

Local government

Handbook

June 2004

 **audit**
commission

National fraud initiative 2004/05 handbook

Local government

The Audit Commission is an independent body responsible for ensuring that public money is spent economically, efficiently and effectively, to achieve high-quality local and national services for the public. Our work covers local government, housing, health, criminal justice and fire and rescue services.

As an independent watchdog, we provide important information on the quality of public services. As a driving force for improvement in those services, we provide practical recommendations and spread best practice. As an independent auditor, we monitor spending to ensure public services are good value for money.

Foreword

This Handbook is designed to help local government bodies plan for the National Fraud Initiative in 2004/05 (NFI 2004/05). It sets out what the NFI aims to achieve, the legal framework, the data that needs to be submitted and the key actions that local government bodies need to take.

Chapter 1 – What is the NFI?

The background to the NFI and a preview of NFI 2004/05.

Chapter 2 – The legal framework

How the NFI relates to the Audit Commission Act 1998 and NFI data protection protocols.

Chapter 3 – Data requirements and administrative arrangements

The datasets needed and the administrative arrangements for NFI 2004/05.

Chapter 4 – Key issues for local government bodies

Nominating key contacts and planning for the NFI CD-ROM.

Appendix 1 Dataset specifications

Payroll (and pensions payroll)
Housing benefit claimants
Housing rents
Students eligible for a loan

Appendices 2-5

Appendix 2 Nomination of contacts (NFI form 1)
Appendix 3 Data checklist (NFI form 2)
Appendix 4 Statistics return (NFI form 3)
Appendix 5 Data protection compliance return (NFI form 6)

Please note that the *progress return* NFI form 4 (used to feedback to the Audit Commission the number and value of frauds and details of any interesting cases) will be provided on the CD-ROM with your data matches. NFI form 5 is now obsolete.

1

What is the NFI?

- 1 The NFI is the Audit Commission's data matching exercise. It is designed to help participating bodies to detect fraudulent and erroneous payments from the public purse. It began in 1996 and is run every two years. The results from the most recent exercise (NFI 2002/03) surpassed all previous exercises, enabling participants across the UK from local government, central government, the NHS and a number of private sector pension bodies to identify over £83 million worth of fraud and error. The Commission's report on NFI 2002/03 highlights the main issues arising from the work and provides illustrative cases. Copies of the report were distributed on 13 May 2004 to all participating bodies.
- 2 The core of the NFI is the matching of data to help to reduce the level of housing benefit fraud, occupational pension fraud and tenancy fraud. Housing benefit fraud and error continues to be a major problem for many local authorities, particularly those that have not yet established an effective verification framework. NFI exercises have helped them to detect frauds involving claimants with undeclared income and those who claim housing benefits simultaneously from different authorities.
- 3 One of the most successful NFI reports is the listing of persons who are deceased according to the Department for Work and Pensions' (DWP) records, but who are also in receipt of an occupational pension. The report has two major benefits for pension paying bodies. Firstly, it enables them to identify pensions that are being paid inappropriately. Secondly, it enables them to replace the life certification process for UK residents with a more effective control, thereby saving both time and resources. The Commission is grateful to the DWP for its continuing co-operation, which enables this valuable process to continue.
- 4 All of the NHS payroll data was introduced for the first time in the 2002/03 exercise. As a result, a significant number of housing benefit claims involving undeclared employment income were identified.
- 5 The NFI continues to identify a substantial number of people who are in receipt of an occupational pension but who have not informed their pension paying authority of their re-employment in the same sector. In some cases, this has resulted in a large abatement of pension.
- 6 All local government bodies are required to provide the payroll dataset for NFI 2004/05, along with housing benefit claimants, housing rents, students eligible for a loan and pension payroll as appropriate (see **Appendix 1** for the dataset specifications). It is intended that NFI 2004/05 will match these datasets against a number of new matching sources. Discussions with the providers of these new data sources are currently being finalised. Further information will be provided later in the 2004/05 exercise via the nominated key contacts.

