

HCAS Scheme Library Version 5.0

Installation type: Full On-site Access

Contents

- 1 Introduction
- 2 The Main Screen
 - 2a The Scheme Listing Window
 - Managing the List
 - 2b The Control Window
 - Buttons
 - Printing
- 3 Viewing a Scheme Image File

1 Introduction

The HCAS Combined Scheme Library consists of scanned images of information on approximately 18,000 schemes. These images are accessed via a database. The majority of database entries and related images are for schemes outside the HCAS Top 600. There are entries on the database, but no useful images, for all schemes analysed as part of the HCAS Top 600. This enables easy identification of Top 600 schemes. Scanned images of the reference material used to support the Top 600 analyses is available via CSL.

The library system is available in a number of release types. Your local installation may vary slightly from the illustrations in this document.

2 The Main Screen

The main screen is split into 2 sections – the scheme listing window and the control window.

2a The Scheme Listing Window

Scheme listing																				
Ir	la	HCAS#	Pearl#	M-Link	Scheme name	Adm	R	Date	£	Q	Type	S	O	A	S8	T	D	C	I	
		S03945	1397		ACW (ABERDEEN COMBINED WORKERS)	COMP	CS	/ /	20		MP							D	Y	
		S03928	1498		AC WILLIAMS	RS3	R	17/05/2000	90	G									Y	
		S03946	9250		ALXUM PENSION SCHEME	UNKU	H	18/05/2000	40	G	MP	M							Y	
		S11441			Acxiom UK Ltd RBS	UNKU	R	07/06/2000	40	G	FS	M							C	Y
		S20299	1412	S11176	A C Yule & Son	MRO	I	/ /	20	G	MP								Y	
		S11176	1412	S11176	A C Yule & Son Ltd RBS	S12	ST	/ /	20	G	FS	M							Y	
		S03948	4417		ADAM CARPETS LTD	COMP	CS	/ /	20		MP								D	Y
		S03949	24C		ADAM CUNNINGHAM & SON LTD	SUI	R	13/10/2000	108	G	FS								Y	
		S03951	10013		ADAMS DNOS OF DUNNLEY	SC01	N	26/02/2000	40	G	MP								Y	
		S00020	10014		Adams Bros of Sharrow	NO1	R	12/12/2000	40	G	FS		H						Y	
		S03385		SEARS	Adams Childrenswear	TOP	T	/ /												
		ADAMS			Adams Foods Ltd	TOP	T	/ /												

This window has rows of information, each row relating to 1 scheme. You can scroll up and down this window. Each row has a number of columns giving information about the scheme.

These columns are:

Ir

Internal HCAS use only. Not available on this installation.

la

Internal HCAS use only. Not available on this installation.

HCAS#

The HCAS scheme reference code.

All entries on the library have their own code. Top 600 schemes are identified by an alphabetic code, eg ESPS. Non-top 600 entries have codes of 6 characters, starting with an "S" followed by a 5 digit number.

Pearl#

The Pearl scheme reference code.

This is the code Pearl use to refer to their library entry for the scheme.

M-link

This field shows if the scheme is linked to another scheme.

Where files have been merged and all relevant information transferred to one file, the master file will be identified by the letter M in the status column, redundant files are identified by the letter R.

Where there is a link but the files are not marked as master and redundant, this field shows the HCAS scheme reference where it is believed the main scheme information can be obtained. No checks have been made to ensure that the indicated scheme reference does hold all the information but there is an on-going process of merging these linked files. Any new information received for these linked schemes will only be updated to the scheme referred to in M-link.

Currently many of the links refer to duplications of the same scheme name in the system. These have been retained so that Pearl can find scheme names in the same format as held on their existing database.

Where there is no link, the field is blank.

Scheme Name

This field shows the name of the scheme. Most names originating from the Pearl library are in upper case. The HCAS format is to use mixed case, with logical abbreviations, eg PS for Pension Scheme, RBS for Retirement Benefits Plan etc. Where possible, scheme names are taken from the scheme booklet or letters written by the scheme administrator.

Adm

This field categorises the contact information held.

Blank	unassessed
NC0	no contact details
OPRA	OPRA search required/in progress
COMP	employer
TOP	scheme is part of the HCAS Top 600

Other codes relate to administrators.

R

This column indicates the current state of scheme refreshing. For clarity, the codes have been grouped.

