



CAPITA HARTSHEAD

PPF Standard Data Interface to HartLink

Data Interface Layout Guidance

On Behalf of the

Pension
Protection
Fund

Project PPF Implementation

Version: 5.0

Status: Updated





Table of Contents

1. Introduction.....	3
2. Data Interface Template.....	3
Data Format	4
Field Length.....	4
Format Required/ Input Options	4
Input Instructions.....	4
3. General Notes	5
4. Data Provision and Process	7
How.....	8
When.....	8
5. Data Interface File Format.....	9
Record type 1 - Scheme details	9
Record type 2 - Beneficiary details.....	12
Record type 3 – Trailer Records	22
Record type 4 – Annuity Records.....	23
Record type 5 – Refunds.....	27
Record type 6 – Court Order Deductions.....	30



1. Introduction

This document provides guidance on the data interface template to be used by Trustees for the provision of data. The purpose of the template is to provide beneficiary data records in a standard, agreed format. This data will be provided to Capita Hartshead for the purpose of administering the scheme on the completion of transfer to the Pension Protection Fund (PPF).

The template will be provided in Excel format with six sections (see below). In order to keep the template as simple as possible, detailed instructions and guidance on completion are provided in this guidance document.

It should be noted that this document only provides guidance on the electronic data required by Capita Hartshead. It does not cover additional data or information that may be required such as scheme or member documentation, work in progress at transfer, outstanding issues and so on. In addition, the requirement for the archiving of system data which is not required by Capita Hartshead for the immediate transfer is not covered in this document. These requirements will be defined elsewhere.

2. Data Interface Template

The spreadsheet consists of six main sections:

1. Scheme Details – This provides the basic details required at scheme level, which apply to all beneficiaries; only one record is expected.
2. Beneficiary Details – This provides personal information, compensation details and payroll details for each beneficiary within the scheme. One record per beneficiary, per period of **service** with the company is expected in this worksheet.
3. Trailer Record – This record is designed for Trustees to provide control totals in relation to the data provided, in order to reconcile the information against the records loaded onto the HartLink system. These totals must be calculated **from your source data** rather than the data supplied on the Beneficiary Tab.
4. Annuity Data – This provides personal information and annuity details for relevant beneficiaries. One record per beneficiary, per annuity is expected in this worksheet and must match with a beneficiary already supplied on the Beneficiary Tab.
5. Refund Data – This section is designed to show the members who are entitled to a refund of contributions but where the Trustees have not been able to make the payments. There are two types of refunds – see the guidance for this section for further clarification.
6. Court Order Data – This section allows Trustees to show any deductions which have been agreed through a court order.

The tables in this guidance are laid out in the order of the columns on the template. Within the tables, you will note the following columns:

- Field Description
- Column Header Reference
- Data Format
- Field Length
- Format Required/Input Options
- Input Instructions

The purpose of the last four columns is summarised below.

Data Format

The following key explains the type of data, which will be expected in relation to each field:

<i>Value</i>	<i>Meaning</i>
X	Alphanumeric – Any number, letter or character allowed
N	Numeric – Numbers only expected
D	Date Field – Date only expected

Field Length

This column denotes the maximum number of characters, of the relevant type as stated above, which will be allowed in this field.

Format Required/ Input Options

In some instances, the data must be provided in a specific, compatible format in order for it to load successfully via the Interface. In other circumstances, a particular choice of options will exist in order to ensure that the beneficiary details are set up correctly. This column specifies the format required, or the available options, in these circumstances.

Input Instructions

In many instances, it is necessary to keep the field descriptions as simple as possible, for the sake of brevity.

Both for this reason, and to help make the provision of data in the required format as straightforward as possible, we have provided a description of what information is required in each field. As some fields are self-explanatory, you will find that a description is not always provided.

3. General Notes

- Please ensure that no additional characters are included within the data, for example there should not be any spaces at the beginning or end of each piece of data. Spaces are acceptable where required to define separate pieces of information, for example within Forenames or Honorary Titles.
- Headings are included within the following tables to indicate general sections of information such as Personal Details, Compensation and so on. These headings are to aid reference within this document, and will not exist in the Excel template.
- Compensation cannot currently be deferred and must be paid no later than PPF Normal Pension Age (NPA). Where the member has more than one NPA, the compensation payable at each NPA is referred to as a "Tranche" and must be recorded separately. Within each Tranche, there may be more than one "Element", most commonly where these relate to different periods of service e.g. pre 6 April 1997, post 6 April 1997, after 6 April 2009, or in some cases for transfers in (particularly if these were a fixed pension rather than a service credit – as detailed on page 6).

In order to ensure that the member's compensation is paid correctly, their data must be provided as individual elements, and the Data Interface should be populated accordingly. On the Data Interface template, there are Elements columns (AH to GK) for this purpose.

For example a scheme may have two NPAs, so two Tranches, each with pre and post 97 service Elements. This scheme could use the Data Interface Elements as follows:

- Element 1 – compensation accrued pre 97 payable from NPA 60
- Element 2 – compensation accrued post 97 payable from NPA 60
- Element 3 – compensation accrued pre 97 payable from NPA 65
- Element 4 – compensation accrued post 97 payable from NPA 65

Each scheme may use the elements differently. If your data is not currently held in separate Elements of compensation in this way, the appropriate Elements will need to be calculated. **If you need any advice in this respect, you should raise this with your contact at the PPF.** If the scheme is complex, the 'Member Calculation Assumptions' field (column AE) may be used to record the method used.

For any Elements where the benefit has been fully commuted, i.e. a cash sum has been taken but no cash or compensation liability remains, no data need be supplied.

