

SOUTH YORKSHIRE PENSIONS AUTHORITY

LOCAL PENSION BOARD

4 October 2018

REVIEW OF BREACHES, COMPLAINTS AND COMPLIMENTS

1) Purpose of the Report

To update members on the latest available record of reported breaches and provide details of the complaints reporting for Quarter 1.

2) Recommendations

Members are recommended to:-

- **note the latest available breaches summary and comment on any further reporting requirements or actions**
 - **note the complaints reporting for Quarter 1.**
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3) Background Information – Breach Reporting

- 3.1 At a previous meeting of the Local Pension Board on 5 October 2017, members were invited to comment on the new Reporting Breaches Procedure which was subsequently approved by the Authority. A copy of the new Procedure is provided at **Appendix A**.
- 3.2 This Procedure sets out that all breaches, whether material or not, should be recorded and presented to the Local Pension Board on a quarterly basis (where required).
- 3.3 **Appendix B** provides a record of all breaches that have occurred since the previous meeting of the Local Pension Board on 7 June 2018. This report provides the most updated information rather than follow the usual quarterly reporting periods as the Board may wish to have early sight of any material breaches.
- 3.4 It should be noted that five breaches have occurred since the last Local Pension Board meeting, all of which are data related. Three of the data breaches were caused by individual errors in the administration team and two were caused by errors made by employers (or their payroll providers).

3.5 The nature of the breaches is set out in the Annex and the breaches have initially been flagged as not material given the minimal impact on scheme members. However, the Board are invited to review these if they do not consider the rating or actions taken to date are sufficient.

4. Complaints Reporting for Quarter 1 of 2017/18

4.1 There were four formal complaints within the reporting period. This is a reduction from eight in the previous quarter. All four complaints were responded to within the three day target response time.

4.2 Of the four complaints received in the period, two complaints related to issues around delays in resolving a bulk pensions transfer following a TUPE employment transfer. These delays were outside of SYPA control but it was acknowledged that the members had not been kept updated with an explanation of the reasons for the ongoing delays.

4.3 The third complaint relating to issues caused by the “aggregation” backlog. The tool developed to handle the outstanding “aggregation” cases is now live and it is envisaged that the project team set up to handle these cases from October 2018 will be in a position to prioritise any specific cases where members raise concerns.

4.4 The fourth complaint relates to an overstated retirement estimate and has now moved on to be handled as a Stage 2 Appeal under the Internal Dispute Resolution Procedure. There were errors made in the handling of this member’s retirement which were caused by human calculation error rather than any systemic issues. The human errors originated from the member’s complicated employment records and it is also likely that the automated “aggregation” tool would have minimised the risk of human error had it been in operation at the time of the member’s retirement.

4.5 It is intended to continue to seek to identify whether complaints raised are indicative of any procedural or underlying concerns and these will form part of the complaints commentary in future reporting.

5) Implications and risks

- Financial – None.
- Legal – None.
- Diversity – There are no diversity implications.
- Risk – None.

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Background papers used in the preparation of this report are available for inspection at the offices of the Authority in Barnsley.