

## North Yorkshire Council

## Pension Fund Committee

6 March 2026

## 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 30/09/2025	+/- Change (%)	At 31/12/2025
Active	29,897	+2.25%	30,585
Deferred	38,520	-0.09%	38,486
Pensioner (incl spouse & dependant members)	34,153	+1.23%	34,578
<b>Total</b>	<b>102,570</b>		<b>103,649</b>

**3.2. Throughput Statistics**

- Period from 1 October 2025 to 31 December 2025

Case type	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	6	28	26	8
Transfer Out quotes	26	126	137	15
Employer & employee estimates	131	700	629	202
Retirement quotes	50	439	448	41
Preserved benefits	1,471	4,104	3,816	1,759
Death in payment or in service	177	452	480	149
Refunds	120	326	291	155
Actual retirement procedure	585	851	1,036	400
Interfund transfers	673	1,180	1,053	800
Aggregate member records	67	326	306	87
Others	427	2,712	2,813	326
<b>Total Cases</b>	<b>3,733</b>	<b>11,244</b>	<b>11,035</b>	<b>3,942</b>

- As well as processing the above cases, the Pensions team also handled 1,773 phone calls (average 37 per working day) in the quarter.

### 3.3. Performance Statistics

- The performance figures for the period 1 October 2025 to 31 December 2025 are as follows:

Performance Indicator	Target in period	Achieved
Measured work completed within target	98%	96%
Customers surveyed ranking service good or excellent	94%	99%
Increase numbers of registered self-service users by 700 per quarter (total registered users 58,370)	700	1,541

- We continue to focus on completing all our work within target and encouraging sign up for member self-service.

### 3.4. Commendations and Complaints

- This quarter the following commendations and complaints were received:

#### Commendations

Date	Number	Summary
Oct	4	The team are superb Fantastic customer service
Nov	1	NYPF stands head and shoulders above everyone
Dec	1	Members of staff were knowledgeable, polite, friendly and professional

#### Complaints

Date	Number	Summary
Oct	2	Admin – complaint about reduction in benefits at retirement due to data being incorrect IHER – complaint against employer for declining ill health application
Nov	1	IHER – complaint about pay provided by the employer for pension calculation
Dec	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. However, an audit and cleanse is underway to ensure any historic data that is used for calculation of CARE benefits is accurate.

### 3.5. **Annual Benefit Statements 2026**

Work has now finished on the 2025 annual benefit statement exercise, and we have commenced preparatory work for the 2026 exercise. Following the launch of the new member self-service portal in January the benefit statements will now be displayed on screen. Members can download a PDF version if they want and any member that wants a paper copy will continue to be provided with one.

### 3.6. **Breaches Log**

Included at **Appendix 2** is the North Yorkshire Pension Fund's Breaches Log for review. There are no new entries this quarter.

## 4. **Issues and Initiatives**

### 4.1. **Triennial Valuation**

The 2025 triennial valuation is nearing completion with the Actuary expected to provide the final valuation report and Rates and Adjustments Certificate within the next few days. Employers will be advised of the new rates and payments will be monitored to ensure they are being used.

### 4.2. **McCloud**

We are working through the rectification phase and have corrected 52 pensioner records to date with a further 193 to pay. These are being phased over a few months, so we have time to update records and add to payroll before each month's payroll cut-off date.

Once these are completed, we will start work on the rectification stage for deceased members and transfers out, of which there are 199 on the initial list.

### 4.3. **Regulation changes**

Several scheme changes are expected in the early part of this year following the Fit for the Future, Access and Fairness and Access and Protection consultations. As soon as we receive guidance from the Local Government Association, we will create a project team to identify the affected members and make the required changes to benefits.

## 5. **Member Training**

The Member training record showing the training undertaken up to the end of the relevant quarter is attached as **Appendix 3**.

Please contact David Smith on 01756 706235 or email [david.smith1@northyorks.gov.uk](mailto:david.smith1@northyorks.gov.uk) with any details of training undertaken or conferences attended, and these will be added to the training record.

