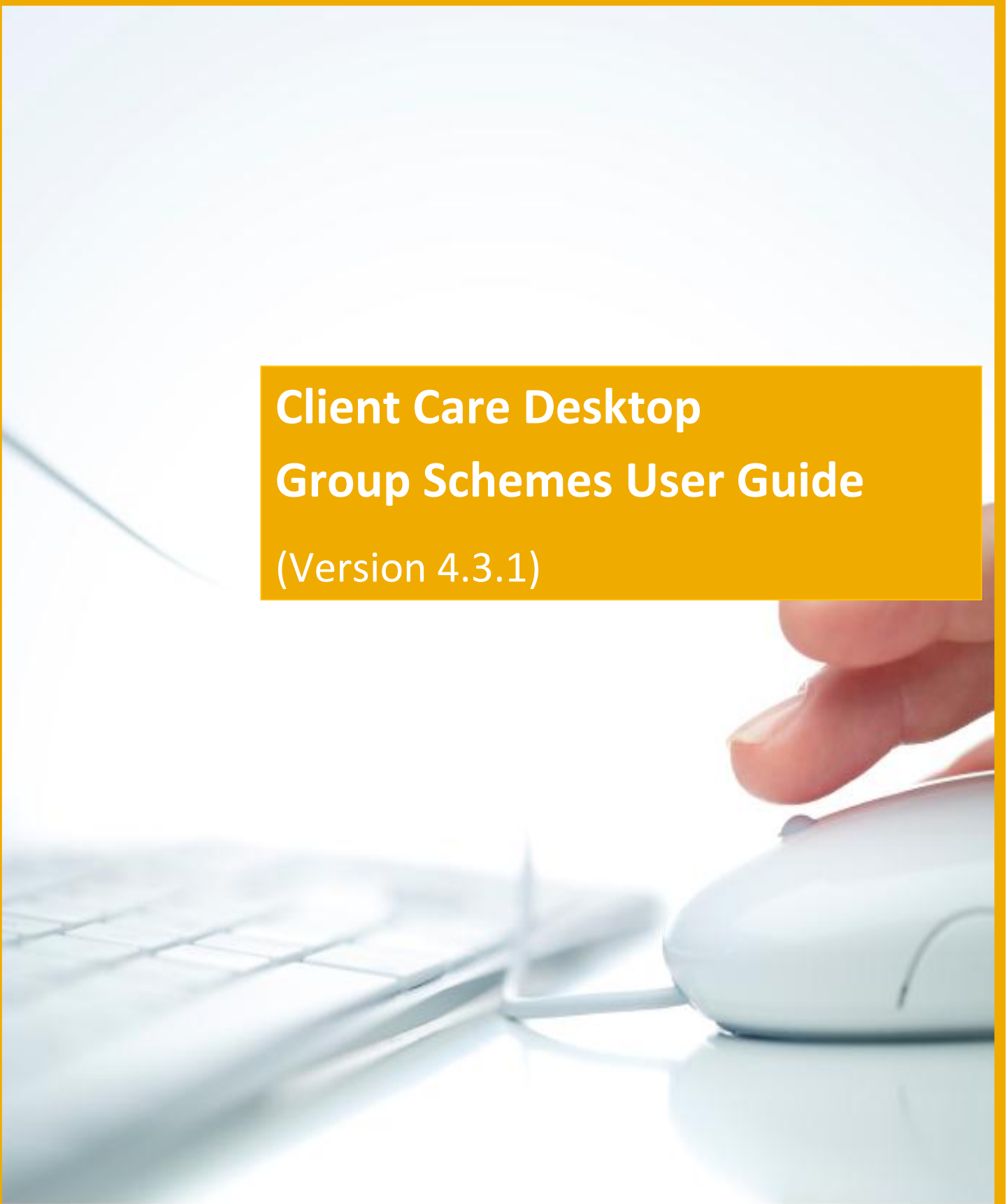


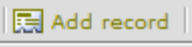
Client Care Desktop Group Schemes User Guide (Version 4.3.1)

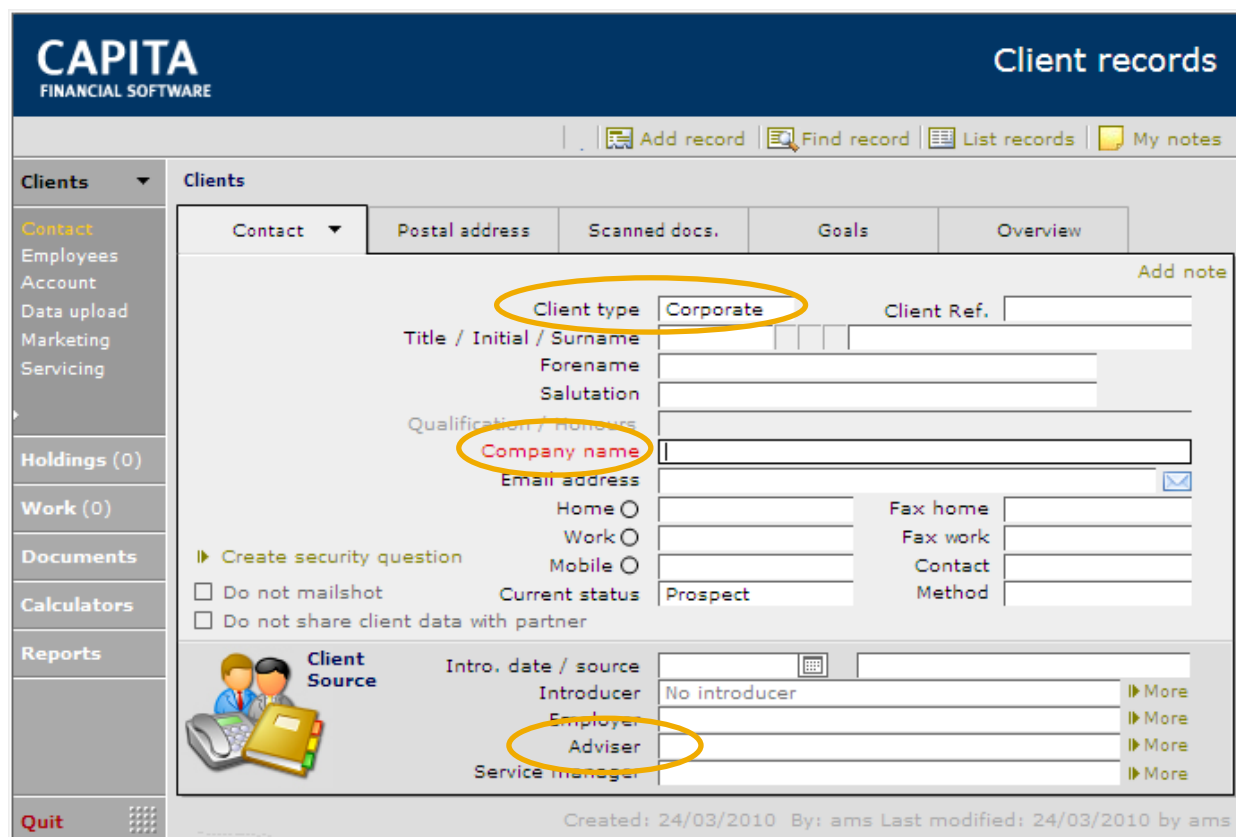


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1 Adding Corporate Clients

To add a new corporate client, enter the Clients module and click on  at the top of the page. Select 'Corporate' from the Client type field.



The only critical field is the 'Company Name', however we would also recommend that the 'Adviser' field is completed. The personal name fields can be used to enter the name of the person letters will normally be addressed to. Ensure that the Postal address tab is completed in full.

1.1 Adding Employees to the Corporate Client

It is important that before any 'employee' record is created the whole of your client data base is searched to make sure that you do not already have the employee entered as an individual client.

If after searching you find that the 'employee' is already on your data base use the Employer field on the front page of the individual's record. Click in the field and a list of all clients who are recorded as 'Corporate' will show. Select the employer. This client will then automatically appear in the employees' list in the 'corporate' client.

CAPITA FINANCIAL SOFTWARE Client records

Add record Find record List records My notes

Clients ▾ **Clients**

Contact ▾ Postal address Scanned docs. Goals Overview

Client type Individual Client Ref.
 Title / Initial / Surname Mrs A J Street
 Forename/s Alison Jane
 Salutation Alison
 Company name
 Email address alison.street@quaysoftware.co.uk
 Phone home 01279756060 Fax home
 Phone work 01279756086 Fax work
 Telephone
 Current status Current
 Do not mailshot client ☐ Do not share client data ☐

Source
 Date / source 19/08/2008 20/08/2008
 Introducer Holly & Partners (Holly)
 Employer
 Consultant Street Ltd
 Service manager The Carpet Group

Quit
 Created:

Source

Add Employer to the 'employee' record from the drop down.

CAPITA FINANCIAL SOFTWARE Client records

Street Ltd

Clients ▾ **Clients > Employees**

Contact
 Employees
 Account
 Data upload
 Marketing
 Servicing

Employees ▾ Notes

+ Import records + Add record

Employee name	Status	Added	Gender	DOB	Key	Dir.	S/hold
Street, Alison Jane	Current	19/08/08	Female	09/01/60	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> More

If the 'employee' is not already on your database, go to the employees' list within the corporate client's record **+ Add record**. You will then be asked a series of questions.

Message

Set employee second address to employer's address?

Yes No

Select as required

Message

Do you wish to add a new Employee?

Yes No

Select as required

Message

Would you like this to be the client's default address?

Yes No

Select as required

You will now be asked to complete the full details for the 'employee'.

CAPITA FINANCIAL SOFTWARE Client records

Street Ltd

Clients ▾ Clients > Employees > Contact

Employees ▾ Notes

Personal	Employment	Key person
<p>Mr S Street</p> <p>Surname/s: Stephen</p> <p>Forename/s: Steve</p> <p>Auto fill</p> <p>Street Ltd</p> <p>Email address: steve@streets.co.uk</p> <p>Telephone Home: 01279 75987</p> <p>Telephone Work: 01279 75987</p> <p>Telephone Mobile: 01279 75987</p> <p>Current status: Current</p> <p>Start date: 27/08/2008</p> <p>Source: Corporate client employee</p> <p>Introducer: No introducer</p> <p>Consultant: Clive McDonough</p>	<p>Client Ref. System Ref. CCD4260006</p>	

Quit

Switch to Employee's Client record

System 'Client Ref' is a non modifiable field.

You can switch to the 'Employees' full individual record using this link.

Ensure as many fields as possible are completed on the 'Employment' and 'Key person' screens (if applicable).

CAPITA FINANCIAL SOFTWARE Client records

Street Ltd

Clients ▾ Clients > Employees > Contact > Employment

Employees ▾
Notes

Contact	Postal address	Personal	Employment	Key person
<div style="display: flex; justify-content: space-between;"> <div> <p>Employer ID</p> <p>Position / title</p> <p>Location</p> <p>Division / cost centre</p> <p>Occupation</p> <p>Employment status</p> <p>Date employment commenced</p> <p>Salary relating to this employment</p> </div> <div> <p>12345</p> <p>Managing Director</p> <p>Head office</p> <p>HO</p> <p></p> <p>Employed</p> <p>27/08/1998 </p> <p>55,000</p> </div> </div> <div style="margin-top: 10px;"> <p>Within Street Ltd, Stephen is a Key person <input checked="" type="checkbox"/></p> <p>Within Street Ltd, Stephen is a Director <input checked="" type="checkbox"/></p> <p>Within Street Ltd, Stephen is a Shareholder / % <input checked="" type="checkbox"/> </p> <p>Within Street Ltd, Stephen is a Controlling director <input checked="" type="checkbox"/></p> </div>				

Switch to Employee's Client record

CAPITA FINANCIAL SOFTWARE Client records

Street Ltd

Clients ▾ Clients > Employees > Contact > Key person

Employees ▾
Notes

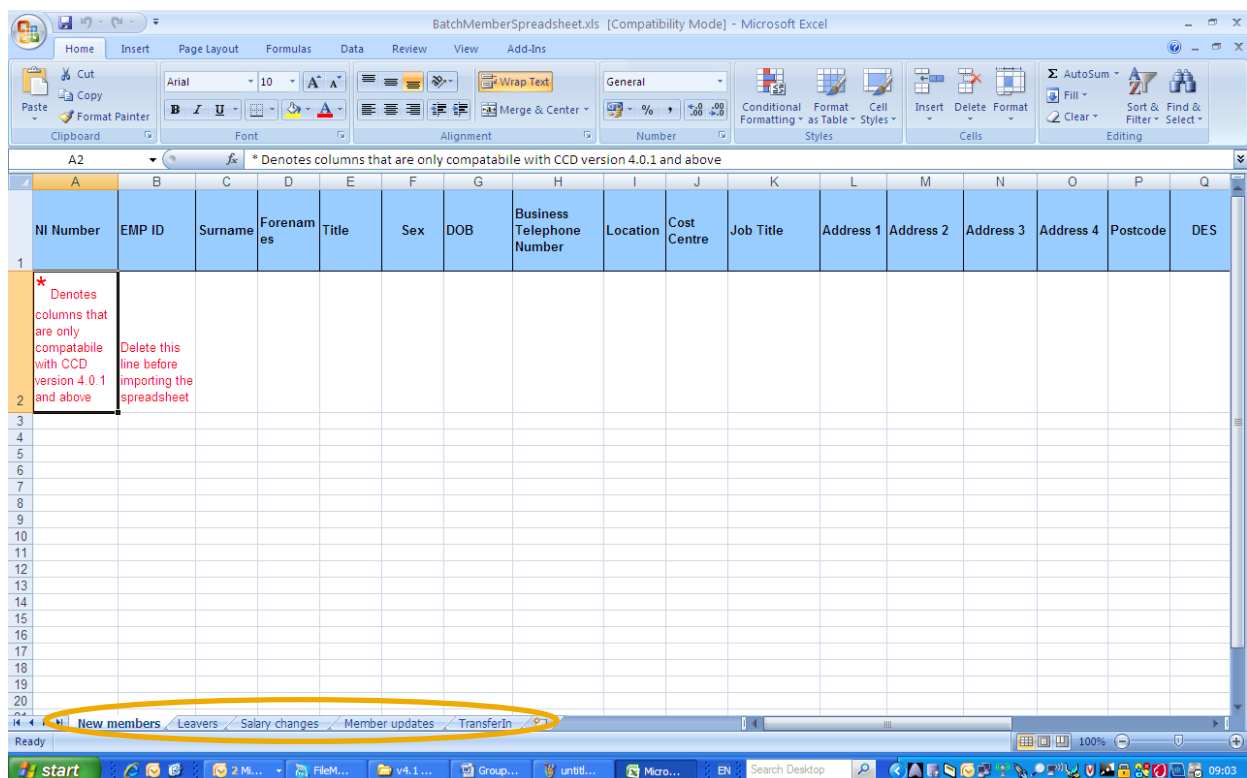
Contact	Postal address	Personal	Employment	Key person
<div style="display: flex; justify-content: space-between;"> <div> <p>Term to protect this individual</p> <p>Contribution to sales / income</p> <p>Contribution to business profit</p> <p>Cost of inducement / recruitment</p> <p>Cost of training</p> <p>Opportunity cost</p> <p>Current cover</p> <p>Minimum cover required</p> </div> <div> <p>25 Years</p> <p>75%</p> <p>75%</p> <p></p> <p></p> <p></p> <p>0</p> <p>0</p> </div> </div>				

Switch to Employee's Client record

1.2 Entering a batch of employees

It is possible to import a batch of 'employees' from an Excel spreadsheet straight into the 'corporate' record. There is a set of spreadsheets available in the **Updates** module of CCD.





Save the spreadsheet onto your PC and this can then be sent out to existing or new Corporate clients. The New member spreadsheet can be used to add members to a scheme or to add 'employees' to the employee list.

NB. Remember if you are creating 'employees' via this method and they already exist as a client in your data base you will create a duplicate record.

	A	B	C	D	E	F	G	H	I	J
	NI Number	EMP ID	Surname	Forenames	Title	Sex	DOB	Business Telephone Number	Location	Cost Centre
1										
2	DK546789P	1234	Smith	Mark	Mr	Male	23/07/1976			
3	ft678789p	1235	Brown	Mellisa	Miss	Female	31/12/1990			
4										
5										
6										

When the spreadsheet is sent back by a corporate client, ensure that this is saved somewhere that is accessible.

