

## North Yorkshire County Council

## Pension Fund Committee

23 November 2017

## Administration Report

## Report of the Treasurer

**1. Purpose of the Report**

- 1.1 To provide Members with information relating to the administration of the Fund over the year to date and to provide an update on key issues and initiatives which impact the administration team.

**2. Admission Agreements & New Academies**

- 2.1 The latest position relating to Admission Agreements and schools converting to academy status in the year are shown in **Appendix 1**.

**3. Administration****3.1. Membership Statistics**

<b>Membership Category</b>	<b>At 31/03/2017</b>	<b>+/- Change (%)</b>	<b>At 30/09/2017</b>
Active	33,763	-4.24	32,332
Deferred	33,184	+3.94	34,492
Pensioner (incl spouse & dependant members)	20,744	+1.53	21,062
<b>Total</b>	<b>87,691</b>		<b>87,886</b>

The ongoing data cleansing exercise has resulted in a reduction in the active membership numbers and an increase in the deferred membership numbers. The data cleansing exercise will continue to impact on membership numbers going forward.

### 3.2. Throughput Statistics

Period from 1 July 2017 to 30 September 2017

Case type	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	9	32	28	13
Transfer Out quotes	29	90	85	34
Employer estimates	10	67	66	11
Employee estimates	17	129	113	33
Retirement quotes	29	392	391	30
Preserved benefits	156	1408	1152	412
Death in payment or in service	26	27	33	20
Refunds	34	867	834	67
Actual retirement procedure	62	328	296	94
Inter-fund transfers	35	88	78	45
Aggregate member records	88	199	125	162
Process GMP	251	5	2	254
Others	63	59	61	61
<b>Total Cases</b>	<b>809</b>	<b>3691</b>	<b>3264</b>	<b>1236</b>

'Business as usual' cases combined with the large volume of outstanding work continues to challenge the team. New processes to reduce the outstanding cases are working well.

### 3.3. Performance Statistics

The performance figures for the period 1 July 2017 to 30 September 2017 are as follows:

Performance Indicator	Target in period	Achieved
Measured work achieved within target	98%	96.2%
Customers surveyed ranking service good or excellent	94%	95.7%
Increase numbers of registered self-service users by 700 per quarter	700	1396

High work volumes and high demand within the team continue to impact our ability to meet the agreed performance indicator for work achieved within target. Work continues to be targeted at reducing the large volume of outstanding work and the various initiatives put in place are bearing fruit as we see the numbers reducing week on week. This will continue to be the primary focus for the administration team in the coming months.

### **3.4. Annual Benefit Statements - Update**

The latest position regarding the issuing of annual benefit statements as at 30 September 2017 is:

Actives – 90.43% have now had a statement produced  
Deferreds – 95.20% have now had a statement produced

As agreed at the last Committee meeting a Breaches Log has been created to record areas where we believe we have failed to meet the requirements of the regulations. In addition to identifying, rectifying and where necessary reporting a breach, it provides an opportunity to learn from mistakes and review and improve processes in the areas where the breach occurred. We have added the 2017 annual benefit statements to this log.

Section 70 of the Pensions Act 2004 imposes a requirement to report a breach of law. It is recognised that the Breaches Log needs a comprehensive 'Breaches Policy' to sit alongside it and this is being developed in accordance with the guidance given in The Pension Regulator's Code of Practice 14.

## **4. Issues and Initiatives**

### **4.1. GMP Reconciliation**

An initial project start-up meeting has been held with ITM Limited the third party appointed to undertake the work on our behalf. Our internal administrator, Barbara Nelson, is in post and is liaising with ITM as required.

A revised data cut from the administration system and the latest figures from HMRC have been provided to ITM to undertake the Phase 1 analysis again in order to produce a baseline for the project.

Fortnightly updates and a monthly statistical update will be provided throughout the project and these will be made available to the committee in future papers.

### **4.2 General Data Protection Regulations (GDPR) 2018**

An initial meeting was held with the NYCC representative taking this forward on behalf of the council. A meeting is scheduled internally to discuss what actions we need to take over and above those of the council. From this we will create a project plan, tasks list and a risk and issues log and assign resource to each work stream to ensure progress is made.

