

North Yorkshire County Council

Pension Fund Committee

25 November 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 30/06/2022	+/- Change (%)	At 30/09/2022
Active	30,572	-0.35%	30,465
Deferred	39,244	+0.23%	39,334
Pensioner (incl spouse & dependant members)	27,687	+1.24%	28,035
Total	97,503		97,834

3.2. Throughput Statistics

- Period from 1 July 2022 to 30 September 2022

Case type	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	10	19	17	12
Transfer Out quotes	61	168	172	57
Employer estimates	4	40	41	3
Employee estimates	19	70	74	15
Retirement quotes	31	574	505	100
Preserved benefits	142	901	949	94
Death in payment or in service	95	341	329	107
Refunds	44	372	361	55
Actual retirement procedure	648	854	1,058	444
Interfund transfers	200	225	250	175
Aggregate member records	200	1,010	935	275
Process GMP	0	0	0	0
Others	199	131	148	182
Total Cases	1,653	4,705	4,839	1,519

- As well as processing the above cases, the Pensions team also handled 2,022 phone calls (average 39 per working day) and 8,382 emails received via the Pensions Inbox (average 129 per working day) in the quarter to 30 September 2022.

3.3. Performance Statistics

- The performance figures for the period 1 July 2022 to 30 September 2022 are as follows:

Performance Indicator	Target in period	Achieved
Measured work completed within target	98%	88%
Customers surveyed ranking service good or excellent	94%	97%
Increase numbers of registered self-service users by 700 per quarter (total registered users 38,886)	700	1314

- Our Measured work completed within target rating has dropped this quarter and we are investigating the root cause in order to ensure this is improved and there are no underlying administration issues that need addressing. Some of the reduction has been caused by staff not fully understanding how cases should be put 'on hold' when queries are raised with employers or other 3rd parties meaning the cases incorrectly show as having breached their SLA. Refresher training has been provided.
- We also always see a spike in demand following the issuing of annual benefit statements and that again impacts on resource availability within the team.
- Our priority continues to be to pay member benefits promptly.

3.4. Commendations and Complaints

- This quarter the following commendations and complaints were received:

Commendations

Date	Number	Summary
Jul	2	Thank you again for your valued and excellent support and guidance
Aug	5	Professional and friendly
Sep	1	Excellent service

Complaints

Date	Number	Summary
Jul	3	Regs - lost right to refund from previous fund on re-joining Local Government Pension Scheme IHER – 2 x IHER being declined
Aug	2	Admin – overquoted benefits at retirement due to the way pay data had been loaded to the system IHER – IHER being declined
Sep	0	

- 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 no patterns identified requiring further attention. We have addressed the issue regarding the way the pay data had been loaded as this relates to the roll out of i-Connect and was a knowledge gap within the team.

3.5. **Annual Benefit Statements 2022**

All Deferred member statements have been produced and member have been notified.

98.45% (29,021/29,477) of active statements have now been produced.

Of the 456 active statements outstanding:

435 are not due a statement:

383 - have an outstanding piece of work within administration

52 – have a data error marker on record which is undergoing investigation and correction

21 – pending further investigations as to why statement has not been produced, we continue to work through these

3.6. **Breaches Policy & Log**

The North Yorkshire Pension Fund's Breaches Log is included at **Appendix 2** for review. There are two new entries relating to the late provision of the 2021 Pension Savings Statements to five recipients and not issuing 100% of annual benefit statements by 31 August 2022.

We have submitted a report to HMRC advising of the late issuing of the Pension Saving Statements. HMRC then reviewed the past 5 years and this resulted in a penalty notice being issued.

To prevent this issue recurring we have undertaken a review of the annual process and made amendments to both the annual and ongoing daily processes to reduce the number requiring investigation at year end and so similar cases can be identified early and further breaches prevented.

3.7. **Business Plan Update**

In the NYPF 2022/23 – 2024/25 Business Plan 16 key actions for the 2022/23 year were identified and approved by Members in the March 2022 Committee meeting. It was agreed that officers would provide a progress report against these key actions, this progress report is attached as **Appendix 3**.