- **Child's / spouse's pension not currently being paid** – children who were not entitled to benefits under the scheme rules may now receive them under PPF legislation, provided that the member died after the Assessment Date. This could also apply to spouses and dependents that did not have an entitlement under the previous scheme rules but become entitled under PPF legislation. If you have any cases like this, you will need to supply details to create a record for the member. Whilst the pension may not yet be in payment, as it is on hold until Transfer Date, you should provide a standard beneficiary record with payment details and amounts. To ensure immediate implementation you will need to obtain all certification to support the claim and provide the correct bank details.

- **Terminal Illness members** – Where a terminal illness payment has been made during the Assessment Period, the member should be noted on the interface to ensure that the entitlement to spouse compensation is recorded. The member's notional amount of the annual compensation should be recorded in the elements. Care should be taken with these cases – please see instructions on each field. **If you need any advice in this respect, you should raise this with your contact at the PPF**
- **Divorces** – there are two types of Divorce Orders; Pension Earmarking and Pension Sharing.

Pension Earmarking (Attachment Order) – when the member reaches NPA and takes their benefits, the allotted proportion of their benefits is paid to the ex-spouse. For these cases, the relevant deduction percentage should be completed on the Court Order Deductions tab along with the deduction type and relevant payee information.

Pension Sharing – when the order was made, the relevant amount of benefit will have either been transferred out or set up on a separate Pension Credit record in respect of the ex-spouse. These details are requested in the Employment Details section of the Beneficiary tab, and should only be completed for the member's record.

Deferred Members with a pension debit - all compensation amounts provided should be inclusive of the Pension Debit amount, i.e. the gross figure. Please record the pension debit pre & post 97 and post 2009 splits at Pension Debit Implementation date in the relevant Member's Calculation Assumptions field (column AE). The figures need to take into account separate Tranches with different NPA dates and clearly split for GMP.

It is vital that the Pension Debit revaluation method is also provided, at scheme level, using column U on the Scheme Tab. This needs to be clearly specified, for instance, to confirm method of GMP revaluation, e.g. Fixed rate GMP / S148 etc. If no members have a Pension Debit, this field may be left blank.

Pensioner Members with a pension debit – where the member is already in payment, the member's actual rate of payment i.e. the net amount excluding any amount deducted in respect of the pension debit should be shown within the Elements as at the Relevant date. Please also show the debit in total in column W of the Beneficiary tab.

Where the record is in respect of a Pension Credit Member (the ex-spouse) this information is indicated by Class (X) in the Employment Details section of the Beneficiary tab.

- **Transfers in** – where the member was **active** at the Assessment Date and had previously received a transfer in, in the form of an amount of pension, rather than the more usual service credit, this benefit may not be considered under the standard formula for compensation calculation under the current legislation. However the Trustees should discuss these transfers in with the PPF to ascertain how they should be treated for the purposes of the data schedule. If the PPF confirms that the transfer should not be counted for compensation purposes under current legislation you will need to notify the PPF of the beneficiaries affected by this.

The value of the transferred in pension must be calculated as at Assessment Date in line with other deferred benefits and included in the Compensation section of the data. The transferred in pension must be recorded separately to the member's other benefits (as a separate element) and where the pension contains both pre and post 97 benefits, these should also be split out accordingly. The 'Paid up Pension' field should be populated with 'Y'.



If the member was **deferred** at Assessment Date, this data should be treated in the same way as any other element and the 'Paid up Pension' field should be populated with 'N'.

- It may be that some of the data requested is not applicable to your scheme. For example, if there is only one NPA then you may only need to complete at most four Elements of benefit – one for Pre 97, one for Post 97, one for Post 09 and potentially one for a transferred in pension as outlined above, and the NPA for each would be the same.
- Pensions for spouses/relevant partners and children/dependants – where these were in payment at Assessment Date, compensation is payable only until such time as they would have ceased under the Admissible Rules. Consequently it is essential that end dates are provided for these, where possible, as per the instructions.
- Where an annuity is being received in respect of a member on the Beneficiary Tab, the details of the annuity including future spouse/dependant entitlement should be recorded on the Annuity Tab. Please note if the annuity does not pay a spouse's pension but the scheme rules provide a spouse's pension to be payable whether discretionary or otherwise and the member has a spouse at date of death compensation will be payable to the spouse following transfer to the PPF.

4. Data Provision and Process

- The data file must be provided to the PPF by the date agreed during the transition period.
- Test data will be required prior to the final extract of data. The timings of the data extracts are likely to depend on the size and characteristics of the scheme. A timetable for each scheme will be agreed with the Trustees during the Assessment Period.

Data queries will be raised by Capita Hartshead with the PPF.

- The data should be provided in the format agreed with the PPF.
- The filename should be constructed in the following format, hyphenating each element:
 - PPF
 - Pension Scheme Registry Number
 - The version number of the data template used, replacing the '.' With '-'
 - File sequence number

Example:

If Registry Number is 12345678, Data Template is version 5.0 and it's the first data file:

PPF-12345678-5-0-01

- The data should contain any and all changes up to and including the extraction date. Any changes received subsequently should be forwarded to your PPF contact.





How:

- Data should be uploaded to the PPF Secure Transfer Utility (STU) where it will be validated. The validation report will be returned to STU for further action if necessary. Your Transition Analyst will contact you regarding the validation results to ensure all errors are corrected. Once amended, you will then need to provide a revised data file as quickly as possible to enable the PPF to start paying compensation from the Transfer Date.

When:

- Test data should be submitted to the PPF as soon as is practicable within the Assessment Period. Dates should be agreed with the Transition Analyst for the scheme.
- Live data must be provided to Capita Hartshead via the STU, taking into account the proposed Transfer Date and payroll cut-off dates for the month of the proposed first payment by the PPF. Again, the date for provision of live data should be agreed with the Transition Analyst for the case.

