

Instructions on securely handling FAS scheme and member data on data pens

Responsibility for data security

You are responsible for the personal data of your members until we receive it. If you choose to disregard these requirements for secure delivery and data protection, you will increase the risk that the data could be misused by third parties should the S1 be lost or go astray.

Failing to put in place suitable delivery protection means you run the risk that personal data could be lost or misused.

Revisions to FAS Delivery Model

With effect from 26 July 2011, the Financial Assistance Scheme Operational Unit (FASOU) in York will close. This means we have made the following changes to support the handling of scheme and member data:

1. New Member Events (all FAS Qualifying Schemes) – will with effect from 9 May 2011 all be dealt with by the New Member Events Team, in Darlington. This includes: members reaching normal retirement age, survivors, ill health, severe ill health and terminally ill applications in accordance with FAS Regulations.
2. Annex A explains in greater detail what is required of you and or your data provider.
3. FAS Non-annuitising Schemes – with effect from 1 April 2011 all schemes have been managed through PPF Croydon and as such full scheme and final data should be submitted to PPF Croydon using Repliweb.
4. FAS Annuitising Schemes – these should continue to be dealt with as per current processes until such times as we advise you otherwise. Should you need any further clarification please speak to your FAS scheme contact.
5. FAS Wound-Up Schemes - these should continue to be dealt with as per current processes until such times as we advise you otherwise.
6. *These changes impact in particular on where you will be required to send scheme and member data in the future. For your convenience tabled at Annex B, are the details you will require to ensure that data is directed to the correct location. If you are in any doubt please speak to your scheme contact.*
7. **Please ensure you follow the instructions detailed in the Annex.**

How information should be sent

8. Repliweb is our preferred method for return of data in respect of Full Scheme or Final Data for non-annuitising schemes. If you are unable to use this method please speak to your FAS Scheme Contact who will advise you about the next steps. For annuitising and wound up schemes please continue to use USB Data Pens unless you are advised otherwise.

9. Trustees, Administrators and data providers holding FAS USB encrypted data pens that they will not use should liaise with their FAS Scheme contact who will provide instructions in respect of their return.

10. Data for new member events should be submitted direct to the FAS Operations Team in Darlington using **WinZip encrypted email** to FASValidations@capita.co.uk. See Annex A for further details.

Standards for data return and use of S1 analyser

11. The S1 analyser and associated guidance are available on the PPF Website (www.pensionprotectionfund.org.uk). You must use this on all S1's, clearing any queries before you submit the S1 to the FAS. Should you have any questions about the analyser and its use then please talk to your FAS Scheme contact.

New Member Events

Introduction

This annex provides you and your data providers you with further information about the changes to the provision of data for new member events, namely those members approaching their normal retirement age (NRA's), all categories of ill health members, survivors and dependants.

To confirm from 9 May 2011, all new member events will be dealt with by the 'New Member Events Team', FAS Operations Team, Darlington, regardless of whether the scheme has wound up or is still winding up.

What we require from you

We require you and or your data holder/administrator to monitor and review your scheme membership with a view to ensuring that the appropriate data for such members is submitted in accordance with the timescales laid down in the Financial Assistance Scheme Regulations. See Annex C.

In submitting data for any category of member as Trustee(s) you should be sure that the member has or will have an underlying entitlement to FAS when the scheme completes wind up. If you are in any doubt please consult with your FAS Scheme contact.

Please note that if the members' **'actual pension'** figure is not known then before submitting data please speak to your FAS Scheme contact as there may be the potential for members' to be overpaid.

How data should be returned

Data should be submitted direct to the FAS Operations Team in Darlington using WinZip encrypted email - sending details to FASValidations@capita.co.uk

When using WinZip encrypted email you must select 256-Bit AES as the Encryption Method. Choose a strong password for the WinZip protection which must be at least 13 characters long. The password should contain a mixture of numbers, letters, and non-alphabetic characters. For example 'Password1!' would not be acceptable, but 'E4-IW845vf@7c' would be. **The password should be sent in a separate email.**

Please note that before submitting any data you must ensure that the data has been validated using the S1 analyser and any resultant queries have been resolved prior to submission. Data quality will be closely monitored and reported against for value for money purposes.

How you will receive information from us

We will return any subsequent queries to the data provider with an expected return date for responses directly from our team in Darlington via e-mail. The

communication will not contain personal member data but will refer to relevant S1 and line number for purposes of member identification.

Any questions regarding the submission of the data should be directed to the 'New Member Event Team' on **01325 745831**.

Annex B

Changes to the FAS Delivery Model

FAS Delivery Model	How to send data	Where to send data	Timescales	Standards	Who to contact
New Member Events	Encrypted Email and S1 win zipped	New Member Events Team, Darlington	In accordance with Annex C	Cleansed via use of S1 Analyser	FASValidations@capita.co.uk or telephone on 01325 745831
Non-annuitising Scheme data sets	Repliweb	PPF Croydon	As agreed with PPF Contact	Cleansed via use of S1 Analyser	PPF Croydon
Annuitising Scheme data sets	USB data pen or as directed by FAS Scheme Contact	FASOU or as directed	In accordance with Annex C	Cleansed via use of S1 Analyser	FAS Scheme Contact
Wound Up Scheme Final Data sets	USB data pen or as directed by FAS Scheme Contact	FASOU or as directed	In accordance with Annex C	Cleansed via use of S1 Analyser	FAS Scheme Contact

Annex C

Legislative timescale for provision of data

Members who are terminally ill or unable to work due to ill health	No more than 14 days from the date of request
All other members	No more than 3 months from the date of request OR At least 3 months (and no more than 6 months) before the member's normal retirement age; if later
A Survivor or Surviving Dependant	No more than 1 month from notification of death of member (but 3 months where notification of death was before 10 th July 2009)
All other requests - for example, data in order to determine annual payments because a scheme is near to, or has, completed wind-up	No more than 3 months from the date of request