov.uk , select 'Form 3 – Fair processing compliance'	Between Monday, 1 and Tuesday, 30 September 2008

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Activity	Who	How	Timing
return		return' from the Help menu.	
Extract data	Key contact/ data download contact	-	Monday, 6 October 2008
Upload live data	Key contact/ data download contact	www.nfi.gov.uk , select 'Data File Upload' from left hand menu.	From Monday, 6 October 2008
2008 matches available	Audit Commission	By email to Directors of Finance	From Tuesday, 28 January 2009

Downloading data

38. Before data is extracted from local systems, it is essential that the data download guidance available below is taken into account:
 - Download instructions (Appendix 4)
 - Data formats (Appendix 5)
39. To assist with this process a selection of Frequently Asked Questions can be accessed on the NFI [FAQ web page](#).
40. Data should be submitted using the Data File Upload (DFU) facility within the NFI secure web site. This is the only acceptable method to supply data and our 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
41. 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

42. A secure electronic upload facility is available enabling data for NFI to be submitted direct from local computers. This facility is contained within the existing secure NFI web application and consequently provides the same controlled access environment. It features 128 bit Secure Sockets Layer encryption and enables data files to be password protected.
43. Data File Upload is now the only acceptable method to supply NFI data. If any other method of submission is used our policy will be to inform the Director of Finance that data has been put at unnecessary risk.
44. 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 left hand menu (or from the Home page when it becomes available).
45. This will open the 'NFI data submission wizard' and provides prompts throughout the process.
46. 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

Making the process more efficient

Online interactive training

47. On-line interactive training 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 new to NFI. Each user will be advised to complete the appropriate training module before they access the matches and commence their review.

Other measures that can be taken locally

48. 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.
 - taking advantage, where relevant, of the option to supply test data;
 - ensuring all guidance documents are reviewed by appropriate staff prior to extraction of data;
 - planning in advance what investigative resources are needed so the matches can be dealt with promptly For example, trade creditor duplicate matches are perhaps best dealt with by a nominated person in either Internal Audit or Accounts Payable; and
 - making use of the filtering and sort facilities within the NFI application and recording the approach to properly follow up any outcomes.

Communications

49. The Audit Commission and Northern Ireland Audit Office are committed to ensuring NFI is effective 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 Northern Ireland need to be aware, however, that the scope of the exercise and data requirements is not the same in Northern Ireland;**
 - important messages to be placed within the NFI software on the Message Board of the new Home page;
 - periodic newsletters (*NFI matters*) and letters, highlighting important issues that arise during the exercise. These will be sent to directors of finance, key contacts and external auditors (where applicable); and
 - the NFI queries voicemail (0844 798 2222) and email address (nfiqueries@audit-commission.gov.uk) for participating bodies and other agencies to channel queries the more technical queries directly to the Audit Commission NFI team. General enquiries about NFI in Northern Ireland should be addressed in the first instance to Janet Sides (028 90251118) or Patrick O'Neill (028 90251023), email nficoordinator@niauditoffice.gov.uk.

Appendix 1 – NFI Form 3

FAIR PROCESSING NOTICE COMPLIANCE RETURN (NFI Form 3)

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

Organisation name:

Declaration: I confirm that appropriate steps (as outlined in the 2008 Code of Data Matching Practice) 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 – Fair processing notice examples

Level 1 – Summary Text

Example for Application Forms (for example, for benefits, housing tenancies, employment, market traders and taxi drivers, etc)

{Name of participant} 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 participant's website} or contact {name and contact details}.

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}.

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

We are participating in an exercise to promote the proper spending of public money.

We are required to protect the public funds we administer. We may share information provided to us with other bodies responsible for auditing or administering public funds in order to prevent and detect fraud.

The Comptroller and Auditor General currently requires us to participate in his anti-fraud initiative. For this initiative, we are providing details of [pensioners] so that they can be compared to 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 ensure 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 do have any questions, you should contact {name and contact details} who can also provide hardcopies of information available on our website.

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

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.

The [Comptroller and Auditor General/Local Government Auditor – delete as appropriate] audits the accounts of this [insert type of body]. The Comptroller and Auditor General is [also] responsible for carrying out data matching exercises under his powers in Articles 4A to 4G of the Audit and Accountability (Northern Ireland) Order 2003.

Data matching involves comparing computer records held by one body against other computer records held by the same or another body to see how far they match. This is usually personal information. Computerised data matching allows fraudulent claims and payments to be identified. Where a match is found it indicates that there may be an inconsistency that 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 Comptroller and Auditor General 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 the Comptroller and Auditor General for matching. Details are set out in the Northern Ireland Audit Office's website, www.niauditoffice.gov.uk.

The use of data by the Comptroller and Auditor General in a data matching exercise is carried out with statutory authority. It does not require the consent of the individuals concerned under the Data Protection Act 1998.

Data matching by the Comptroller and Auditor General is subject to a Code of Practice. This may be found at www.niauditoffice.gov.uk.

For further information on the Comptroller and Auditor General's legal powers and the reasons why he matches particular information, see {web-link to Level 3 notice Northern Ireland Audit Office website}. For further information on data matching at this {insert type of body} contact {name and contact details}.