You should take every measure to ensure that the data is in the correct format and that all the necessary information has been included, before forwarding the data to the PPF. Data will not be loaded to the Capita Hartshead system if the data file contains errors, and potentially some warnings (depending on the members affected).



5. Data Interface File Format

Record type 1 – Scheme details

Field description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Scheme Name	A	X	100		Name of Scheme. Please ensure you use the correct format of upper and lower case. The Scheme name should not be abbreviated.
Sponsoring Employer	B	X	60		Name of sponsoring Employer. Please ensure you use the correct format of upper and lower case.
Segregated part/Section name:	C	X	60		If the scheme is segregated or a segregated part was created on insolvency, please input the relevant section or segregated part name, otherwise leave blank. Please ensure you use the correct format of upper and lower case.
Company Number	D	X			Company number of the Sponsoring Employer, this can be found by searching Companies House. For multi employer schemes please ensure the individual company number is used and not the number for the sponsoring employer.
Scheme Registry Number	E	X			Pension Scheme Registry reference of the Scheme.
Unique reference under PPF:	F	X			Unique reference for use by the PPF – PPF levy number as found on PPF levy invoice.
Scheme PAYE Number	G	X			Scheme's PAYE number.
Is Scheme Contracted-Out?	H	X		Y/N	
ECON Number	I	X			Scheme's ECON number.
SCON Number	J	X			Scheme's SCON number.
Assessment Date	K	D	10	99/99/9999	
Transfer Date	L	D	10	99/99/9999	For test data, this should be the date at which you extract the data from your system and submit this to the PPF for review. For the live cut of data, this should be the proposed Transfer Date agreed with the PPF.

Field description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Does scheme allow Unmarried Partners as beneficiaries?	M	X	1	Y/N	Did Admissible Rules provide for a survivor's pension to be paid to a partner who was not married to the member?
Does scheme allow Spouses as beneficiaries?	N	X	1	Y/N	Did Admissible Rules provide for a survivor's pension to be paid to a spouse of the member?
Spouse/Unmarried Partner payment period	O	X	1	C,R,P,D,O or blank	Where a spouse's/unmarried partner's pension is already in payment at Assessment Date, do the Admissible Rules specify that these benefits will end at any date other than the beneficiary's death? If it ends on cohabiting, enter C. If it ends on remarriage, enter R. If it ends after a set period, enter P. If payable for life, enter D. If other, enter O. Leave blank if no spouse or unmarried partner benefits are payable under the Admissible Rules or if all spouse's/unmarried partner's pensions came into payment after the Assessment Date.
Dependant payment period	P	X	1	C,R,P,D,O or blank	Where a pension is in payment to a dependant (i.e. not a spouse, child or partner) at Assessment Date, do the Admissible Rules specify that these benefits will end at any date other than the beneficiary's death? If it ends on cohabiting, enter C. If it ends on remarriage, enter R. If it ends after a set period, enter P. If payable for life, enter D. If other, enter O. Leave blank if no dependant benefits are in payment, or if all dependants pensions came into payment after the Assessment Date.
Any Refunds due?	Q	X	1	Y,N	Please populate with Y if there are any refunds due for this scheme and ensure the Refund Tab is populated. If no refunds are due please populate with N.

Field description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Are there any Capped Members?	R	X	1	Y,N	Please populate with a Y if there are any members on the Beneficiary Tab who are subject to the Compensation Cap. If there are no members on the Beneficiary Tab who are subject to the Compensation Cap please populate with N.
Annuities held in the Trustee's name?	S	X	1	Y,N	Please populate with a Y if there are any Annuities held in the Trustee's name and ensure the Annuity Tab is populated. If no Annuities are held in this Trustee's name please populate with N.
Scheme Calculation Assumptions:	T	X			Enter any calculation assumptions (or comments) which were applied to ALL members when calculating compensation where data was incomplete or calculation methods were unclear e.g. FPS formula, deductions made etc.
Scheme Pension Debit revaluation:	U	X			Where any members have a Pension Debit against them, enter details of the model of revaluation adopted by the Scheme for treatment of these benefits. Include method of revaluation for both GMP and non GMP
Pensioner Existence check	V	D	10	99/99/9999	Please provide the date of the last existence check carried out for the Pensioners within this scheme.
Scheme Indexation	W	X			Describe indexation/escalation of benefits in payment under the scheme rules e.g. pre97, post97, GMP, escalation etc.

Record type 2 - Beneficiary details

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
PERSONAL DETAILS					
NI Number	A	X	9	AA999999A	
Title	B	X	8		Full stops not required
Forenames	C	X	30		If the full forename is not available, please enter initials in this field, leaving a space between letters.
Surname	D	X	30		
Date of Birth	E	D	10	99/99/9999	
Gender	F	X	1	M,F	
Previous Name	G	X	30		Maiden or previously used name, where applicable/available
Honours	H	X	30		Any honours listed at end of member's name, e.g. MBE, OBE.
Marital Status	I	X	1	M,S,D,B,C,P, U,W, L	Marital Status of Beneficiary: M = Married S = Single D = Divorced B = Civil Partnership C = Co-habiting P = Separated U = Unknown W = Widow(er) L = Unmarried Partner
Marital Status Effective Date	J	D	10		Date this marital status took effect – please enter, where information available.
Address line 1	K	X			Separate column for each line of address
Address line 2	L	X			Separate column for each line of address
Address line 3	M	X			Separate column for each line of address
Address line 4	N	X			Separate column for each line of address
Address line 5	O	X			Separate column for each line of address
Post Code	P	X	9		Populate for all UK addresses. Please leave blank for overseas

