

North Yorkshire County Council

Pension Fund Committee

4 March 2022

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 in the quarter 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 academy conversions is shown in **Appendix 1**.

3. Administration

3.1. Membership Statistics

Membership Category	At 01/10/2021	+/- Change (%)	At 31/12/2021
Active	31,981	-1.25%	31,585
Deferred	38,568	-0.22%	38,486
Pensioner (incl spouse & dependant members)	26,305	+1.62%	26,732
Total	96,854		96,803

3.2. Throughput Statistics

- Period from 1 October 2021 to 31 December 2021

Case type	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	7	24	29	2
Transfer Out quotes	57	148	193	12
Employer estimates	3	40	40	3
Employee estimates	10	162	170	2
Retirement quotes	49	673	708	14
Preserved benefits	75	239	240	74
Death in payment or in service	89	244	237	96
Refunds	42	238	262	18
Actual retirement procedure	726	834	881	679
Interfund transfers	159	170	130	199
Aggregate member records	123	422	345	200
Process GMP	1	0	1	0
Others	211	236	296	151
Total Cases	1,552	3,430	3,532	1,450

- Alongside the above cases, the Pensions team also handled 2,066 phone calls (average 42 per working day) and 5,600 emails received via the Pensions Inbox (average 91 per working day) in the quarter to 31 December 2021.

Performance Statistics

- The performance figures for the period 1 October 2021 to 31 December 2021 are as follows:

Performance Indicator	Target in period	Achieved
Measured work completed within target	98%	93%
Customers surveyed ranking service good or excellent	94%	89%
Increase numbers of registered self-service users by 700 per quarter (total registered users 35,490)	700	829

- Our performance and satisfaction rating continue to be impacted by the high demand into the team.
- Our satisfaction rating has been impacted by us failing to keep members informed of progress with their specific case particularly where delays are outside of our control. The team are now reminded regularly to ensure we keep members updated.
- Our priority continues to be to pay member benefits as promptly as we can.

3.3. Commendations and Complaints

- This quarter the following commendations and complaints were received:

Commendations

Date	Number	Summary
Oct	2	Very informative and knowledgeable, answering my queries very quickly
Nov	4	Very efficient, excellent service
Dec	0	

Complaints

Date	Number	Summary
Oct	2	Admin – incorrect form on member record Admin – delay receiving lump sum and terminology used in email
Nov	2	Admin – delay providing transfer value & lack of communication Admin – early retirement pension too low when compared to colleagues
Dec	3	Admin – missing transfer in Admin – handling of flexible retirement request Admin – perceived loss of income from taking AVCs at age 60

- The complaint categories are:
 - Admin - these can relate to errors in calculations, delays in processing and making payment of benefits.
 - Regs - these relate to a complaint where regulations prevent the member being able to do what they want to.
 - IHER - these are where members have been declined for early retirement on the grounds of ill health and are appealing the decision through the Internal Disputes Resolution Procedure.

Lessons Learned

Having reviewed the complaints received in the period there were a couple of training and development needs identified for specific individuals which have been addressed. The whole team has been reminded about the use of jargon and pensions terminology in our communications. The whole team also attended a Customer Focus training event provided by the NYCC Training and Learning team.

3.4. **Annual Benefit Statements 2021**

Active member statements – we have 61 outstanding 2021 benefit statements due to outstanding year end queries. We are continuing to resolve these and issue the statements as we are able however, focus has now shifted to preparations for the 2022 exercise. We are also looking to revamp the layout this year with a view to making the key information visible at a glance and easier to understand.

3.5. **Breaches Policy & Log**

The North Yorkshire Pension Fund's Breaches Log is included at **Appendix 2** for review. There is 1 new entry this time relating to the late issue of a pension savings statement for 1 member due to an outstanding query on their record.

4. **Issues and Initiatives**

4.1. **Administration System Project**

The delivery stage of this project and its various work streams is progressing well.

- On-boarding of employers to our online portal i-Connect continues and we are still trying to on-board our two largest employers, NYCC & CYC, before the year end.
- On-boarding will be paused again due to the team having to focus on year end processing, annual benefit statement production and data preparation for the triennial Valuation.
- Website development continues.

4.2. **McCloud**

There has been a good response from employers following the data collection exercise with only 45 employers still to send data. A further attempt is being made to collate the data from current employers before moving onto the next stage of data load.