- 7 The Commission will again provide the NFI matches on a CD-ROM, which will include updated guidelines to help to maximise the success of the NFI, while placing minimum demands on local resources. The CD-ROM will also have been developed further since the previous NFI exercise, as a result of valuable feedback from users, to make prioritisation and analysis easier.
- 8 Each local authority is required to nominate contacts within their organisation who will have key roles in managing the NFI 2004/05 exercise locally. NFI form 1 should be used for this purpose (see **Appendix 2**). These roles are explained further in Chapters 3 and 4, but briefly, are as follows:
 - a **key contact** will have sole responsibility for coordinating the overall exercise.
 - a **data download contact** responsible for providing the download of data and ensuring that the dataset requirement is met as accurately as possible; and
 - **other contacts** can also be nominated to respond to specific queries arising from matches to other NFI participating bodies (for example, housing benefit contact, payroll contact, and so on) if you require this to be someone other than the key contact.
- 9 In addition, it would greatly improve the NFI communication process if the director of finance contact details could also be confirmed using NFI form 1.
- 10 A completed NFI form 2 (data checklist) and NFI form 3 (statistics return) should accompany each dataset. Copies of these forms can be found as **Appendices 3 and 4** of this Handbook.
- 11 Alternatively, you can download copies of the NFI forms from the NFI web page (www.audit-commission.gov.uk/nfi) and email back the completed return (nfiqueries@audit-commission.gov.uk).

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The legal framework

- 12 The Audit Commission has designated the NFI to be part of the statutory external audit and authorities are legally obliged to provide the relevant data, which is required under Section 6 of the Audit Commission Act 1998. Peter Yetzes, the Audit Commission's Associate Director of IT Audit, is currently the appointed auditor for the NFI.
- 13 To conform with the NFI data protection protocols (as agreed with the Information Commissioner) the following steps need to be taken prior to submission of the datasets for NFI 2004/05:
 - informing employees (the recommended method of notification is by inserting a note on employee payslips, see **Exhibit 1** for example wording), employee associations or other representative bodies that payroll data will be used;
 - notification to individual pensioners that the exercise is to be carried out. Notification methods include inserting a message on payslips, inclusion of reference to the initiative in a member newsletter or by individual member letters; and
 - informing all current tenants (for example, wording provided in **Exhibit 1** could be included on an annual rent increase letter) and housing benefit claimants that data will be used. Prominent reference should be included on housing benefit claim forms and tenancy applications, as this will capture all future data subjects.
- 14 These steps should have been taken as part of previous NFI exercises and in due course, they will be incorporated into a new Code of Data Matching Practice.
- 15 Key contacts are required to complete and return NFI form 6 (**Appendix 5** of this Handbook) to confirm that the above data protection protocols have been adopted.

Exhibit 1

Example wording for data protection protocol – employees and tenants

1. *We are required under section 6 of the Audit Commission Act 1998 to participate in the National Fraud Initiative (NFI) data matching exercise.*
2. *Payroll data [tenancy data] will be provided to the Audit Commission for NFI and will be used for cross-system and cross-authority comparison for the prevention and detection of fraud.*
3. *We advise applicants that the data held by the authority in respect of your housing application will be used for cross-system and cross-authority comparison purposes for the prevention and detection of fraud.*

3

Data requirements and administrative arrangements

- 16 Local government bodies should submit their data in accordance with the dataset specifications set out in **Appendix 1**.
- 17 The mandatory datasets for NFI 2004/05 are housing benefit, housing rents, payroll, students eligible for a loan and pensions payroll. Each authority should submit whichever of these are relevant to its functions (for example, county councils – payroll, students eligible for a loan and pensions payroll, district councils – payroll, housing benefit, and housing rents where housing stock remains with the authority or where it has been transferred to an arms length management organisation (ALMO)).

Timetable for NFI 2004/05 processing

- 18 The timetable for the processing of local government data and other data through to matches and investigation is set out in **Exhibit 2**.