Client records

The Biscuit Company

Clients > Employees

Employees Notes

+ Import records + Add record

Employee name	Status	Added	Gender	DOB	Key	Dir.	S/hold	
Hilliard, James	Prospect	10/03/09	Male	10/09/70	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	More
Jones, Sam	Prospect	10/03/09	Female	09/09/78	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	More
Sharpe, Emma	Current	10/03/09	Female	31/12/68	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	More

View employees by surname

Print schedule of Employees

Batch review employee records

Switch to corporate fact find

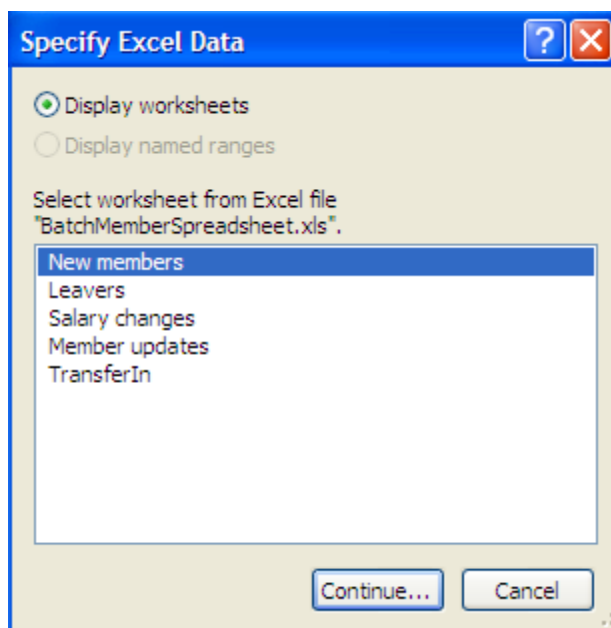
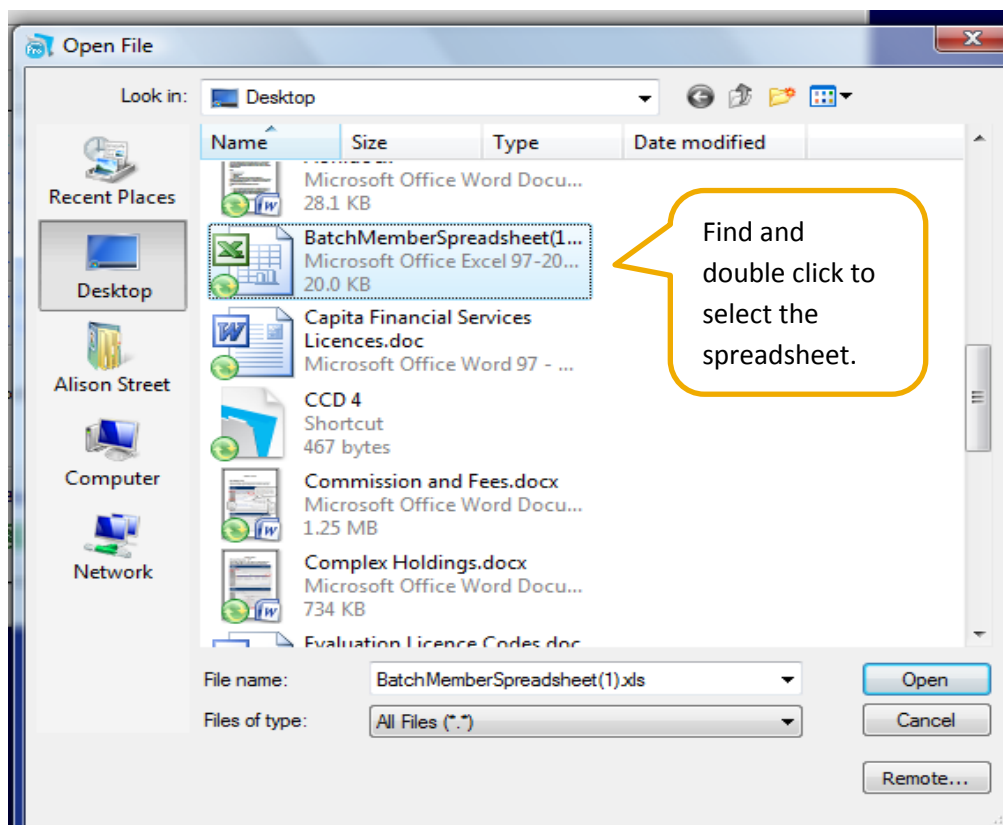
Quit

Key = Key person Dir. = Director S/hold = Shareholder

Once this button has been clicked, answer 'Yes' to the following question:



Now browse through your computer to find the saved spreadsheet.



As this is a CFSL prepared spreadsheet the fields will "auto match". If using your own spreadsheet the source fields will need to be matched with the target fields in CCD. To ensure this happens, firstly select **Don't import first record (contains field names)**.

Import Field Mapping

Source: [Copy of BatchMemberSpreadsheet.xl... Target: Current Table ("Employees")

Source Fields	Target Fields
NI Number	NI Number
EMP ID	EMP ID
Surname	Surname
Forenames	Forenames
Title	Title
Sex	Sex
DOB	DOB
BusinessTelephoneNumber	Business telephone number
Location	Location

<< >> Field Names Arrange by: matching names

Import Action

☒ Add new records
☐ Update existing records in found set
☐ Update matching records in found set

☐ Add remaining data as new records

☒ Don't import first record (contains field names)

Field Mapping

⇒ Import this field
 — Don't import this field
 ≡ Match records based on this field
 ✗ Target cannot receive data

Manage Database... Import Cancel

Import Options

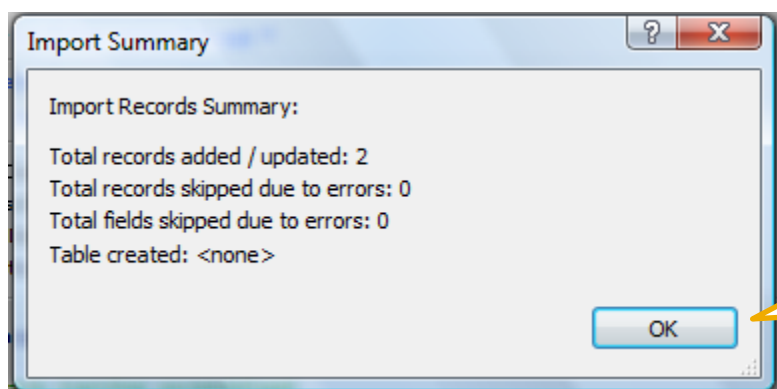
☐ Perform auto-enter options while importing (modification date, serial number, lookups, etc.)

Import values in repeating fields by

☒ Keeping them in the original record
☐ Splitting them into separate records

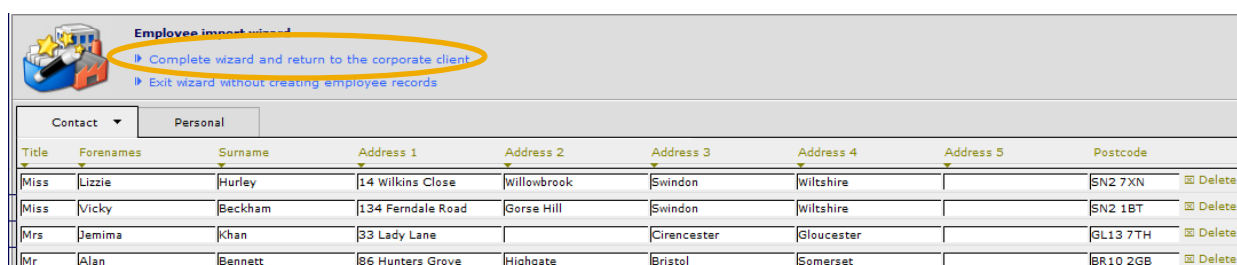
Import Cancel

This box should not be checked, simply click on **Import** to proceed.



Work across the spreadsheet and check, add or amend as required, then move onto the Personal tab and work through this. When the columns are complete click into the

▶ Complete wizard and create new member / membership records



Once completed, you will be returned to the **Employees** page of the corporate record. There will be some work needed to complete information that is not contained on the spreadsheet.

2 Contracts and Schemes

Within the corporate record you can enter **Contracts** and **Schemes**. A 'Contract' refers to a holding that the corporate client owns for their benefit while a 'Scheme' refers to a Group Scheme in place for the benefit of the employees.

2.1 Adding a Contract

Go to the corporate clients' **Holdings** section and the **Contracts** tab.

Work through the screens in the same way as for an individual client ensuring as much information as possible is added.

NB. A contract is for the company and does not have individual members attached to it.

2.2 Adding a Scheme

Schemes can be added for employee benefits, pensions, health insurance, life insurance etc. Each 'employee' of the company will have their own individual client record in the client data base and an individual contract, which will show on their own record.

There are 2 ways to add a new scheme to:

- Record an enquiry and convert this to a new scheme, or;
- Add the scheme from scratch from within the **Schemes** tab.

It is possible to record an enquiry for a scheme in the same way as would be done for an individual client. Navigate to the **Holdings** section of the corporate record and then to the 'Enquiries' tab. Use 'Add record' to add a new enquiry.

Clients > **Holdings** > **Enquiries outstanding** > **Enquiry details**

Enquiry | Research | Recommendation | Tasks | Notes and Docs

Enquiry date: 09/10/12 | Meeting date: 13/10/12

Advice basis: Full compliance

Recommendation basis: Initial | Select existing contract

Client source: Client referral

Provision for retirement: Provision for retirement

Send referral

Status: Enquiry | Type: **Scheme**

Current position: Policy

New business forecast

Remuneration basis: []

Potential case value (£): []

Expectation of completion: [] more likely ▶

Complete when (days): [] further away ▶

Completion date override: [] Forecast value £ in Oct 2012

Quit | *A planning goal can be selected when set under Clients > Goals | View case completion scale ▶

Once the research has been done, and the most appropriate scheme has been decided upon for the client, record these details within the **Recommendation** tab:

Clients > Holdings > Enquiries outstanding > Enquiry details > Recommendation

Enquiry Research Recommendation Tasks Notes and Docs

Product and provider **Cover and investment levels**

Product Provider: Aegon Scottish Equitable

Personal / Occupational: Corporate

Product basis: Retirement

Product category: Group Personal Pension

Product type: Unit linked

Product display name for reports: Group Personal Pension

Single or joint life with partner: ☐ Change

Life/lives assured: Street Ltd

Is the Policy a Trustee Investment? ☐

On the 'Cover and investment levels' tab, click on this button at the bottom of the page:

► Use this recommendation as the basis of a new Scheme record . This will convert these details into a new scheme for the corporate client.

Once this has been done, carry on and complete the scheme details. Confirmation of how to do this is shown in the following information. However you should ignore the next screen shot.

To create a new scheme without using **Enquiries**, go to the **Holdings** record of the corporate client and to the 'Schemes' tab.

Clients > Holdings > Schemes

Holdings Enquiries (1)

Contracts (1) Schemes (0)

+ Add record

Scheme name	Scheme type	Scheme No	Started	Members

Add a record and complete the **Overview** screen as required. The 'Overview' screen on a scheme is similar to the product screen for an individual holding.

Clients > Holdings > Schemes > Overview

Overview | Contacts | Advisers | Scanned Docs

Overview
Details
Administration
Tasks
Remuneration
Membership

Work (0)
Documents
Calculators
Reports

Enter the name of the scheme.

The scheme will have a master Scheme number whilst each member's policy will have an individual 'policy number'.

Scheme status: Current
Client: Street Ltd
Scheme Name: Street Ltd GPP
Provider: Aegon Scottish Equitable
Product basis: Retirement
Product category:
Product type: Executive Pension
Final Salary Scheme
Group AVC Scheme
Group Contracted In Money Purchase
Group Contracted Out Money Purchase
Group Multi Benefits
Group Personal Pension
Group Section 226
Group Section 32
Group Self Invested Personal Pension
Group Stakeholder
Adviser:
Staff:
Scheme number:
Start date:
Date scheme expired:
Next renewal date:
Next review date:

Once all the tabs in the **Overview** section have been fully completed move onto the **Details** section. The screens presented will reflect the type of scheme this is e.g. money purchase or group PHI.

Clients > Holdings > Schemes > Overview > Benefit basis

Benefit basis | Eligibility | Retirement | Death

Principal | Additional | Definitions

Contribution frequency: Monthly
Basis of money purchase contribution: Percentage
Employee contribution collected gross or net?: Net
Contributions employee: 5%
Contributions employer: 5%
Contributions total: 10%
Normal retirement age: 65
Death in service benefits included in this scheme: X salary
Percent of salary for spouses pension*:
Unit Rate:
Unit Rate:

Contribution basis

Input the default definition for member contributions. Further information can be entered on the **Additional** and **Definitions** tabs.

For schemes with different tiers, add these in using **Principal** and **Additional** tabs. For instance for GPP's the employer and employee might pay different percentages and on a Group PMI there are different cover types depending on whether you are single, have children etc.

The screen shot on the next page shows a Final Salary scheme with 2 tiers for different employees. When members are added the appropriate tier can be selected.

Clients > Holdings > Schemes > Overview > Scheme basis > Additional sections

Benefit basis		Eligibility		Retirement		Death	
Principal		Additional		Definitions			
Section name	% cont Eee	% cont Eer	% cont total	Contr. Freq.	DIS	NRA	* % Spouse
1 Management	5%	5%	10%	Monthly		65	
2 Staff	4%	4%	8%	Monthly		65	
3							
4							
5							
6							
7							
8							
9							
10							

*only in Republic of Ireland

Up to a further 9 definitions can be added.

Clients > Holdings > Schemes > Overview > Scheme basis > Additional sections

Benefit basis		Eligibility		Retirement		Death	
Principal		Additional		Definitions			
<p>Pensionable service</p> <p>Number of full years that have been worked for the company</p> <p>Pensionable pay</p> <p>Basic salary only</p> <p>Pension accrual rate</p> <p>SERPS</p>							

There is no 'New business' checklist or 'Submission' checklist on a scheme record. In the **Administration** screens there is a checklist but this will not affect the 'new business register', or incomplete 'compliance checklists', as each individual member's policy will have its own set of 'New business' and 'Submission' records.

Clients Holdings ▶ Overview Details Administration Tasks Remuneration Membership Work (0) Documents Calculators Reports	Clients > Holdings > Schemes > Overview > Administration		
	Case summary Notes		
	<div>Application Reference Tracking</div>		
	New Business Yes		
	Status Current		
	Current position (outstanding action) Awaiting start date		
	Application sent to Client 19/11/2010		
	Application received 25/11/2010		
	Application dated 25/11/2010		
	Submitted date 26/11/2010		
Effective date 01/01/2010			
Scheme number 34567890			
Contract received			
Contract issued			
Next renewal date / renewal month			
Cessation date ▶ Update members			

Clients Holdings ▶ Overview Details Administration Tasks Remuneration Membership Work (0) Documents Calculators Reports	Clients > Holdings > Schemes > Overview > Administration		
	Case summary Notes		
	<div>Application Reference Tracking</div>		
	New Business Yes		
	Status Current		
	Current position (outstanding action) Awaiting start date		
	Application sent to Client 19/11/2010		
	Application received 25/11/2010		
	Application dated 25/11/2010		
	Submitted date 26/11/2010		
Effective date 01/01/2010			
Scheme number 34567890			
Contract received			
Contract issued			
Next renewal date / renewal month			
Cessation date ▶ Update members			

Complete all fields as required.

NB. This information is normally only required for an Occupational Pension scheme.

Clients > Holdings > Schemes > Overview > Administration

Case summary | Notes

Application | Reference | Tracking

Pre-Renewal to Client

Renewal instruction received from client

Renewal sent to insurers

Final renewal date sent to insurer

Renewal from Insurers

Renewal issued to client

Renewal status / Insurer Notes

Trustee report received

In respect of trustee report year end

Trustee report issued

► Group scheme tracker report

When a Group Scheme is due for renewal there is the 'Tracking' section to record the relevant dates for the renewal. Once this has been recorded, print the 'Group scheme tracker report' for your records, as this information will be overwritten the next time you enter renewal dates.

Group scheme tracking report

2009 Group scheme renewal tracking

Scheme Name	Status	Administrator	Adviser	Provider / Policy Number	Renewal						Trustee		
					Pre-Renewal to Client	From Client	To Insurers	Final to Insurers	From Insurers	To Client	Report Received	Report Year End	Report Issued
The Carpet Group GPP	Current		Clive McDonough	Standard Life	25/06/10	01/07/10	15/07/10	31/07/10	29/07/10	31/07/10			
Renewal:	Notes:			76778-09019288	Renewal Notes:								

The **Remuneration** section on the Schemes record should only be used if remuneration is being paid for the scheme itself. If, however, remuneration is going to be paid on each member of the scheme, individual remunerations should be added to the member's full record.

Any remuneration added to an individual member of a scheme will show in this scheme **Remuneration** section.

This remuneration was added at Scheme level.

This remuneration was added on the individual's policy record.

2.3 Adding Members

Now that the scheme has been recorded members need to be added. Scheme members can be selected from the employee list of the corporate holding. There are three ways to add members to the scheme:

- Add a single member
- Adding a batch of members
- Importing members to the scheme using the spreadsheet.

2.3.1 Adding a Single Member

Within the **Membership** section of a group scheme, use the **+Add record** button.

➡ + Add record

Now complete the fields which are displayed on the page:

Clients > Holdings > Schemes > Overview > Membership > New member

Holdings ▶

Overview
Details
Administration
Tasks
Remuneration
Membership

Work (0)
Documents
Calculators
Reports

New member wizard

▶ Add an individual member to this scheme by completing the information below
▶ Add a batch of employees to this scheme

To add new members, you must first have recorded the individual as an Employee of Street Ltd.

To add a single member, complete the information required.

Staff member: [] Salary: []
Date of birth: [] Opt-out: []
Section: [] View: [] NRA: []
Scheme Section: []
Employer share%: [] Eer. cont.: []
Employee share%: [] Eee. cont.: []
Scheme Premium%: [] Total cont.: [] Freq: []

Application status: [] Application received: []
Effective date: [] Application dated: []

+ Add this new member to the scheme

In the 'Staff member' box the drop down list is the master employee list for the corporate client. Select the 'staff member' to be added to the scheme.

If the person you are trying to add is not in the drop down list then they must be added as an employee before you can continue. Complete all of the relevant fields – the system does indicate which these are by making them red:

Clients > Holdings > Schemes > Overview > Membership > New member

Holdings ▶

Overview
Details
Administration
Tasks
Remuneration
Membership

Work (0)
Documents
Calculators
Reports

New member wizard

▶ Add an individual member to this scheme by completing the information below
▶ Add a batch of employees to this scheme

To add new members, you must first have recorded the individual as an Employee of Street Ltd.

Staff member: Jason Plato
Date of birth: 22/12/74
Opt-out: []
Section: 2 View: [] NRA: 65
Scheme Section: Staff
Employer share%: 4.00% Eer. cont.: 166.67
Employee share%: 4.00% Eee. cont.: 166.67
Scheme Premium%: 8.00% Total cont.: 333.34 Freq: M

Application status: In force Application received: []
Effective date: 1/11/10 Application dated: []

+ Add this new member to the scheme

Click here to see details of the tiers.

When all information has been added, click here to add the member.

Clients > Holdings > Schemes > Overview > Membership > Pipeline

Current Pipeline

This example shows in the Pipeline tab as the status is proposed.

Member	Status	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Plato, J	Proposed		50,000				65

The staff member now appears in the membership list of the group scheme under the appropriate tab. There will be some information on this record which will need completing. Click onto the record and complete as appropriate.

2.3.2 Adding a Batch of Members

Clients > Holdings > Schemes > Overview > Membership > New member

New member wizard

► Add an individual member to this scheme by completing the information below
► Add a batch of employees to this scheme

To add new members, you must first have recorded the individual as an employee of Street Ltd.

Click here to add a batch of members from the employee list.

Staff member Salary

Date of birth

Opt-out

Section View NRA

Scheme Section

Employer share% Eer. cont.