The Public Bill Committee have introduced important amendments to the Public Service Pensions and Judicial Offices Bill which is the Bill that will enable changes to be made to the LGPS for the McCloud remedy. These amendments to the LGPS include:

- changes to the qualification criteria, bringing more members into scope for the McCloud remedy
- a requirement for multiple periods of service to be aggregated to qualify for McCloud
- provisions for teachers to be offered membership of the LGPS in respect of "excess teacher service"

5 **Broadacres**

Correspondence with Broadacres Housing Association (BHA) continues regarding their request to transfer their pension assets and liabilities from the London Pension Fund Authority to the North Yorkshire Pension Fund. The Fund is working closely with its legal advisor to ensure that any risk factors are addressed prior to any potential transfer.

6 **Payment of Death Grants**

To assist with the timely payment of death grant benefits a Death Grant Payment Guidelines document has been created, attached at **Appendix 3**.

This document aims to create a set of guidelines to enable the administration team to make payments without the need to refer cases to the Pension Fund Committee. Only those cases which are unable to be paid in line with the guidelines because the normal practices are deemed inappropriate, impossible or may be subject to objection by interested parties will be referred.

7 Member Training

- 7.1 The Member Training Record showing the training undertaken to February 2022 is attached as **Appendix 4**.
- 7.2 Upcoming courses, seminars and conferences available to Members are set out in the schedule attached as **Appendix 5**. Please contact Kirsty Howes (01609 533298 or email kirsty.howes@northyorks.gov.uk) for further information or to reserve a place on an event. Events are limited currently due to the pandemic.

8 Meeting Timetable

- 8.1 The latest timetable for forthcoming meetings of the Committee and Investment Manager meetings is attached as **Appendix 6**. Meetings will continue to be undertaken virtually until further notice.

9 Recommendations

- 9.1 Members to note the contents of the report.
- 9.2 Members to determine whether a report should be made to the Pensions Regulator regarding the data breaches reported.
- 9.3 That the following be referred to the Chief Executive Officer for consideration under his emergency delegated powers to:-
- 9.3.1 approve the adoption of the Death Grant Payment guidelines.

Gary Fielding
Treasurer of North Yorkshire Pension Fund
NYCC
County Hall
Northallerton

24 February 2022

Academy Conversions – 11 ‘in progress’

Name of School	Local Authority	Multi Academy Trust (MAT) Name	Target Conversion Date	Current Position
St John Fisher Catholic High School, Harrogate	NYCC	Bishop Wheeler Catholic Academy Trust	1.12.2021	Complete. Now known as St John Fisher Catholic Academy
Scarborough University Technical College	N/A	Transfer into the Coast and Vale Learning Trust	1.1.2022	Complete
St Joseph’s Catholic Primary School, Tadcaster	NYCC	Bishop Wheeler Catholic Academy Trust	1.2.2022	Complete
Malton Community Primary School	NYCC	Hull Collaborative Academy Trust	1.1.2022	Approval received from the Secretary of State to join the East Riding Pension Fund. Now in progress
Bishopthorpe Infant School	COYC	South York Multi Academy Trust	Feb/March 2022	In progress
Alanbrooke Community Primary School	NYCC	Elevate Multi Academy Trust	1.3.2022	In progress
Willow Tree Community Primary School	NYCC	Northern Star Academies Trust	1.4.2022	Will be progressed nearer the time
Barkston Ash RC Primary School	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	TBC	Delayed from 1.9.2020
St Wilfrid’s Catholic Primary School, Ripon	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	TBC	Delayed from 1.9.2020
All Saints, York	COYC	St Margaret Clitherow Academy Trust	Not known	Delayed from 1.9.2019
Naburn CoE Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.10.2018
Lord Deramore’s Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.11.2018
Elvington CoE Primary School	COYC	South York Multi Academy Trust	Not known	Conversion delayed, new date not yet known
Fishergate Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.12.2018

Admission Bodies - 14 'in progress'