### **4.3 Efficiency Initiatives**

The letters review has commenced and the first template has been created and circulated. The next step is to set this up in our test environment and prove the concept. We have, unfortunately, started with the retirement options letter which is most complex letter as some work had already been done on the format and content of the letter.

Once we have proved the basic version works correctly we can then start to add in the conditional paragraphs to handle more complex members with various elements of benefits including AVCs.

#### **4.4 Complaints**

Complaints are often made to NYPF and can come from a range of sources. The world of pensions is complex and very important to individuals so there is always a high likelihood of complaints. Each complaint does, however, provide an opportunity to learn and see if improvements can be made, whether that is one of process and / or communication. It is therefore intended that future reports will feature an update on the number and nature of complaints and what actions are arising as a result. This will allow Members to have visibility and challenge officers appropriately and helps to enhance transparency.

#### **5. Member Training**

- 5.1. The Member Training Record showing the training undertaken over the year to 30 September 2017 is attached as **Appendix 2**.
- 5.2. Upcoming courses, seminars and conferences available to Members are set out in the schedule attached as **Appendix 3**. Please contact Gary Bowden (01609 532520 or email [gary.bowden@northyorks.gov.uk](mailto:gary.bowden@northyorks.gov.uk)) for further information or to reserve a place on an event.

#### **6. Meeting Timetable**

- 6.1. The latest timetable for forthcoming meetings of the Committee and Investment Manager meetings is attached as **Appendix 4**.

GARY FIELDING  
Treasurer  
Central Services  
County Hall  
Northallerton

10 November 2017

**APPENDIX 1- Academy Conversions**

<b>Name of School</b>	<b>Local Education Authority</b>	<b>Multi Academy Trust (MAT)Name</b>	<b>Conversion Date</b>	<b>Current Position</b>
Cannon Lee Secondary School	City of York Council	Hope Learning Trust	1.4.2017	Conversion complete. New name is Vale of York Academy
Filey CE Infant and Nursery School	NYCC	Ebor Academy Trust	1.4.2017	Conversion complete. New name is Filey CofE Nursery and Infants Academy
Park Grove Primary School	City of York Council	Ebor Academy Trust	1.4.2017	Conversion complete
Leyburn Primary School	NYCC	Yorkshire Collaboration Academy Trust	1.5.2017	Conversion complete
Tang Hall Primary School	City of York Council	Pathfinder Multi Academy Trust	1.5.2017	Conversion complete
Meadowside Community Primary School	NYCC	Elevate Multi Academy Trust	1.7.2017	Conversion complete
Aspin Park Primary School	NYCC	Elevate Multi Academy Trust	1.7.2017	Conversion complete
Topcliffe CofE VC Primary School	NYCC	Elevate Multi Academy Trust	1.8.2017	Conversion complete
Coppice Valley Community Primary School	NYCC	Red Kite Learning Trust	1.8.2017	Conversion complete
Barlby High School	NYCC	Hope Learning Trust	1.9.2017	Conversion complete
East Cowton CoE Primary School	NYCC	Dales Academies Trust	1.11.2017	Conversion complete
Eppleby Forcett CoE Primary School	NYCC	Dales Academies Trust	1.11.2017	No LGPS members
Kirkby Fleetham CoE Primary School	NYCC	Dales Academies Trust	1.11.2017	Conversion complete
Middleton Tyas CoE Primary School	NYCC	Dales Academies Trust	1.11.2017	Conversion complete
Richmond CoE Primary School	NYCC	Dales Academies Trust	1.11.2017	Conversion complete
Tockwith CE VC Primary School	NYCC	Ebor Academy Trust	1.11.2017	Conversion Complete
Clifton with Rawcliffe Primary School	City of York Council	Pathfinder Multi Academy Trust	1.6.2017	MAT did not send information to NYPF until 1.8.2017. Issues identified with staff list provided only resolved 27.10.17!
Woodthorpe Primary School	COYC	South Bank Multi Academy Trust	1.10.2017	Actuarial calculations provided. Waiting for confirmation that school converted 1.10.17
New Earswick Primary School	COYC	Pathfinder Multi Academy Trust	1.10.2017	MAT did not advise NYPF until 25.10.2017. Relevant information requested from the MAT in order to progress