Employee share% Eee. cont.

Scheme Premium% Total cont. Freq

Application status Application received

Effective date Application dated

+ Add this new member to the scheme

Street Ltd GPP member wizard

► Complete wizard and create member records
► Exit wizard and return to scheme

* Yes: a remuneration expectation will be created for indemnity
No: commission basis only set
Manual: no setting

Forename	Surname	Status	DOB	Gender	Employ start	Salary	Opt-out	Scheme section	Employer	Employee	Freq	AVC	NRA
Martin	Brundle	Current	22/12/1974	Male				?	?	?	?	?	?
Carly	Perez	Current	22/12/1974	Male				?	?	?	?	?	?
Jason	Plato	Current	22/12/1974	Male		50,000		1 Management	5.00%	208.33	5.00%	208.33	65
Bruno	Senna	Current	22/12/1974	Male		50,000		?	?	?	?	?	?

The spreadsheet displayed contains all employees. To review information across the whole spreadsheet use the scroll bar at the bottom of the screen. Any employees that are already members of the scheme will have a red square to the left of their name.

Complete all the white boxes for the employees to be added to the scheme. If the information is the same for all members, complete the top line and by clicking on the title bar your answer is copied down the whole of the column. If an employee is not to be included select opt out in the 8th column.

Once the spreadsheet is completed, click

► **Complete wizard and create member records**

at the top of the screen.

Street Ltd GPP member wizard

► **Complete wizard and create member records**
► Exit wizard and return to scheme

* Yes: a remuneration expectation will be created for indemnity
No: commission basis only set
Manual: no setting

Forename	Surname	Status	DOB	Gender	Employ start	Salary	Opt-out	Scheme section	Employer	Employee	Freq AVC	NRA
Martin	Brundle	Current	22/12/1974	Male		45,000		2 Staff	4.00%	150.00	4.00%	150.00 M 65
Sergio	Perez	Current	22/12/1974	Male		30,000		2 Staff	4.00%	100.00	4.00%	100.00 M 65
Jason	Plato	Current	22/12/1974	Male		50,000		1 Management	5.00%	208.33	5.00%	208.33 M 65
Bruno	Senna	Current	22/12/1974	Male		50,000		1 Management	5.00%	208.33	5.00%	208.33 M 65

All selected staff members will now show as members of the scheme.

Clients > Holdings > Schemes > Overview > Membership

Current Pipeline All

+ Add record

Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brundle, M		01/11/10	45,000	150.00	150.00	300.00	65
Perez, S		01/11/10	30,000	100.00	100.00	200.00	65
Senna, B		01/11/10	50,000	208.33	208.33	416.66	65

Create a member review schedule
Create a member premium schedule
Create a spreadsheet based on the records shown

Create a batch increment List view
Number of current member records 3

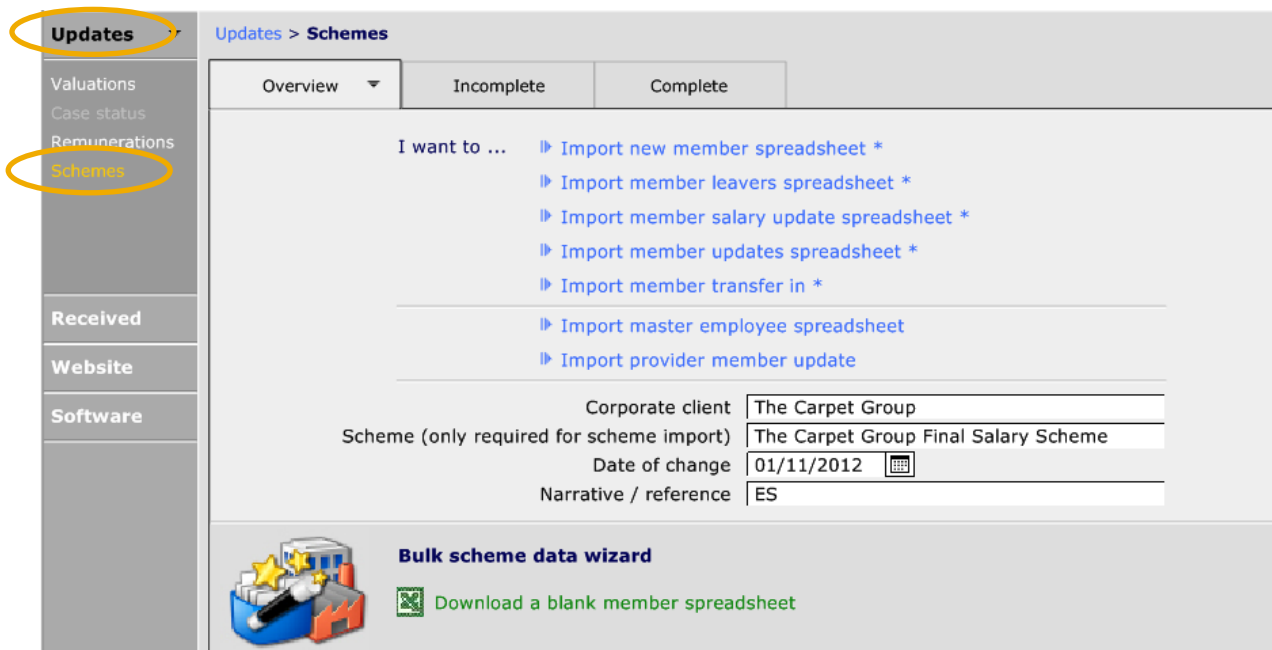
If a member has been marked as 'Opt out' and wants to join the scheme at a later date then amend the status of the member in the **All** tab from 'Opt out' to 'Proposed' or 'In force'. Ensure the NRA (normal retirement age) is completed to move the employee into the membership list.

Each record set up using this batch method will need to be entered onto and any critical information completed (such as contract number).

2.4 Using the Import Wizard

Data regarding your Group Schemes can be imported directly into CCD from a universally accepted spreadsheet from your Product Provider or scheme administrators. This can save you time and also eliminate error. There is also a CCD spreadsheet and the following information confirms how this can be used to bulk import members.

To use the Group wizards go to the **Updates** module from the main CCD menu.



Updates > Schemes

Overview Incomplete Complete

I want to ...

- Import new member spreadsheet *
- Import member leavers spreadsheet *
- Import member salary update spreadsheet *
- Import member updates spreadsheet *
- Import member transfer in *
- Import master employee spreadsheet
- Import provider member update


Corporate client The Carpet Group

Scheme (only required for scheme import) The Carpet Group Final Salary Scheme

Date of change 01/11/2012

Narrative / reference ES

Bulk scheme data wizard

 Download a blank member spreadsheet

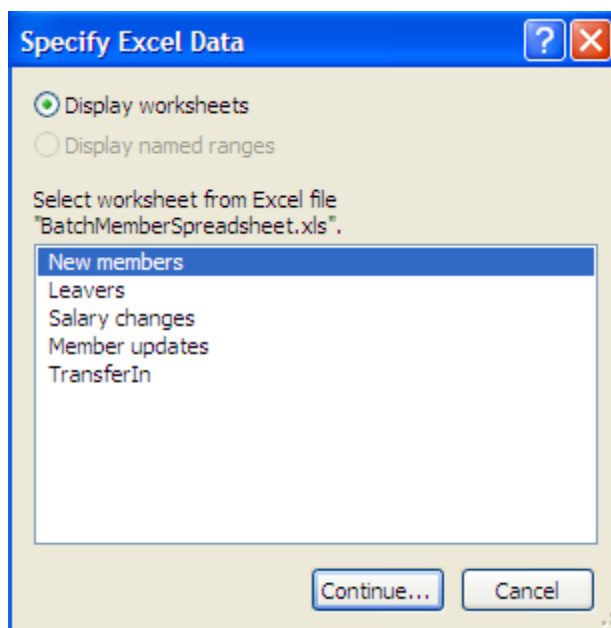
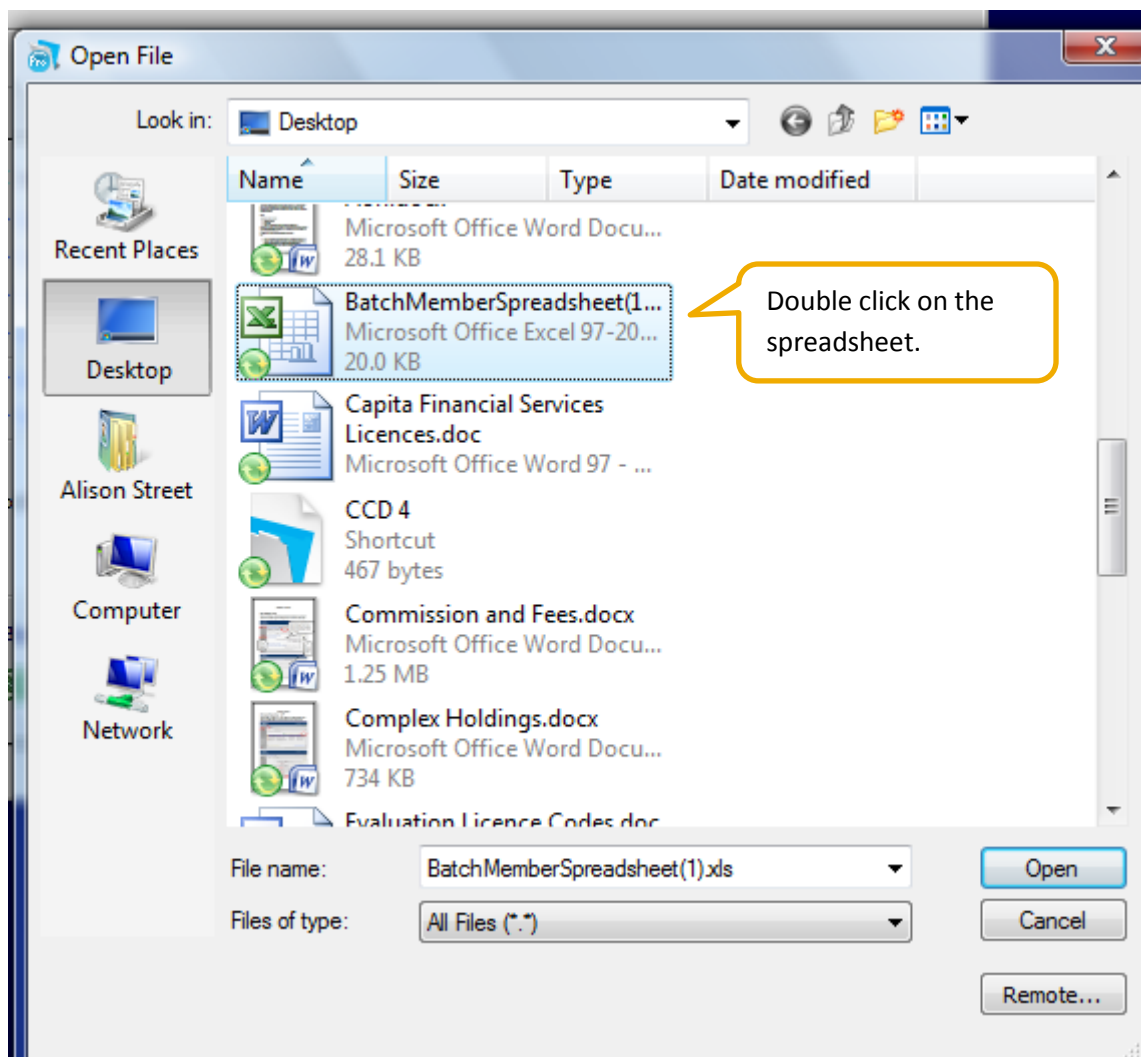
Enter the information requested in the fields on this page and then click on the relevant **I want to...**

Notes:

- The new member's spreadsheet can be used to add members to a scheme or to add employees.
- If you are creating employees via this method and they already exist as a client in your data base you will create a duplicate record.

Once the relevant **I want to...** spreadsheet has been selected follow these instructions:

Select the saved spreadsheet for import.



As this is a CFSL prepared spreadsheet the fields will auto match. If using your own spreadsheet the source fields will need to be matched with the target fields in CCD.

Import Field Mapping

Source: [BatchMemberSpreadsheet(1).xls] Ne... Target: Current Table ("Employees")

Source Fields	Target Fields
NI Number	NI Number
EMP ID	EMP ID
Surname	Surname
Forenames	Forenames
Title	Title
Sex	Sex
DOB	DOB
BusinessTelephoneNumber	Business telephone number
Location	Location

<< >> Field Names Arrange by: last order

Import Action

☒ Add new records
☐ Update existing records in found set
☐ Update matching records in found set

Field Mapping

⇒ Import this field
 — Don't import this field
 ≡ Match records based on this field
 ✗ Target cannot receive data

☐ Add remaining data as new records
☒ Don't import first record (contains field names)

Manage Database... Import Cancel

Import Options

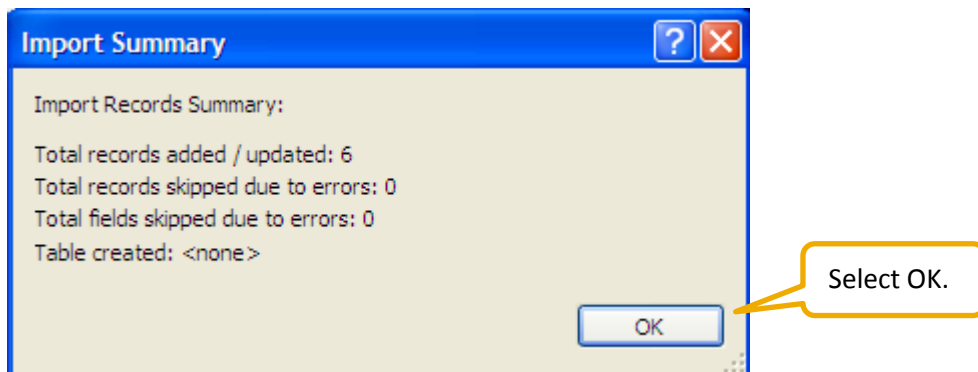
☐ Perform auto-enter options while importing (modification date, serial number, lookups, etc.)

Import values in repeating fields by

☒ Keeping them in the original record
☐ Splitting them into separate records

Import Cancel

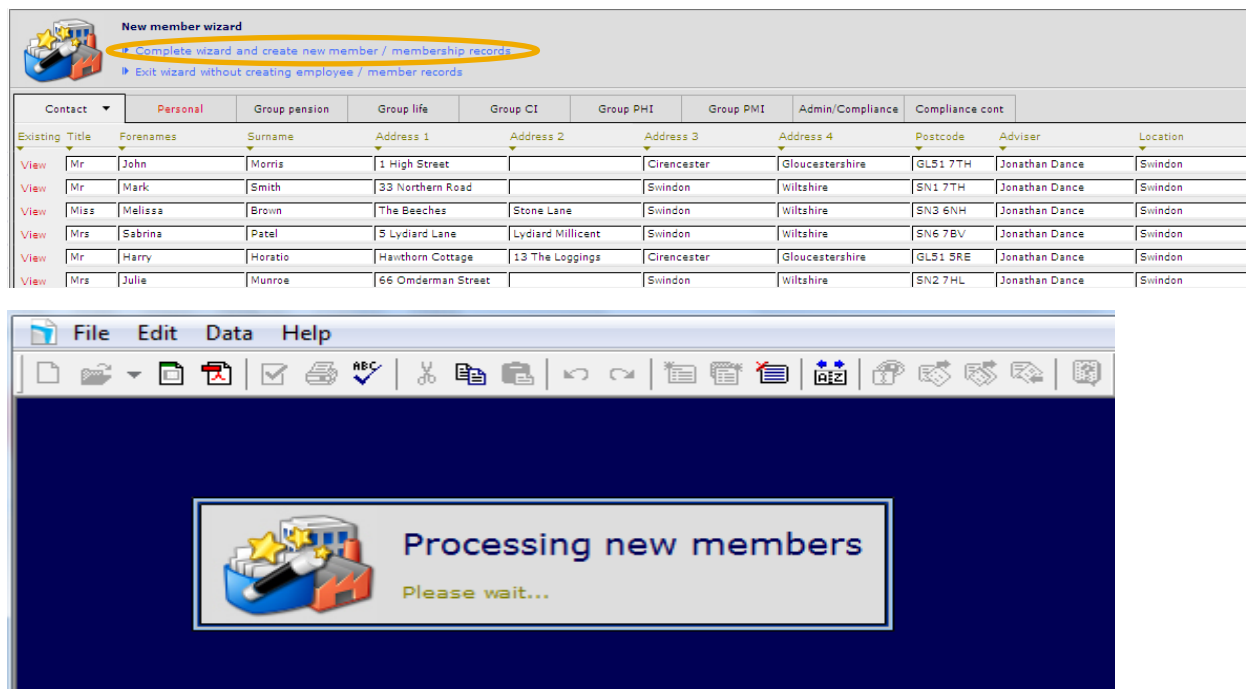
This box should not be checked, simply click on **Import** to proceed.



Work across the spreadsheet and check, add or amend as required. There is the Contact, Personal and the relevant group scheme tab that will need to be completed.

When all the columns are complete click onto the

▶ [Complete wizard and create new member / membership records](#)



When returning to the scheme record the membership list will now be populated. Each record set up using this import method will need to be entered and any critical information completed (such as Contract number).

Clients

Holdings

Overview

Details

Administration

Tasks

Remuneration

Membership

Work (0)

Documents

Calculators

Reports

Clients > Holdings > Schemes > Overview > Membership

Current

Pipeline

All

+ Add record

Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M		01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M		01/11/10	45,000	150.00	150.00	300.00	65
Horatio, H		01/12/10	50,000	166.67	0.00	166.67	65
Morris, J		01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J		01/12/10	89,000	296.67	0.00	296.67	65
Patel, S		01/12/10	45,000	150.00	0.00	150.00	65
Perez, S		01/11/10	30,000	100.00	100.00	200.00	65
Senna, B		01/11/10	50,000	208.33	208.33	416.66	65
Smith, M		01/12/10	30,000	100.00	0.00	100.00	65

Create a member review schedule

Create a member premium schedule

Create a spreadsheet based on the records shown

Create a batch increment

List view

Number of current member records

9

3 Member Review and Premium Schedules

Once member records have been added, a member annual review schedule and premium review schedule can be printed to send to the corporate client for checking.