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
Pathfinder Multi Academy Trust Clifton with Rawcliffe Primary (CWR) School Hempland Primary School New Earswick Primary School Rufforth Primary School	Hutchison Catering Limited	27.7.2021	Complete
St Margaret Clitherow Catholic Academy Trust OLQM RC Primary School York St George's RC Primary School, York St Wilfrid's RC Primary School	Hutchison Catering Limited	28.7.2021	Complete
St Margaret Clitherow Catholic Academy Trust Sacred Heart RC VA Primary School, Northallerton St Augustine's RC Secondary School Scarborough St Benedict's RC Primary School, Ampleforth St George's RC Primary School, Scarborough St Joseph's RC Primary School, Pickering St Mary's RC Primary School, Malton St Mary's RC Primary School, Richmond St Peter's RC Primary School, Scarborough	Hutchison Catering Limited	1.9.2021	Complete
Ebor Academy Trust Haxby Road Primary Academy (catering contract)	Hutchison Catering Limited	1.9.2021	Complete
Wellsping Academy Trust The Forest School, Knaresborough	Barnsley Norse Limited	1.9.2021	Complete
Elevate Multi Academy Trust Catering contract at all schools in the Trust	Mellors Catering Services Limited	1.9.2021	Complete

South Bank Multi Academy Trust Woodthorpe Primary School York High School	Dolce Limited	1.9.2021	Complete
Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
City of York Council All Saints RC School, York	Hutchison Catering Limited	1.9.2021	Complete
Nicholas Postgate Catholic Academy Trust All Saints Catholic Primary School St Hedda's Catholic Primary School	Cater Link Limited	1.9.2021	Complete
Red Kite Learning Trust Coppice Valley Primary School	Taylor Shaw Limited	1.11.2021	Complete
Red Kite Learning Trust Western Primary School	Taylor Shaw Limited	1.1.2022	Complete
NYCC Easingwold Primary School – catering contract	Taylor Shaw Limited	1.9.2021	Complete
NYCC Moorside Primary School and Nursery – catering contract	Taylor Shaw Limited	1.9.2021	Complete
NYCC Colburn Community Primary School – catering contract	Taylor Shaw Limited	1.9.2021	Complete
City of York Council Bishopthorpe Infant School	Mellors Catering Services Limited	28.7.2021	In progress
City of York Council Carr Infant School	Mellors Catering Services Limited	28.7.2021	In progress

City of York Council Lord Deramore's Primary School	Mellors Catering Services Limited	28.7.2021	In progress
Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
City of York Council Poppleton Road Primary School	Mellors Catering Services Limited	28.7.2021	In progress
City of York Council Ralph Butterfield Primary School	Mellors Catering Services Limited	28.7.2021	In progress
City of York Council St Paul's Primary School	Mellors Catering Services Limited	28.7.2021	In progress
City of York Council Yearsley Grove Primary School	Mellors Catering Services Limited	28.7.2021	In progress
Northern Star Academies Trust New Park Primary Academy Harrogate High School Hookstone Chase Primary School Starbeck Primary Academy	Aspens Services Limited	1.1.2022	In progress
South York Multi Academy Trust Bishopthorpe Infant School	Mellors Catering Services Limited	1.1.2022	In progress
South Bank Multi Academy Trust Carr Junior School	Dolce Limited	21.2.2022	In progress
Hope Learning Trust Catering contracts at:- Baldersby St James CoE Primary Academy Burton Green Primary School Forest of Galtres Anglican Methodist Primary School Poppleton Ousebank Primary Academy Skelton Primary School	Contractor not yet appointed	March/April 2022	Delayed from July 2020 due to Covid-19

South Bank Multi Academy Trust Cleaning contract	Contractor not yet appointed	August 2022	In progress
Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
NYCC Longman's Hill Community Primary School	Contractor not yet appointed	September 2022	In progress
Selby Educational Trust Selby Community Primary School Carlton Primary School	Contractor not yet appointed	September 2022	In progress

Exited Employers – 21

Name of Employer	Date exited the Fund
OCS Group UK Limited	31.3.2017
Superclean Services Limited	16.7.2017
Joseph Rowntree Charitable Trust	31.12.2017
York Arts Education (Community Interest Company)	31.3.2018
Be Independent	31.7.2018
Housing & Care 21	31.8.2018
Consultant Cleaners	31.10.2018 (voluntary liquidation)
The Wilberforce Trust	22.3.2019
Dolce Limited	14.4.2019
Schools Plus	30.4.2019
Sewells Facilities Management Limited	21.12.2020
Sheffield International Venues	31.1.2021
Caterservice Ltd	12.2.2021
Enterprise Managed Services Ltd (Amey)	28.2.2021