Exhibit 2 **NFI timetable**

Activity	Timing
Nomination of contacts using NFI form 1 (key contact, data download contact and other contacts, if applicable)	30 June 2004
Submission of <i>data protection compliance return (NFI form 6)</i>	30 September 2004
Data extracted (or as near as possible to)	11 October 2004
Data submitted to Synectics Solutions with a <i>data checklist (NFI form 2, one for each dataset) and a statistics return (NFI form 3)</i>	22 October 2004
Synectics Solutions notify key contacts or data download contacts of data problems	From 22 October 2004
Processing to be completed	30 November 2004
Matching undertaken	1 December 2004 onwards
Initial output (on CD-ROM) to authorities	28 January 2005
<i>Progress return forms (NFI form 4) to Audit Commission (see paragraph 37 below for details on what to include on these forms)</i>	
<ul style="list-style-type: none"> ● Initial return ● Second return ● Final return 	31 May 2005 30 September 2005 31 December 2005*

***Note:** A final return should be submitted as soon as NFI work is completed rather than waiting until this date.

Downloading the data

- 19 Data can be submitted on either DAT tape, DVD, CD-ROM or 3.5 inch DOS diskette.
- 20 Please avoid the use of backup software, such as MSBACKUP, when copying files to diskettes, as this sometimes causes recovery problems. When copying to diskette, files may be compressed using the PKZIP or WINZIP utilities. Another utility should only be used if a copy of the decompression program is provided (without contravening software licensing), together with a note of the decompression command to use.
- 21 The Audit Commission will ensure that all media submitted is destroyed in a controlled, secure environment at the end of NFI 2004/05.

Data formats

- 22 Data should be submitted in the following formats:
 - **Data** – ASCII (preferred) or EBCDIC.
 - **Dates** – ddmmyyyy (preferred, but ddmmyy acceptable).
 - **Numeric fields** should be numeric characters without 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.**
 - **Fixed length or character delimited records** are acceptable. If using CSV format please use quotes (") around text fields. The pipe (|) is an alternative separator to the comma (,). Please note that if commas or inverted commas appear as data in the records this is likely to cause problems
 - **Blank fields** should be space filled for fixed-length records. For CSV records, the blank field must still be represented by a delimiter.

Data quality

- 23 The better quality the data that is submitted, the better quality the matches will be. The key contact needs to ensure that a data download contact is nominated and charged with providing the download of data. This person must be aware of how the data is going to be used and ensure that the dataset requirements are met as accurately as possible. The essential steps are to ensure that:
 - the data is obtained and dispatched promptly;
 - the data meets the specification;
 - the data media meets the specification;
 - the file layout is provided;
 - a sample record print is provided;
 - details of codes used in the data are provided (for example, L for leaver in payroll); and
 - NFI form 2 (data checklist) and NFI form 3 (statistics return) are completed and returned with the data by 22 October 2004.

- 24 The data download contact should ensure that the data has been reviewed on a computer before dispatch to check that:
- it is readable
 - the record layout is consistent; and
 - the file is complete
- 25 These checks will minimise the risk of the data having to be re-provided, which typically can cause a delay of more than a week. Ultimately, poor-quality data will produce poor-quality matches, thereby undermining the whole NFI process.
- 26 In the event of any difficulties, the data download contact should liaise with Mark Sanders from Synectics Solutions (telephone: 01782 664066). He may be able to provide assistance directly or suggest a contact at another authority using the same IT systems who may be able to help.
- 27 **All datasets should be sent, with NFI forms 2 and 3 to:**
Mark Sanders, Synectics Solutions, The Mount, 566 Etruria Road, Basford, Newcastle under Lyme, Staffordshire, ST5 0SU, telephone: **01782 664066**, email: **nfi200405@synectics-solutions.com**

Examples of submission problems encountered in previous NFI exercises

Some of the most common problems and solutions can be seen in **Exhibit 3**.