Clients	Clients > Holdings > Schemes > Overview > Membership							
Holdings	<div>Current<div>PipelineAll</div></div>							
Overview	<div><div></div><div>+ Add record</div></div>							
Details								
Administration								
Tasks								
Remuneration								
Membership								
Work (0)								
Documents								
Calculators								
Reports								

The report below is created by using **Create a member review schedule**:

FileMaker Pro - [Log]
File Edit Data Help

Annual review schedule Return Print Preview

Street Ltd GPP

Name	Contract / Policy no.	Current sal.	New sal.	Change £	Employee	Change	Employer	Change	A V C	Increase	
Senna, B	76543	50,000.00			208.33		208.33				
Perez, S	12098	30,000.00			100.00		100.00				
Brundle, M	12345	45,000.00			150.00		150.00				
Morris, J	05543	30,000.00			125.00		0.00				
Smith, M	40912	30,000.00			100.00		0.00				
Brown, M	56789	20,000.00			66.67		0.00				
Patel, S	39111	45,000.00			150.00		0.00				
Horatio, H	62214	50,000.00			166.67		0.00				
Munroe, J	50999	89,000.00			296.67		0.00				

The report below is created by using **Create a member premium schedule**:

FileMaker Pro - [Log]
File Edit Data Help

Membership list Return Print Preview

Street Ltd GPP

Name	Contract / Policy Number	Scheme entry	D O B	Scheme salary	Employee Gross	Employee Net	Employer	Total Gross	A V C	Gross Total	Net Total	Payment frequency	
Senna, B	76543	01/11/10	22/12/74	50,000.00	208.33	166.66	208.33	416.66		416.66	374.99	Monthly	
Perez, S	12098	01/11/10	22/12/74	30,000.00	100.00	80.00	100.00	200.00		200.00	180.00	Monthly	
Brundle, M	12345	01/11/10	22/12/74	45,000.00	150.00	120.00	150.00	300.00		300.00	270.00	Monthly	
Morris, J	05543	01/12/10	19/09/67	30,000.00	125.00	100.00	0.00	125.00		125.00	100.00	Monthly	
Smith, M	40912	01/12/10	14/12/73	30,000.00	100.00	80.00	0.00	100.00		100.00	80.00	Monthly	
Brown, M	56789	01/12/10	30/01/76	20,000.00	66.67	53.34	0.00	66.67		66.67	53.34	Monthly	
Patel, S	39111	01/12/10	18/01/67	45,000.00	150.00	120.00	0.00	150.00		150.00	120.00	Monthly	
Horatio, H	62214	01/12/10	14/01/70	50,000.00	166.67	133.34	0.00	166.67		166.67	133.34	Monthly	
Munroe, J	50999	01/12/10	31/12/74	89,000.00	296.67	237.34	0.00	296.67		296.67	237.34	Monthly	

4 Adding Details to Individual Policies Within the Scheme

Clients	Clients > Holdings > Schemes > Overview > Membership																																																																																						
Holdings	<div> <div>Current</div> <div>Pipeline</div> <div>All</div> </div>																																																																																						
Overview	<div> <div>+</div> Add record </div>																																																																																						
Details	<table> <tr> <th>Member</th><th>Contract No.</th><th>Effective</th><th>Salary</th><th>Eee.*</th><th>Eer.*</th><th>Total*</th><th>NRA</th></tr> <tr> <td>Brown, M</td><td></td><td>01/12/10</td><td>20,000</td><td>66.67</td><td>0.00</td><td>66.67</td><td>65</td></tr> <tr> <td>Brundle, M</td><td></td><td>01/11/10</td><td>45,000</td><td>150.00</td><td>150.00</td><td>300.00</td><td>65</td></tr> <tr> <td>Horatio, H</td><td></td><td>01/12/10</td><td>50,000</td><td>166.67</td><td>0.00</td><td>166.67</td><td>65</td></tr> <tr> <td>Morris, J</td><td></td><td>01/12/10</td><td>30,000</td><td>125.00</td><td>0.00</td><td>125.00</td><td>65</td></tr> <tr> <td>Munroe, J</td><td></td><td>01/12/10</td><td>89,000</td><td>296.67</td><td>0.00</td><td>296.67</td><td>65</td></tr> <tr> <td>Patel, S</td><td></td><td>01/12/10</td><td>45,000</td><td>150.00</td><td>0.00</td><td>150.00</td><td>65</td></tr> <tr> <td>Perez, S</td><td></td><td>01/11/10</td><td>30,000</td><td>100.00</td><td>100.00</td><td>200.00</td><td>65</td></tr> <tr> <td>Senna, B</td><td></td><td>01/11/10</td><td>50,000</td><td>208.33</td><td>208.33</td><td>416.66</td><td>65</td></tr> <tr> <td>Smith, M</td><td></td><td>01/12/10</td><td>30,000</td><td>100.00</td><td>0.00</td><td>100.00</td><td>65</td></tr> </table>							Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA	Brown, M		01/12/10	20,000	66.67	0.00	66.67	65	Brundle, M		01/11/10	45,000	150.00	150.00	300.00	65	Horatio, H		01/12/10	50,000	166.67	0.00	166.67	65	Morris, J		01/12/10	30,000	125.00	0.00	125.00	65	Munroe, J		01/12/10	89,000	296.67	0.00	296.67	65	Patel, S		01/12/10	45,000	150.00	0.00	150.00	65	Perez, S		01/11/10	30,000	100.00	100.00	200.00	65	Senna, B		01/11/10	50,000	208.33	208.33	416.66	65	Smith, M		01/12/10	30,000	100.00	0.00	100.00	65
Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA																																																																																
Brown, M		01/12/10	20,000	66.67	0.00	66.67	65																																																																																
Brundle, M		01/11/10	45,000	150.00	150.00	300.00	65																																																																																
Horatio, H		01/12/10	50,000	166.67	0.00	166.67	65																																																																																
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Senna, B		01/11/10	50,000	208.33	208.33	416.66	65																																																																																
Smith, M		01/12/10	30,000	100.00	0.00	100.00	65																																																																																
Administration	<div> <div>Create a member review schedule</div> <div>Create a member premium schedule</div> <div>Create a spreadsheet based on the records shown</div> </div>																																																																																						
Tasks	<div> <div>Create a batch increment</div> <div>List view</div> <div>Number of current member records</div> <div>9</div> </div>																																																																																						
Remuneration																																																																																							
Membership																																																																																							
Work (0)																																																																																							
Documents																																																																																							
Calculators																																																																																							
Reports																																																																																							

To view the details of an individual's policy, select the member required from the membership list.

Clients	Clients > Holdings > Schemes > Overview > Membership > Contract				
Holdings	Overview	Contributions	Assets	Administration	Remuneration
Overview	<div> <div>Add note</div> <div>Application status</div> <div>In force</div> <div>Contract holder</div> <div>Brundle, M</div> <div>Contract reason / objective</div> <div>Scheme</div> <div>Street Ltd GPP</div> <div>Provider</div> <div>Aegon Scottish Equitable</div> <div>Personal / Occupational</div> <div>Corporate</div> <div>Product basis</div> <div>Retirement</div> <div>Product category</div> <div>Group Personal Pension</div> <div>Product</div> <div>Unit linked</div> <div>Contract display name for reports</div> <div>Group Personal Pension</div> <div>Contract number</div> <div>12345</div> <div>Application dated</div> <div>13/09/2010</div> <div>Date joined ER</div> <div>Application received</div> <div>Effective date</div> <div>01/11/2010</div> <div>Controlling director</div> <div>Yes</div> <div>No</div> <div>Date left</div> <div>22/12/2039</div> <div>Auto fill</div> <div>To age</div> <div>65</div> <div>Reason</div> </div>				
Details	<div> <div>Notes</div> <div>Notes</div> <div>Notes</div> </div>				
Administration					
Tasks					
Remuneration					
Membership					
Work (0)					
Documents					
Calculators					
Reports					
Quit	<div> <div>Switch to individual holding record</div> </div>				

Use the link to switch to the full policy details within the individual member's full client record.

Update and administer the individual record as you would for any holding, completing the product, valuation, administration, remuneration and submission sections in full.

Clients Clients > Holdings > Overview

Holdings Contract details Scanned docs. Add note

Overview
Product
Contributions
Details
Administration
Tasks
Remuneration
Submission

Work (0)
Documents
Calculators
Reports

Switch back to the scheme record with this link.

Application status In force Marked for upload ☐

Contract holder Brundle, M

Life / lives assured Brundle, M

Lives [Change](#)

Provider Aegon Scottish Equitable

Contract type Group Personal Pension

Contract number 12345

Effective date 01/11/2010 End date 22/12/2039

Regular Contributions £300.00 M Singles £

Total investment £7,200.00 Current value £

Adviser [More](#)

Advice Type [More](#)

Introducer [More](#)

[Make this contract paid up / cancelled](#)

[Print a file fact sheet for this holding](#)

Created: 29/10/2012 By: ams

[Switch to scheme member record](#)

4.1 Bulk Updating Checklists

If a new Group Scheme is added with a large number of members, it can be time consuming to complete the New Business and Compliance checklists for each individual record. There are 2 ways in which to bulk complete.

- Using the Compliance tab on the import routine
- Updating from within **Admin > New Business** or **Compliance**

4.1.1 Using the Compliance Tab

When using the New Member import spreadsheet there is a tab called **Compliance**. This can be used to complete all the fields on the Compliance checklist.

New member wizard

Complete wizard and create new member / membership records
Exit wizard without creating employee / member records

Contact	Personal	Group pension	Group life	Group CI	Group PHI	Group PMI	Compliance	Postcode	Adviser	Location
Existing Title	Forenames	Surname	Address 1	Address 2	Address 3	Address 4				
View	Mr	John	Morris	13 High Street	Swindon	Wiltshire		SN2 7TH	Sheila Andrews	Swindon
View	Mr	Mark	Smith	109 Farndale Road	Swindon	Wiltshire		SN1 7TH	Sheila Andrews	Swindon
View	Miss	Melissa	Brown	The Bungalow	18 Tower Lane	Swindon	Wiltshire	SN3 6TH	Sheila Andrews	Swindon

Click onto this tab. The spreadsheet is quite long and has been split into the following two portions:

New member wizard
Exit wizard and return to scheme

Contact	Personal	Group pension	Group life	Group CI	Group PHI	Group PMI			
Enq date	Advice basis	Terms of Bus	IDD sent	n/a	IDD Version	Menu sent	n/a	Menu version	Verification of client ID

Compliance

Int ID	n/a	Fact find date	Exec.Only	Limited info	Prod research	Suitability report dated	n/a	Illus dated	Illus sent	n/a	Risk Warnings	n/a

When completing these fields, the information entered on the first line can be used to populate the fields underneath by using the 'down arrow' under each heading name.

New member wizard
Exit wizard and return to scheme

Contact	Personal	Group pension	Group life
Enq date	Advice basis	Terms of Bus	IDD sent
10/02/10	Direct offer		24/03/10
10/02/10	Direct offer		
10/02/10	Direct offer		

Message

Set IDD sent date for each record to record 1?

Yes No

When the ▼ is clicked, this pop up appears, select 'Yes'.

New member wizard
Exit wizard and return to scheme

Contact	Personal	Group pension
Enq date	Advice basis	Terms of Bus
10/02/10	Direct offer	24/03/10
10/02/10	Direct offer	24/03/10
10/02/10	Direct offer	24/03/10

All fields now have the date recorded.

Repeat this if appropriate on all the fields on this checklist. There is one field left on the checklist that cannot be completed. This field is the final field on the checklist and is used to confirm that all other fields have been completed:

Compliance checklist complete Complete / amend compliance checklist

It is possible to bulk complete all of these fields for a number of checklists. This can be done on the **Admin > Compliance** page of CCD. See section 9 in this user guide for details.

5 Increases and Decreases of Salary

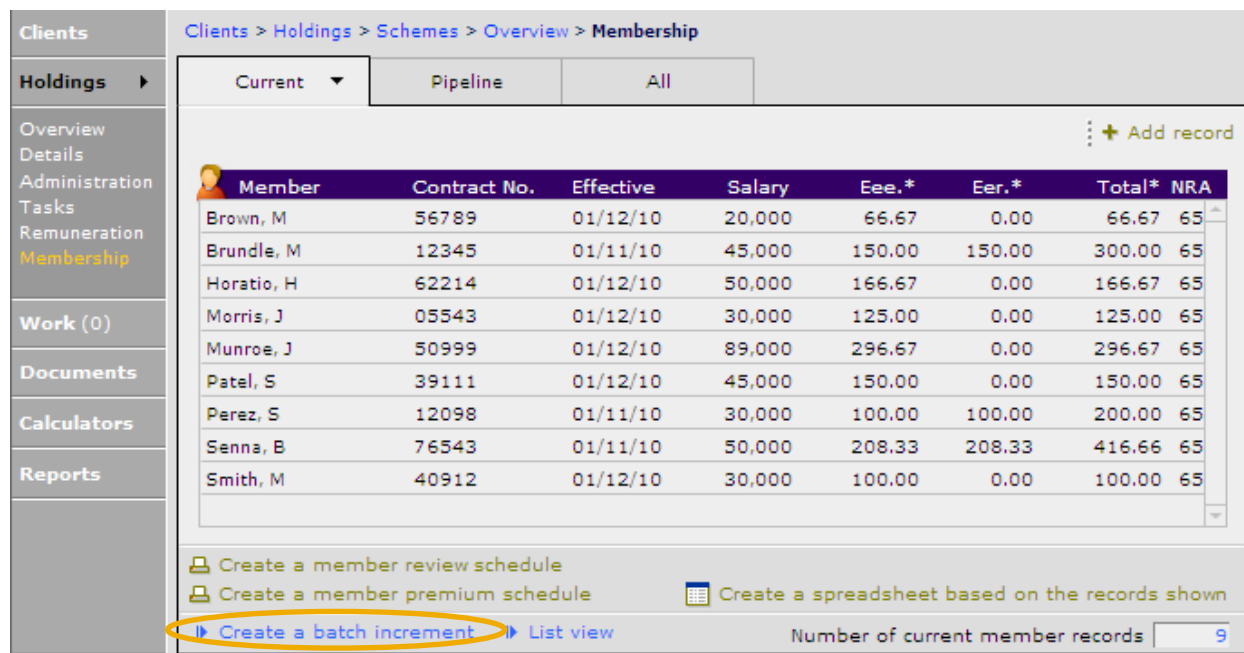
Employees who are members of a scheme may receive an annual increase, or an one off increase in salary. Potentially, some clients may even receive a salary decrease perhaps after going onto part time hours. These increases or decreases need to be recorded on CCD.

There are 2 ways to action this:

- Using the batch increment section within a scheme
- Using the increment spreadsheet

5.1 Batch Increment

Starting off using the batch increment section within a scheme, use this button to complete details of the changes in salary.



Clients > Holdings > Schemes > Overview > Membership

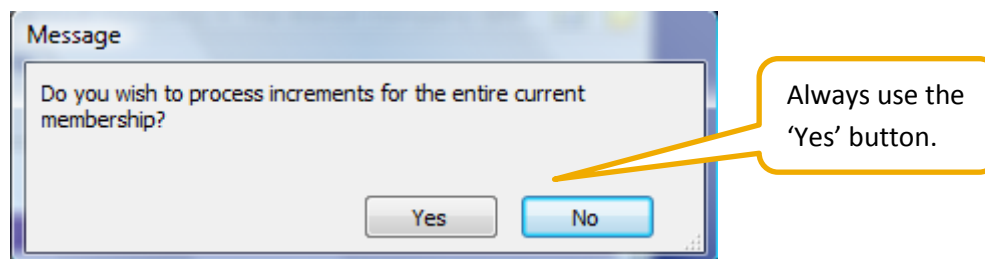
Current Pipeline All

+ Add record

Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M	56789	01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M	12345	01/11/10	45,000	150.00	150.00	300.00	65
Horatio, H	62214	01/12/10	50,000	166.67	0.00	166.67	65
Morris, J	05543	01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J	50999	01/12/10	89,000	296.67	0.00	296.67	65
Patel, S	39111	01/12/10	45,000	150.00	0.00	150.00	65
Perez, S	12098	01/11/10	30,000	100.00	100.00	200.00	65
Senna, B	76543	01/11/10	50,000	208.33	208.33	416.66	65
Smith, M	40912	01/12/10	30,000	100.00	0.00	100.00	65

Create a member review schedule
Create a member premium schedule
Create a batch increment List view
Create a spreadsheet based on the records shown
Number of current member records 9

The following question will appear:



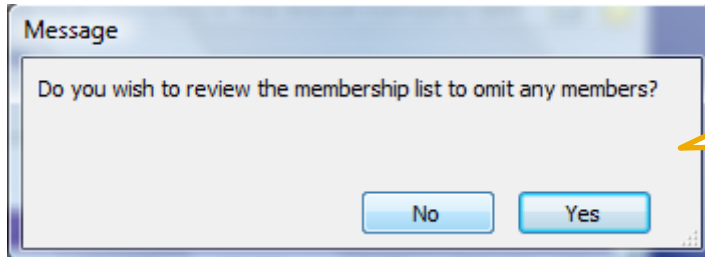
Message

Do you wish to process increments for the entire current membership?