4. **Issues and Initiatives**

4.1. **Administration System**

We continue to make progress with both the i-Connect rollout and the new website:

- We now have 104 employers onboarded, covering circa 20,000 active members.
- CYC has been fully on-boarded to i-Connect and they are submitting their own monthly files now.
- We are still trying to get NYCC up to date so that we can hand over the monthly submissions to the payroll team.
- Website development continues with great progress being made on the employer site.

4.2. **Payroll Enhancements**

We have just started work with our software provider to implement the next phase of the payroll functionality. This functionality will reduce processing time and remove a large amount of manual intervention that is still required currently. This in turn will reduce the risk of errors being made. It is anticipated this functionality will be implemented in January 2023.

4.3. **McCloud**

The third party supplier has formatted and validated the data which has resulted in the identification of a large number of errors. We are working through correcting as many of these as we can before the data is loaded into our test environment.

This test load will identify further errors which will need to be worked through again before we can approve the data for load into the live member records. The manual work on the NYCC & CYC data files continues

5 **Broadacres**

Broadacres Housing Association (BHA) have paused the redesignation following the recent mini-budget to take stock of the anticipated liabilities arising from their LGPS pension strategy. We await further information and instruction.

6 **Governance Documents**

The Funding Strategy Statement changes were approved by the Chief Executive under his emergency powers on 21 September 2022 following the cancellation of the September meeting due to the death of her majesty Queen Elizabeth.

This document has now been issued to employers for consultation which ends on 24 November 2022.

7 **Member Training**

The Member Training Record showing the training undertaken to March 2022 is attached as **Appendix 4**. Please contact Stephen Loach (01609 532216 or email stephen.loach@northyorks.gov.uk) with any details of training undertaken or conferences attended and these will be added to the training record. Consideration has been given to undertaking the Hymans Knowledge Assessment, however, it was determined that it feels too early, at this stage, for this. Members are encouraged to complete the Hymans online modules on offer and then an assessment will be undertaken as to whether there are knowledge gaps to fill.

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 currently limited due to the pandemic.

Given the start of a new Committee, further training has been devised to help with the induction of new Members and the creation of a new team. The views of Members will be sought as we progress through this approach but, given the technical nature of some of the areas of responsibility, there will be a significant number of training events and it will be suggested that on-line training is made mandatory for all Members. It is recognised however that this will need to be done proportionately and over a period of time.

8 **Meeting Timetable**

The latest timetable for forthcoming meetings of the Committee and Investment Manager meetings is attached as **Appendix 6**.

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.

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

17 November 2022

Academy Conversions – 14 ‘in progress’

Name of School	Local Authority	Multi Academy Trust (MAT) Name	Target Conversion Date	Current Position
Dacre Braithwaite CE Primary School Fountains CE Primary Grantley School Grewelthorpe CE Primary School Holy Trinity Infant CE Infant School Holy Trinity Infant CE Junior School	NYCC	Leeds Diocesan Learning Trust	1.9.2022	Completed
Roeccliffe Primary School	NYCC	Leeds Diocesan Learning Trust	1.10.2022	Completed
Oakridge Community Primary School	NYCC	Yorkshire Endeavour Academy Trust	1.10.2022	Completed
Milton Community Primary School	NYCC	Hull Collaborative Academy Trust	1.1.2022	Completed
St Margaret Clitherow Catholic Academy Trust closure		The Trust closed on 31.8.2022. The academies within the Trust transferred to Nicholas Postgate Catholic Academy Trust (an existing Trust in the Fund) and St Cuthbert’s Roman Catholic Academy Trust (a new Trust)	31.8.2022	Completed
St Cuthbert’s Roman Catholic Academy Trust		A new Trust (see above)	1.9.2022	Completed
Carleton Endowed CE Primary School Kirby Hill Primary School	NYCC	Leeds Diocesan Learning Trust	1.11.2022 1.12.2022	In progress
South Kilvington CE VC Primary School	NYCC	Elevate Multi Academy Trust	1.11.2022	In progress
St Barnabas Church of England VC Primary School	COYC	Pathfinder Multi Academy Trust	1.12.2022	In progress