South Otterington CoE Primary School	NYCC	Dales Academies Trust	1.12.2017	Actuarial calculations provided. Conversion delayed from 1.10.17 to 1.1.18
Barton CoE Primary School	NYCC	Dales Academies Trust	1.12.2017	Actuarial calculations requested
Ravensworth CoE Primary School	NYCC	Dales Academies Trust	1.12.2017	Actuarial calculations requested
Ainderby Steeple CoE Primary School	NYCC	Dales Academies Trust	1.1.2018	Waiting for further information
Croft Primary School	NYCC	Dales Academies Trust	1.1.2018	Actuarial calculations requested
Bolton on Swale CoE Primary School	NYCC	Dales Academies Trust	1.3.2018	Waiting for further information
Airy Hill CP School	NYCC	Endeavour Learning Academy Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.11.17 but delayed until at least 1.12.17
Castleton CP School	NYCC	Endeavour Learning Academy Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.11.17 but delayed until at least 1.12.17
Glaisdale CP School	NYCC	Endeavour Learning Academy Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.11.17 but delayed until at least 1.12.17
Leaholm CP School	NYCC	Endeavour Learning Academy Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.11.17 but delayed until at least 1.12.17
West Cliff CP School	NYCC	Endeavour Learning Academy Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.11.17 but delayed until at least 1.12.17
North Rigton CP School	NYCC	Yorkshire Causeway Schools Trust	1.11.2017	Actuarial information supplied. Awaiting confirmation when school converts
Easingwold School	NYCC	Outwood Grange Academies Trust	1.12.2017	Actuarial information supplied. Original conversion date was 1.10.17 but delayed until at least 1.12.17
Selby Community Primary School	NYCC	Selby Education Trust	1.12.2017	Actuarial information supplied. Waiting for confirmation when the school has converted so pension records can be updated (it has been delayed from 1.9.17)
Richmond School	NYCC	Arete Learning Trust	1.12.2017	Actuarial information supplied. Originally expected to convert 1.10.2017 but school has advised conversion delayed until 1.12.17
Greystone Community Primary School	NYCC	Outwood Grange Academies Trust	1.12.2017	Requested staff list
All Saints CE Primary School	NYCC	Yorkshire Causeway Schools Trust	1.12.2017	Original conversion date was 1.7.2016 but MAT advised it has been delayed. Target conversion date now 1.12.17. Requested further information from the MAT
Knayton Cof E Primary School	NYCC	Elevate Multi Academy Trust	1.12.2017	Original conversion date was 1.5.2017 but MAT advised it has been delayed. Target conversion date now 1.12.17. Requested further information from the MAT
Carlton Miniott CP School	NYCC	Elevate Multi Academy Trust	1.1.2018	In progress
Sowerby CP School	NYCC	Elevate Multi Academy Trust	1.1.2018	In progress
Hob Moor Oaks School	COYC	Ebor Academy Trust	1.1.2018	Initial contact made –further information requested
Hob Moor CP School	COYC	Ebor Academy Trust	1.1.2018	Initial contact made –further information requested

Newby & Scalby Primary School	NYCC	Scalby Learning Trust	1.1.2018	Initial contact made –further information requested
Thirsk School & Sixth Form College	NYCC	Arete Learning Trust	1.2.2018	Requested staff list to be sent in December 2017
Baldersby St James Church of England Voluntary Controlled Primary School	NYCC deemed to be employer	Hope Learning Trust	1.3.2018	Initial email sent to request staff list in January
Fulford School	COYC	South York Multi Academy Trust	1.1.2018	Initial contact made –further information needed
Dunnington CoE Primary School	COYC	South York Multi Academy Trust	1.2.2018	Will be progressed nearer the time
Danesgate Community School	COYC	South York Multi Academy Trust	1.3.2018	Will be progressed nearer the time
Wheldrake with Thorgnaby CE School	COYC	South York Multi Academy Trust	1.5.2018	Will be progressed nearer the time
Elvington CoE Primary School	COYC	South York Multi Academy Trust	1.6.2018	Will be progressed nearer the time
Archbishop of York's CoE Junior School	COYC	South York Multi Academy Trust	1.9.2018	Will be progressed nearer the time
Naburn CoE Primary School	COYC	South York Multi Academy Trust	1.10.2018	Will be progressed nearer the time
Lord Deramore's Primary School	COYC	South York Multi Academy Trust	1.11.2018	Will be progressed nearer the time
Escrick CoE VC Primary School	NYCC	South York Multi Academy Trust	Not known	Will be progressed when conversion date known
St Oswald's CE Primary School	COYC	South York Multi Academy Trust	Not known	Will be progressed when conversion date known
Langton Primary School	NYCC	Evolution Schools Learning Trust	Not known	Original conversion date was 1.10.2016 but MAT advised it has been delayed. New date not yet known.