Yes No

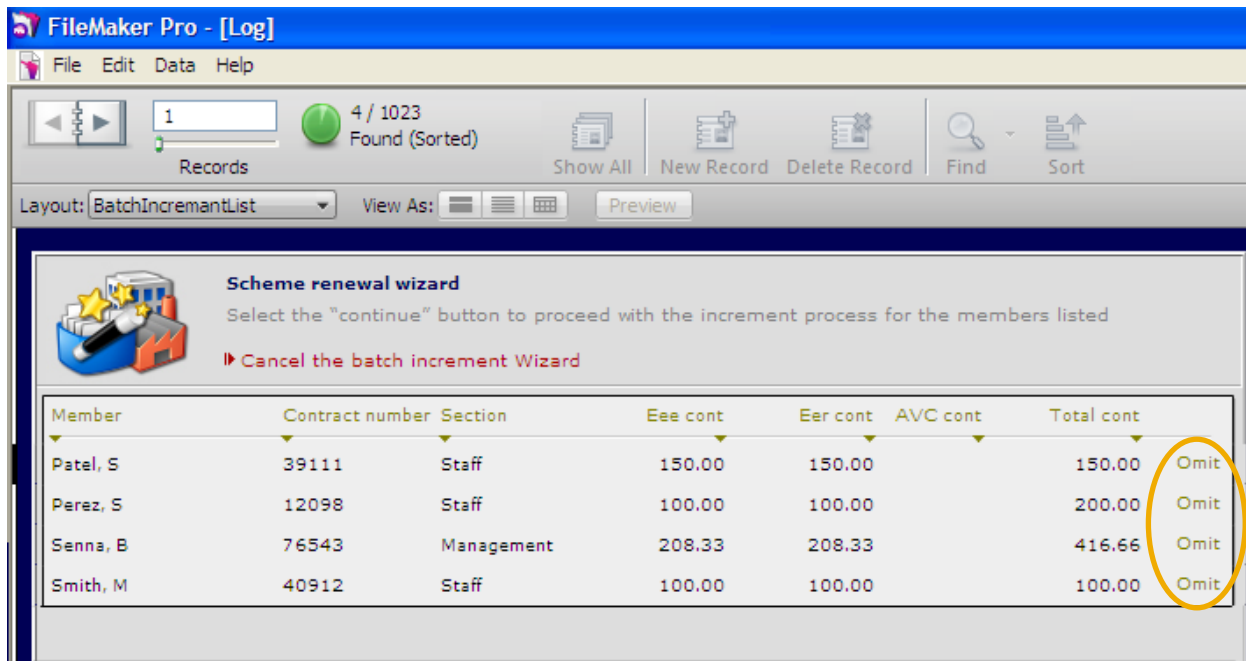
Always use the 'Yes' button.

Now a further question will pop up:

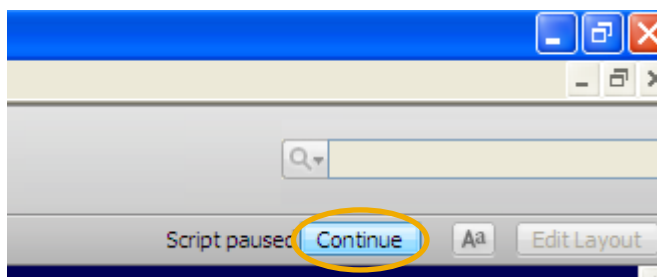


To apply the increase to all members, select **No**, otherwise select **Yes**.

If 'Yes' has been selected, omit the members who have not received a pay change.



Use the 'Continue' button which will appear in the menu which has appeared at the top right hand side of your screen.



If 'No' was the answer to the question 'Do you wish to review the membership list and omit any members?' you will be taken straight to the screen shot on the next page.

Scheme renewal wizard

The Carpet Group > The Carpet Group Final Salary Scheme
Process increments for the scheme's current membership

Any information completed below will be applied to all cases in the batch

Complete the information here

Mark each case as 'New Business' for compliance purposes

Application received ☐ Yes ☐ No

Application dated ☐ Yes ☐ No

Submitted date

Effective date

Apply any currently allocated Policy Numbers to each increment

Automatically apply any increase in Salary towards benefits ☐

* Auto initial remuneration

* Auto renewal remuneration

Renewal remuneration basis

Click the button here to process the increments

[▶ Process increments for the scheme's current membership](#)

* Yes: expectation created No: remuneration basis set

Once the 'Process increments for the scheme's current membership' has been clicked on, complete the following tabs.

Scheme renewal wizard

[▶ Process all increment information and complete wizard](#) [▶ Cancel the batch increment Wizard](#)

Audit trail		Salary increase	Increment	Remuneration				
Status	Member	New bus	App rec.	App signed	Submitted	Effective	Policy number	Policy number
In force	Patel, S	No					39111	Use ▶ 39111
In force	Perez, S	No					12098	Use ▶ 12098
In force	Senna, B	No					76543	Use ▶ 76543
In force	Smith, M	No					40912	Use ▶ 40912

Within the Salary Increase tab, the client's current salary needs to be re-keyed in the Old Salary column and the new salary needs to be keyed in the Current Salary column.

Scheme renewal wizard

[▶ Process all increment information and complete wizard](#)
[▶ Insert system calculated salary increments](#)
[▶ Remove zero entries](#) [▶ Cancel the batch increment Wizard](#)

Audit trail		Salary increase	Increment	Remuneration	
Status	Member	Current salary	New salary	Increase	Salary increment
In force	Patel, S	45,000.00	50,000.00	5,000.00	Use ▶ 5,000.00
In force	Perez, S	30,000.00	33,000.00	3,000.00	Use ▶ 3,000.00
In force	Senna, B	50,000.00	45,000.00	-5,000.00	Use ▶ -5,000.00
In force	Smith, M	30,000.00	34,000.00	4,000.00	Use ▶ 4,000.00

Once all the salary details have been completed, click on the 'Use' buttons.

This calculates the increase and completes the Salary Increment column.

Scheme renewal wizard

▶ Process all increment information and complete wizard
▶ Automatically apply any increases in Sums assured and contributions

▶ Cancel the batch increment Wizard

Audit trail | Salary increase | Increment | Remuneration

Member	Sal. inc.	DIS Increase	Cont. %	Increase	Freq	Sum ass.
Patel, S	5,000.00	0.00	4.00%	16.67	M	0.00
Perez, S	3,000.00	0.00	8.00%	20.00	M	0.00
Senna, B	-5,000.00	0.00	10.00%	-41.67	M	0.00
Smith, M	4,000.00	0.00	4.00%	13.33	M	0.00

Use the **Apply** button for each of the increases.

Scheme renewal wizard

▶ Process all increment information and complete wizard

▶ Cancel the batch increment Wizard

Audit trail | Salary increase | Increment | Remuneration

Member	Auto initial comm.	Initial comm.	Fq. Start	End	Auto ren comm.	Renewal	Fq. Due start	Due end
Patel, S	Yes - Indemnity	81.98	S					
Perez, S	Yes - Indemnity	117.80	S					
Senna, B	Manual							
Smith, M	Yes - Indemnity	78.45	S					

These fields are fully amendable. The remuneration will be calculated if the following fields have been completed:

* Auto initial remuneration

* Auto renewal remuneration

Renewal remuneration basis

Now finish this off, by using the button at the top of the **Remuneration** tab:

▶ Process all increment information and complete wizard

Message

Are you sure you have completed all the information required for this batch increment?

Yes No

Select 'Yes' to apply this information to the records.

Message

Batch increment process complete!

OK

The increases or decreases will now show against each members' record but not on this overview page:

Clients

Holdings

Overview

Details

Administration

Tasks

Remuneration

Membership

Work (0)

Documents

Calculators

Reports

Clients > Holdings > Schemes > Overview > Membership

Current

Pipeline

All

+ Add record

Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M	56789	01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M	12345	01/11/10	45,000	165.00	165.00	330.00	65
Horatio, H		01/12/10	50,000	166.67	0.00	166.67	65
Morris, J		01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J		01/12/10	89,000	296.67	0.00	296.67	65
Patel, S		01/12/10	50,000	150.00	0.00	150.00	65
Perez, S		01/11/10	33,000	100.00	100.00	200.00	65
Senna, B	76543	01/11/10	45,000	208.33	208.33	416.66	65
Smith, M	40912	01/12/10	34,000	100.00	0.00	100.00	65

Click onto the record and then Contributions.

Click onto the record and then **Contributions**.

The record now shows the increment on the individuals record:

Clients	Clients > Holdings > Schemes > Overview > Membership > Contract > Contributions					
Holdings	Overview	Contributions	Assets	Administration	Remuneration	
Overview						
Details						
Administration						
Tasks						
Remuneration						
Membership						
Work (0)						
Documents						
Calculators						
Reports						

Event	Status	Effective date	Contribution Frq.	Employer*	Total cont.	
Increment	In force	01/11/11	30.00 M	15.00	30.00	More
Initial	In force	01/11/10	300.00 M	150.00	300.00	More
Current regular contribution						330.00


Contributions paid net of tax <input type="checkbox"/>	Current annualised contribution	3,960.00
Scheme section 2 <input type="checkbox"/> Staff	Employer contribution included	1,980.00
Conts. ceased <input type="checkbox"/>	Cost of Life cover included	0.00
Policy contracted out <input type="checkbox"/>	Cost of waiver included	0.00
	Total conts. as at 29/10/2012	7,560.00

Create a schedule of contributions from 6th April 2012 to 5th April 2013 Tax year 2012

5.2 Member Salary Update Spreadsheet

The other option to record members' salary increases or decreases into CCD, is to use the member salary update spreadsheet.

Updates > Schemes

Overview ▼	Incomplete	Complete								
<p>I want to ...</p> <ul style="list-style-type: none"> ▶ Import new member spreadsheet * ▶ Import member leavers spreadsheet * ▶ Import member salary update spreadsheet * ▶ Import member updates spreadsheet * <hr/> <ul style="list-style-type: none"> ▶ Import master employee spreadsheet ▶ Import provider member update 										
<table border="1"> <tr> <td>Corporate client</td> <td></td> </tr> <tr> <td>Scheme (only required for scheme import)</td> <td>The Biscuit Company GPP</td> </tr> <tr> <td>Date of change</td> <td>10/03/2009 </td> </tr> <tr> <td>Narrative / reference</td> <td></td> </tr> </table>			Corporate client		Scheme (only required for scheme import)	The Biscuit Company GPP	Date of change	10/03/2009	Narrative / reference	
Corporate client										
Scheme (only required for scheme import)	The Biscuit Company GPP									
Date of change	10/03/2009									
Narrative / reference										
<p> Bulk scheme data wizard</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Download a blank member spreadsheet 										

Complete the relevant spreadsheet and save onto your PC or if a corporate client is completing the spreadsheet, save this onto the PC. To use the spreadsheet to import salary update information:

Updates > Schemes

Overview Incomplete Complete

I want to ...

- ▶ Import new member spreadsheet *
- ▶ Import member leavers spreadsheet *
- ▶ **Import member salary update spreadsheet ***
- ▶ Import member updates spreadsheet *
- ▶ Import member transfer in *

- ▶ Import master employee spreadsheet
- ▶ Import provider member update

Corporate client

Scheme (only required for scheme import)

Date of change

Narrative / reference

Bulk scheme data wizard

☒ Download a blank member spreadsheet

Complete the information and select the appropriate spreadsheet.

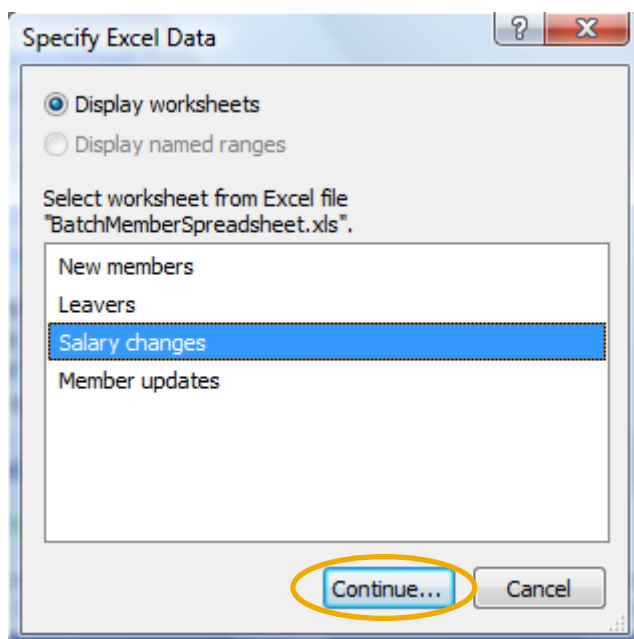
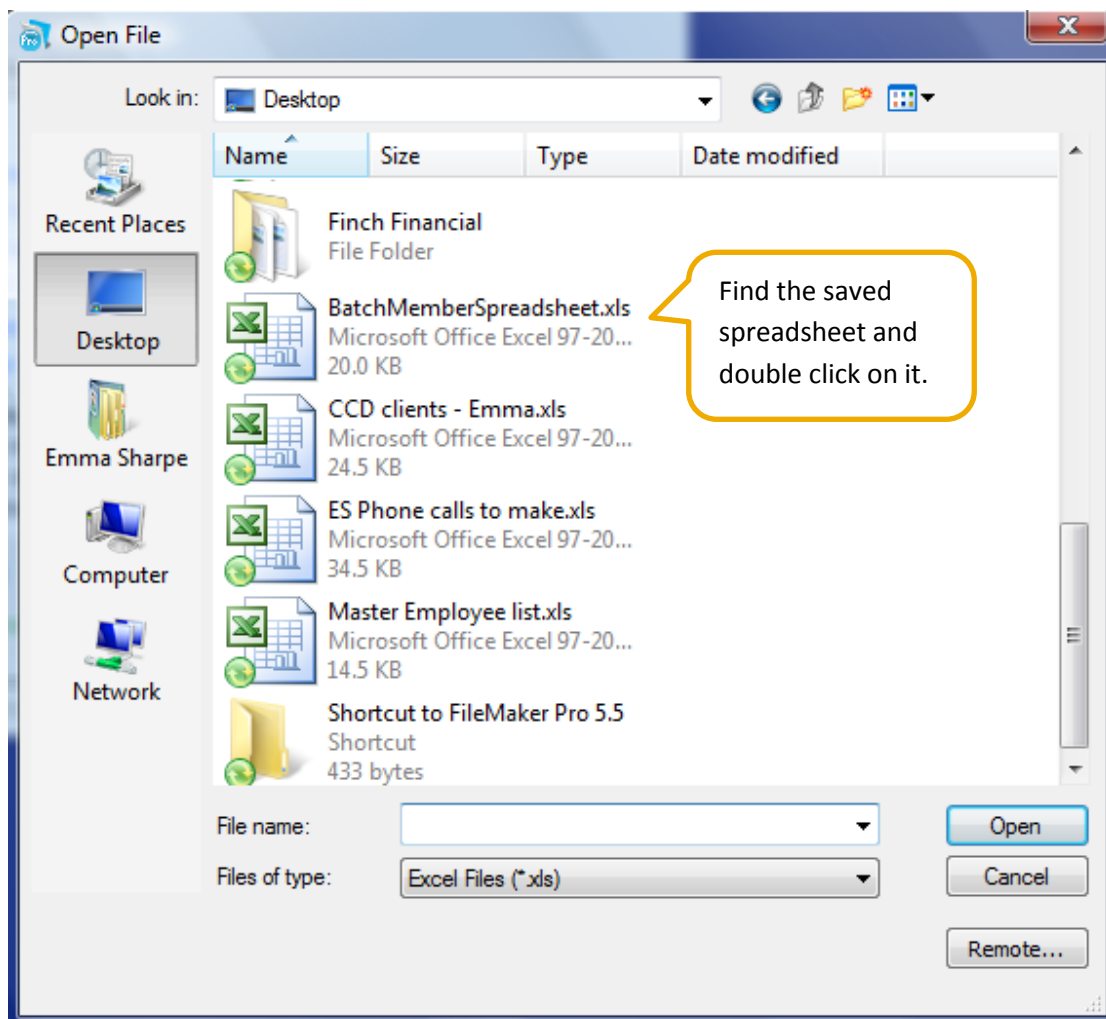
The following message will appear:

Message

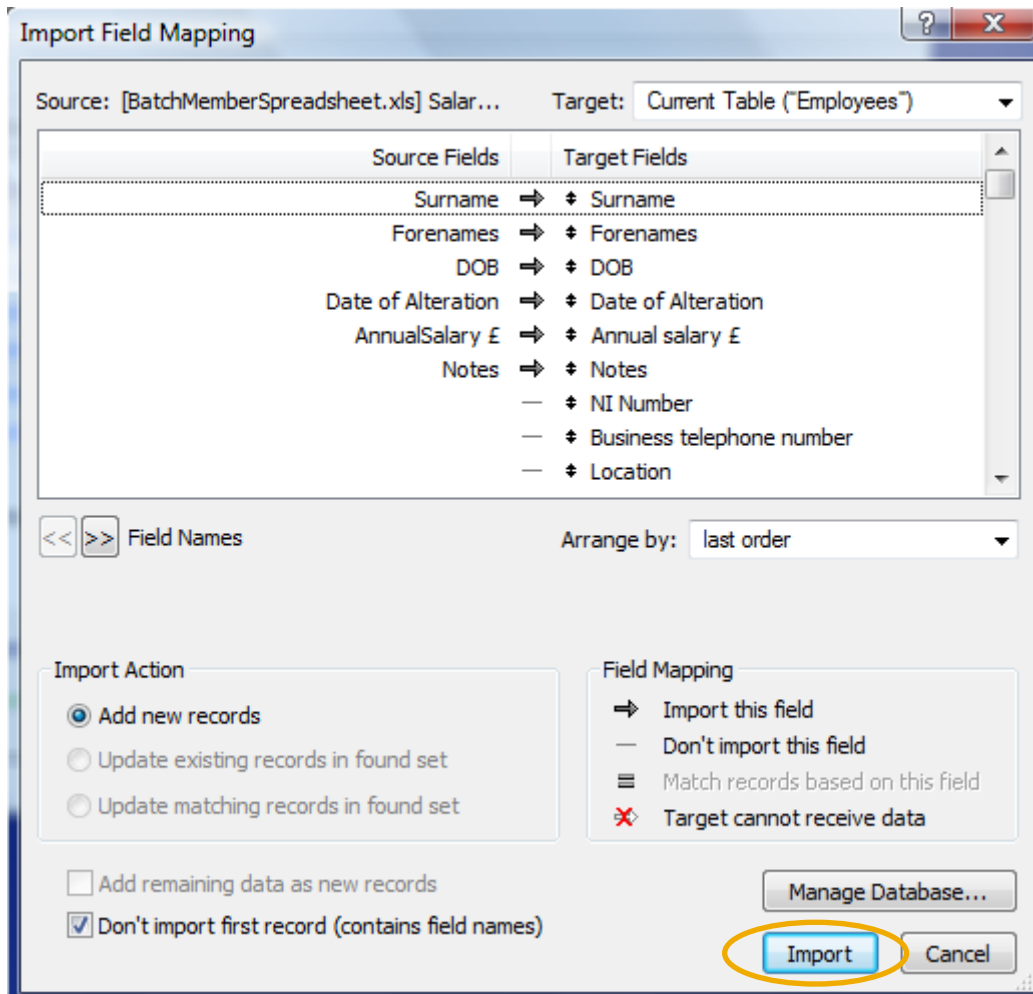
Run the member salary updates import batch wizard?