Upcoming courses, seminars and conferences available to Members are set out in the schedule attached as **Appendix 4**.

Please contact the team on email [pensionfund@northyorks.gov.uk](mailto:pensionfund@northyorks.gov.uk) for further information or [DemocraticServices.Central@northyorks.gov.uk](mailto:DemocraticServices.Central@northyorks.gov.uk) or [david.smith1@northyorks.gov.uk](mailto:david.smith1@northyorks.gov.uk) to reserve a place on an event.

## 6. **Meeting Timetable**

The latest timetable for forthcoming meetings of the Committee is attached as **Appendix 5**.

## 7. **Recommendations**

8.1 Members to note the contents of the report.

8.2 Members to note the contents of the Breaches Log.

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

25 March 2026

Name of School	Local Authority	Multi Academy Trust (MAT) Name	Target Conversion Date	Current Position
Coast & Vale Learning Trust		Merger with Delta Academies Trust	1.9.2025	Complete
Springwater School	NYC	Ascent Academies Trust	1.11.2025	Complete
South York Multi Academy Trust		Merger with STAR Multi Academy Trust to create the Yorkshire Learning Trust	1.9.2025	In progress
Masham CE VA Primary School	NYC	Yorkshire Causeway Schools Trust	1.2.2026	In progress
Hensall Community Primary School	NYC	Pathfinder MAT	1.2.2026	In progress
Embsay CE Primary School	NYC	Yorkshire Causeway Schools Trust	1.4.2026	In progress
Sharow CE Primary School	NYC	Yorkshire Causeway Schools Trust	TBC	Will be progressed nearer the time
Gargrave CE Primary School	NYC	Yorkshire Causeway Schools Trust	TBC	Will be progressed nearer the time
St Barnabas Church of England VC Primary School	COYC	Pathfinder Multi Academy Trust	TBC	Will be progressed when conversion date confirmed
Scarborough Pupil Referral Service	NYC	Possibly with Venn Academy Trust	TBC	Will be progressed when conversion date and academy trust confirmed
Ebor Academy Trust	-	Merger with Nexus Multi Academy Trust	TBC	Will be progressed when merger has been confirmed
Whitby School	NYC	Possibly with Wonder Learning Partnership	TBC	Will be progressed when conversion date and academy trust confirmed
Gladstone Road Primary School	NYC	Possibly with Delta Academies Trust	TBC	Will be progressed when conversion date and academy trust confirmed

**Admission Bodies - 3 'in progress'**

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
<b>Pathfinder Multi Academy Trust</b> Chapel Haddlesey Primary School	Hutchison Catering Ltd	19.7.2025	Complete
<b>Excel Learning Trust</b> Knavesmire Primary School	Bulloughs Cleaning Services Ltd	1.10.2025	Complete
<b>Outwood Grange Academies Trust</b> Outwood Academy Ripon	ISS Mediclean	9.8.2025	In progress
<b>North Yorkshire Council</b> Hensall Primary School	Kids Corner Barlow Ltd	1.9.2025	In progress
<b>Northern Star Academies Trust</b> All schools	Aspens Services Limited	1.1.2026	In progress

**Exited Employers – 39**

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
Streamline Taxis Limited	28.5.2021

Name of Employer	Date exited the Fund
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
Elite 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
Absolutely Catering Limited	25.7.2023
Atlas Facilities Management Limited	6.10.2023
York Archaeological Trust	31.1.2024
Urbaser Limited	31.3.2024
SBFM Limited	31.3.2024
Northallerton and Romanby Burial Board	31.3.2024
Churchill Contract Services Limited	31.3.2024

Name of Employer	Date exited the Fund
University of Hull	31.5.2024
Synergy FM Limited	14.6.2024
Compass Contract Services (U.K.) Limited	31.8.2024
Inspiring Healthy Lifestyles (Wigan Leisure & Culture Trust)	31.8.2024
Premier Support Services Limited	31.10.2024
Brimhams Active Limited	30.11.2024
Richmondshire Leisure Trust	28.2.2025
Barnsley Norse	31.8.2025