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## Admission Bodies

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
City of York Council	York Arts Education (Community Interest Company)	1.4.2017	Complete
City of York Council	City of York Trading Limited	1.6.2017	Complete
City of York Council (All Saints Roman Catholic School)	Compass Contract Services (U.K) Limited	22.7.2015	Complete
Thomas Hinderwell Primary Academy	Compass Contract Services (U.K) Limited	1.4.2015	Initial issues getting the academy to agree to their responsibilities. Current issues with academy disputing content of the admission agreement. They have been told it is not negotiable. Legal advisor at Ward Hadaway is progressing
City of York Council	abm catering solutions	1.9.2016	Solicitors still negotiating the terms of the main commercial contract! Draft admission agreement has been provided
City of York Council	Human Support Group	20.8.2017	Contractor disputing the content of the admission agreement. York and the contractor now trying to negotiate exit debt terms in the in the commercial contract
City of York Council	Bulloughs Cleaning Services Ltd	15.12.16	Admission agreement with Bulloughs for signing (York have signed)
Askham Bryan College	Churchill Contract Services	1.2.2017	Admission agreement with Churchill for signing (Askham Bryan have signed)
City of York Council	Greenwich Leisure Limited (GLL)	1.10.2017	Final admission agreement provided – scheduled for signature 27.11.2017
City of York Council (Lakeside Primary School)	Hutchison Catering Limited	27.7.2017	Draft admission agreement has been requested
Ebor Academy Trust (Park Grove Primary School)	Hutchison Catering Limited	27.7.2017	Waiting for the Trust to confirm the staff lists, also need main contract date
Ebor Academy Trust (Ebor Academy Filey)	Hutchison Catering Limited	27.7.2017	Waiting for the Trust to confirm the staff lists, also need main contract date
Pathfinder Multi Academy Trust (Clifton with Rawcliffe School)	ISS	27.7.2017	Waiting for the Trust to confirm the staff lists, also need main contract date. Also need queries from the academy conversion resolving before I can provide an employer contribution rate to the contractor/MAT
City of York Council (Poppleton Road CP School)	ISS	27.7.2017	Waiting for York to confirm the staff list
Pathfinder Multi Academy Trust (Hempland Primary School)	ISS	27.7.2017	Waiting for the Trust to confirm the staff lists, also need main contract date
Pathfinder Multi Academy Trust (Tang Hall School)	ISS	27.7.2017	Waiting for the Trust to confirm the staff lists, also need main contract date
City of York Council	Caterlink	Not known	Email from contractor 28.6.17 advising they have won



			contracts for York Council Schools. No details of which schools or when the contractors are effective from. Chased twice
Poppleton Ousebank Primary School - academy in the Hope Learning Trust	CH&Co Group	28.7.2017	Waiting for the academy to provide information to progress admission agreement – requested 6 times. Final warning email sent 26.10.17
City of York Council (Dringhouses Primary School)	abm catering	27.7.2017	Draft admission agreement requested
City of York Council (Headlands Primary School)	abm catering	27.7.2017	Draft admission agreement requested
City of York Council (St Paul's Primary School)	abm catering	27.7.2017	Draft admission agreement requested
City of York Council (Carr Infant School)	abm catering	27.7.2017	Draft admission agreement requested
City of York Council	Gough & Kelly	1.11.2017	Waiting for York to sign the Admission agreement
North Yorkshire Fire & Rescue	Intrinsic FM	17.7.2017	One member of cleaning staff involved. At initial stages, contract information requested for admission agreement to be drafted
City of York Council (Short breaks for adults with learning disabilities)	Contract not yet awarded	1.4.2018	Second generation outsourcing. Have provided actuarial calculation of employer rates for the City of York to include in their tender document
City of York	Explore York	1.5.2014	Explore York are exploring closing the scheme to new entrants. The City of York Council have requested an actuarial funding analysis before agreeing. NYPF will also need to agree