Yes No

Select 'Yes'.



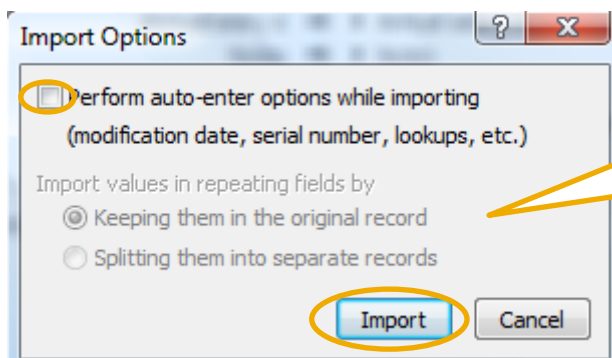
The following mapping screen will appear. As this spreadsheet is from CFSL, there will be nothing to change. If you are using your own spreadsheet, you will need to map these fields.



The 'Import Field Mapping' dialog box shows the mapping of source fields from a spreadsheet to target fields in a database table. The source is '[BatchMemberSpreadsheet.xls] Salar...' and the target is 'Current Table ("Employees")'. The mapping table shows the following fields:

Source Fields	Target Fields
Surname	→ Surname
Forenames	→ Forenames
DOB	→ DOB
Date of Alteration	→ Date of Alteration
AnnualSalary £	→ Annual salary £
Notes	→ Notes
	→ NI Number
	→ Business telephone number
	→ Location

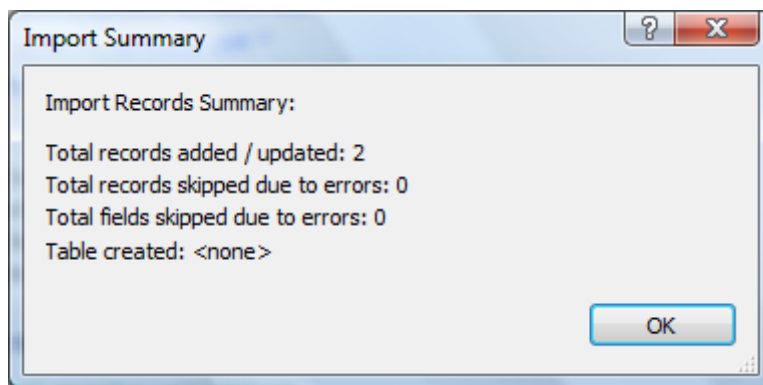
Below the mapping table, there are options for 'Import Action' (Add new records, Update existing records in found set, Update matching records in found set) and 'Field Mapping' (Import this field, Don't import this field, Match records based on this field, Target cannot receive data). There are also checkboxes for 'Add remaining data as new records' and 'Don't import first record (contains field names)'. The 'Import' button is highlighted with a yellow circle.



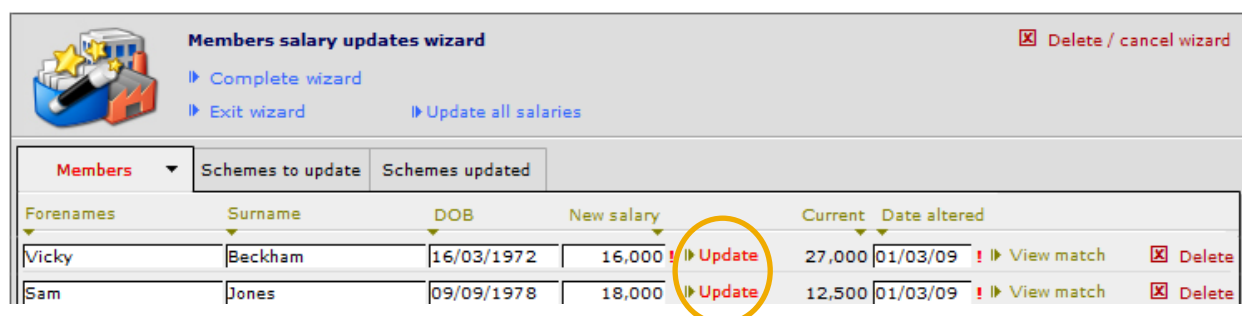
The 'Import Options' dialog box shows options for importing data. The 'Perform auto-enter options while importing (modification date, serial number, lookups, etc.)' checkbox is highlighted with a yellow circle. Below it, there are options for 'Import values in repeating fields by' (Keeping them in the original record, Splitting them into separate records). The 'Import' button is highlighted with a yellow circle.

This box should not be checked, simply click on **Import** to proceed.

The following box will appear, click on the 'OK' button.



Now the following tabs will need to be completed.




If there are only a few records, the **Update** button can be clicked on for each member. If this would be time consuming, use the **>Update all salaries** button.

Once this has been done, move to the next tab to select the scheme(s) that needs to be updated with these salary changes.

Select the scheme to which the changes need to be made.

There are now some tabs to be completed.




Members salary updates wizard

- Create increments
- Exit wizard

Members	Schemes to update	Schemes updated																															
<table border="1"> <thead> <tr> <th>Scheme name</th> <th>Provider</th> <th>Scheme type</th> </tr> </thead> <tbody> <tr> <td>The Carpet Group Final Salary</td> <td>Aviva Life & Pensions UK Ltd</td> <td>Final Salary Scheme</td> </tr> </tbody> </table>			Scheme name	Provider	Scheme type	The Carpet Group Final Salary	Aviva Life & Pensions UK Ltd	Final Salary Scheme																									
Scheme name	Provider	Scheme type																															
The Carpet Group Final Salary	Aviva Life & Pensions UK Ltd	Final Salary Scheme																															
<table border="1"> <thead> <tr> <th>Audit trail</th> <th>Salary increase</th> <th>Increment</th> <th>Remuneration</th> </tr> </thead> <tbody> <tr> <td>Policy holder</td> <td>New bus</td> <td>App rec.</td> <td>App signed</td> <td>Submitted</td> <td>Status</td> <td>Effective</td> <td>Policy number</td> <td>Policy number</td> </tr> <tr> <td>Smith, M</td> <td>No</td> <td></td> <td></td> <td></td> <td>In Force</td> <td></td> <td>4885211</td> <td>Use ▸</td> </tr> <tr> <td>Brown, M</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>7654321</td> <td>Use ▸</td> </tr> </tbody> </table>			Audit trail	Salary increase	Increment	Remuneration	Policy holder	New bus	App rec.	App signed	Submitted	Status	Effective	Policy number	Policy number	Smith, M	No				In Force		4885211	Use ▸	Brown, M							7654321	Use ▸
Audit trail	Salary increase	Increment	Remuneration																														
Policy holder	New bus	App rec.	App signed	Submitted	Status	Effective	Policy number	Policy number																									
Smith, M	No				In Force		4885211	Use ▸																									
Brown, M							7654321	Use ▸																									

As previously mentioned in this manual, if the answer to a field is the same for all of the members, complete the field for the first client and then click on the arrow beneath the heading. The information will then copy down to all of the records.


Members salary updates wizard


[Insert system calculated salary increments](#)
[Exit wizard](#)

Click on the **Use** button to complete the 'Salary Increment' column or **Insert system calculated salary increments**.

Members	Schemes to update	Schemes updated
Scheme name	Provider	Scheme type
The Carpet Group Final Salary	Aviva Life & Pensions UK Ltd	Final Salary Scheme
Audit trail	Salary increase	Increment Remuneration
Policy holder	Old salary	Current salary Increase Salary increment
Smith, M	30,000.00	60,000.00 30,000.00 Use 30,000.00
Brown, M	20,000.00	50,000.00 30,000.00 Use

Members salary updates wizard



[Automatically apply any increases in Sums assured and contributions](#)
[Exit wizard](#)

Use the **Apply** button to use the calculated figures or **Automatically apply any increases in Sums assured and contributions**.

Members	Schemes to update	Schemes updated
Scheme name	Provider	Scheme type
The Carpet Group Final Salary	Aviva Life & Pensions UK Ltd	Final Salary Scheme
Audit trail	Salary increase	Increment Remuneration
Policy holder	Sal. inc.	Dis. Increase Cont. % Increase Freq Sum ass. Employer Employee Total AVC
Smith, M	30,000.00	3 90,000.00 10.00% 250.00 M View / Apply 90,000.00 125.00 125.00 250.00
Brown, M	30,000.00	3 90,000.00 10.00% 250.00 M View / Apply

On the final Remuneration tab, confirm what type of remuneration is to be paid on these increments or decrements.

Members salary updates wizard


[Exit wizard](#)

Members	Schemes to update	Schemes updated
Scheme name	Provider	Scheme type
The Carpet Group Final Salary	Aviva Life & Pensions UK Ltd	Final Salary Scheme
Audit trail	Salary increase	Increment Remuneration
Policy holder	Auto initial comm.	Auto ren comm.
Smith, M	Yes - Indemnity	No
Brown, M		

When finished return to the Audit tab:

Members salary updates wizard

[Create increments](#)
[Exit wizard](#)

Members | Schemes to update | Schemes updated

Scheme name: The Carpet Group Final Salary | Provider: Aviva Life & Pensions UK Ltd | Scheme type: Final Salary Scheme

Audit trail | Salary increase | Increment | Remuneration

Policy holder	New bus	App rec.	App signed	Submitted	Status	Effective	Policy number		Policy number
Smith, M	No				In Force	30/11/12	4885211	Use	4885211
Brown, M	No				In Force	30/11/12	7654321	Use	7654321

To complete this, use the **Create increments** button.

Message

Create increment / remuneration records for this batch update?

Yes No

Answer 'Yes' to this question.

Message

Mark scheme review as completed?

Yes No

Answer 'Yes' to this question.

The following page will then appear. Click on **Complete wizard** and 'Yes' to the pop up question.

Members salary updates wizard

[Complete wizard](#)
[Exit wizard](#) | [Update all salaries](#)

Members | Schemes to update | Schemes updated

Message

Complete salary update wizard?

Yes No

Forenames	Surname	DOB	New salary		Current	Date altered	
Mark	Smith	14/12/1973	60,000	Update	60,000	10/06/12	View match Delete
Melissa	Brown	30/01/1976	50,000	Update	50,000	01/09/12	View match Delete

Delete / cancel wizard

Once finished, you will be taken back to **Updates > Schemes**. To view this information, navigate back onto members individual record:

Clients > Holdings > Schemes > Overview > Membership > Contract > Contributions

Overview Contributions Assets Administration Remuneration

Add note | + Add contribution

Event	Status	Effective date	Contribution Freq.	Employer*	Total cont.	
Increment	In force	01/11/11	30.00 M	15.00	30.00	More
Initial	In force	01/11/10	300.00 M	150.00	300.00	More
					Current regular contribution	330.00

The increment or decrement will now show.

Contributions paid net of tax ☐ Current annualised contribution 3,960.00

Scheme section 2 Staff Employer contribution included 1,980.00

Conts. ceased Cost of Life cover included 0.00

Policy contracted out Cost of waiver included 0.00

Total conts. as at 29/10/2012 7,560.00

Create a schedule of contributions from 6th April 2012 to 5th April 2013 Tax year 2012

6 Leavers

When an employee leaves a company, this information will need to be recorded on CCD. We will be assuming that the ex-members record will be kept on the scheme record for future referral.

There are two ways in which this can be done;

- Dealing with each member as they leave manually
- Using the Member leavers spreadsheet

6.1 Dealing with a Leaver Manually

When a member leaves an employer and stops contributing to their GPP, there are 2 pieces of work that need to be done:

- Cancel the plan
- Remove the employer from the clients' record.

Starting at the membership page of the scheme:

Clients > Holdings > Schemes > Overview > Membership

Current Pipeline All

+ Add record

Member	Contract No.	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M	56789	01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M	12345	01/11/10	45,000	165.00	165.00	330.00	65
Horatio, H	62214	01/12/10	50,000	166.67	0.00	166.67	65
Morris, J	05543	01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J	50999	01/12/10	89,000	296.67	0.00	296.67	65
Patel, S	39111	01/12/10	50,000	150.00	0.00	150.00	65
Perez, S	12098	01/11/10	33,000	100.00	100.00	200.00	65
Senna, B	76543	01/11/10	45,000	208.33	208.33	416.66	65
With, M	40912	01/12/10	34,000	100.00	0.00	100.00	65

Switch to individual holding record

Create a member review schedule
Create a member premium schedule
Create a spreadsheet based on the records shown
Create a batch increment
List view
Number of current member records: 9

Select the member who is leaving and use

Now in the client's holding record, use the highlighted button:

Clients > Holdings > Overview

Contract details Scanned docs.

Add note

Application status: In force Marked for upload ☐

Contract holder: Senna, B

Life / lives assured: Senna, B

Lives: [Change](#)

Provider: Aegon Scottish Equitable

Contract type: Group Personal Pension

Contract number: 76543

Effective date: 01/11/2010 End date: 22/12/2039

Regular Contributions: £416.66 M Singles: £

Total investment: £9,999.84 Current value: £

Adviser: Dance, Jonathan [More](#)

Advice Type: [More](#)

Introducer: [More](#)

[Make this contract paid up / cancelled](#)

Print a file fact sheet for this holding

Created: 29/10/2012 By: ams [Switch to scheme member record](#)

Complete the following fields:

Status

Paid up status

date

[Continue](#)

Choose the status from the drop down list and insert the cancellation date. Click **Continue**.

The individual record will now be cancelled and the **Overview** page will be displayed. Move back to the scheme record:

Contributions ceased on 29/10/2012 Bruno Senna > Aegon Scottish Equitable > Group Personal Pension > 76543

Clients Clients > Holdings > Overview

Holdings Contract details Scanned docs.

Overview Add note

Application status Paid up Marked for upload ☐

Contract holder Senna, B

Life / lives assured Senna, B

Lives [Change](#)

Provider Aegon Scottish Equitable

Contract type Group Personal Pension

Contract number 76543

Effective date 01/11/2010 End date

Regular Contributions £0.00 M Singles £

Total investment £-996,539.01 Current value £

Adviser Dance, Jonathan [More](#)

Advice Type [More](#)

Introducer [More](#)

[Make this contract paid up / cancelled](#)

[Print a file fact sheet for this holding](#) [Archive this contract](#)

[Quit](#) Created: 29/10/2012 By: ams [Switch to scheme member record](#)

Once back onto scheme record the member record may still appear in the current membership list. If this happens, simply click onto the record and re-insert the cancelled status from the drop down list. Move back to the membership list and the member should now have moved from the Current list into the 'All' tab.

Clients > Holdings > Schemes > Overview > Membership > All

Current Pipeline **All**

List members by status

Member	Status	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M	In force	01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M	In force	01/11/10	45,000	165.00	165.00	330.00	65
Horatio, H	In force	01/12/10	50,000	166.67	0.00	166.67	65
Morris, J	In force	01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J	In force	01/12/10	89,000	296.67	0.00	296.67	65
Patel, S	In force	01/12/10	50,000	150.00	0.00	150.00	65
Perez, S	In force	01/11/10	33,000	100.00	100.00	200.00	65
Plato, J	Proposed		50,000				65
Senna, B	Paid up	01/11/10	45,000	0.00	0.00	0.00	65
Smith, M	In force	01/12/10	34,000	100.00	0.00	100.00	65

Create a member review schedule Create a spreadsheet based on the records shown
Create a member premium schedule Number of member records 10

Now that this has been done, the employer needs to be removed from the client record. This is done within the individual client record. Navigate back to the ex-members individual record and go to **Personal > Employment**:

Clients > Personal > Employment

Personal **Employment** Prof. contacts Notes

Employer* Street Ltd
Occupation Project Manager
Employment status Employed

Employer ID
Position / title
Work email address
Location
Division / cost centre
SLT band ?
Employment start
Employment end Update scheme memberships

Salary relating to this employment 45,000 View salary history
Full-time equivalent %
Full-time equivalent salary 45,000
Salary sacrifice amount
Salary net of salary sacrifice 45,000

To remove the employer, click into the **Employer** field and use the backspace key on your keyboard.

Employer*
Occupation Project Manager

6.2 Processing leavers using the spreadsheet

If a number of members are leaving the scheme all at once, it may be quicker to use the spreadsheet to process this, rather than on an individual basis.

The spreadsheet needs to be saved onto your PC with all the relevant information on the leaver's sheet completed. Once this has been done, complete the following information and choose the appropriate spreadsheet.

CAPITA
FINANCIAL SOFTWARE

Data updates

Updates ▾ Updates > Schemes

Valuations
Case status
Remunerations
Schemes
Received
Website
Software

Overview ▾ Incomplete Complete

I want to ...