Not undergoing refreshing:

T	Top 600, refreshing not dealt with by CSL procedures
NR	never to be refreshed (see note below)
NS	refreshing not yet started
RE	refreshed forever (eg completely wound up scheme)

Refreshing in progress:

I	in progress
D	administrator has advised response will be delayed
ST	refresh process stopped (usually as a result of a response that needs processing)
WC	wait for a case (see note below)
CS	administrator will only respond to member-specific queries

Refreshing process completed:

R	scheme refreshed
F	refresh has failed (eg all records destroyed)
UN	unable to contact
TO	refresh process has failed after determined & persistent efforts
AT	refresh process has timed out, scheme will move to TO status once audit trail has been added to image

Other:

RX	refresh expired (a year has passed since last refresh)
----	--

Some of these codes require additional explanation:

NR

Scheme is never to be refreshed. An example is where the administrator requires a confidentiality agreement to be signed, limiting use of the information to a single review case.

WC

1 The fee quoted is above the library limit.

2 Information has been provided but is insufficient. Further enquiries without very good reason may annoy the administrator.

3 The scheme is very small and the low probability of a review case does not justify the effort required.

CS

The scheme requires member details and may require a member's authorisation.

This may be because the scheme is complex and it is necessary to identify the exact conditions.

Date

The date on the refreshing information supplied to HCAS or the date when determined and persistent efforts to refresh the scheme were exhausted.

This date and the matching column R code are only entered once the image has been checked to ensure the refreshing information has been correctly scanned.

£

Not available on this installation.

Q

Indicates the quality of the information held by HCAS. The criteria used to set the indicator were determined by senior HCAS actuaries. These flags are intended as a guide only.

The entries are:

I	Insufficient to complete a case
T	Sufficient for doing Transfers
G	Sufficient for doing both Transfers and Opt-outs
Blank	Unassessed

There is a further possible entry in this field:

B	HCAS holds a booklet for the scheme.
---	--------------------------------------

This entry is for HCAS information only, and should be treated as if the entry was an "I" ie insufficient to complete a case.

Note that a file may be quality "I" because information on the scheme is extremely hard to obtain.

Type

The library aims to have a separate file for every scheme. Currently files may contain information on more than one scheme, eg the final salary and money purchase schemes of the same employer. There is an on-going process of assessing files and splitting those with multiple contents. The type flag is being set as part of this process.

The entries are:

MP	Money Purchase
FS	Final Salary
GPP	Group Personal Pension
EPP	Executive Pension Plan
SAS	Self Administered Scheme
HYB	Hybrid scheme
MXD	information on more than one type of scheme in the file
UND	type of scheme undefined (usually very little information on the file)
NO	audit trail on file showing employer has never had a pension scheme
Blank	unassessed

S

This field is used to indicate the relative importance of a particular record in relation to other identical or similarly named records.

The entries are:

M	Main/Merged/Master record.
R	Redundant record. The record can be ignored.
P	Pointer record. No additional information on the system, but the name differs slightly from the main record.
S	Shared record. Information for a particular scheme is shared over several records.
A	Administration record. The record should be ignored.

O

This column indicates the origin of the information.

C	CIS library
R	Prudential library
L	Legal & General library
O	Pearl library
G	piggy back files (from cases done by HCAS)
U	refresh team update
Blank	not recorded

A

Internal HCAS use only. Not available on this installation.

S8

Internal HCAS use only. Not available on this installation.

T

File contains or is made up of HCAS Top 600 reference material.

U	file is an unanalysed part of a Top 600 scheme and contains Top 600 reference material
A	file is the reference material for a Top 600 scheme

D

Internal HCAS use only. Not available on this installation.

C

This flag indicates whether the image has been cleaned of personal information.

Blank	unassessed
C	image is believed to be clean
D	image is known to be dirty

I

Indicates whether there is an image file for the scheme. If there is a file then a “Y” will appear in the field.

Background Colour Codes

Primary entries for HCAS Top 600 schemes are shown on the list with a yellow background.

If a scheme is linked to another scheme, it is shown with a light grey background.

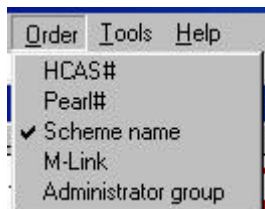
All other schemes are shown with a white background.

Managing the List

A number of options are available for sorting and moving around the list.