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## Appendix 2

Date	Title or Nature of Course	Bateman B	Blackie J	De Courcey-Bailey M	Harrison-Topham R	Mulligan P	Swiers H	Weighell J	Clark J	Steward C	Portlock D	Hazeldine B	Unison (Vacancy)	Unison (Vacancy)
5-6 Oct 2016	Baillie Gifford LGPS Pension Seminar		✓	✓		✓	✓	✓	✓					
19-21 Oct 2016	PLSA Annual Conference	✓	✓			✓								
2 Nov 2016	PLSA Local Authority Conference	✓												
25 Nov 2016	Investment Strategy Review	✓		✓	✓	✓	✓	✓	✓		✓			
24 February 2017	NTCC Investment Manager Meeting	✓		✓	✓	✓	✓	✓	✓		✓			

Date	Title or Nature of Course	Blackie J	Mulligan P	Swiers H	Weighell J	Clark J	Portlock D	M Chambers	A Solloway	A Thompson	C Lunn	D Carr	Unison (Vacancy)	Unison (Vacancy)
25 May 2017	Induction Training	✓		✓	✓	✓	✓	✓	✓		✓			
26 May 2017	Induction Training			✓	✓	✓	✓	✓			✓			
6/7 July 2017	Member Training	✓		✓	✓	✓	✓	✓	✓		✓			
11/12 September 2017	BCPP New member seminar	✓		✓	✓	✓	✓			✓	✓			
15 September 2017	Investment Strategy Workshop	✓	✓		✓	✓	✓	✓			✓			

## UPCOMING TRAINING AVAILABLE TO MEMBERS

<b><i>Provider</i></b>	<b><i>Course / Conference Title</i></b>	<b><i>Date(s)</i></b>	<b><i>Location</i></b>	<b><i>Themes / Subjects Covered</i></b>
LAPFF	22 <sup>nd</sup> LAPFF Annual Conference	6-8 December 2017	Highcliff Marriott Hotel Bournemouth	Responsible investment – impact on Boards, impact on asset managers
LGC	Investment Seminar	1-2 March 2018	Carden Park Cheshire	Do all asset classes fit into the pooling model? As the pools are set up and the existing relationships within the LGPS change, it is even more important to be aware of all the contributing factors that impact on the investment of the fund
CIPFA	Members local pension board spring seminar	2 March 2018 1.30pm – 4.30pm	Albion Street Leeds	Latest information updates, training on specific topics and opportunities for discussion and networking with members of other Funds' Boards.
PLSA	Investment Conference	7-9 March 2018	EICC Edinburgh	Will address the key investment choices, challenges and changes faced by defined benefit and defined contribution pension funds and institutional investors. The conference includes keynote speeches; breakout sessions on DB, DC, Investment governance and culture and New horizons; an Academy Trustee Learning Zone; fringe meetings; an exclusive
PLSA	Local Authority Conference 2018	21-23 May 2018	Cotswold Water Park Four Pillars Hotel	A specialist pension event for Local Authorities, designed to look at the ever-changing Local Authority Pension Scheme.



## PENSION FUND COMMITTEE TIMETABLE FOR MEETINGS IN 2017 AND 2018

Meeting Date	Time & Venue	Event	Fund Managers
17 November 2017	10am, County Room 1	Investment Strategy Workshop	
23 November 2017	10am, Brierley Room	Pension Fund Committee	
22 February 2018	10am, TBC	Pension Fund Committee	
23 February 2018	10am, TBC	Investment Manager Meeting	2 Managers TBC
24 May 2018	10am, TBC	Pension Fund Committee	
25 May 2018	10am, TBC	Pension Fund Committee	2 Managers TBC
5 July 2018	10am, TBC	Pension Fund Committee	
13 September 2018	10am, TBC	Pension Fund Committee	
14 September 2018	10am, TBC	Pension Fund Committee	2 Managers TBC