Taylor Shaw Limited	12.2.2021
Name of Employer	Date exited the Fund
RCCN Limited	31.3.2021
Streamline Taxis Limited	28.5.2021
Ringway Infrastructure Services Limited	31.5.2021
Churchill Security Solutions Limited	31.5.2021
Sanctuary Housing Association	20.12.2021
Atalian Servest Food Co Limited	31.12.2021

Date	Category	Description of Breach	Cause of Breach	Regulation being breached	Effect of Breach & Wider Implications	Response to Breach	Reported to DPO	DPO outcome	Referred to PFC	Referred to PB	Outcome of Referral to PFC & PB	Reported to Regulator
31/08/2017	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	Large backlog meant we were unable to establish which category members should fall into at statement date. Year End queries still outstanding at issue date.	Reg 89 of LGPS Regs 2013	85.88% of Active members received a statement = 14.12% did not 94.51% of Deferred members received a statement = 5.49% did not	Large backlog means we do not yet know actual total eligible for a statement. Continue to reduce the backlog with targeted initiatives. Target is to have a controlled work throughput by end 2018. Continue to work through errors & queries & issue ABS' when able to. Introduce monthly returns for our 2 largest employers by end of 2018 so that errors can be identified in real time rather than at year end.			14/09/2017	19/01/2018	Noted the position, no requirement to report. Creation of Breaches Log to record position.	N
08/11/2017	Administration	Statutory deadline for issuing Personal Savings Statements not met for all members	Human error		2 members received statements after the 6/10/2017 deadline. 192 manual calculations undertaken and 56 statements issued. 3.5% of members affected	Statements issued immediately. Process under review by team leader. Checklist created and process will be audited in 2018 to ensure checklist being used and process being robustly followed			22/02/2018	19/01/2018	PB - Noted the position, no requirement to report. PFC - Noted the position, no requirement to report.	N
18/12/2017	Administration	Incorrectly paid trivial commutation to a member who has benefits with another fund and had not commuted those benefits	Human error		Member received benefits he wasn't entitled to. No other member affected. Payment is an unauthorised payment & must be reported to HMRC, resulting in tax liability at 55% for the member & additional tax for the scheme.	As soon as realised payment was unauthorised, informed member and reported to HMRC. Awaiting confirmation of scheme tax liability.			22/02/2018	19/01/2018	PB - Noted the position, no requirement to report. PFC - Noted the position, no requirement to report.	N - Reported to HMRC
31/08/2018	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	Year End queries still outstanding at issue date.	Reg 89 of LGPS Regs 2013	86.52% of Active members received a statement = 13.48% did not 99.76% of Deferred members received a statement = 0.24% did not	Backlog has been reduced so in a better position regarding correct eligibility for statements. Significant year end queries (2,399) have impacted statement production. Ers being chased for response. Continue to work through errors & queries & issue ABS' when able to. Viability of monthly returns being investigated			22/11/2018	11/10/2018	PB - noted the position, agreed not to report this time but will in 2019. PFC - noted position, agreed not to report this time.	N
31/08/2019	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	Year End queries still outstanding at issue date. Clarification on members not worked in year still outstanding at issue date. Manual calculation of Annual Allowance figures still outstanding at issue date.	Reg 89 of LGPS Regs 2013	100% of Deferred members received a statement. 95.69% of Active members received a statement. (1,342 members did not)	Analysis of the 1,342 unissued statements undertaken to identify and isolate reasons. Each group being worked through to identify what is required to enable statement to be produced. Number reduced to 329 as at 9 October, work will continue until end of year to further reduce number unissued. Final position: 329 unissued			22/11/2019	03/10/2019	PB - discussed position, noted improvement from 2018, requested further analysis by employer to identify whether an issue exists at individual employer level. Following provision of above information both PFC & PB agreed not to report this time.	N
09/04/2020	Administration	A member's leaver statement was incorrectly sent to the wrong member.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
11/05/2020	Administration	A member's retirement statement was incorrectly sent to the wrong member.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
15/05/2020	Administration	A member's letter was incorrectly sent to the wrong member along with their own letter.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
15/05/2020	Administration	A member's calculation print was incorrectly sent to the wrong member.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
26/05/2020	Administration	A pensioner received a payslip which belonged to another pensioner.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
27/05/2020	Administration	A member received a letter meant for a solicitor dealing with the death of another member.	Due to Covid 19 printing and posting process had to be changed whereby 1 person was responsible for printing for the whole team. Human error.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to either destroy or return the information. Process and working practice was reviewed and changes put in place. Instructions issued to the staff responsible for printing and posting.			11/09/2020	09/07/2020	PB - July meeting, noted position, agreed not to report. PFC - September meeting, noted position, agreed not to report.	N
31/08/2020	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	Year End queries still outstanding at issue date. Manual calculation of Annual Allowance figures still outstanding at issue date. Issues with data quality, suppressed statements until data corrected and accurate statements can be issued.	Reg 89 of LGPS Regs 2013	100% of Deferred members received a statement. 94.21% of Active members received a statement. (1,784 members did not)	Analysis of the 1,784 unissued statements undertaken to identify and isolate reasons. Each group being worked through to identify what is required to enable statement to be produced. Number reduced to 274 as at 20 October, work will continue until end of year to further reduce number unissued.			27/11/2020	29/10/2020	PB - Oct meeting, noted position, agreed not to report. PFC - Nove meeting, noted position, agreed not to report.	N