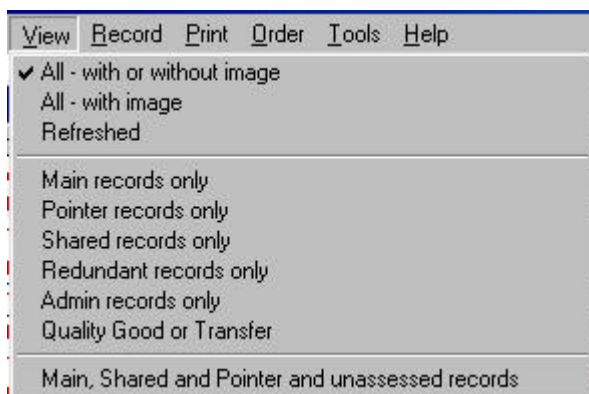
Order

The list can be viewed in a number of orders, the most useful being scheme name.



View

Selected groups of schemes can be viewed. For most users, “Main, shared and pointer and unassessed” records is the most useful option. This view removes redundant schemes from the scheme listing shown. Occasionally “View all” may be helpful. If an HCAS reference number that is expected to be on the system cannot be found, change to “View all” as it may be a redundant file.



View is restricted on some installations.

Position in the List

Short cuts are available to move around the list:

Ctrl+T – move to the top of the list

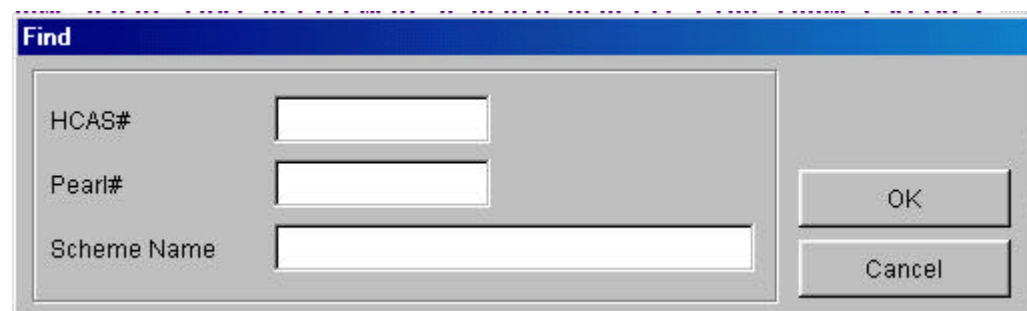
Ctrl+B – move to the bottom of the list

Ctrl+M – move to the scheme referred to in M-link

Searching

Powerful search facilities are provided. Schemes can be located by HCAS scheme reference code, Pearl code or by string-searching for all or part of the name.

The Find window is entered by the short cut Ctrl+F.

A screenshot of a 'Find' dialog box. It has a blue title bar with the word 'Find' in white. The main area is light gray and contains three input fields: 'HCAS#' with a small white text box, 'Pearl#' with a small white text box, and 'Scheme Name' with a larger white text box. To the right of these fields are two buttons: 'OK' and 'Cancel', stacked vertically.

HCAS#

Type the HCAS# in the first field and press enter.

You do not need to enter the "S" or any leading zeroes, eg S00012 can be entered as 12.

The scheme list will move to position the required scheme in the scheme listing window.

Pearl#

The Pearl code must be entered in full.

The scheme list will move to position the required scheme in the scheme listing window.

As some Pearl codes are attached to more than one entry, it is recommended that you use Order to place the list in Pearl number order before searching using the Pearl code. Multiple entries will then appear together.

Name

All or part of the scheme name may be entered. The most efficient way of searching is to use a distinctive part of the name which can be spelled reliably. For example, searching for "Francis Industries" you might elect to search for "FRAN".

This will normally produce a window showing all the options that match the search criteria.

Schemes matching search criteria			
Ref	Name contains (FRAN)	S_refer	
S05211	COMPAGNIE FRANCAISE DE L'AFRIQUE		
S12808	Franchise Fruiterers Executives PP		
S18817	Francis and Clough Limited		
S12809	Francis Clarke (1992) RBP		
S20554	Francis Graves & Co Ltd		
S12810	Francis Holmes Investment Co R & DBS	S01156	
S19329	Francis Holmes Investment Co R & DBS		
S06216	FRANCIS HORNOR PENSION SCHEME		
S00924	Francis Industries	S13200	
S13200	Francis Industries Group PS	S13200	
S03507	Francis Nichols Pension Plan		
S00925	Francis Shaw & Co(Manchester)	S14042	
S14042	Francis Shaw & Co (Manchester) PS	S14042	
S00926	Francis Webster		
S00000	Francis Webster		

The cursor can be moved to select a scheme from this window. The short cut Ctrl+G will position you on the selected scheme.