Exhibit 3 **Common problems**

Problem	Solution
Disks contained cyclic redundancy check.	All submissions should be checked before being sent to ensure that they are readable.
Zipped files did not unzip properly.	Zipped files should be checked to make sure they can be unzipped.
Fields within a data submission are sometimes truncated thereby limiting the use of the dataset.	Check through the first few records to make sure that no fields are truncated.
Data is supplied on unacceptable media.	See paragraphs 19-21 of this Handbook for acceptable media types.
Media received was blank or corrupt.	Check disk before submission.
Files contained records of variable length.	All records within a file should be of the same length.
Some files were received with no documentation making field identification difficult.	Send paper work with submissions.
Passwords not supplied with zip files.	Supply a password with the zip file.
Critical fields, such as national insurance number, were missing from the submission. This meant a re-submission was required.	Refer to Appendix 1 of this Handbook and for details of the critical fields that need to be submitted.
Currency values submitted in a format other than that specified in the Handbook.	If a non-standard format is used, this should be flagged clearly on the supplied paperwork.
Failure to distinguish between blank field values and nil field values.	Ensure that nil and blank fields are clearly distinguished, using a code if necessary.
Duplication of claimant details by submitting separate council tax benefit and housing benefit records for the same person.	Include council tax benefit claim details in the housing benefit claimant record.
Date field submission.	Some systems hold dates in dd/mm/yy format, which for dates earlier than 1930 are corrupted on conversion by spreadsheets. For these systems only, supply the data unconverted and identify this on the paperwork.

NFI 2004/05 fees

- 28 The data processing and production of the CD-ROMs for NFI 2004/05 will be outsourced by the Audit Commission. All NFI costs and charges will be ringfenced. The Audit Commission will collect the fees for NFI 2004/05 independently from the annual Code of Practice audit fee, via a separate invoice. The invoices will be sent to each participating authority in October 2004. The scale of fees is set out in **Exhibit 4**.

Exhibit 4**Fees**

Audited body type	Charge (excluding VAT) £
County council	1,900
Metropolitan borough council	1,900
London boroughs	1,900
Unitary council	1,300
District council – large*	950
District council – small*	800
Police and fire authorities	450
Probation boards	450
Passenger transport	450
Pension authorities (local government)	450

*Based on number of housing benefit claimants

4

Key issues for local government bodies

29 Experience has shown that in order for the NFI to be as successful as possible, local government bodies need to carry out several key tasks prior to investigations commencing. This chapter outlines these tasks and focuses on the role that the key contact needs to play throughout the process in order to achieve success.

Key contact

- 30 The key contact role is vital to obtaining maximum fraud and overpayment detection from the NFI, using the minimum input of resources. Ideally, the key contact should marshal the exercise throughout, ensuring that:
- a **data download contact** is nominated so the highest quality data is submitted (the key contact could also be nominated as the data download contact);
 - contact is made at an early stage with the local office of the DWP to discuss how cases involving income support matches will be dealt with;
 - NFI data protection protocols are complied with and NFI form 6 is completed and returned;
 - an appropriately experienced officer carries out an initial review of the results;
 - results are distributed electronically to the investigators so that they have access to all the facilities on the CD-ROM, for example, list of contact names, guidelines, and so on;
 - progress of the matches being investigated is monitored and controlled;
 - results are reported to the Audit Commission within the required timescales (see paragraph 37 below); and
 - summary information relating to investigations involving public sector employees is fed back promptly to the employing bodies, as per the NFI Information Exchange Protocol.
- 31 Authorities may wish to nominate additional contacts to deal with specific queries from other participating bodies (for example, housing rents, housing benefits, and so on). These additional contacts must be included on the reverse of NFI form 1 (**Appendix 2**). The key contact should ensure that each person understands their particular role and that they have read the NFI guidelines and newsletters.
- 32 A number of training/support sessions were held throughout the country during NFI 2002/03. In addition, on-site support was provided to a significant number of participating bodies. Both of these support facilities will again be provided as part of NFI 2004/05 and can be arranged through Sarah Stapley on 01732 591350.

Planning and initial review

- 33 It is vital that resources are earmarked for the NFI exercise in advance of receipt of the CD-ROM in January 2005. The data matches should be reviewed and investigated **as soon as possible** in order to avoid the matches becoming out-of-date.
- 34 The initial review of the results is a very important step, as it helps to identify the priority matches, including any sensitive ones. The reports are colour coded and there is a filtering facility within most reports to help you to identify your priority matches. The CD-ROM will also include a set of guidelines that everyone involved with the NFI should be aware of.
- 35 The initial review also needs to tailor the investigations to the local circumstances of individual authorities. For example, at authorities that have a strong verification framework, it may be expected that all relevant employment income has been declared in the vast majority of benefit claim calculations. Therefore, it may be appropriate to plan to test a relatively small sample of reports matching claimants with payroll data using the filtering facility on the CD-ROM. However, where the framework is not in place, these reports may need to be reviewed in more detail.