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					addresses.
Overseas Address	Q	X	1	Y,N	If the address of the member is unknown please leave this field blank.
Class	R	X	1	M,S,P,L,C,X,D	Please enter the appropriate code for each beneficiary: M - Member S - Spouse P - Civil Partner L - Unmarried Partner C - Child X - Ex Spouse – Pension Credit member D - Dependant Codes S to D inclusive are for beneficiaries receiving pensions following the death of a member or where, because of the transfer to the PPF, an entitlement has arisen as the member has died during the Assessment Period but the benefit is not yet in payment. Potential beneficiaries, i.e. spouse/partner/child benefits attaching to a current member's benefit do not require a record. .
Status at Assessment Date:	S	X	1	1,2,3,4,5,6,7,0	The person's status at Assessment Date 1 - Pension in payment 2 - Pension which has been postponed 3 - Active and over NPA 4 - Active and under NPA 5 - Deferred and under NPA 6 - Pension Credit member 7 - III-Health pension in payment 0 - Non-member i.e. dependant arising post Assessment Date
Pension Debit member's NINO:	T	X	9	AA999999A	This is only required for Pension Credit members (class X). Please enter the NINO of the pension debit member whose benefits resulted in this Pension Credit.
Pension Debit details:	U	X	1	Y/N	Has this member had a Pension Sharing Court Order against them?
Pension Debit effective date:	V	D	10	99/99/9999	The date at which this order was implemented
Pension Debit amount:	W	X	13	zz,zzz,zz9.99	The annual amount of pension debit at the effective date in column V.

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Pension Credit members NINO:	X	X	9	AA999999A	This is required for all members with a Pension Debit. Please enter the NINO of the Pension Credit member, who is the beneficiary of this member's Pension Debit.
Employee Number/Other Reference	Y	X	12		Where Status is P or N and Class is S, P, L, C or D please enter the NINO of the deceased member. Otherwise, please enter reference if currently used by beneficiaries to identify their benefits.
Participating Employer	Z	X	60		Name of participating Employer/Company of employment (including spaces) in full.
Date joined Employer	AA	D	10	99/99/9999	Only applicable if member is Class M.
Date joined Scheme	AB	D	10	99/99/9999	Only applicable if member is Class M.
Date of Leaving (where earlier than AD)	AC	D	10	99/99/9999	Applicable if beneficiary is Class M or X. For M please enter the date of leaving if before Assessment Date. If member was active at the Assessment Date, leave blank. For X please enter the date the benefits were created.
Status	AD	X	3	D,P,N,C,T,TER	<p>D - Deferred / Preserved This includes members who have passed their NPA and whose compensation must now be put into payment.</p> <p>P – Pensioner If any element of benefit is actually in payment, please enter P.</p> <p>N – Non Member Only to be used for beneficiaries for whom an entitlement has arisen during the Assessment Period (but the benefit is not yet in payment), who under the Scheme rules were not entitled to benefits under the Scheme but because of the transfer to the PPF may receive them under PPF legislation</p> <p>C – Trivial Commutation – with payment to be made</p> <p>T – Transfer – with payment to be made Please note, records are only required for C and T members where payment has not yet been made.</p> <p>TER – terminal illness payment made – spouse liability to remain</p>
Member Calculation Assumptions:	AE	X			Enter any calculation assumptions, which were applied to this member when calculating compensation where data/methods were unclear e.g. FPS formula, deductions, etc. If calculations have been

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					<p>carried out to work out the compensation amount for individual elements, details of these may also be recorded here.</p> <p>If Status = TER, record compensation split (per element) at Assessment date The figures at Assessment date should be the gross amount before application of any cap or 90% reduction where either are applicable</p> <p>This is a freetext field and can also be used to provide any other additional information for each member.</p>
COMPENSATION					
Defined Contribution benefits	AF	X	1	Y / N / D	If member has any undischarged DC benefits, enter Y. If member's DC benefits have already been fully discharged, enter D. If member has no DC benefits, enter N.
Date Defined Contributions Discharged	AG	D	10	99/99/9999	If Y in column AF please populate with the date you are expecting the DC benefits to be discharged by. If D in column AF please enter the date the DC benefits were discharged. If N in Column AF leave blank.
Element 1 - Compensation Type	AH	X	2	D,P	D = Deferred/Preserved benefit, including any members who have passed NPA but are not yet receiving actual pension payments. P = Pension actually in payment or children/spouse/dependant who have become entitled under PPF rules and payments have not yet been made. Where Status = TER, use P
Element 1 - Paid-up Pension	AI	X	1	Y/N	If the member was Active at Assessment Date , i.e. status 3 or 4, and this benefit arises as a result of a transfer in which awarded a fixed paid up pension amount, rather than a service credit, enter Y otherwise enter N.
Element 1 – Bridging Pension	AJ	X	1	Y/N	Does this benefit relate to a Bridging Pension?
Element 1 - NPA	AK	X	5		This is required for all of the beneficiaries Status D and P. This should be the Normal Pension Age at which the beneficiary could take this benefit without actuarial reduction. Where a