If you do not want to select a scheme from the list, press Esc.

HCAS has a standard method for entering scheme names. However, it is normally wise to avoid searching using initials as they may have previously been entered in a variety of ways.

You may have to search on acronyms but should be aware that more than one scheme may have the same acronym. Where possible, HCAS use the full name and the acronym in the scheme name.

An alternative search method is to enter

/****

The cursor will be set to the first entry in the list that starts with the string ****.

3b The Control Window

The control window is made up of 3 main fields and a number of buttons. The buttons give access to the various screens and information relating to the scheme selected in the scheme listing window.

Use of the buttons is restricted in some installations.

Notes	Case-specific queries only Scheme name Ascot (JW) Retirement & Death Benefit Plan (James Wilkes 1990). This replaced a Presto Works scheme in 1993, but was itself replaced by a new Presto Works scheme in 1997.	Help
Links	S17187, S01277	Quit
Pearl warnings		Transfer details
<div>Admin</div> <div>Refresh</div> <div>Fee admin</div> <div>Reinstate-HCAS</div> <div>Reinstate-Pearl</div>		Image file date
View scheme		

Notes Field

This field contains notes entered by HCAS. These can be:

Internal library management (eg update passed for scanning 12/6/00)

Key facts extracted from phone calls with, or letters/forms returned by, scheme administrators (eg FS scheme wound up 5/4/98, replaced by GPP)

Schemes that are linked to Top 600 schemes but are not covered by the analysis are identified in the notes field.

You can scroll up and down the notes field.

Links

This field shows links between files which relate to the same scheme. Links can be:

To a top 600 scheme:

AA, S00100

S00100 is an analysed part of the Top 600 scheme AA.

Between a redundant file and the master file:

S17890, S00789

The status flags will show that S17890 is the master file, S00789 the redundant file.

All information on the scheme is available in the master file, named first in the links field.

Between files which share information on the scheme:

S17890, S10987

The status flags will show shared information for these 2 files. Only the first file listed in the links field will be updated. It is planned to merge all files which share information.

In all cases, the first file listed in the links field will appear in the M-link column of the scheme listing window.

Pearl Warnings

This field contains notes entered by Pearl. In general, HCAS has no audit trail for entries in this field.

Buttons Admin

Administration Details			
HCA3 Schema #	S00020	External scheme #	G08039
Scheme Name	Adams Bros of Shardlow		
Mailing name	Adams Bros of Shardlow		
Firstname	Natalie	Last name	Morris
Initials		Formal	<input type="checkbox"/>
Job title			
Telephone	01603 685 937	Address	Norwich Union Life & Pensions
Fax	01603 680 965		P0 Box 4
Email address			Surrey Street
Old phone	01603-681379		Norwich
Old Fax	01603-680965		
01/02/2001	Start	Copy Details	Postcode NR1 3NG
Pearl warnings			OK
SCHEME REFERENCE NUMBER FEG8039			Cancel

The admin screen contains a number of fields. These are updated whenever reliable information is available.

Most of the fields are obvious. The exception to this is the external scheme reference. Where the administrator has a reference code for the scheme it is entered in this field.

Refresh

The 'Refreshing Status' dialog box displays the following information:

- HCAS Scheme #:** S14316
- Discretionary increase month:** (empty dropdown)
- Case specific:** (empty dropdown)
- Scheme Name:** AGB Research Plc Group RBS
- Next Event:** Refresh obtained
- Next event date:** 18/09/2000
- Past events:**

Exercise	Track	Event	Date
1	1	Refresh obtained	18/09/2000
1	1	Letter 2	11/09/2000
1	1	Letter 1	21/08/2000
1	1	Initiate refresh	04/09/2000
-1	1	Letter 1	21/08/2000
- Event notes:** (empty text area)
- Current...:**
 - Track: 1
 - Exercise: 1
 - Is delayed?: N
 - Is paused?: N
 - Refresh events: Start, Pause
- Next...:**
 - Track: 1
 - OK, Cancel buttons

This screen shows the progress of the HCAS refreshing exercise for the scheme.

Fee Admin

This screen shows what fee has been requested and/or paid for refreshing information.