- ▶ Import new member spreadsheet *
- ▶ Import member leavers spreadsheet *
- ▶ Import member salary update spreadsheet *
- ▶ Import member updates spreadsheet *
- ▶ Import member transfer in *
- ▶ Import master employee spreadsheet
- ▶ Import provider member update

Corporate client Street Ltd

Scheme (only required for scheme import) Street Ltd GPP

Date of change 29/10/2012

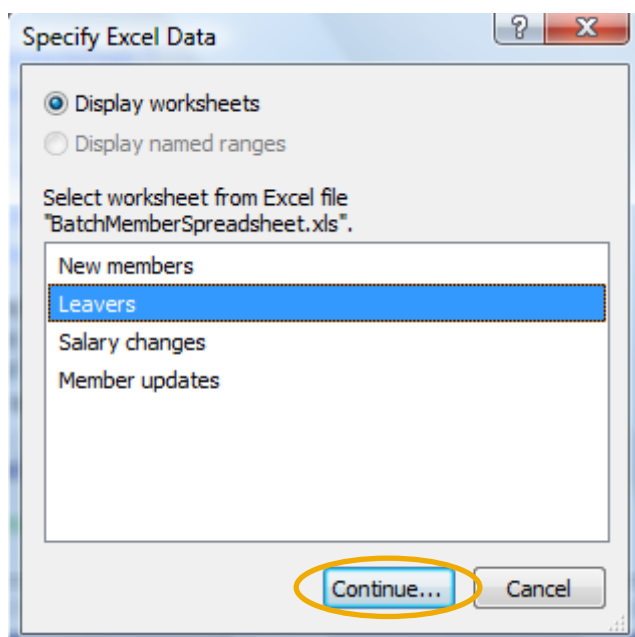
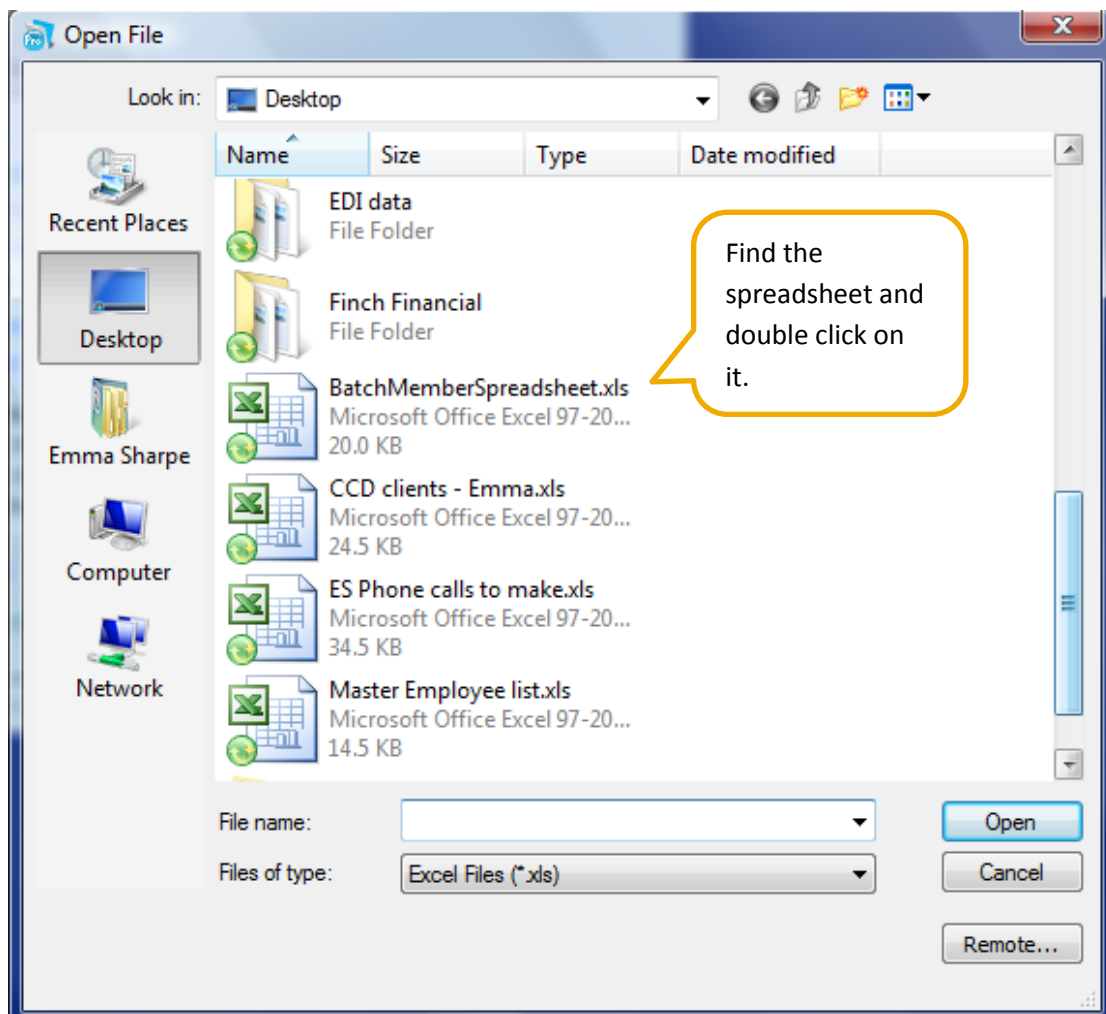
Narrative / reference

Bulk scheme data wizard

Download a blank member spreadsheet

Quit

* Designed to work with the downloadable blank member spreadsheet



Import Field Mapping

Source: [BatchMemberSpreadsheet.xls] Leavers Target: Current Table ("Employees")

Source Fields	Target Fields
Surname	⇒ Surname
Forenames	⇒ Forenames
DOB	⇒ DOB
Date Left Leaving Company	⇒ Date Left Leaving Company
Date Last Premium	⇒ Date Last Premium
	— Sex
	— NI Number
	— Business telephone number
	— Location

<< >> Field Names Arrange by: last order

Import Action

☒ Add new records
☐ Update existing records in found set
☐ Update matching records in found set

☐ Add remaining data as new records

☒ Don't import first record (contains field names)

Field Mapping

⇒ Import this field
 — Don't import this field
 ≡ Match records based on this field
 ✗ Target cannot receive data

Manage Database... **Import** Cancel

Import Options

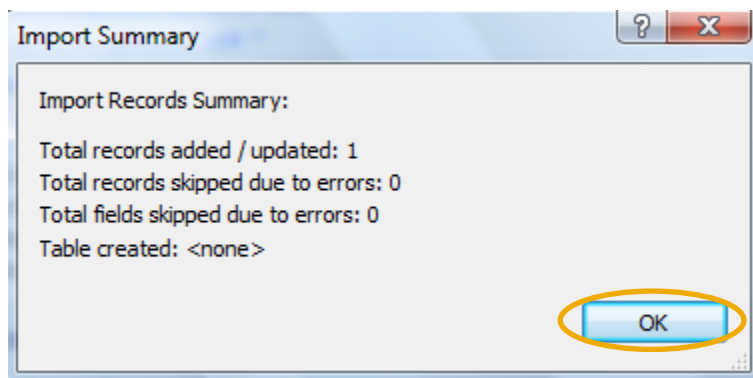
☐ Perform auto-enter options while importing
(modification date, serial number, lookups, etc.)

Import values in repeating fields by

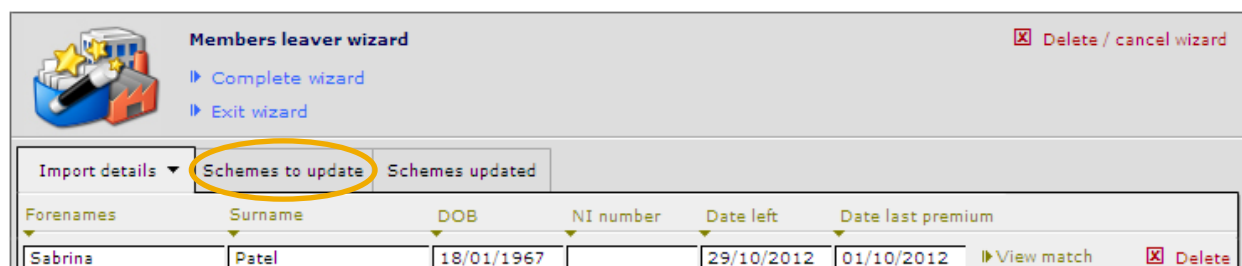
☒ Keeping them in the original record
☐ Splitting them into separate records

Import **Cancel**

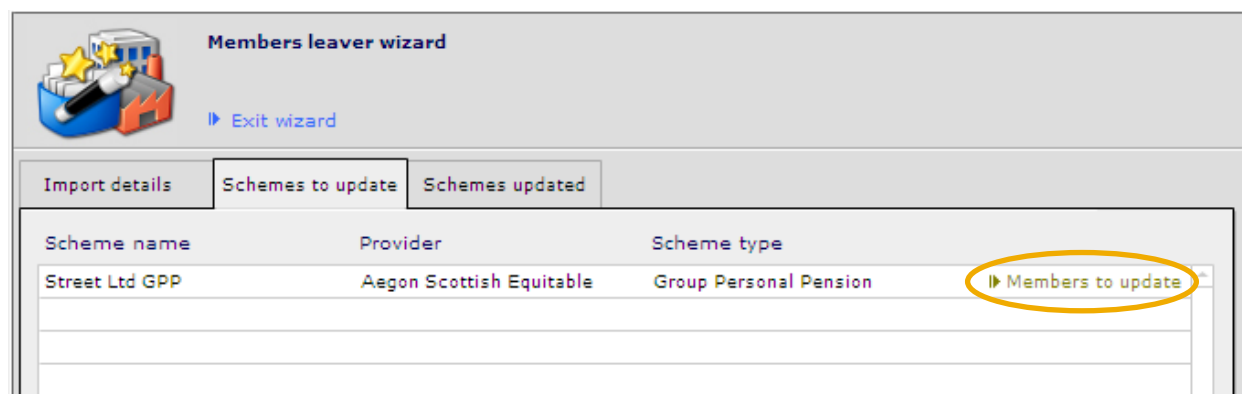
This box should not be checked, simply click on **Import** to proceed.



The details of the leaver will now appear.



Now select the scheme which needs to be amended.



Now a list of the employees whose details were on the spreadsheet will appear in the list.

Members leaver wizard

Exit wizard

Import details	Schemes to update	Schemes updated		
Scheme name	Provider	Scheme type		
Street Ltd GPP	Aegon Scottish Equitable	Group Personal Pension		
Policy holder	Provider	Contract no.	Effective	Status
Patel, S	Aegon Scottish	39111		In force
				Expand

To see the details of the individual, use **Expand**. To make all of the plans in this list Paid up, use this button.

If using the 'Expand' button next to a member's record, this will appear:

Return Sabrina Patel DOB: 18/01/1967 Date left: 29/10/2012 Date last premium: 01/10/2012

Application status	In force
Contract holder	Patel, S
Contract and Provider	
Scheme	Street Ltd GPP
Provider	Aegon Scottish Equitable
Personal occupational	Corporate
Product basis	Retirement
Product category	Group Personal Pension
Product type	Unit linked
Product display name for reports	Group Personal Pension
Contract commencement and review	
Contract number	39111
Application dated	
Application received	
Effective date	01/12/2010
Date left	
Date premiums ceased (Paid up) or cancelled	
Make paid up / cancelled	

Switch to the member holding record

Let CCD work through the process and it will then finish and leave you on the member record.

Clients > Holdings > Schemes > Overview > Membership > All

Current Pipeline **All**

List members by status

Member	Status	Effective	Salary	Eee.*	Eer.*	Total*	NRA
Brown, M	In force	01/12/10	20,000	66.67	0.00	66.67	65
Brundle, M	In force	01/11/10	45,000	165.00	165.00	330.00	65
Horatio, H	In force	01/12/10	50,000	166.67	0.00	166.67	65
Morris, J	In force	01/12/10	30,000	125.00	0.00	125.00	65
Munroe, J	In force	01/12/10	89,000	296.67	0.00	296.67	65
Patel, S	Paid up	01/12/10	50,000	0.00	0.00	0.00	65
Perez, S	In force	01/11/10	33,000	100.00	100.00	200.00	65
Plato, J	Proposed		50,000				65
Senna, B	Paid up	01/11/10	45,000	0.00	0.00	0.00	65
Smith, M	In force	01/12/10	34,000	100.00	0.00	100.00	65

Create a member review schedule Create a spreadsheet based on the records shown
Create a member premium schedule Number of member records 10

This has cancelled the holding. However, the employer will still need to be removed from the record. This would be done on the client's individual record within **Personal > Employment**.

Clients > Personal > Employment

Personal Dependants **Employment** Prof. contacts Notes

Employer* PA to the Managing Director
Occupation
Employment status
Employer ID
Position / title
Work email address
Location Swindon
Division / cost centre
SLT band
Employment start 14/12/2000
Employment end 29/10/2012 Update scheme memberships
Salary relating to this employment 50,000 View salary history
Full-time equivalent %
Full-time equivalent salary 50,000
Salary sacrifice amount
Salary net of salary sacrifice 50,000

Simply, click into the Employer box and click the backspace key on your keyboard. The employers name will no longer be there.

6.3 Leavers Taking Their GPP with Them

If an employee is leaving a company's employment and has decided to take their portion of the GPP with them, this can be done. The pension can easily be removed from the scheme, but this will remove all trace of that client from the scheme record.

To remove the holding from a scheme, simply enter onto the holding record for the individual and remove the information in the Scheme field.

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Holdings records

James Hilliard > Scottish Life > Group Personal Pension > 123456

Clients > Holdings > Product

Holdings ▾

Overview
Product
Contributions
Details
Administration
Tasks
Commissioning
Submission

Work ()

Documents

Calculators

Reports

Quit

Simply click into the field and use the backspace button on your keyboard.

Application status: In force

Contract holder: Hilliard, J

Contract reason / objective: [Empty]

Scheme: The Biscuit Company GPP

Product Provider: Scottish Life

Personal / Occupational: Corporate

Product basis: Retirement

Product category: Group Personal Pension

Product type: Unit linked

Product display name for reports*: Group Personal Pension

Is this plan a trustee investment? [Empty]

Contract number: 123456

Application dated: 02/03/2009

Application received: [Empty]

Effective date: 10/03/2009

Next contract review date: [Empty] Reason: [Empty]

* The Product display name appears on client and management reports and can be overwritten.

There may also be some changes that need to be made on this record, such as changing the details of the plan.

The next thing to do is to remove the employer from the ex- employee's record. To do this enter the employee's record within **Personal > Employment**:

Employer*: The Carpet Group

Occupation: Management Consultant

Employment status: Employed

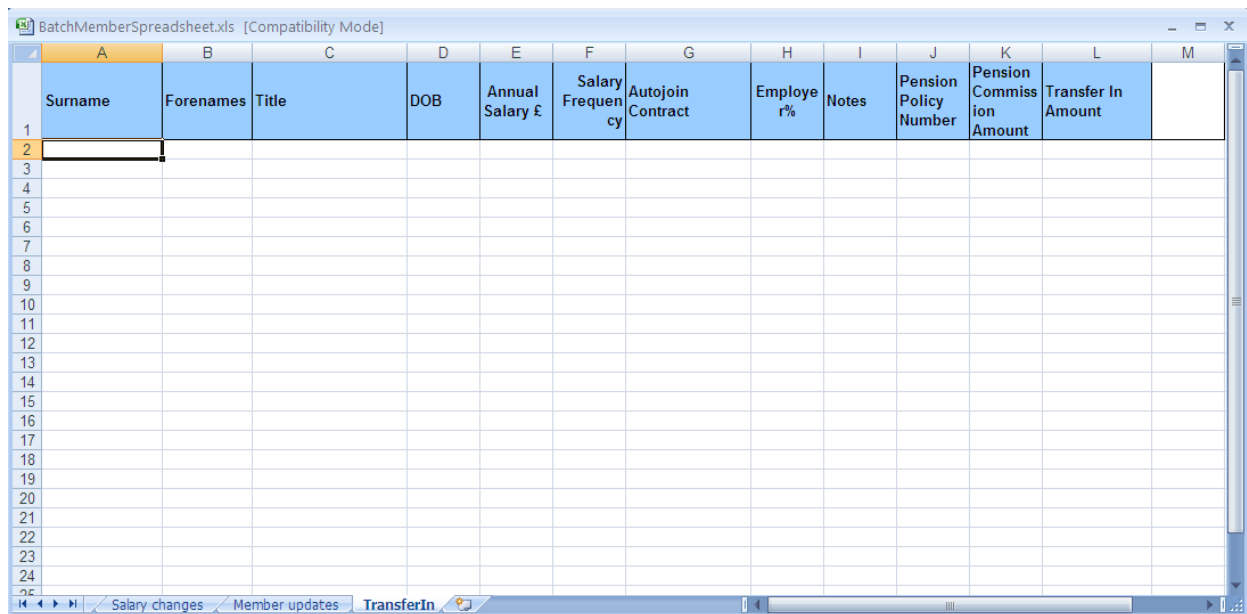
And remove the company from the 'Employer' field.

The other option, if you wish to maintain confirmation that this pension was originally part of a scheme, is to do the following;

- Set the status of the scheme to 'Transferred'.
- Remove the 'employer' from the ex-employees record
- Add a new holding (Info only) to the ex-employees record with details of their GPP.

7 Transfers In

There will be occasions where a company moves their schemes from one provider to another, or perhaps stops their Final Salary schemes and starts a Group Personal Pension. There is a spreadsheet which can be used to show the transfers between Providers or types of scheme. This is a Transfer in spreadsheet, which can be found in Admin > Schemes.



	A	B	C	D	E	F	G	H	I	J	K	L	M
	Surname	Forenames	Title	DOB	Annual Salary £	Salary Frequency	Autojoin Contract	Employe r%	Notes	Pension Policy Number	Pension Commission Amount	Transfer In Amount	
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													
11													
12													
13													
14													
15													
16													
17													
18													
19													
20													
21													
22													
23													
24													

If a new scheme has been set up and the member spreadsheet used to record all the members, once done this spreadsheet can then be completed and imported to update all the member records with the recorded information.

7.1 Using the Transfer In Spreadsheet

Once the new scheme is set up and the member's records have been created, the transfer in spreadsheet can be completed and imported as follows:

Updates > Schemes

Overview ▼ Incomplete Complete

I want to ...

