

# North Yorkshire County Council

## Pension Fund Committee

15 September 2023

### 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 31/03/2023	+/- Change (%)	At 30/06/2023
Active	30,948	-1.69%	30,424
Deferred	40,160	+0.48%	40,352
Pensioner (incl spouse & dependant members)	28,702	+1.99%	29,286
<b>Total</b>	<b>99,810</b>		<b>100,062</b>

##### 3.2. Throughput Statistics

- Period from 1 April 2023 to 30 June 2023

Case type	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	10	28	15	23
Transfer Out quotes	43	100	109	34
Employer estimates	0	62	62	0
Employee estimates	4	154	154	4
Retirement quotes	14	889	893	10
Preserved benefits	2,273	1,315	2,602	986
Death in payment or in service	139	431	472	98
Refunds	11	256	252	15
Actual retirement procedure	538	632	704	466
Interfund transfers	340	681	560	461
Aggregate member records	12	33	41	4
Process GMP	0	0	0	0
Others	196	256	278	174
<b>Total Cases</b>	<b>3,580</b>	<b>4,837</b>	<b>6,142</b>	<b>2,275</b>

- As well as processing the above cases, the Pensions team also handled 2,065 phone calls (average 44 per working day) in the quarter. Unfortunately, due to changes in the way NYC archive emails we are no longer able to obtain statistics for the number of emails handled by the administration team.

### 3.3. Performance Statistics

- The performance figures for the period 1 April 2023 to 30 June 2023 are as follows:

Performance Indicator	Target in period	Achieved
Measured work completed within target	98%	97%
Customers surveyed ranking service good or excellent	94%	94%
Increase numbers of registered self-service users by 700 per quarter (total registered users 42,476)	700	1,025

- Our measured work completed within target rating has improved again this quarter and we continue to focus on this improvement.
- Our targeted leavers project has finished and the team managed to reduce our backlog to under 3 months, clearing in excess of 4,500 additional cases on top of the normal day to day work.

### 3.4. Commendations and Complaints

- This quarter the following commendations and complaints were received:

#### Commendations

Date	Number	Summary
Apr	3	They were patient and kind. It was very helpful to be able to easily speak to a person, unlike so many organisations.
May	11	All in all excellent and quick all done within 4 weeks, well done pensions department. Staff extremely polite and knowledgeable.
June	2	It was a great help, I was very pleased with the response.

#### Complaints

Date	Number	Summary
Apr	0	
May	3	IHER – Appeal against tier of IHER awarded Admin – Delays caused by Prudential disinvestment of AVCs Admin – Delays in processing IHER caused by employer
June	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.

### 3.5. Annual Benefit Statements 2023

The Deferred annual benefit statements were published online on 4 July 2023 with paper copies being sent the following week to those members who have requested one. 100% of deferred statements have been issued.

The Active annual benefit statements were published online on 25 July 2023 with paper copies being sent on 11 August 2023 to those members who have requested one. The current position with the active statements is:

#### **28,805 / 29,677 statements issued (97.06%)**

872 eligible active records without an annual benefit statement of which:

- 345 have an outstanding task on record
- 89 have a benefit calculation withheld marker on record
- 438 reason unknown

These 872 will be investigated by the team in the coming weeks to establish whether a statement can be generated or not.

We have managed to produce the statements a month earlier than normal as we are already starting to feel the benefit of having employers submitting data monthly via i-Connect.

### 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 in the quarter to 30 June 2023. Both were accidental disclosures of data for a single member, one by email and one caused by an issue in the print unit. Veritau have confirmed the second breach has been recorded against the print unit and not the pensions team. It is included on the log for completeness.

Alongside the above a vulnerability was identified with two calculators we had on the Fund's website which, although password protected, could be relatively easily hacked and personal data accessed. The calculators have now been removed.

## 4. Issues and Initiatives

### 4.1. Ongoing projects

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

- We now have 144 employers onboarded to i-Connect with 85 remaining. The rollout will recommence now the bulk of the year end work is completed.
- Website development continues with the focus on getting the employer site fully configured before we go live. We are now at the testing stage with pensions staff and a select few employers.

### 4.2. New logo

As part of the development of our new website we've also refreshed our branding and logo. We've stayed with our existing colour palette but have changed the logo and the design. Included at **Appendix 3** is the brand concept document for our new logo which is shown below.



### 4.3. LGR

We are continuing to resolve issues with the year-end data received from three of the former districts and boroughs before we are able to fully update member records. The TUPE letters were issued before the end of June to all affected members.

#### 4.4. **McCloud**

There has been a change of approach to loading the data back into member records following the load of the data into Test. A fully manual approach is required with a small project team being established. Work has commenced on getting the in scope records updated as accurately and as quickly as possible.

Regulations are still awaited to finalise the approach for some specific scenarios and these are not expected until late Autumn.

#### 5 **Member Training**

The Member Training Record showing the training undertaken to March 2023 is attached as **Appendix 4**. Please contact Stephen Loach (01609 532216 or email [stephen.loach@northyorks.gov.uk](mailto: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 Qingzi Bu (01609 535851) or email [qingzi.bu@northyorks.gov.uk](mailto:qingzi.bu@northyorks.gov.uk) for further information or to reserve a place on an event.

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.

#### 6 **Meeting Timetable**

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

#### 7 **Recommendations**

- 7.1 Members to note the contents of the report.
- 7.2 Members to note the contents of the Breaches log and determine whether a report should be made to the Pensions Regulator.

Gary Fielding  
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NYCC  
County Hall  
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07 September 2023