Date	Category	Description of Breach	Cause of Breach	Regulation being breached	Effect of Breach & Wider Implications	Response to Breach	Reported to DPO	DPO outcome	Referred to PFC	Referred to PB	Outcome of Referral to PFC & PB	Reported to Regulator
30/11/2020	Administration	A member contacted us to advise she had received the starter pack for another member but with her address on it. The member also advised there were 2 other members affected.	Employer submitted starter file and the data has been mixed up for a number of members, address 26 records, date of birth 11 records, payroll no 21 records, date joined 8 records and school name 18 wrong	Data Protection Act 2018	Accidental disclosure of personal data for a number of members to another member. It is highly likely that the recipient knows the person whose information was disclosed. The 3 original members had discussed it.	Reported to Veritau. They assessed it as Low risk level and did not need to be reported to the ICO. Data sent back to employer to provide corrected information. Employer advised we have reported the data breach and we've asked for clarification of what process changes they have made to prevent it recurring. Replacement starter packs issued with correct details on and covering letter advising reason for disclosure and contact details for employer.			05/03/2021	14/01/2021	PB - Recognised the issue was an employer one rather than a Fund one. PFC - Recommended no report required	N
05/10/2020	Administration	Failure to issue 3 members with annual Pension Saving Statements (PSS) in the relevant years. One member was missing a PSS for the 18/19 year, one was missing a PSS for 16/17 and one was missing a PSS for 16/17, 17/18, 18/19 & 19/20.	There are two main causes as follows: missing data and staff not realising a statement should have been issued when the record was recalculated.	Finance Act 2004	When the member receives a PSS they have to declare the tax liability to HMRC via an annual tax return. They can elect to either pay the tax charge via a Scheme Pays option or directly to HMRC. Because the PSS haven't been issued members are now late submitting to HMRC. We are aware of members who have ignored the information we have sent for a number of years, when they do contact HMRC they are advised to just pay what is due. There appear to be no penalties applied. Because we haven't advised members at the correct time they have been unable to take action to mitigate the impact in subsequent years. Members in this position often switch to the 50/50 section to reduce their pension accrual. A penalty of up to £300 for failure to provide the required information on time may be levied on NYPF when we resubmit our annual returns for the relevant years.	We have issued the relevant PSS to all 3 members and have had discussions with them regarding the actions they now need to take. We have struggled to establish how to report the breach to HMRC but will resubmit the annual HMRC returns for the relevant years. We will then respond to HMRC accordingly. We have reviewed our internal processes and are taking steps to educate the wider team and address some of the issues at source rather than waiting until year end. A targeted working group will be established in the summer to address the backlog of changes we get each year. This will involve training a small number of staff on the whole Annual Allowance process, what it is, why it's important, the impact on affected members and how to update and maintain records correctly. This taskforce will take responsibility for updating member records. Once knowledge is established and embedded further staff will be trained until the whole team knows what is expected.			05/03/2021	14/01/2021	PB - Require further information on mitigating actions taken to prevent recurrence before reaching a decision about reporting to tPR. Confirmed by email 01/03/2021 no need to report to tPR. PFC - Recommended no report required	N