	Current exercise	Previous exercise
Estimated/requested fee	135.00	
Mail not paying letter	/ /	/ /
Confirm Payment Fax	/ /	/ /
Mail Cheque	01/01/2000	/ /
Amount paid	135.00	
Start Chase	<input type="checkbox"/> Chase	<input type="checkbox"/> Chase
Invoice Number	<input type="text"/>	
Memor Text	<input type="text"/>	

Cancel OK

Reinstate-HCAS

Reinstatement policy (HCAS refreshed)

HCAS Scheme # **S15851** Scheme Name **JC Bamford Excavators Ltd Life PP**

Is the scheme willing to admit/readmit current employees for future service? **Y**

	Current employees who are		
	now active members	NOT active members	Ex-employees
Those who did not join the scheme as a result of being advised to take out a Personal Pension	Y	Y	N
Those who have retained benefits in the scheme	Y	Y	N
Those who have transferred deferred benefits out of the scheme	N	N	N
Those whose redress allows only partial reinstatement	Y	Y	N

Last Updated: **/ /**

If the scheme is undecided in its reinstatement policy, is a decision likely within the next 6 months?

This screen shows the reinstatement information received as part of the HCAS refreshing exercise. Information will only be entered on this screen if it can be easily transferred without risk of error. Information from an HCAS refresh form, where the response block matches the screen, will normally be transferred. The first and last items can be set to Y or N only. The remaining flags can be set to:

Y	Yes
N	No
U	Undecided
I	Individual consideration is given for each case

Last updated shows the most recent date information was entered on this screen.

Reinstate-Pearl

The screenshot shows a software window titled "Reinstatement details [original Pearl data]". It contains several input fields and checkboxes. The "HCAS Scheme #" field is filled with "S07175" and the "Scheme Name" field is filled with "JBS INDUSTRIES LTD". Below these, there are checkboxes for "Is the scheme willing in principle to:" followed by two sub-questions: "i) admit / readmit current employees for future service?" and "ii) reinstate past service in the case of:". Under question ii), there are four checkboxes: "current employees (opt outs and non joiners) ?", "ex-employees who opted out before leaving ?", "ex-employees who transferred out deferred benefits ?", and "current employees whose redress allows only partial reinstatement ?". Each of these four checkboxes is marked with a yellow box containing the letter "U". Below these are two more input fields: "Charge for providing reinstatement costs £" and "Reinstatement cheque made payable to:". At the bottom left is a large text area labeled "Additional notes". At the bottom right are two buttons: "OK" and "Cancel".

This screen contains reinstatement information captured by Pearl. It has not been updated since the information was received from Pearl.

View Scheme

This button enables you to view the image. Image viewing facilities are described later in this document.

Transfer Details

This button is for HCAS library use only.

Image File Date

This button enable you to check when the image file was last modified.

Printing

Printing is limited in some installations.

Printing can be done from a number of points.

The Admin Screen

There is a print button on the admin screen that can be used to print the contents of this screen.

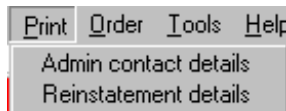
The Reinstate-HCAS Screen

There is a print button on this screen that can be used to print the contents.

Printing Images

When the view scheme button is pressed, a print button appears which can be used to print the scheme image.

Printing scheme details



If you want to print out the information shown in the Administration Information screen, or the Reinstatement policy (HCAS refreshed) screen then use the Print menu option.

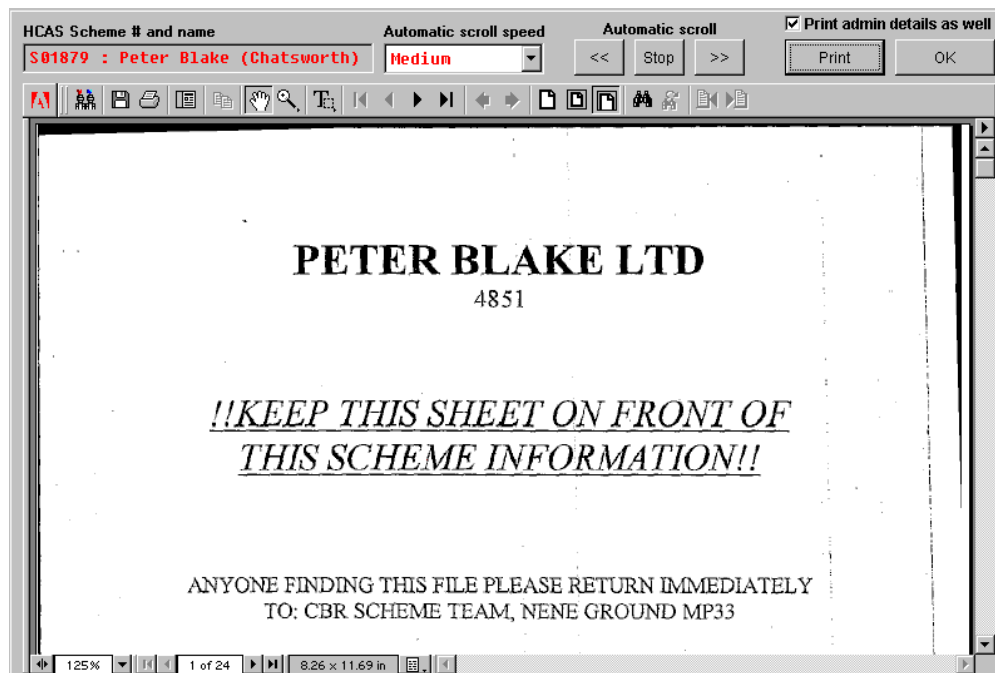
The two options are self-explanatory.