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 statments 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 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, 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 - 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 - No report PB - No report	N
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	25/11/2022	06/10/2022	PFC - No report PB - No report	N
04/11/2022	Administration	2 Pension Savings Statements (PSS) issued after statutory deadline of 6 October 2021	Human error. One record had a data error which resulted in the PSS being suppressed but when issue was fixed the marker wasn't removed. Relevant tax year 18/19 One record had been updated incorrectly following receipt of a transfer from another Fund. Relevant tax year 19/20	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.	Training for wider administration team is already scheduled so errors like these can be prevented and corrective action taken at the time rather than being left to year end.	N/A	N/A	25/11/2022	12/01/2023	PFC - No report PB - No report	N
11/11/2022	Administration	One member's documentation was sent in error, password protected, to another Fund.	Human error. The wrong attachment was added to the email.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to staff at another Fund. It is highly unlikely that the recipient knows the person whose information was disclosed.	Other Fund deleted email and attachment. Reported to Veritau. They assessed is as Very Low risk - minimal risk of any detriment to the data subject & sent to a trusted partner organisation	N/A	N/A	25/11/2022	12/01/2023	PFC - No report PB - No report	N
17/04/2023	Administration	Email querying pay and CARE was sent to the wrong Adam. It contained name, NINO & Pay information. Recipient is a senior officer at CYC.	Human error	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to staff at another employer. It is highly unlikely that the recipient knows the person whose information was disclosed.	Requested recipient to delete email Reported to Veritau	N/A	N/A	15/09/2023	06/07/2023	PFC - No report PB - No report	N
05/06/2023	Administration	A member received another member's pension payslip in the same envelope as her own. The envelope wasn't sealed either.	Machine jam and human error in the print unit. Not checking the machine was fully cleared before restarting the print and insert process.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another member. It is highly unlikely that the recipient knows the person whose information was disclosed.	Recipient posted payslip on. Made print unit aware of error and received confirmation of refreshed instructions to the print team. Reported to Veritau Veritau have confirmed it has been classed as a print unit breach	N/A	N/A	15/09/2023	06/07/2023	PFC - No report PB - No report	N
01/09/2023	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	114 – have outstanding year end tasks 268 – have “other” outstanding administration tasks on record	Reg 89 of LGPS Regs 2013	100% of Deferred members received a statement. 98.71% of Active members received a statement. (382 members did not, of which only 114 were eligible to receive one)	Of the 382 active members missing a statement only 114 are eligible to receive one. These are being worked through to identify what is required to enable a statement to be produced.	N/A	N/A	24/11/2023	26/10/2023	PFC - No report PB - No report	N
08/09/2023	Administration	Email was sent to a member with a password protected attachment but the document was for another member.	Human error	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another member. It is highly unlikely that the recipient knows the person whose information was disclosed.	Requested recipient to delete email Reported to Veritau	N/A	N/A	24/11/2023	26/10/2023	PFC - No report PB - No report	N
07/10/2023	Administration	1 Pension Savings Statements (PSS) issued after statutory deadline of 6 October 2022	Human error. Error in manual calculation of Annual Allowance at retirement.	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. This member has sufficient carry forward from previous years so we believe there is no tax charge due. The deadline for an online tax return was 31 January 2023 so the affected member will need to contact HMRC.	Refreshers training for retirement team for the specific scenario applicable in this case.	N/A	N/A	24/11/2023	11/01/2024	PFC - No report PB - No report	N
06/09/2024	Administration	1 Pension Savings Statements (PSS) issued after statutory deadline of 6 October 2023	Human error. Record not fully updated when an interfund in was completed.	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. This member has sufficient carry forward from previous years so we believe there is no tax charge due. The deadline for an online tax return was 31 January 2024 so the affected member will need to contact HMRC.	Reminder circulated to the transfers team to ensure records are fully updated when interfundns and transfers are completed.	N/A	N/A	22/11/2024	24/10/2024	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
31/08/2024	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members	6 – have outstanding year end tasks	Reg 89 of LGPS Regs 2013	100% of Deferred members received a statement. 99.98% of Active members received a statement. (6 members did not)	The 6 remaining members are being worked through to identify what is required to enable a statement to be produced.	N/A	N/A	22/11/2024	24/10/2024	PFC - No report PB - No report	N
26/11/2024	Administration	Retirement options were sent out to 2 separate members and they both received each other's information as well as their own.	Human error - software used to combine documents wasn't closed down between processing members and so it appended documents together.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another member. It is highly unlikely that the recipient knows the person whose information was disclosed.	Reminder issued round team to be extra careful and double check before clicking print or send Advised to pause and sense check everything.	N/A	N/A	28/02/2025	09/01/2025	PFC - No report PB - No report	N
31/08/2025	Administration	Statutory deadline for issuing of Annual Benefit Statements not met for all eligible members.	106 active members have outstanding data queries	Reg 89 of LGPS Regs 2013	100% met for deferred members 99.64% met for active members (106 did not)	The 106 remaining members are being worked through to identify what is required to enable a statement to be produced.	N/A	N/A	21/11/2025	23/10/2025	PFC - No report PB - No report	
18/09/2025	Administration	Certificates and ID documents returned to the wrong member.	Human error - Two lots of ID docs were received on the same day, only one set was returned as they were originals but to the wrong member.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another member. It is highly unlikely that the recipient knows the person whose information was disclosed.	Team reminded about taking more care when returning ID docs, take time, slow down and double check before sealing the envelope. Member returned incorrect ID docs and apology issued.	N/A	N/A	21/11/2025	23/10/2025	PFC - No report PB - No report	
26/09/2025	Administration	Member received an email attachment containing payroll information for another member. Initials, surname, pay ref and pay info was disclosed.	Human error - The incorrect attachment was added to the email instead of refund claim forms.	Data Protection Act 2018	Accidental disclosure of personal data for 1 member to another member. It is highly unlikely that the recipient knows the person whose information was disclosed.	Team reminded about taking more care when sending emails especially any with attachments. Told to pause and double check everything is correct before clicking send.	N/A	N/A	21/11/2025	23/10/2025	PFC - No report PB - No report	

