



SOUTH YORKSHIRE
PENSIONS AUTHORITY

Subject	Review of breaches, complaints and appeals	Status	For Publication
Report to	Local Pensions Board	Date	17 October 2019
Report of	Head of Pension Administration		
Equality Impact Assessment	Not Required	Attached	No
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1 Purpose of the Report

- 1.1 To update members on the latest available record of reported breaches and provide details of complaints and appeals for the period from 1 July 2019 to 30 September 2019.
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2 Recommendations

- 2.1 Members are recommended to:
- Note the breaches summary and comment on any further reporting requirements or actions**
 - Review the proposed updates to the breach reporting procedure to meet the outcomes of the recent audit report**
 - Note the outcome of complaints received and comment on any further requirements**
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3 Link to Corporate Objectives

- 3.1 This report links to the delivery of the following corporate objectives:

Customer Focus

To design our services around the needs of our customers (whether scheme members or employers). Complaints and appeals provide valuable feedback on potential areas for improvement in administration.

Effective and Transparent Governance

To uphold effective governance showing prudence and propriety at all times. The Pensions Regulator's Code of Practice 14 places focus on the requirements to manage breaches of the law and the importance of maintaining a system of recording breaches.

4 Implications for the Corporate Risk Register

- 4.1 The actions outlined in this report are one method of working to mitigate risk O1 in the Corporate Risk Register which centres on the ability of the Authority to protect the data it owns and the data it handles.

5 Background and Options

Breach Reporting

- 5.1 The reporting of breaches was expanded previously at the request of members of the Board to include all the items listed in the latest breaches report which is now attached at **Appendix A**. It should be noted that, although there were nine breaches recorded in the period, five of these were outside of SYPA's control but have been included for transparency.
- 5.2 Of the four breaches that were caused by actions of the administration service, each has been investigated and only one has resulted in an immediate requirement to change an existing process. Members will be aware that the distribution of a customer satisfaction survey to all retiring members commenced in April 2019. Unfortunately, due to an administrative error, one of the surveys was issued to retiring members with the email addresses of all recipients in the distribution list visible. This amounted to approximately 150 recipients. The process of issuing the survey has now been switched to a mail merge facility which does not risk the exposure of individual email addresses.
- 5.3 Members may recall that an outstanding action from a previous audit report on the breach reporting process was that the policy explicitly referenced requirements under the General Data Protection Regulation as well as the Pension Regulator's requirements. A draft updated procedural document is therefore attached at **Appendix B** and this highlights the proposed changes to the procedure to incorporate the audit recommendations.

Complaints

- 5.4 **Appendix C** provides a summary of complaints received in the reporting period(s). As previously requested by members of the Board, the summary report now includes commentary as to whether the complaints received were indicative of a wider process issue which may need review/improvement.
- 5.5 The number of complaints has risen slightly for this quarter compared with recent volumes but a number of these were outside of SYPA's control and, of those where there was a fault of the administration service, there does not seem at face value to be any recurring themes identified that would require further investigation at this stage. It should be noted that there were no complaints in this quarter relating to delays with the handling of aggregations which was a common theme previously.

Formal Appeals

- 5.6 During the reporting period, one formal appeal was completed under the Internal Disputes Resolution Process (IDRP). This was Stage 2 of the IDRP relating to an appeal against an employer's decision not to award ill-health retirement benefits. The outcome of the appeal was that the employer was recommended to re-consider their original decision not to award retirement benefits on the basis of additional medical evidence provided by the member.

6 Implications

6.1 The proposals outlined in this report have the following implications:

Financial	None apparent.
Human Resources	None
ICT	None
Legal	None
Procurement	None

Jason Bailey

Head of Pensions Administration

Background Papers	
Document	Place of Inspection