Name of School	Local Authority	Multi Academy Trust (MAT) Name	Target Conversion Date	Current Position
Brompton Hall Special School	NYCC	Venn Academy Trust	1.12.2022 or 1.2.2023 TBC	In progress
Norton College		Evolution Schools Learning Trust transferring to the Ryedale Learning Trust	1.1.2023	In progress
Ripley Endowed CE VC Primary School	NYCC	Elevate Multi Academy Trust	TBC	In progress
Beckwithshaw CP School	NYCC	Elevate Multi Academy Trust	TBC	In progress
Kettlesing Felliscliffe Primary School	NYCC	Elevate Multi Academy Trust	TBC	In progress
Middleham CE VA Primary School (NYCC)	NYCC	Possibly Dales Academies Trust	TBC	Will be progressed when conversion date known
Spannithorne CE VC Primary School (NYCC)	NYCC	Possibly Dales Academies Trust	TBC	Will be progressed when conversion date known
St Wilfrid's Catholic 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
Mill Hill Primary School	NYCC	Possibly with Arête Learning Trust	1.2.2023	Will be progressed when conversion date known

Admission Bodies - 13 'in progress'

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
Pathfinder MAT Badger Hill Primary	Hutchison Catering Limited	1.5.2022	Complete
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 Bishophorpe Infant School	Mellors Catering Services Limited	1.1.2022	In progress
Outwood Grange Academies Trust Outwood Academy Ripon	ISS Mediclean Limited	1.1.2022	In progress
The Rodillian Trust CO Bryton Academy	Aspens Services Limited	8.4.2022	In progress
North Yorkshire Fire & Rescue Service (cleaning contract)	Atlas FM Limited	29.4.2022	In progress
Coast & Vale Learning Trust Filey School	Hutchison Catering Limited	1.6.2022	In progress
South Bank Multi Academy Trust Carr Junior School Millthorpe School York High School	Bulloughs Cleaning Services Ltd	1.8.2022	In progress
NYCC Burton Salmon Primary School	Mellors Catering Services Limited	1.9.2022	In progress
NYCC Chapel Haddlesey Primary School	Mellors Catering Services Limited	1.9.2022	In progress
NYCC Barwic Parade Community Primary School	Mellors Catering Services Limited	1.9.2022	In progress

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
Selby Educational Trust Selby Community Primary School Carlton Primary School	Mellors Catering Services Limited	1.9. 2022	In progress
Elevate MAT Caretaking and cleaning contract	SBFM Limited	1.9.2022	In progress
South Bank Multi Academy Trust Scarcroft School	Bulloughs Cleaning Services Ltd	1.1.2023	Will be progressed nearer the time

Exited Employers – 26

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
CD Consultant Cleaners a g o	31.10.2018 (voluntary liquidation)
The Wilberforce Trust 19	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
Hexagon Care Services Limited	6.8.2021
Sanctuary Housing Association	20.12.2021
Atalian Servest Food Co Limited	31.12.2021
Eco Cleaning and Environmental Services	31.12.2021
4 Site Security Services Limited	11.4.2022
Welcome to Yorkshire	14.4.2022
Lifeways Community Care Limited	31.7.2022

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 - Nov 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 & 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 targetted 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, teh 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 iPR. Confirmed by email 01/03/2021 no need to report to iPR. 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.	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)		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 services (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		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	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		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 - No report	N
22/02/2022	Administration	5 letters were included in the same envelope to a single recipient who was the next of kin of a deceased member	Staff member on post duty did not follow the agreed process	Data Protection Act 2018	Accidental disclosure of personal data for 4 members to another. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient confirmed destruction of 4 letters received in error. Staff reminded again of correct process to follow. Staff involved spoken to directly. Alternative printing and posting arrangements being investigated. Reported to Veritau. They assessed it as Low risk level and did not need to be reported to the ICO.	N/A	N/A	27/05/2022	07/04/2022	PB - No report PFC - No report	N
28/07/2022	Administration	5 Pension Savings Statements (PSS) issued after statutory deadline of 6 October 2021	Records were not selected in the bulk annual allowance process as the year end pay information used in the calculation had not been updated on the records	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. None of the members have advised if they have a tax charge yet, there could possibly be two. The deadline for an online tax return was 31 January 2022 so affected members will need to contact HMRC.	Senior officer review of annual process. Has been established the cause of the breach different to previous breach in 2020. Process amended so that future similar cases can be identified earlier in the process.	N/A	N/A	09/09/2022	06/10/2022	PFC - PB - No report	
31/08/2022	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	120 – have outstanding year end tasks 201 – have "other" outstanding administration tasks on record 56 – are x'd out, no outstanding task, prohibits statement creation due to error on record 295 – pending further investigations as to why statement not produced	Reg 89 of LGPS Regs 2013	100% of Deferred members received a statement. 97.73% of Active members received a statement. (672 members did not of which only 295 were eligible to receive one)	Of the 672 active members missing a statement only 351 are eligible to receive one. These are being worked through to identify what is required to enable statement to be produced.	N/A	N/A		06/10/2022	PFC - PB - No report	