Briefing of investigators

- 36 Before investigations begin, all staff need to be clear about their tasks and have an understanding of the reports they are expected to examine. Experience has shown that where local authorities fail to ensure that this is the case, fraud and error is missed and valuable resources are wasted. The guidelines for NFI 2004/05 will be available for January 2005, but prior to this you can find other useful NFI-related information on the NFI web page (www.audit-commission.gov.uk/nfi).

Progress return forms (NFI form 4)

- 37 Progress return forms are due on 31 May, 30 September and 31 December 2005. A revised NFI form 4 will be provided on the NFI 2004/05 CD-ROM.
- The early returns should, for example, include:
 - an early indication of the level of good matches;
 - the number of matches that have been selected for review; and
 - details of savings identified from completed cases and estimates of potential savings.
 - Later returns should provide details of interesting cases and an update on savings figures.
- 38 A final return can be sent at any time if NFI work is completed, but it should be clearly marked 'final'.

Communicating with key contacts

- 39 The Audit Commission is committed to improving the effectiveness of the NFI and will work more closely with investigators by establishing electronic communication channels. These offer more regular and timely feedback to all parties involved in the investigation process. **For this reason, wherever possible, please provide an email address on NFI form 1 (Appendix 2).**
- 40 An integrated communications strategy was developed for the NFI 2002/03 exercise, which will continue to be improved upon for future NFI exercises. The principal components of the strategy include:
- an area within the Audit Commission website offering access to all NFI-related reference material (www.audit-commission.gov.uk/nfi);
 - periodic bulletins (*NFI matters*) highlighting important issues. These are sent to directors of finance, key contacts and external auditors;
 - specialist briefings (for example, issues specific to NHS bodies);
 - an email address for participating bodies and other agencies to channel queries direct to the NFI team (nfiqueries@audit-commission.gov.uk); and
 - copies of the CD-ROMs containing the NFI results are sent to the appointed external auditors to assist the local 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.

Appendices

Appendix 1 – Dataset Specifications

Payroll (and pensions payroll)
 Housing benefit claimants
 Housing rents
 Students eligible for a loan

Appendix 2 – Nomination of contacts (NFI form 1)

Appendix 3 – Data checklist (NFI form 2)

Appendix 4 – Statistics return (NFI form 3)

Appendix 5 – Data protection compliance return (NFI form 6)

Please note: Copies of the above NFI forms can be downloaded from the NFI web page (www.audit-commission.gov.uk/nfi).

NFI form 4 will be provided on the CD-ROM.

Appendix 1

Payroll (and pensions payroll) specification

The standard specifications for payroll/pensions is set out in **Exhibit 5** and is unchanged from the previous NFI exercise (NFI 2002/03).

Data is required from all payrolls (for example, monthly, weekly, teachers, pensions). 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.

Pensions payroll should be provided as a separate dataset, clearly labelled as such and with its own data checklist. Pension authorities may also submit deferred pensions data (for matching against deceased persons only) but this must also be as a separate dataset.

Please ensure that there is only one record for each employee reference number.

If any fields are represented by codes, please supply a list of the codes and meanings.

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

Data should only be submitted for current employees/pensioners paid as at 11 October 2004.

Exhibit 5

Payroll (and pensions payroll) specification

Field Name	Notes
Employee reference number	
Employee post number	
Department code	
Title or sex	
Surname	
Forename(s)	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	
Date of birth	
Date started (pension or this employment)	
Date left	Included as an independent check that only current employees are included
Leaver indicator	Included as an independent check that only current employees are included
Pensioner's widow indicator	The inclusion of a widow/widower indicator is only relevant for pensions payroll only.
National insurance number	
Full-time/part-time indicator	
Gross pay to date this year	As at 11 October 2004, or as near as possible to this date – do not submit record if this field is zero
Standard hours per week	
Date last paid	
Teacher flag	This field should be set to 'T' for a teacher and 'N' for everyone else (NB – only education authorities need to complete this field, other authorities should leave it blank)

Housing benefit claimants specification

The standard specification for housing benefit claimants is set out in **Exhibit 6** and is unchanged from the previous NFI exercise (NFI 2002/03).

Data is only required for claimants and not for other household members.