05/02/2021	Administration	A member contacted us to advise she had received a transfer letter addressed to another member enclosed with her own letter.	Member of staff on post duty that day did not follow the agreed process put in place to prevent breaches from happening.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient was asked to destroy the information. Process and working practice was reviewed to ensure it remained relevant. Staff were reminded of the correct process. Individual member of staff was spoken to personally to stress importance of following the correct process.	05/02/2021	Score of 4 - low no further action	04/06/2021	08/04/2021	PB - April meeting, noted position, agreed not to report. PFC - June meeting, noted position, agreed not to report.	N
31/08/2021	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	Calculation failing to run on system. Year End queries still outstanding at issue date. Manual calculation of Annual Allowance figures still outstanding at issue date. Issues with data quality, suppressed statements until data corrected and accurate statements can be issued.	Reg 89 of LGPS Regs 2013	99.78% of Deferred members received a statement. (87 members did not) 96.06% of Active members received a statement. (1,158 members did not)	87 Deferred members missing a statement are being worked through, these failed due to the system calculation not running, analysis has identified these failed due to data related issues. Analysis of the 1,158 Active members missing a statement is being undertaken to identify and isolate reasons. Each group being worked through to identify what is required to enable statement to be produced.	N/A	N/A	26/11/2021	07/10/2021	PB - No report for deferred ABS but decision delayed on active awaiting outcome of review of missed ones. PFC - Agreed with PB recommended course of action. Further update on Active statements is required. 13/01/22 no report	N
17/09/2021	Administration	McCloud data sent to the City of York Council (CYC) for three schools that no longer use CYC to provide their payroll service (although they have in the past). Data for an NYCC school (that has opted out of NYCC's payroll service) also sent to CYC as it was incorrectly coded on our database.	The way the data was held on the administration system did not enable the 3rd party to identify the members affected.	Data Protection Act 2018	Information for 330 data subjects was wrongly disclosed to the City of York Council (CYC). CYC is a trusted external organisation and information was only disclosed to a small number of staff.	A new process has been implemented so that the data can be easily identified on the database going forward. The process change has been communicated to the wider team. Veritau response - notification to the ICO is not recommended as the reporting threshold has not been reached.	N/A	N/A	26/11/2021	13/01/2022	PFC - No report PB - No report	N
28/09/2021	Administration	McCloud data sent to City of York Trading (CYT) in error for one City of York Council (CYC) employee, the employer code on our database had been set up incorrectly. The same data fields as the incident number 101008635966 are involved.	Member record created on the administration system but the wrong employer code was applied	Data Protection Act 2018	Information for one data subject was wrongly disclosed to City of York Trading Limited	The data has now been coded correctly on the administration system Veritau response - notification to the ICO is not recommended as the reporting threshold has not been reached.	N/A	N/A	26/11/2021	13/01/2022	PFC - No report PB - No report	N
28/09/2021	Administration	A member's letter was found on a printer but was not printed by member of pensions team.	Believe issue was caused by network and system issues experienced on that particular day and as a result the letter printed directly out and didn't queue.	Data Protection Act 2018	One letter produced, contained within NYCC. No other letters affected.	Letter was destroyed internally and a replacement was re-issued to the member. Reported to Veritau, awaiting outcome.	N/A	N/A	26/11/2021	13/01/2022	PFC - No report PB - No report	N

