

## **SOUTH YORKSHIRE PENSIONS AUTHORITY**

### **LOCAL PENSION BOARD**

**14 March 2019**

#### **Report of the Head of Pensions Administration**

### **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 3.

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#### 2) **Recommendations**

**Members are recommended to:-**

- note the latest available breaches summary and comment on any further reporting requirements or actions**
  - note the revised reporting summary of complaints received and comment on any further requirements**
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#### 3. **Background Information – Breach Reporting**

3.1 **Appendix A** provides a record of the single breach that has occurred since the last Board meeting. This related to a diminishing issue where a member of staff had incorrectly enveloped a statement of benefits intended for another scheme member.

3.2 The Board had previously been advised that the production of our library of standard letters was being moved across to hybrid mail on a phased basis to minimise the risk of this sort of breach occurring. The letter template relating to the breach in question was migrated to hybrid mail immediately after the breach and all commonly used letters have now been migrated to this method. It is anticipated that this will minimise any future breaches of this type.

#### 4. **Complaints Reporting – Quarter 3**

4.1 A description of complaints received in the previous quarter has been routinely provided to the Board. The Board were particularly interested in understanding whether any complaints received were indicative of a wider process issue which needed review/improvement.

- 4.2 Taking these comments into account, the complaint summary has been set out in **Appendix B**. In addition to other data, this revised summary indicates whether any wider procedural or improvement action was identified as a result of a complaint having been received.
- 4.3 It should be noted that, for Quarter 3, two of the six complaints were the responsibility of the administration team, though none have been deemed to require procedural change. The remaining four complaints were, at least in part, outside of SYPA control.
- 4.4 Members will note that three of the complaints were not responded to within the three day target response time. One was a day late being answered and two were four days late but their arrival had coincided with the officer responsible for dealing with complaints being out of the office for all but two of the seven working days involved (over the festive period).
- 4.5 This single point of failure has now been addressed with responsibility for handling complaints instead being passed to a group of team managers to ensure an appropriate level of cover.

5. Implications and risks

- Financial – None.
- Legal – None.
- Diversity – None.
- 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.