For council tax benefit only cases, a flag must be inserted in the benefit type field.

Data is only required in respect of current, open claims, that is, there should be only one record per claim and no submission if the housing benefit is nil and council tax benefit is nil.

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

Data should be downloaded as at 11 October 2004, or as near as possible to this date.

Exhibit 6

Housing benefit claimants specification

Field Name	Notes
Title (or sex)	
Forenames	
Surname	
Date of birth	
Marital status	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	
Income support indicator	
Income support reference	
National insurance number	
Housing benefit case reference	
Member type	Only claimants are required. This field is included as an independent check that only claimant records are matched. Wherever possible do not send data relating to non-claimants for example, dependents, non dependents and so on.
Housing rent reference for council tenants only	This is the rent account reference by which the tenant is recognised in the rents system and which is held to link the rent and benefit accounts.
Benefit type (for example, council tenant, private tenant, boarder, council tax benefit only)	
Joint claimant indicator (may be a code/indicator or a percentage)	
Case start date	
Current weekly benefit	Do not submit record if this is zero unless submission is for CTB only
Weekly rent	Actual rent paid by the tenant (not the fair rent or eligible rent).
Landlord reference	
Council tax reference number	
Equivalent weekly council tax benefit	
Council tax discount type	For example, sole resident, non resident, unfurnished property.

Housing rents specification – revised for NFI 2004/05

The standard specification for housing rents is set out in **Exhibit 7** and reflects a number of changes for NFI 2004/05.

Data should only be submitted for:

- Current tenants who are heads of household (primary tenant) including those where a right to buy purchase is in progress.
- Former tenants with arrears of £1,000 or more.
- Former tenants who have completed a right to buy purchase.

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

Data should be downloaded as at 11 October 2004, or as near as possible to that date.

Exhibit 7**Housing rents specification – revised for NFI 2004/05**

Field Name	Notes
Tenant status flag (see note 1 below)	New Field – insert a ‘P’ flag in this field for the primary tenant (ie, the head of household) or insert an ‘S’ for the secondary or other tenant. See note 1 below.
Surname	
Forename(s)	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	
Date of birth (where known)	
Number living permanently at address	
Tenant/account reference	Any reference that is used to uniquely identify the person.
Housing benefit reference	Include in this field the housing benefit reference by which the claimant is recognised.
Former tenant flag	New Field – insert a ‘F’ flag in this field for former tenants.
Amount of former tenant arrears	New Field – monetary value £1,000 and above.
Right to buy flag	New Field – insert an ‘I’ in this field to identify properties where a purchase is in progress under right to buy or a ‘C’, where the purchase is complete .

Note 1: Ideally, data should only be provided for the primary tenant (that is, the head of household). If primary tenant data cannot be provided in isolation then an ‘S’ should be inserted in this field where data relates to secondary or other tenants.

Students eligible for a loan specification

The standard specification for students eligible for a loan is set out in **Exhibit 8** and is unchanged from the previous NFI exercise (NFI 2002/03).

The records should cover both new and returning students. There should only be one record for each student, that is, all records should relate to the current (2004/05) academic year.

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

Data should be downloaded as at 11 October 2004.

Exhibit 8

Students eligible for a loan specification

Field Name	Notes
Student reference number	These should be your local codes and not those used by the Student Loan Company
Surname	
Forename(s)	
Title (or sex)	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	
Date of birth	
National insurance number	
College/University code	
College/University name	

Appendix 2

Form 1

NOMINATIONS OF CONTACTS – LOCAL GOVERNMENT

Director of finance

Please return this form by 30 June to: **Sarah Stapley, Audit Commission, Ground Floor Front, 16 South Park, Sevenoaks, Kent TN13 1AN**
or fax to: **01732 591399**.

Title:

Mr/Mrs/Ms/Miss/other please specify

Forename:

Surname:

Name of authority:

Full job title:

Address line 1:

Address line 2:

Address line 3:

Postcode:

Email: *

Telephone:

Fax:

Note* – The Audit Commission’s preferred method of communication is via electronic mail. It is therefore vital that you provide these details wherever possible.

Please notify us of any changes to this information as soon as possible.