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NYPF 2022/2025 Business Plan Update November 2022

Appendix 3

RAG rating:

Green – completed or not yet due

Orange – ongoing, carried forward to 2023/24

Red – outstanding, overdue

Key Activity		Owner
Funding	Head of Investments / Head of Pensions Administration / Senior Accountant	
Action	Timescale	Progress Update
2022 Valuation	Q4 2022/23	In progress – All data provided to Actuary. Initial results being received and distributed to employers. Employer valuation webinars organised.
Funding Strategy Statement	Q4 2022/23	In progress - Funding Strategy Statement reviewed and updated. Issued to employers for consultation.
Key Activity		Resource
Investment	Head of Investments	
Action	Timescale	Progress Update
Investment Strategy Review	Q4 2022/23	This was originally planned for Q4. Subsequently the intention was to bring this forward a quarter, however we have reverted to the original plan given the recent and ongoing unusual level of market volatility.
Responsible Investment	Q4 2022/23	Preparation for TCFD (Task Force for Climate Related Financial Disclosures) has commenced. The Government's is consulting on the requirements with a closing date of 24 November. A draft NYPF response will be circulated to the Committee before that date. TCFD reporting is expected to commence in December 2024.
Responsible Investment	Q2 2022/23	The response to the FRC (Financial Reporting Council) for the Stewardship Code has been delayed due to other work pressures. The next FRC deadline is 30 April.
Responsible Investment	Q3 2022/23	The approach to responsible investment with a focus on climate change will be reviewed at the workshop on 24 November.
Pooling	Q3 2022/23	The final steps in the review of the suitability of Border to Coast's global property fund will take place in Q3 and Q4, slightly later than expected due to the fund launch process slipping a few months. The UK fund will be reviewed in 2023/24.
Operations	Q2 2022/23	Custody arrangements and performance measurement arrangements with Northern Trust are operating satisfactorily.
Key Activity		Resource
Governance	Head of Investments / Head of Pensions Administration	
Action	Timescale	Progress Update
SAB Good governance project	Q4 2022/23	Not yet started – Still awaiting DLUHC's response.
TPR Single Code of Practice	Q2 2022/23	Not yet started – Still awaiting the single code.
PFC & Pension Board Member training	Q4 2022/23	In progress – new Members have been inducted. Hymans online learning academy made available. Training plan being developed and training being provided.

**NYPF 2022/2025 Business Plan Update November 2022
Continued**

Key Activity		Resource
Administration		Head of Pensions Administration
Action	Timescale	Progress Update
Pension scams	Q2 2022/23	Complete – statutory requirements being met. Signed up to TPR’s pledge and scam warnings included in all transfer literature.
McCloud remedy	Q4 2022/23	In progress – progress is slow and unlikely to be completed in this financial year. We will continue to progress this to it’s conclusion. Still awaiting industry recommended solution for missing data cases.
Cyber Security	Q2 2022/23	Complete – NYCC T&C delivered presentation on cyber security measures to Pension Board. Unable to obtain pension fund specific reports.
Key Activity		Resource
Business Improvement		Head of Pensions Administration
Action	Timescale	Progress Update
Enhanced payroll functionality	Q2 2022/23	In progress – initial work being undertaken. Functionality should be live by Q4.
Complete rollout of employer portal	Q4 2022/23	In progress – 104 employers on-boarded to date covering circa 20,000 members. Rollout continues.
Complete website redevelopment	Q3 2022/23	In progress – progress has been slow due to complexities of developing online e-forms for employers to complete. These are nearing completion and the speed of delivery should now improve.
Administration service review	Q1 2022/23	Complete – review undertaken and additional resource approved. Team structure updated and new positions filled where possible. Final cohort of recruitment to be undertaken Q3.