Appendix 3 – The Data Specifications

1. There is a separate data specification for each dataset type collected for the NFI.
2. To find out what data to supply refer to the [Data requirements table](#) (Table 1 - Data requirements) on pages 12 and 13 in the main body of this handbook.
3. To avoid any unnecessary re-submission of data it is vital that the data download instructions (Appendix 4) and data format guidance (Appendix 5) are considered before extracting any data.
4. Data should be provided in accordance with the predetermined timetable set out in Table 2 – 2008/09 timetable on pages 14 and 15 in the main body of this handbook.
5. **The data specification for Rates is under development and this will be issued in due course, together with the data specifications for any other data sets added subsequently to the 2008/09 exercise.**

Payroll

To find out who should supply payroll data refer to the [Data requirements table](#) on pages 12 and 13 in the main body of this handbook.

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.
- **All** employee payrolls (for example, monthly, weekly, and quarterly, members/councillors) should be provided. However, data should not be provided in respect of payrolls processed for other organisations on an agency basis unless this has been authorised by the organisation and that organisation's participation has been agreed by the C&AG.
- 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 a 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	e.g. 16 hours as 1600.
Date last paid	Date	
Teacher flag	Character	Insert 'T' for a teacher.

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Field name	Data format	Comments
Sort code	Character	6 numeric characters in groups of 2 which may be separated by hyphens, e.g., 20-45-23.
Bank account	Character	Usually 8 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](#) on pages 12-13 in the main body of this handbook.

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		√	√	√ ¹
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	√	√	

¹ Included as an independent check that only deferred pensions are included.

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Field name	Data format	Comments	Fields required		
			1	2	3
		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](#) on pages 12 and 13 in the main body of this handbook.

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	E.g.: 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 9 figure number, but should not be numeric as this could lose any leading zeros.
Bank sort code	Character	6 numeric characters in groups of 2 which may be separated by hyphens, e.g., 20-45-23.
Bank account number	Character	Usually 8 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 data creditors 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](#) on pages 12 and 13 in the main body of this handbook.

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	E.g.: BACS, cheque, cash, payable order etc. If codes are used, a 'key' to the codes should be sent with the data submission.
Payment reference	Character	This field should contain the cheque,

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Field	Data format	Comments
number		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 Benefits

To find out who should supply housing benefits data refer to the [Data requirements table](#) on page 12 in the main body of this handbook.

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility
- Include claimants currently in receipt of housing benefit only
- Ensure that there is only a single record for each reference number

Field name	Data format	Comments
Authority	Character	If applicable. This field is required if the results are to be distributed back to individual housing benefit paying body
Housing benefit claim reference number	Character	
National Insurance number	Character	
Title	Character	
Surname	Character	
Forename 1	Character	
Forename 2 (middle name)	Character	
Date of birth	Character	
Sex	Character	
Type of tenancy	Character	
Address line 1	Character	
Address line 2	Character	
Address line 3	Character	
Address line 4	Character	
Postcode	Character	
Income support indicator	Character	
Second adult rebate flag	Character	
Current claim start date	Date	
Bank sort code	Character	
Building society roll number	Character	
Bank account number	Character	
Weekly rate of housing benefit	Character	
Date last paid	Date	
Child tax credit income	Numeric	
Rent income	Numeric	
Income from earnings	Numeric	
Pensions credit savings credit amount	Numeric	
Maintenance	Numeric	
Occupational pension	Numeric	
Total claimants capital declared	Numeric	
Working tax credit income	Numeric	
Incapacity benefit	Numeric	
One parent benefit flag	Character	
Student indicator flag	Character	
Disability living allowance flag	Character	
Claimant's pension credit guarantee credit flag	Character	
Claimants job seekers allowance flag	Character	

Housing

To find out who should supply housing data refer to the [Data requirements table](#) on page 12 in the main body of this handbook.

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 **two 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.

Field name	Data format	Comments	Fields required	
			1	2
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.	√	
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.

Private supported care home residents

To find out who should supply private supported care home residents data refer to the [Data requirements table](#) on page 12 in the main body of this handbook.

Requirements:

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

Blue badges

To find out who should supply blue badges data refer to the [Data requirements table](#) on page 12 in the main body of this handbook.

Requirements:

- Data should only be submitted via the Data File Upload (DFU) facility.
- Data should relate to current holders of a blue badge.

Field name	Data format	Comments	Fields required
Reference number	Character	This should be the internal reference number	√
Pass/Permit number	Character	New - This should be the actual blue badge 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		√
Vehicle registration number	Character	New - Provide if applicable.	√

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 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

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.
- **Excel:** There are a number of reasons why you should not export data into Excel, some of the more common reasons are listed below:
 - Numeric strings of 16 digits or more are treated as numbers by default and only the first 15 significant figures are stored;
 - Leading zeros are removed from numeric strings, try typing "01062007" into a cell. This is a very common problem which can affect dates, invoice numbers, bank details etc; and
 - Excel will automatically transform anything that looks like a date, however remotely, into a date. This causes problems with bank sort codes using hyphens (type "21-11-97" into a cell) and house numbers if they are supplied in a different column to the street name (i.e. "05-07").
- 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.

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