Continued overleaf

Key contact, data download contact and other contacts

Key contact and other contact details will be provided on the CD-ROM to enable other NHS and local government bodies, participating in NFI, to contact the most appropriate person.

A fax number should only be provided if the fax machine is in a secure location for the receipt of confidential information.

Please photocopy this form if additional contact details need to be supplied.

Key contact

Title:	<input type="text" value="Mr/Mrs/Ms/Miss/other please specify"/>
Forename:	<input type="text"/>
Surname:	<input type="text"/>
Name of authority:	<input type="text"/>
Full job title:	<input type="text"/>
Address line 1:	<input type="text"/>
Address line 2:	<input type="text"/>
Address line 3:	<input type="text"/>
Postcode:	<input type="text"/>
Email:	<input type="text"/>
Telephone:	<input type="text"/>
Fax:	<input type="text"/>

Data download contact

Title:	<input type="text" value="Mr/Mrs/Ms/Miss/other please specify"/>
Forename:	<input type="text"/>
Surname:	<input type="text"/>
Name of authority:	<input type="text"/>
Full job title:	<input type="text"/>
Address line 1:	<input type="text"/>
Address line 2:	<input type="text"/>
Address line 3:	<input type="text"/>
Postcode:	<input type="text"/>
Email:	<input type="text"/>
Telephone:	<input type="text"/>
Fax:	<input type="text"/>

Other contacts

Contact for:	Housing benefit / housing rents / payroll / pensions / students eligible for a loan (please delete as appropriate)
Title:	Mr/Mrs/Ms/Miss/other please specify
Forename:	
Surname:	
Name of authority:	
Full job title:	
Address line 1:	
Address line 2:	
Address line 3:	
Postcode:	
Email:	
Telephone:	
Fax:	

Please notify us of any changes to this information as soon as possible.

Appendix 3

Form 2

DATA CHECKLIST

Name of authority:

Please return a completed copy of this form **with each dataset** (photocopy as necessary) by 22 October 2004 to **Mark Sanders, Synectics Solutions, The Mount, 566 Etruria Road, Basford, Newcastle under Lyme, Staffordshire ST5 0SU**, telephone: **01782 664066**.

Which dataset?

Name of system (or in-house):

No of records in file:

File size (Mb):

Please check your data submission against the list below and tick the boxes:

Data enclosed

Data to specification

Media to specification

File contents checked

File layout enclosed

Sample record print enclosed

Details of data codes enclosed

Please ensure that all disks are clearly labelled with the authority's name and the dataset(s) contained.

It is important to ensure that data is sent securely. We recommend that data is either couriered or sent by registered post.

Appendix 4

Form 3

STATISTICS RETURN

Please send a completed copy of this form with the data by 22 October 2004 to:
**Mark Sanders, Synectics Solutions, Synectics House, The Mount,
566 Etruria Road, Basford, Newcastle under Lyme, Staffordshire ST5 0SU,**
telephone **01782 664066**.

Name of authority:

Please supply the following statistics about your authority:
(ignore if not applicable):

Name of housing benefit
system and computer
operating system

Number of public sector
housing benefit claimants

Number of private sector
housing benefit claimants

Name of payroll system
and computer operating
system

Number of current employees
(excluding pensioners)

Number of current pensioners

Name of housing rents
system and computer
operating system

Number of current tenants

Number of former tenants

Number of students

This information will be used to address data quality issues and assess the results of matching runs. You should also use these figures to compare to the number of records in each of the data extract files in order to check that the size of the file appears reasonable before dispatching it.

Appendix 5

Form 6

DATA PROTECTION COMPLIANCE RETURN

To be returned by 30 September 2004 to **Sarah Stapley, Audit Commission, Ground Floor Front, 16 South Park, Sevenoaks, Kent TN13 1AN** or fax to: **01732 591399**.

Name of authority:

Systems (tick as appropriate):

Housing benefit:

Housing rents:

Payroll:

Pensions payroll:

Students eligible for loans:

Declaration: I confirm that appropriate steps (as outlined in paragraph 13 of the NFI 2004/05 Handbook) have been taken to notify data subjects (or their representatives) held in the above named systems that the data may be used to prevent and detect fraud.

Signature:

Full name (please print):

Full job title:

Date:

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