Date	Category	Description of Breach	Cause of Breach	Regulation being breached	Effect of Breach & Wider Implications	Response to Breach	Reported to DPO	DPO outcome	Referred to PFC	Referred to PB	Outcome of Referral to PFC & PB	Reported to Regulator
19/11/2021	Administration	One Pension Savings Statement (PSS) issued after statutory deadline of 6 October 2021	Record was inhibited from bulk annual allowance run whilst a query on another record was resolved	The Registered Pension Scheme Regulations 2006 Finance Act 2004	When a member receives a PSS they have to declare the tax liability to HMRC via an annual tax return. The deadline for a paper annual tax return was 31 October 2021 so the member could not use this option. However, the deadline for an online tax return is 31 January 2022.	Senior officer review of annual process	N/A	N/A	04/03/2022	13/01/2022	PB - No report PFC -	

Death Grant Payment Guidelines

January 2022

The Local Government Pension Scheme (LGPS) Regulations state that the appropriate administering authority i.e. North Yorkshire County Council (NYCC) may at their absolute discretion pay the death grant to or for the benefit of the member's nominee, personal representatives, or any person appearing to the authority to have been a relative or dependent of the member.

NYCC also exercises its duties as an administering authority via the Pension Fund Committee (PFC). The PFC has guidelines for paying deaths grants, which are:

- (a) Where a nomination has been made, payment of the death grant should normally be made to the nominee(s). However where a significant event has taken place since the nomination was made, e.g. a marriage, divorce or separation, then this is to be taken into account.
- (b) Where no nomination has been made and the member had one immediate family (i.e. a spouse, civil registered partner or dependent cohabiting partner who were not separated at the time of the member's death, with or without children), payment of the death grant should normally be made to the spouse, civil or dependent cohabiting partner.
- (c) Where no nomination has been made and the member had an immediate family (i.e. a spouse, civil registered partner or dependent cohabiting partner who were not separated at the time of the member's death, with or without children), and there are also children from a previous relationship, preference will normally be given to where dependence on the member was greatest. The death grant may be split between two or more beneficiaries.
- (d) Where no nomination has been made and there is no surviving spouse, civil registered partner or dependent cohabiting partner, or there is but the couple were separated at the time of the member's death, payment of the death grant should normally be divided in equal shares to any known children of the member, regardless of their ages. This may include step-children or those accepted as children of the member.
- (e) Otherwise payment will normally be made to the member's surviving parent(s) or sibling(s) in line with intestacy rules. Where none exists, payment will normally be made to the personal representative(s) dealing with the estate, in that capacity.
- (f) Where the Pension Fund Treasurer / Head of Pensions Administration and/or officers of the Fund with delegated decision-making responsibilities consider that the normal practices described in (a) to (e) are inappropriate, impossible or is or may be subject to objection by interested parties because:
 - (1) there is evidence that the nomination may not have represented the member's wishes immediately before death; or
 - (2) because the nominee is no longer alive or cannot be traced, or because no personal representative can be identified; or
 - (3) because representations have been received from or on behalf of potential beneficiaries requesting a different treatment; or
 - (4) for other reasons,

the decision will be referred to the PFC for a decision regarding how the death grant should be distributed among potential eligible beneficiaries as defined in the scheme rules. Prior to so determining they may invite claimants to consider if they can propose a mutually satisfactory settlement.

Consideration may be given to the reimbursement of reasonable funeral costs should these not be able to be met with funds from the members estate. Payment will be made to the claimant upon receipt of evidence of payment and will not normally be in excess of the costs outlined in the Money Advice Service's cost of funerals article.

Date	Title or Nature of Course	Mulligan P	Swiers H	Weighell J	Clark J	Portlock D	M Chambers	A Solloway	A Thompson	C Lunn	D. Mackay	*J Gillies	*C Steward	*J Cuthbertson	C. Vassie	Unison (Vacancy)	Unison (Vacancy)
25 February 2019	LGPS Members Spring Seminar - Leeds					✓											
25 April 2019	Investment Strategy Workshop- Leeds	✓	✓	✓	✓	✓	✓	✓		✓							
13-15 May 2019	PLSA Local Authority Conference, Cotswolds				✓												
24 May 2019	Manager workshop	✓	✓	✓	✓	✓	✓										
20 June 2019	Global Equity workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓							
4 July 2019	MAC Workshop	✓	✓	✓	✓	✓	✓			✓			✓				
9–10 October 2019	Baillie Gifford Conference	✓	✓	✓					✓								
10-11 October 2019	BCPP Conference	✓	✓	✓	✓	✓	✓			✓							
21 November 2019	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓			✓							
20 February 2020	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓		✓							
11-13 March 2020	PLSA Investments Conference, Edinburgh	✓															
21 May 2020	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓							
2 July 2020	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓	✓								
10 September 2020	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓		✓							
2 October 2020	BCPP Conference	✓	✓			✓	✓								✓		
12 October 2020	PLSA Conference	✓															
26 November 2020	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓		✓	✓					✓		
28 January 2021	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓		