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					member has more than one NPA and has reached the highest of these before Assessment Date it is not necessary to split their benefits. Only the highest NPA should be entered. Where this compensation is in relation to a class other than M or X, there will not be a NPA applicable – please enter SV for these cases.
Element 1 - Date Pension Commenced	AL	D	10	99/99/9999	If Compensation Type = P , this is the date this benefit came into payment, else leave blank If Status Type = N , this is the date the benefits should have come into payment.
Element 1 - End date	AM	D	10	99/99/9999	If the pension is being paid to a child and commenced prior to the Assessment Date, this must be populated - please enter the latest date to which this may be paid e.g. if payable to 21 then enter the child's 21st birthday. If benefits are in respect of a Bridging Pension please populate with end date. If this pension is being paid to a spouse, partner or any other dependant and will end after a set period, please enter the date it will cease. Otherwise, leave blank.
Element 1 – Compensation level percentage	AN	X	6	z99.99	If in relation to class M (member) or class X (pension credit member), please enter the compensation level percentage: <ul style="list-style-type: none"> • 100.00 for those at or over NPA or in receipt of an ill health pension at Assessment Date • 90.00 for those under NPA at Assessment Date Members who are not class M or X should be populated with 100.00. This must be populated for both Compensation Types D and P.
Element 1 – Members Benefits subject to the Compensation Cap	AO	X	1	Y/N	If Compensation Type = P please enter Y if member's benefits have been subject to the PPF Compensation Cap. If Compensation Type = D please populate with N.
Element 1 - Annual Compensation at Assessment Date	AP	X	13	zz,zzz,zz9.99	If Compensation Type = P please enter the amount of annual compensation at Assessment Date or Date Pension Commenced, if later than Assessment Date. This figure should be after

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					application of the Cap, commutation and the 90% reduction where applicable. If status = TER – show the notional value of the pension the member would have received. Otherwise leave blank.
Element 1 - Annual Compensation at Relevant Date	AQ	X	13	zz,zzz,zz9.99	<p>If Compensation Type = D the Relevant Date is the later of:</p> <ul style="list-style-type: none"> • Assessment Date • or NPA if this occurs between the Assessment Date and Transfer Date. (If NPA occurs after the Transfer Date, the Relevant Date is the Assessment Date.) <p>- The figures should be the gross amount before application of any cap or 90% reduction where either are applicable. (The cap and the 90% reduction are only applied at the point that compensation actually becomes payable.)</p> <p>- Revaluation to the Relevant Date should be included.</p> <p>- If the benefit arises from a transferred in paid up pension (i.e. column AI is populated with a Y), the value at Assessment Date must be entered.</p> <p>If Compensation Type = P the Relevant Date is the Transfer Date and this will be the actual annual pension in payment at the Transfer Date or date of submission for Test Cuts. If Status is N = the Relevant Date is the Transfer Date and this will be the actual annual entitlement at the Transfer Date or date of submission for Test Cuts.</p> <p>Where there is a pension debit the gross value should be populated where the member is deferred (D). For Pensioners (P) the actual pension in payment should be recorded.</p> <p>If status = TER, treat as P – show the notional value of the pension the member would be receiving at Relevant Date.</p>
Element 1 – Uncapped Annual Compensation at Assessment Date	AR	X	13	zz,zzz,zz9.99	<p>If Compensation Type = P and column AO= Y - please enter 100% of the uncapped amount (Pre Commutation) at Assessment Date. Otherwise leave blank.</p>
Element 1 - Annual	AS	X	13	zz,zzz,zz9.99	If Compensation Type = D and the member left the pension

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Accrued Benefit at Date of Leaving					scheme before the Assessment Date, the accrued benefit at date of leaving before any application of any revaluation should be provided. If Compensation Type = P If the member retires after the Assessment Date but before their NRD please populate with the amount of deferred benefit as at the Assessment Date and add a note in Member Calculation Assumptions column AE.
Element 1 - Amount of Defined Lump Sum attached to this benefit:	AT	X	13	zz,zzz,zz9.99	Does Beneficiary have entitlement to a Scheme Lump Sum to be paid in addition to pension and not obtained by commutation of pension? If yes , please enter value at Relevant Date; If no , please enter 0.00.
Element 1 - Amount of cash already taken:	AU	X	13	zz,zzz,zz9.99	If Compensation Type = P and member retired after Assessment Date: Has Beneficiary already received payment of a cash sum of any kind, via commutation or as of right, from this benefit? If so, please enter the amount. If member retired before Assessment Date, did not commute any benefits in exchange for a cash sum, is Compensation Type D , or Status type N or TER please leave blank.
Element 1 - Amount of Compensation commuted for a cash sum:	AV	X	6	999.99	If Compensation Type = P and member retired after Assessment Date: Did they commute any of this benefit for a cash sum? If so, please enter the amount of compensation that was commuted. If member retired before Assessment Date, did not commute any benefits in exchange for a cash sum, is Compensation Type D , or Status type N or TER , please leave blank.
Element 1 – Benefit Period	AW	N	1	1, 2, 3	Which period of service does this compensation result from? 1 – Pre 06/04/1997 2 – 06/04/1997 to 05/04/2009 inclusive 3 – Post 05/04/2009
BENEFITS ALREADY PAID					
Total Compensation Cap	GL	X	6	999.99	If any compensation is in payment and the compensation level

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
% already used:					percentage is 90.00% , enter the relevant % of the Compensation Cap which the compensation represented at Assessment Date or the Date Pension Commenced if later. This figure is up to a maximum of 100%. Please provide details of all calculations in column AE. If no compensation is in payment or compensation is in payment with a compensation level percentage of 100.00%, then leave blank.
Total % of Lifetime allowance already used:	GM	X	6	999.99	For all Class M members , if benefits have been put into payment post 5/4/06 enter the relevant % of the Standard Lifetime Allowance which these represented. If no benefits paid, or retirement was prior to 6/4/06, then leave blank.
PAYROLL					
Where beneficiary has Status of P:					
Payment Frequency at last payment date?	GN	X	1	W,M,Q,B,A	W - Weekly M - Monthly Q - Quarterly B - Biannual A - Annual Where status = TER, leave blank
Benefits paid in Advance or in Arrears at last payment date?	GO	X	3	ADV,ARR	At the last payment date, were benefits paid in advance or in arrears? Where status = TER, leave blank
Last payment date	GP	D	10	99/99/9999	The date of the last payment made under the Scheme. (This should be the date that it would normally have been paid into the member's account ignoring changes made for weekends and Bank Holidays.) Where status = TER, leave blank
Period End Date of Last Payment:	GQ	D	10	99/99/9999	The period end date for the period of the last payment made under the previous payroll. E.g. If payments made monthly in advance and last payment date