APPENDIX 3

	Title or Nature of Course	D. Portlock	A. Thompson	P. Wilkinson	D. Sladden	M. Jordan	M. Crane	S. Gibbs	G. Jabbour	C. Lunn	D. Noland	N. Swannick	J. Cattanach	A. Baker	P. Kilbane	Unison – J. Fletcher	Unison (Vacancy)
18/19 July 2024	BCPP Conference		✓		✓				✓	✓	✓	✓					
12 September 2024	BCPP Global Equities	✓	✓	✓	✓			✓	✓	✓	✓	✓	✓		✓		
24/26 September 2024	Baillie Gifford Investment Conference		✓														
21 November 2024	Investment Strategy Workshop	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓					
15 January 2025	Fit for the Future consultation review	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			✓		
23 January 2025	Baillie Gifford Workshop – approach to climate risk	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			✓		
22 May 2025	BCPP Global Alpha Equities	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			✓		
11 September 2025	Triennial Valuation – Actuary - AON	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓			✓	✓	
22 September 2025	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓			✓	✓	

## APPENDIX 3

	Title or Nature of Course	D. Portlock	A. Thompson	P. Wilkinson	D. Sladden	M. Jordan	M. Crane	S. Gibbs	G. Jabbour	C. Lunn	D. Noland	N. Swannick	J. Cattanach	A. Baker	P. Kilbane	Unison – J. Fletcher	Unison (Vacancy)
20 November 2025	Border to Coast - Global Equities	✓	✓			✓		✓			✓	✓			✓		
17 February 2026	Hymans Robertson: Good Governance - Requirements & Implementation	✓															