3 Viewing a scheme image file

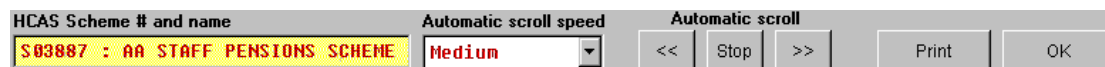
Viewing images is restricted to installations with full system access.

When you click on the “View scheme” button on the main screen, the Acrobat Reader program will be started and the scheme image file automatically loaded.

Depending on how your system has been set up, Acrobat Reader may run in an integrated form within the Scheme Library system or as a separate program. Both versions are essentially the same, however the integrated version has an automatic scroll facility. These instructions are for the integrated version only.



Along the top of the screen you will see the HCAS scheme reference number and the scheme name. There are also buttons to automatically scroll the image file forward and backwards page by page.



If you want to speed up or slow down the rate at which the pages are scrolled, then use the popup list to select either “Slow” or “Medium” or “Fast”. If you want to stop at any particular page, then click on the “Stop” button. Different installations give different results with scroll – it is worth experimenting with speeds to find what works best at your location.

If you want to print the image, then click on “Print”.



If you have finished viewing the image, then click on “OK”.

Image manipulation

The second row of buttons are concerned with manipulating the displayed image. You should ignore the first five buttons.



When you click on Grabber button, you can then click on the image and, continuing to hold down the left mouse button, scroll around the page.



When you click on the Magnify button, you can select a region of the image to magnify. If you need to zoom out again, click on the image using the right mouse button and select the option “Fit width”.



Click on the VCR style buttons to either go to the first page, go to the previous page, go to the next page or go to the last page:



Click on the Page View buttons to alter the way the image is fit on screen. You can select from actual size, fit whole image in window, fit width of image in the window.



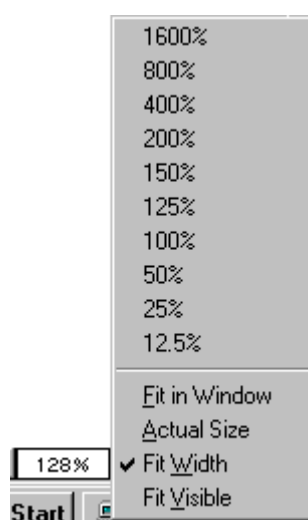
If Acrobat 4.05 is installed on your system (instead of Acrobat 4.00) then you can use the Rotate buttons to rotate the image. You can rotate anticlockwise or clockwise, and each rotation is by an additional 90 degrees.



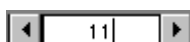
On the bottom of the screen there is a display panel showing you the current zoom percentage level and also the current page in the file.



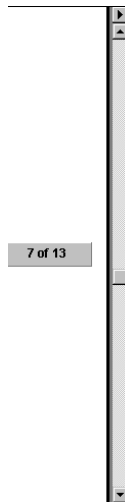
If you click on the downward pointing arrow to the left of the zoom percentage level, you will see a popup menu which allows you to select from various zoom levels.



If you click on the current page field, you can then type in the page that you want to go to:



On the right hand side of the window there is a vertical scrollbar which allows you to scroll through the pages in the image file. As you drag the scroll button up or down the bar you will see the page number of the page that will be displayed if you stopped dragging:



There are several other options in Acrobat Reader which have not been discussed in this instruction manual since they are not relevant or useful for viewing scheme images. You may accidentally activate them, but you can get rid of them by choosing "Cancel" if there is the option. Alternatively you can close the image viewer and open it again, and this has the effect of cancelling all the previous settings you changed and any options activated.

-- End --