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					was 1/9, the period end date would be 30/9 as the member has been paid up to and including 30/9. If payments were made monthly in arrears and the last payment date was 31/8, the period end date would be 31/8 as the member has been paid up to and including 31/8. Where status = TER, leave blank
Tax month of next payment due:	GR	N	2		PPF use May as month 01. If Scheme currently uses April as month 01 please note this using column AE. Where status = TER, leave blank This information is particularly important where payment is not on a monthly basis.
Compensation Payee Name:	GS	X			Please note that a child's pension can only be paid to the child's own account. If it is currently paid elsewhere, this needs to be changed before transfer to the PPF. Where status = TER, leave blank
Compensation Overseas Account?	GT	X	1	Y/N	If payment is to an overseas account please enter Y, otherwise enter N. Details of any overseas accounts should be provided separately. Where status = TER, leave blank
Compensation Payee Bank Account Number:	GU	N	11	Maximum of 8 digits	Account number for payment – to comply with BACS . Do not add additional digits – the account number alone should be entered. For example leading zeroes should not be added or deleted. Accounts numbers should be provided in the same format as currently used to pay pensions. Where status = TER, leave blank
Compensation Payee Sort code:	GV	X	8	99-99-99	Where status = TER, leave blank
If Building Society, roll number:	GW	X	18		If applicable, else leave blank Where status = TER, leave blank
Gross Pension paid to date (current tax year):	GX	X	8	zzzz9.99	If no payments have been made in current tax year enter 0.00. The amount should be consistent with the total of the amounts populated in the Compensation at Relevant Date columns in the Elements and any discrepancies should be explained in Column AE.

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					Where status = TER, leave blank
Tax paid on pension to date (current tax year):	GY	X	8	zzzz9.99	If no tax has been paid in the current tax year please enter 0.00 Where status = TER, leave blank
Gross Deductions paid to date (current tax year):	GZ	X	8	zzzz9.99	If any deduction other than income tax exists e.g. HSA, CSA etc. Where status = TER, leave blank
Tax Code:	HA	X	7		Where a member has more than one record, only one record should show the correct tax code. Please use the BR code on the second and any subsequent records or on any other Data Interface. Where status type is N leave blank Where status = TER, leave blank
Tax Code basis:	HB	X	1	M,C	M = Month 1, C = Cumulative Where status = TER, leave blank
SIMPLIFICATION					
Primary Protection:	HC	X	1	Y,N	Does Beneficiary have Primary Protection?
Enhanced Protection:	HD	X	1	Y,N	Does Beneficiary have Enhanced Protection?
International Protection:	HE	X	1	Y,N	Does Beneficiary have International Protection?
Pension Credit Protection:	HF	X	1	Y,N	Does Beneficiary have Pension Credit Protection?
Certificate Number:	HG	X	8	9999999A	If Protection exists, Certificate Number:
Certificate Date:	HH	D	10	99/99/9999	If Protection exists, Certificate Date:

Record type 3 – Trailer Records

Field description	Column Header Reference	Data Format	Input Instructions
Total number of Beneficiary records	A	N	Total number of Beneficiary records from source data, that are transferring to the PPF.
Total number of 'Member' Beneficiary records	B	N	Total number of transferring beneficiary records where Class = Member
Total number of 'Spouse' Beneficiary records	C	N	Total number of transferring beneficiary records where Class = Spouse
Total number of 'Child' Beneficiary records	D	N	Total number of transferring beneficiary records where Class = Child
Total number of 'Pension Credit' Beneficiary records	E	N	Total number of transferring beneficiary records where Class = Ex-spouse
Total number of 'Partner' Beneficiary records	F	N	Total number of transferring beneficiary records where Class = Civil Partner
Total number of 'Unmarried Partner' Beneficiary records	G	N	Total number of transferring beneficiary records where Class = Unmarried Partner
Total number of 'Dependant' Beneficiary records	H	N	Total number of transferring beneficiary records where Class = Dependant
Total number of 'Capped Member' Beneficiary records	I	N	Total number of transferring beneficiary records where the member is subject to the Compensation Cap.
Total Compensation amount	J	X	Total of all compensation amounts from source data, for all beneficiaries (Status D and P), for all beneficiaries and all elements that are transferring to the PPF. This should correspond to the total Annual Compensation at Relevant Date (see input instructions, column AQ for definition of Relevant Date)
Total Compensation amounts in payment	K	X	Total amount of compensation from source data for beneficiaries with compensation actually in payment. This should correspond to the total Annual Compensation at Relevant Date for beneficiaries with a Status of P. (see input instructions, column AQ for definition of Relevant Date)
Total Pension Credit amount	L	X	Total amount of Pension Credit benefits at Relevant Date
.			