Date	Title or Nature of Course	Mulligan P	Weighell J	Portlock D	A Thompson	C. Vassie	#. C. Les	#. S. Gibbs	#. G. Jabbour	#. C. Lunn	#. D. Noland	#. A. Williams	#. M. Walker	#. N. Swannick	Unison (Vacancy)	Unison (Vacancy)
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	✓	✓	✓	✓	✓				✓						
3 March 2022	Investment Strategy Workshop	✓	✓	✓	✓	✓				✓						
26 May 2022	Asset Allocation Workshop	✓	✓	✓	✓	✓			✓			✓	✓	✓		
30 June 2022	Asset Allocation Workshop		✓	✓				✓	✓		✓	✓	✓	✓		
8 September 2022	Asset Allocation Workshop	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓		
28/29 September 2022	BCPP Annual Conference	✓		✓						✓	✓			✓		
12/13 October 2022	PLSA Conference	✓														
9/10 November 2022	Baillie Gifford – Annual Investment Conference	✓			✓	✓										

- Appointed to the Committee following May 2022 elections.

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UPCOMING TRAINING AVAILABLE TO MEMBERS

Provider	Course / Conference Title	Date(s)	Location	Themes / Subjects Covered
LGA	LGPS Governance Conference	19 - 20 January 2023	Cardiff (Venue details tbc) or online	<p>The programme includes sessions on:</p> <ul style="list-style-type: none"> • Scheme Advisory Board update • A member and employer view • Legal update • Responsible investment • Fund valuations 2022 • The administration challenge • An update from DLUHC • Investment outlook
PLSA	ESG Conference	Spring 2023 - over 2 days	On-line	Details to be released shortly.
SPS	SPS Local Authority Pension Fund Investment: Current Issues Update	14 March 2023	The View at the Royal College of Surgeons, London	This conference, designed for representatives of local authority funds and pools, seeks to explore a variety of investment strategies/solutions, both public and private, designed to best help local authority pension funds to meet their specific investment requirements and stewardship responsibilities, such as: delivering growth; providing income; managing cashflows; improving returns, managing risk and climate change & responsible investment obligations.

Provider	Course / Conference Title	Date(s)	Location	Themes / Subjects Covered
PLSA	Investments Conference	6 – 8 June 2023	EICC, Edinburgh	The Investment Conference is where CIOs, trustees, investment board members, pension managers, finance professionals and their advisers gain insight on the major trends and events affecting UK investors and markets. We bring the whole of the UK pensions investment chain together under one roof.
PLSA	Local Authority Conference 2023.	26 – 28 June 2023	Cotswold Water Park in Gloucestershire Local Authority Conference 2023.	The Local Authority Conference is the largest of its kind dedicated to the Local Government Pension Scheme. It is attended by over 300 local authority officers, councillors, members of Local Pension Boards, admitted bodies and their advisers.
SPS	SPS LGPS Sustainable Investment & Topical Issue Conference	19 October 2023	The View at the Royal College of Surgeons, London	This conference aims to examine a range of property, infrastructure and other real asset investment strategies and explore the ways pension funds can use them to meet their scheme specific goal requirements such as stable and sustainable returns, risk management and diversification. We will also consider how recent and prevailing conditions have impacted performance and prospects, and to include key practical considerations such as liquidity, ESG/impact/climate requirements and cost and implementation issues.

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.

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PENSION FUND COMMITTEE TIMETABLE FOR MEETINGS IN 2022/23

Meeting Date	Time & Venue	Event	Fund Managers
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	

PROPOSED TIMETABLE FOR MEETINGS IN 2023/24

Meeting Date	Time & Venue	Event	Fund Managers
25 May 2023	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
26 May 2023	10 am, TBC	Pension Fund Committee	
29 June 2023	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC

30 June 2023	10 am, TBC	Pension Fund Committee	
7 September 2023	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
8 September 2023	10 am, TBC	Pension Fund Committee	
23 November 2023	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
24 November 2023	10 am, TBC	Pension Fund Committee	
29 February 2024	10 am, TBC	Pension Fund Workshop	Representative of BCPP and / or Fund Manager TBC
1 March 2024	10 am, TBC	Pension Fund Committee	