**When Members have attended Workshops/Conferences/Training Events, please inform David Smith on [david.smith1@northyorks.gov.uk](mailto:david.smith1@northyorks.gov.uk) and these details will be included within this appendix for future meetings.**

- Cllr John Cattanach was appointed to the Committee on 17<sup>th</sup> July 2023 and left the Committee in November 2024
- Councillor Mike Jordan was appointed to the Committee in November 2024
- Councillor George Jabbour left the Committee on 3 September 2025
- Councillor Alyson Baker was appointed to the Committee on 12 November 2025

## 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>
Pensions UK – formerly PLSA	Investment Conference	10 March to 12 March 2026	EICC, Edinburgh	<p>Join leading voices from government and pensions investment as we tackle the biggest questions shaping an industry that powers UK growth as well as retirements.</p> <p>From political change and regulatory reform, to sustainability, technology, and global market shifts, the Pensions UK Investment Conference will spotlight new ideas, new strategies, and new perspectives on growth, value, and the power of pensions to transform economies and lives.</p>
LGC	Investment Seminar	18 March to 20 March 2026	Carden Park, Cheshire	<p>This training arrives at a defining moment for LGPS, as the sector continues to evolve and starts to shift its focus from policy and reform to implementation and delivery.</p> <p>Now celebrating its 21st year, the seminar will provide a vital forum for open discussion, strategic thinking, and collaboration around the most pressing issues facing funds today, including:</p> <ul style="list-style-type: none"> <li>• <b>The progress of the Pensions Bill</b> and its potential to reshape the future framework of public sector pensions.</li> <li>• <b>A persistently uncertain global and political environment</b> driving market volatility and influencing investment strategies.</li> </ul>

<i>Provider</i>	<i>Course / Conference Title</i>	<i>Date(s)</i>	<i>Location</i>	<i>Themes / Subjects Covered</i>
				<ul style="list-style-type: none"> <li>• <b>The balancing act between delivering sustainable, long-term returns</b> and responding to the Government's ambitions to boost UK investment.</li> </ul>
Pensions UK – formerly PLSA	Local Authority Conference	15 June to 17 June 2026	Wyboston Lakes, Bedfordshire	<p>The UK's largest event dedicated to the Local Government Pension Scheme is returning on 15-17 June 2026.</p> <p>The LGPS community will be getting together to discuss government reforms, regulation change, practical challenges including administration and communications, and the big picture issues shaping the future of a unique pension scheme.</p>
Pensions UK – formerly PLSA	Annual Conference 2026	13 October to 15 October 2026	Liverpool (venue tbc)	<p>The UK's largest conference for the pensions industry. We will bring you a programme covering the issues that matter most across DB, DC, master trusts and the LGPS, thought-provoking speakers from business, the media and academia, and opportunities to make connections with professionals from across pensions.</p>

#### LGA Fundamentals training

There are a few places left on the Fundamentals training programme, which starts in October. LGA are running the training in person in two locations (London and York) and separately online.

Fundamentals is a three-day training course aimed at councillors and other who attend pension committees/panels and local pension boards. Attending all three days will help delegates meet the required knowledge, skills and understanding. All sessions are delivered by experts in their field. The event also provides delegates with valuable networking opportunities.

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. There are now two packages available with package two being the most up to date version.

**PENSION FUND COMMITTEE TIMETABLE FOR MEETINGS IN 2026/27****The dates for meetings of the Pension Fund Committee are as follows:**

22 May 2026	10 am, Brierley Room, County Hall, Northallerton	Pension Fund Committee
26 June 2026	10 am, Brierley Room, County Hall, Northallerton	Pension Fund Committee
11 September 2026	10 am, Brierley Room, County Hall, Northallerton	Pension Fund Committee
20 November 2026	10 am, Brierley Room, County Hall, Northallerton	Pension Fund Committee
25 February 2027	10 am, Brierley Room, County Hall, Northallerton	Pension Fund Committee

**Arrangements for Workshops will be provided directly to Members when available.**