Record type 4 – Annuity Records

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
PERSONAL DETAILS					
Transfer Date	A	D	10	99/99/9999	For test data, this should be the date at which you extract the data from your system and submit this to the PPF for review. For the live cut of data, this should be the proposed Transfer Date agreed with the PPF.
NI Number	B	X	9	AA999999A	
Forenames	C	X	30		If the full forename is not available, please enter initials in this field if available, leaving a space between letters.
Surname	D	X	30		
Date of Birth	E	D	10	99/99/9999	
Gender	F	X	1	M,F	
Marital Status	G	X	1	M,S,D,B,C,P, U,W, L	Marital Status of Beneficiary: M = Married S = Single D = Divorced B = Civil Partnership C = Co-habiting P = Separated U = Unknown W = Widow(er) L = Unmarried Partner
ANNUITY DETAILS					
Insurer	H	X	100		
Insurer address	I	X	200		
Annuity Type	J	X	1	S,J	Annuity Type:

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					S = Single life annuity J = Joint life annuity
Policy number	K	X	100		
Payment frequency	L	X	1	M, Q, B, A, O	Payment Frequency: M = Monthly Q = Quarterly B = Biannual A = Annual O = Other (and specify which in Notes – Column CD)
In payment at transfer date?	M	X	1	Y, N	Y = Yes N = No
Annual amount at transfer date	N	X	10	Zzz,zzz.99	This is the annual amount of the annuity in payment at the Transfer Date. For annuities not in payment it is the amount as at the Transfer Date of the deferred annuity. For annuities with multiple tranches (e.g. annuities with elements that receive different types of indexation) the details of the separate tranches are provided in subsequent sections.
Commencement Date	O	D	10	99/99/9999	If the annuity is in payment at Transfer Date then enter the date the annuity commenced (if known). Otherwise please enter the future date at which it is due to commence.
Payment Date	P	X	2	99	Enter day in month on which payment occurs (i.e. 1 to 31)
TRANCHES 1-4 DETAILS					
Tranching involves splitting the benefits into homogenous groups by pension increase type and deferred revaluation type as necessary.					
Annual amount	Q	X	10	Zzz,zz9.99	This is the annual amount in payment at Transfer Date. Where the annuity is not in payment it is the deferred annuity as at the Transfer Date.
In payment indexation type	R	X	1	F, N, R, L, P, O	This field captures the nature of the increases that the annuity receives once in payment, where: F = fixed annual increases N = no increases R = RPI

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					L = LPI (i.e. RPI with an annual minimum or maximum) P = Percentage of RPI O = Other (and specify which in Notes – Column CD)
Fixed indexation rate (in payment)	S	X	2	Zz%	Where Indexation Type is Fixed (type F) enter the fixed rate of indexation
LPI indexation floor % (in payment)	T	X	2	Zz%	Where Indexation Type is LPI (type L) enter the LPI floor (which may be zero)
LPI indexation ceiling % (in payment)	U	X	2	Zz%	Where Indexation Type is LPI (type L) enter the LPI ceiling (e.g. 5% or 2.5%)
Percentage of RPI indexation (in payment)	V	X	3	ZZZ%	Where Indexation Type is Percentage of RPI (type P) enter the percentage of RPI granted i.e. 80% or 150%
Increase date (in payment)	W	D	5	99/99 DD/MM	Enter the date in the year at which the pension is increased in DD/MM format
In Deferment Revaluation Type	X	X	1	F, N, R, L, M, P, O	This field captures the nature of the increases that the annuity receives in deferment, where: F = fixed annual increases N = no increases R = RPI L = LPI (i.e. RPI with an annual minimum or maximum) M = RPI with annual cap (i.e. increases are a maximum of RPI over the deferred period or an annual maximum) P = Percentage of RPI O = Other (and specify which in Notes)
Fixed Revaluation Rate (in deferment)	Y	X	2	Zz%	Where Revaluation Type is Fixed (type F) enter the fixed rate of revaluation
LPI Revaluation Floor % (in deferment)	Z	X	2	Zz%	Where Revaluation Type is LPI (type L) enter the LPI floor (which may be zero, 0%)
LPI Revaluation Ceiling % (in deferment)	AA	X	2	Zz%	Where Revaluation Type is LPI (type L) enter the LPI ceiling (e.g. 5% or 2.5%)
Annual cap for RPI over period of revaluation (in deferment)	AB	X	2	Zz%	Where Revaluation Type is RPI over period with annual cap (type M) enter the annual cap / ceiling (e.g. 5%)

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Percentage of RPI indexation (in deferment)	AC	X	2	Zz%	Where Revaluation Type is Percentage of RPI (type P) enter the percentage of RPI granted i.e. 80% or 150%
Step-up / down amount	AD	X	10	Zzz,zzz.99	
Date of step-up / down	AE	D	10	99/99/9999	
SPOUSE DETAILS					
Spouse's Date of birth	BY	D	10	99/99/9999	
Definition of spouse	BZ	X	1	L,W	Definition of Spouse in Scheme: L = Legal spouse at date of death W = Wider definition (i.e. where there is provision (including discretionary) for benefits to be paid to a dependant other than legal spouse)
Spouse percentage %	CA	X	3	Zzz%	Contingent spouse's pension at Transfer Date as percentage of member's pension. This is required for the total pension, not for each tranche individually.
Date guarantee expires	CB	D	10	99/99/9999	Date any guarantee period ends (do not enter if before Transfer Date).
Definition of spouse under insurance contract	CC	X	200		Definition of Spouse under the insurance contract
Notes	CD	X	200		Free text box to add explanatory notes as required

Record type 5 – Refunds

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
PERSONAL DETAILS					
NI Number	A	X	9	AA999999A	
Title	B	X	8		Full stops not required
Forenames	C	X	30		If the full forename is not available, please enter initials in this field, leaving a space between letters.
Surname	D	X	30		
Date of Birth	E	D	10	99/99/9999	
Date Joined Scheme	F	D	10	99/99/9999	
Date Left Scheme	G	D	10	99/99/9999	
Refund Type	H	X	1	1, 2	1 - member left pensionable service prior to Assessment Date 2 - member's pensionable service terminated on Assessment Date due to insolvency event.
If Refund Type = 1 please insert code for reason why refund has not been discharged	I	X	1	U, L, S	U - Unknown contact details; L - Liabilities exceeded scheme protected assets; S - Length of service exceeded scheme rules for automatic refund
Gross Amount of Refund	J	X	9	Zz,zz,9.99	Gross amount to be paid after the reduction to 90% and before tax.
If scheme was contracted out: Certified Amount	K	X	9	Zz,zz,9.99	The amount of member's National Insurance contributions to be paid to NISPI.
If Date of leaving before 6/4/06: Tax due on refund @ 20%:	L	X	9	Zz,zz,9.99	The amount of tax payable if refund was calculated at the pre 06/04/2006 basis.