- ▶ Import new member spreadsheet *
- ▶ Import member leavers spreadsheet *
- ▶ Import member salary update spreadsheet
- ▶ Import member updates spreadsheet *
- ▶ Import member transfer in *

- ▶ Import master employee spreadsheet
- ▶ Import provider member update

Corporate client The Biscuit Company

Scheme (only required for scheme import) Biscuit Company GPP

Date of change 01/01/2010

Narrative / reference Transfer In

Bulk scheme data wizard

Download a blank member spreadsheet

* Designed to work with the downloadable blank member spreadsheet

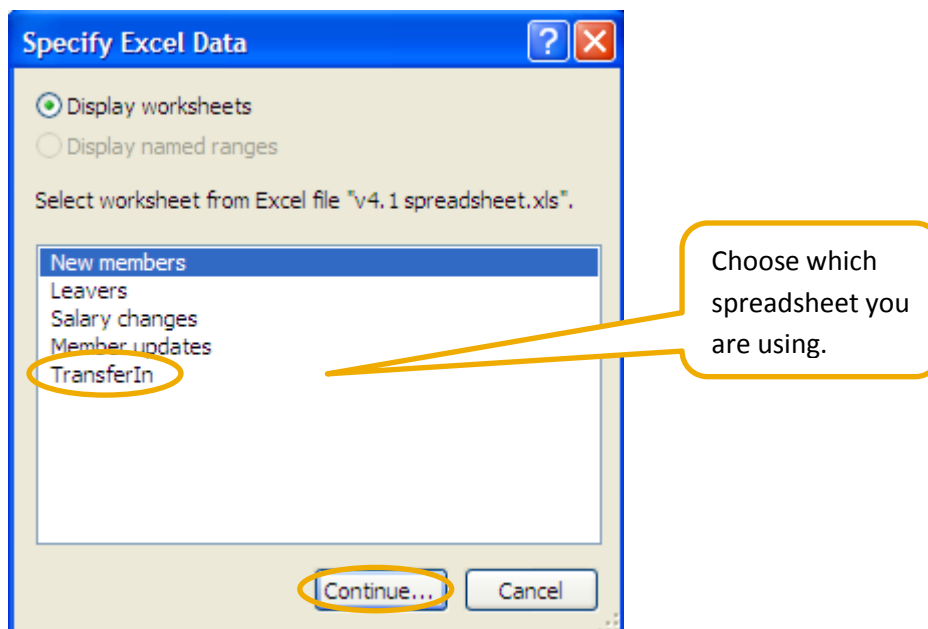
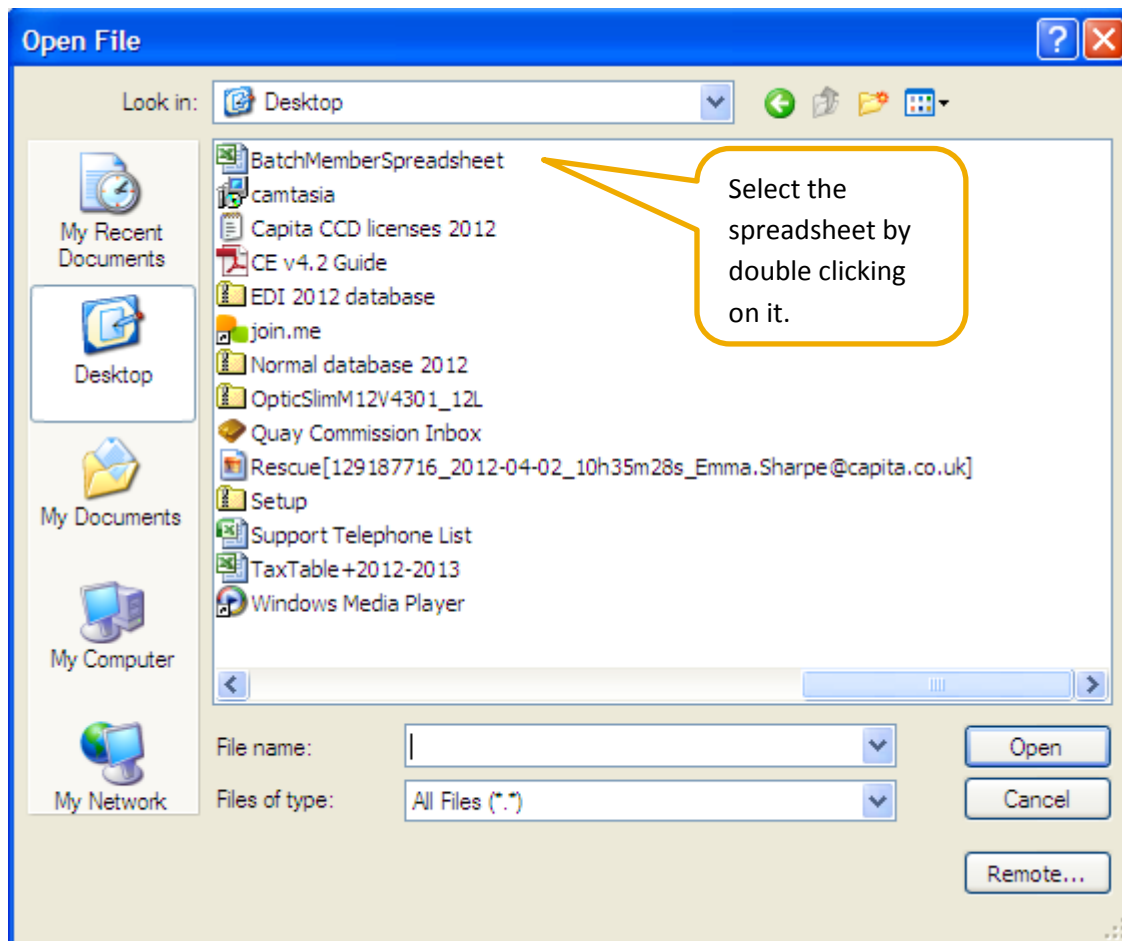
Complete the information as required. Then click on **Import member transfer In**.

Message

Run the 'transfer in' import batch wizard?

Yes No

Select 'Yes'



Import Field Mapping

Source: [v4.1 spreadsheet.xls] TransferIn Target: Current Table ("Employees")

Source Fields	Target Fields
DOB	DOB
Annual	Annual salary £
Salary Frequency	Salary Frequency
Autojoin	Autojoin contract
Employer%	SchemecontEer
Notes	Notes
Pension Policy Number	PolicyNumber_Pension
Pension Commission Amount	CommAmount_Pension
Transfer In Amount	TransferPremium

<< >> Record 1 of 3 Arrange by: last order

Import Action

☒ Add new records

☐ Update existing records

☐ Update existing records

☐ Add remaining data as new records

☐ Don't import first record (contains field names)

Field Mapping

☒ Import this field

☐ Don't import this field

☐ Search records based on this field

☐ Target cannot receive data

Manage Database...

Import Cancel

Ensure that this is checked, otherwise a record will be created containing the column headings.

Import Options

☐ Perform auto-enter options while importing (modification date, serial number, lookups, etc.)

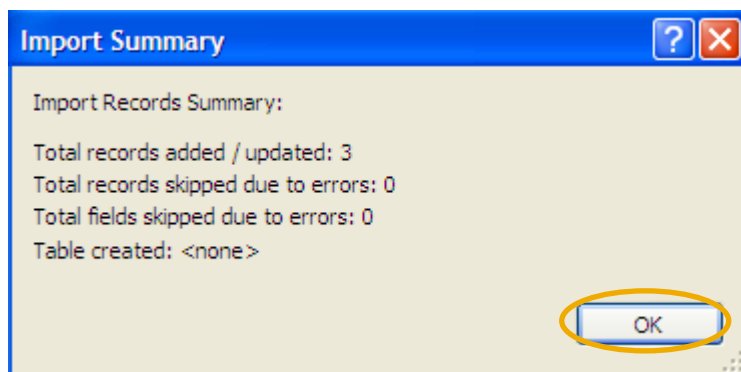
Import values in repeating fields by

☒ Keeping them in the original record

☐ Splitting them into separate records

Import Cancel

This box should not be checked, simply click on **Import** to proceed.



The following screen will then be displayed. Work along each of the records and complete the columns in red.

Transfer In wizard

Exit wizard and return to scheme

Transfer	Matches	Admin/Compliance	Compliance cont
Existing Forename	Surname	Date of Birth	Scheme
View	Clive	Peters	09/02/50
View	Samantha	Carter	13/11/54
View	Walter	Thompson	09/12/50

Transfer In wizard

Complete wizard
Exit wizard

Transfer	Matches	Admin/Compliance	Compliance cont
Forenames	Surname	DOB	Match
Clive	Peters	09/02/1950	Match
Samantha	Carter	13/11/2954	Match
Walter	Thompson	09/12/1950	Match

The clients need to be tied to their record on the scheme. To do this click on the 'Matches' tab', and use the 'Match' button.

Once 'Match' is clicked, the matching record will need to be selected:

Return

Transfer In Policy Match

Policy holder	Provider	Contract no.	Effective	Status
Peters, C	Conventional with	8765456	01/09/06	In force

Select the matching client. You will then be taken back to the previous page.

When all the matches are complete, move to the next tab **Admin/Compliance**. There are now a number of fields which will need to be completed for the 'Administration' and 'Submission' checklists for this member's holding record.

When adding data into these fields, add the information to the first record. If it is the same for all records, click onto the arrow beneath the heading. A message will appear:

Select 'Yes'

The information from the first field will be recorded in the fields underneath. Once all fields have been completed, click back to the **Matches** tab and use the 'Complete wizard' button.

Select 'Yes'

Once selected, you will be taken back to this page on CCD.

Updates > Schemes

Overview ▼ Incomplete Complete

I want to ...

- ▶ Import new member spreadsheet *
- ▶ Import member leavers spreadsheet *
- ▶ Import member salary update spreadsheet *
- ▶ Import member updates spreadsheet *
- ▶ Import member transfer in *

- ▶ Import master employee spreadsheet
- ▶ Import provider member update

Corporate client

Scheme (only required for scheme import)

Date of change

Narrative / reference

Bulk scheme data wizard

☒ Download a blank member spreadsheet

* Designed to work with the downloadable blank member spreadsheet

The member's records will now be updated.

Samantha Carter > Standard Life > Group Personal Pension >

Clients > Holdings > Contributions

Add note | + Add contribution

Event	Status	Effective date	Contrib. Freq.	WOP*	Total cont.
Transfer	In force	21/04/2010	20,059.00 S		20,059.00 ▶ More
Initial	In force	01/09/2006	241.67 M		241.67 ▶ More
Current regular contribution					241.67

Contributions paid net of tax ☐

Level or indexed

Next review date

Policy contracted out

Current annualised contribution	2,900.04
Employer contribution included	2,900.04
Cost of life cover included	0.00
Cost of waiver included	0.00
Total contributions as at 21/04/2010	30,692.48

Create a schedule of contributions from 6th April 2010 to 5th April 2011 Tax year

8 Reports

There are a number of different MI reports that can be used for Group Schemes. They are found in **Admin > Reports**.

The reports that you will find here are as follows:

Administration > Reports > New Business > Written > Schedules	A number of new reports have been added to 'Written New Business', these are: <ul style="list-style-type: none"> • Business written by Scheme only • Business written by Scheme and Premium Type • Business written by detail by Scheme
Administration > Reports>New Business > Written > Analysis	A number of new reports have been added to 'Written New Business', these are: <ul style="list-style-type: none"> • Business written by Scheme • Business written by Scheme and Premium Type
Administration > Reports > Remunerations > Company	A number of new reports have been added to 'Remunerations', these are: <ul style="list-style-type: none"> • Due not paid schedule for (provider) by Scheme • Schedule of amounts paid from (provider) by Scheme • Schedule of Clawbacks recorded within date range subdivided by Scheme • Analysis of amounts received by Scheme
Administration > Reports > Remunerations > Adviser > Paid	A new report have been added to 'Remuneration paid': <ul style="list-style-type: none"> • Analysis of amounts paid by Adviser for Scheme

9 Updating checklists

There is now functionality to allow clients to find all the incomplete records for a scheme and then update them in bulk.

To do this navigate to **Admin > New Business** or **Compliance**.

9.1 New Business checklists

Within New Business, select **Product** and then **Schemes**. Search for the scheme name and any Administration checklists which have not been completed will appear.

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Administration

Admin. ▾
 Diary today
 Diary all
 Enquiries
 New business
 Compliance
 Reviews
 Time recorded
 Remuneration
 Reports
 Marketing
 Quit

Administration > New business > By Product type

All
Provider
Product
Adviser
Location
Status

Products
Schemes

Select Scheme

Contract holder	Provider	Contract type	Status	Tasks
galker, w	Aegon Asset	Group Personal Pension	In Force	▶
halker, w	Aegon Asset	Group Personal Pension	In Force	▶
Jones, S	Access Broker Services	Group Personal Pension	In Force	■ ▶
malker, w	Aegon Asset	Group Personal Pension	In Force	▶
Moffet, J	Access Broker Services	Group Personal Pension	Paid Up	■ ▶
palker, w	Aegon Asset	Group Personal Pension	In Force	▶

Print pending new business with tasks
▶ Process complete new business records

■ Ready for Processing
■ Tasks outstanding
■ Tasks due today

Click into the first entry and use the rolodex button to open up the additional menu.



You will now see the following:

We are working on a **Found set** of 6 files. Any information that we input into this record, we can tell CCD to input it into the other 5 records.

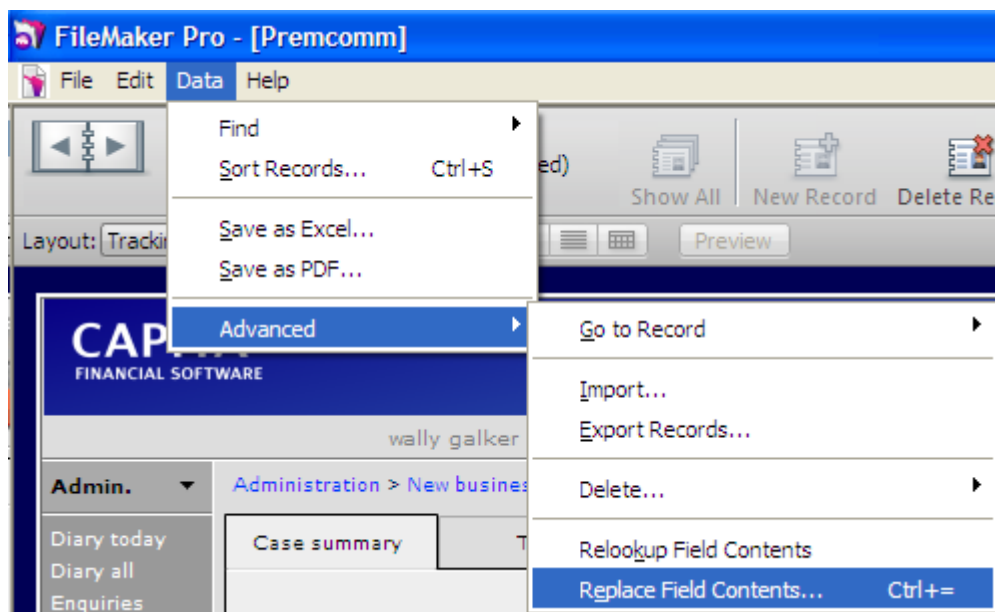
In the example below, **Full Compliance** has been added to the **Advice Basis** Field.

Once that had been selected, the mouse was double clicked in the field and it now shows that the mouse is at the end of the input in that field.

Administration > New business > Sift > Case summary

Case summary	Tasks	Scanned docs.
Administration	Contract No.	Contacts
<p>Advice basis: Full compliance</p> <p>Contributions: 6,666.67 Frequency: M</p> <p>Status: In force</p> <p>Business source:</p> <p>Current position:</p> <p>Suitability report dated:</p> <p>Application dated:</p> <p>Application received:</p> <p>Submitted date:</p> <p>PMA requested:</p> <p>Acceptance:</p> <p>Service manager for this case:</p>		
<p>New business record complete Complete checklist</p>		

Now navigate to **Data > Advanced > Replace field contents**.



The following screen will appear.

This screen is telling us that we want to replace that one field in the 8 records. Check that the number of records to be changed matches the number in the found set, and if all ok click **Replace**.

That one field on all the 6 records will now say full compliance. If when doing this the number here is not match the found set number, stop immediately. Call the Support Team on 0800 028 0033 for assistance.

This can be done field by field, where ever the information in one record is the same as on all the other records in the found set.

Once this has been done, each record will have a blue 'dot' at the end of the record. This means all fields have been completed except the last button:

Rather than working through each one to complete, there is a button on this page that can then be selected to complete all the checklists with today's date:

Admin. Administration > New business > By Product type

All Provider Product Adviser Location Status

Products Schemes

Select Scheme Biscuits GPP

Contract holder	Provider	Contract type	Status	Tasks
galker, w	Aegon Asset	Group Personal Pension	In Force	■ ▶
halker, w	Aegon Asset	Group Personal Pension	In Force	■ ▶
Jones, S	Access Broker Services	Group Personal Pension	In Force	■ ■ ▶
malker, w	Aegon Asset	Group Personal Pension	In Force	■ ▶
Moffet, J	Access Broker Services	Group Personal Pension	Paid Up	■ ■ ▶
palker, w	Aegon Asset	Group Personal Pension	In Force	■ ▶

Print pending new business with tasks Process complete new business records

Quit ■ Ready for Processing ■ Tasks outstanding ■ Tasks due today

Click onto this button and today's date will be inserted into the **Complete checklist** field on each of these records and all the records will disappear from this list.

9.2 Compliance checklists

The only difference between the New Business and Compliance checklists is where the list of incompletes can be found. When looking through Compliance checklists, the tab to find the schemes is **By scheme**.

The fields can be completed in the same way as described above.

Admin. ▾ Administration > Compliance > By status

Checklists Documents

Diary today
Diary all
Enquiries
New business
Compliance
Reviews
Time recorded

Remuneration
Reports
Marketing

Quit

Scheme name Biscuits GPP

Contract holder	Status	Provider	Contract type
Moffet, J	Paid up	Access Broker Services	Group Personal Pension
Hilliard, J	Cancelled	Access Broker Services	Group Personal Pension
Jones, S	In force	Access Broker Services	Group Personal Pension
Beckham, V	Cancelled	Access Broker Services	Group Personal Pension
galker, w	In force	Aegon Asset Management	Group Personal Pension
malker, w	In force	Aegon Asset Management	Group Personal Pension
palker, w	In force	Aegon Asset Management	Group Personal Pension
halker, w	In force	Aegon Asset Management	Group Personal Pension

Print schedule of business where compliance checklist is incomplete

Status By product By adviser By Location By scheme

Process complete compliance records Ready for Processing

Once all the fields on the main page have been completed, there is just one field left to complete at the bottom of the page.

Compliance checklist complete Complete compliance checklist

These fields can be completed by clicking on one button, rather than on one button per record. On the front page you will find the following button.

Process complete compliance records

Click this and it will put the dates in the checklist complete fields. This button is found on both the New Business and Compliance checklist pages.