

Subject	Review of breaches, complaints and appeals	Status	For Publication
Report to	Local Pension Board	Date	13 February 2020
Report of	Head of Pensions 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 October 2019 to 31 December 2019.
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2 Recommendations

- 2.1 Members are recommended to:
- a. **Note the breaches summary and comment on any further reporting requirements or actions.**
 - b. **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 represent 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**. There was a reduction in the number of breaches in this quarter, down from nine in the previous quarter.
- 5.2 Both of the breaches that occurred were unfortunate human error and therefore avoidable. They were both individual errors, the nature of which has not appeared on the breaches log previously so it is not anticipated at this stage that any specific procedural changes are required.

Complaints

- 5.3 **Appendix B** 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.
- 5.4 The total number of complaints received in the Quarter was eight, which is consistent with previous periods. Of these, four were outside of SYPA's control. Of the four that were caused by the actions of the administration service, two were training issues that have been resolved.
- 5.5 Two of the complaints have led to actions that required further intervention. Firstly, a number of potential retirement recalculations (following receipt of revised pay figures from the employer) had been outstanding for some time and these are now being prioritised by the Benefits team. Secondly, a process issue has been identified where there is a spouse's pension and the spouse is not also receiving the death grant and this is being resolved through a process change.

Formal Appeals

- 5.6 During the reporting period, one formal Stage 1 appeal was completed under the Internal Disputes Resolution Process. This related to a member appealing against the reduction in benefits between the estimate she was provided with and the actual benefits paid. The cause of the reduction was the pay figure used which would ordinarily have been an employer issue but the former Districts team had been involved so the appeal was heard by SYPA. The appeal was not upheld.

6 Implications

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

Financial	None
Human Resources	None
ICT	None
Legal	None
Procurement	None

Jason Bailey

Head of Pensions Administration

Background Papers	
Document	Place of Inspection