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
If Date of leaving after 5/4/06: Tax due on refund @ 20%:	M	X	9	Zz,zz,9.99	The amount of tax payable which was calculated at the 20% rate if the refund was calculated on the post 05/04/2006 basis.
If Date of leaving after 5/4/06: Tax due on refund @ 40%:	N	X	9	Zz,zz,9.99	The amount of tax payable which was calculated at the 40% rate i.e. on benefits over £10,800.00 or such future limit as may be advised if refund was calculated on the post 05/04/2006 basis.
If scheme was contracted out: Contributions Equivalent Premium (CEP) Amount	O	X	9	Zz,zz,9.99	Amount to be paid by scheme to re-instate member into State Second Pension (S2P). If form CA1611 has been completed and if payment has been made to NISPI, please provide copies.
If scheme was contracted out: Contracted Out Earnings at year of leaving scheme	P	X	9	Zz,zz,9.99	Member's earnings between the Lower & Upper earnings limits during the tax year of terminating scheme membership
If scheme was contracted out: Contracted Out Earnings at year prior to leaving scheme	Q	X	9	Zz,zz,9.99	Member's earnings between the Lower & Upper earnings limits during the tax year prior to terminating scheme membership
Net Amount of Refund	R	X	9	Zz,zz,9.99	Amount to be paid to member after all deductions
Single Payment Payee Name	S	X			Name of Payee as shown on bank account
Single Payment Payee Bank Account number	T	N	11	Maximum of 8 digits	Account Number for payment – to comply with BACS . Do not add additional digits – the account number alone should be entered. For example leading zeroes should not be added or deleted. Account numbers should be provided in the same format as currently used to pay pensions.
Single Payment Overseas account?	U	X	1	Y/N	If payment is to an overseas account please enter Y, otherwise please enter N. Details of any overseas accounts should be provided separately.

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Single Payment Payee Bank sort code details	V	X	8	99-99-99	Sort code for payment
Single Payment Payee Roll number (if applicable)	W	X	18		If applicable, else leave blank
Single Payment Payee Address Line 1	X	X			Separate column for each line of address
Single Payment Payee Address Line 2	Y	X			Separate column for each line of address
Single Payment Payee Address Line 3	Z	X			Separate column for each line of address
Single Payment Payee Address Line 4	AA	X			Separate column for each line of address
Single Payment Payee Address Line 5	AB	X			Separate column for each line of address
Single Payment Payee Postcode	AC	X	8		
Single Payment Payee Country	AD	X			If overseas, enter country, otherwise leave blank

Record type 6 – Court Order Deductions

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
Where a Court Order Deduction is Required:					
NI Number	A	X	9	AA999999A	
Surname	B	X	30		
Court Order Deduction annual amount:	C	X	8	zzzz9.99	If there are any Court Order deductions to be made regularly please enter the annual amount.
Outstanding Balance of Deduction:	D	X	8	zzzz9.99	If the Court Order is for a specific total amount then please provide outstanding balance at Last Payment Date
Protected Earnings:	E	X	8	zzzz9.99	Is there a limit to which the deduction can reduce the member's pension? If so, please enter relevant minimum amount.
Type of Deduction:	F	X			If Deduction is in relation to Pension Earmarking on Divorce, please enter "Pension Earmarking" If Deduction is in relation to another form of Court Order, please enter "Court Order"
Frequency of Deduction:	G	X	1	M,Q,B,A,L,C	M – Monthly (pension deduction) Q – Quarterly (pension deduction) B – Biannual (pension deduction) A – Annual (pension deduction) L – Lump sum C – Combined Lump sum and pension
Commencement date:	H	D	10	99/99/9999	Date this deduction started if already in payment. If related to Pension Earmarking, date the deduction is due to start i.e. NPA. Otherwise, please leave blank.
Finish date:	I	D	10	99/99/9999	Date this deduction is due to finish - blank if not applicable or

Field Description	Column Header Reference	Data Format	Field Length	Format Required/ Input Options (where applicable)	Input Instructions
					payment is continuous.
Earmarking Percentage:	J	X	6	zz9.99	If a Pension Earmarking deduction exists please enter the appropriate percentage to be earmarked at NPA.
3rd Party Payee name:	K	X			If this deduction is to be paid direct to a third party, e.g. on a court order, enter payee details.
3rd Party Reference:	L	X			Any reference to be quoted when making this payment
3rd Party Address Line 1	M	X			Separate column for each line of address
3rd Party Address Line 2	N	X			Separate column for each line of address
3rd Party Address Line 3	O	X			Separate column for each line of address
3rd Party Address Line 4	P	X			Separate column for each line of address
3rd Party Address Line 5	Q	X			Separate column for each line of address
3rd Party Address Postcode	R	X	9		
3rd Party Address Country	S	X			If overseas, enter country, otherwise leave blank.
3rd Party Bank account number:	T	N	11	Maximum of 8 digits	Account number for payment – to comply with BACS . Do not add additional digits – the account number alone should be entered. For example leading zeroes should not be added or deleted. Accounts numbers should be provided in the same format as currently used to pay pensions.
Overseas account?	U	X	1	Y/N	Must be populated if a deduction exists
3rd Party Sort code:	V	X	8	99-99-99	
If Building Society, 3rd Party roll number:	W	X	18		If applicable, else leave blank