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12 February 2021	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓		
4 March 2021	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓		✓	✓					✓		
13 May 2021	Investment Strategy Workshop	✓	✓	✓	✓		✓	✓	✓	✓	✓				✓		
18-19 May 2021	PLSA Local Authority Conference					✓											
3 June 2021	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				✓		
1 July 2021	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓		✓	✓	✓				✓		
20 July 2021	BCPP Responsible Investment	✓															
30 September/1 October 2021	BCPP Conference	✓	✓		✓	✓	✓			✓					✓		
25 November 2021	Investment Strategy Workshop		✓	✓	✓	✓	✓			✓	✓				✓		
10 February 2022	Investment Strategy Workshop	✓	✓	✓		✓	✓		✓	✓	✓				✓		

*City Of York Council Members – Ian Gillies/Chris Steward (Sub) - May 2017 to May 2019 / Ian Cuthbertson – May 2019 – May 2020 / Christian Vassie – May 2020 - present

UPCOMING TRAINING AVAILABLE TO MEMBERS

<i>Provider</i>	<i>Course / Conference Title</i>	<i>Date(s)</i>	<i>Location</i>	<i>Themes / Subjects Covered</i>
PLSA	EGS Conference	9 – 10 March 2022	Online	<p>Our EGS Conference brings together the whole of the UK pensions investment chain on the issues that matter most. The programme covers every angle of EGS. Dedicated exclusively to the pensions sector.</p> <p>The PLSAs EGS Conference 2022 will be a digital event. Our digital platform provides AI-powered matchmaking and multiple ways to connect with your peers, share insight and access thought leadership from across the industry.</p> <p>Information on the EGS Conference 2022 will be available soon.</p>
PLSA	Investment Conference	25 – 26 May 2022	Edinburgh	<p>Our Investment Conference is where CIOs, Trustees, Investment Board Members, Pension Managers, Finance Professionals and their advisors gain insight on the major trends and events effecting UK Investors and Markets. We bring the whole of the UK Pensions Investment chain together under one roof.</p> <p>More details coming soon.</p>

Provider	Course / Conference Title	Date(s)	Location	Themes / Subjects Covered
PLSA	Local Authority Conference	13 – 15 June 2022	De-Vere Cotswold Water Park Hotel, Gloucestershire	Our Local Authority Conference is the largest of its kind dedicated to Local Government Pension Scheme. It is attended by over 400 local authority officers, councillors, members of Local Pension Boards, admitted bodies and their advisors. We are excited to be returning to face-to-face event again for Local Authority Conference 2022.
PLSA	Annual Conference	12 – 13 October 2022	Liverpool ACC	The PLSA Annual Conference is the UK’s number one pensions conference, welcoming more than 1,000 pension professionals to two days of world-class keynotes, educational sessions, and topic deep-dives.

Hymans Robertson package (Aspire) of on-line training can now be utilised by Members - “bite-size” sessions that can be dipped in and out of at Members convenience. The training modules are as follows:-

- 1: Introduction to the LGPS - Stakeholders; local arrangements for committees, boards, officers and advisers; regulatory framework.
- 2: Governance and oversight - Legislation and guidance; policy documents; roles and responsibilities of committees and board members; Code of Practice 14; pensions administration overview; Government oversight bodies; business plans.
- 3: Administration and fund management - Pension benefits and contributions; service delivery; administration and communication strategies and policy documents and processes; annual report and accounts; procurements.
- 4: Funding and actuarial matters - Role of the actuary; the funding strategy; valuations; employer issues; actuarial assumptions.
- 5: Investments - Investment strategy, asset class characteristics and investment markets; pooling investments; monitoring performance of investments and advisers; responsible investment.
- 6: Current issues - LGPS reform; McCloud; Goodwin; cost sharing.

PENSION FUND COMMITTEE TIMETABLE FOR MEETINGS IN 2022/23

Meeting Date	Time & Venue	Event	Fund Managers
26 May 2022	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
27 May 2022	10 am, TBC	Pension Fund Committee	
30 June 2022	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
1 July 2022	10 am, TBC	Pension Fund Committee	
8 September 2022	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
9 September 2022	10 am, TBC	Pension Fund Committee	
24 November 2022	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
25 November 2022	10 am, TBC	Pension Fund Committee	
2 March 2023	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
3 March 2023	10 am, TBC	Pension Fund Committee	