

Date: 09 July 2021

To: MEMBERS OF THE SOUTH YORKSHIRE
LOCAL PENSION BOARD

Level 8, Gateway Plaza
Barnsley
South Yorkshire
S70 2RD

www.southyorks.gov.uk

This matter is being dealt with by: Gill Richards

Direct Line: 01226 772806

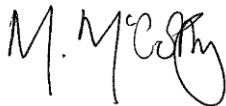
Email: grichards@syjs.gov.uk

Dear Member

SOUTH YORKSHIRE LOCAL PENSION BOARD
Thursday 15 July 2021

Please find attached the item marked 'to follow' on the above agenda – Item 13 Data Quality Improvement Plan.

Yours sincerely



Martin McCarthy
Deputy Clerk

SOUTH YORKSHIRE LOCAL PENSION BOARD

**THURSDAY 15 JULY 2021 AT 10.00 AM AT THE THE CIVIC, HANSON STREET,
BARNLEY, S70 2HZ**

AGENDA

	Item	Page
13	Data Quality Improvement Plan Update	1 - 6

Agenda Item 13



Subject	Data Quality Improvement Plan	Status	For Publication
Report to	Local Pensions Board	Date	15 July 2021
Report of	Head of Pensions Administration		
Equality Impact Assessment	Not Required	Attached	No
Contact Officer	Jason Bailey	Phone	01226 772954
E Mail	JBailey@sypa.org.uk		

1 **Purpose of the Report**

- 1.1 To update members on the latest iteration of the Data Quality Improvement Plan and the progress made to date in resolving data discrepancies.
-

2 **Recommendations**

- 2.1 Members are recommended to:
- a. **Note the updated Data Quality Improvement Plan summary and comment on any further reporting requirements or actions**
-

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). Maintaining high quality data for scheme members is an important part of encouraging members to engage online and have confidence in accessing their own pension accounts.

Effective and Transparent Governance

to uphold effective governance showing prudence and propriety at all times. The Pensions Regulator's Code of Practice 14 advises that schemes should continually review their data and carry out a data review exercise at least annually. This should include an assessment of the accuracy and completeness of the member information held.

4 **Implications for the Corporate Risk Register**

- 4.1 The actions outlined in this report 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

5.1 Members may be aware that, since 2018, LGPS funds have been required to report to the Pensions Regulator on the quality of common and conditional (scheme specific) data in the submission of the annual Scheme Return.

5.2 **Common** data are basic data items which are used to identify scheme members and are defined by the Regulator. These consist of:-

National Insurance number; Surname; First Name or Initials; Sex; Date of Birth; Retirement Age; Last status event; Address including Postcode; Start Date; Membership Status

5.3 **Conditional** (scheme-specific) data is not explicitly defined by the Regulator but is data which is key to running the scheme and meeting legal obligations. In general terms for the LGPS this will be data such as membership details, pensionable pay, contributions, etc. The Scheme Advisory Board (SAB) developed guidance for LGPS funds on the specific data fields which should make up the measurement of conditional data and SYPA follows this guidance. It should be noted that it is not mandatory to follow the guidance and some funds may use local measures which makes direct comparisons difficult.

5.4 The data scores reported to TPR form the basis of the data quality improvement plan. For reference the scores are generally reported in December of each year and the scores reported for the last three years are shown below.

	2020	2019	2018
Common Data Score	96%	96%	96%
Conditional Data Score	93%	91%	87%

Data Quality Improvement Plan

5.5 TPR advises that schemes should have a data quality improvement plan in place. SYPA have shared previous iterations of the plan with the Board but this has been revised on a number of occasions to reflect changing guidance and priorities. The current data improvement plan is maintained by the Pensions Technical Adviser and **Appendix A (common data and conditional data)** is provided as a summary extract of the current plan which highlights where individual teams have ownership of specific areas.

5.6 The key areas of focus for the next few months have been highlighted on the summary plan and we will report progress against the priorities to future meetings of the Board. It is clear there are a number of areas (particularly in relation to *conditional* data) where the volumes of discrepancy have increased rather than reduced and additional resource is being allocated to these to try and ensure the revised target dates suggested can be met ahead of the 2021 TPR reporting.

5.7 A few areas (where CARE revaluation is involved) are marked as not being reported and this is because of the timing of the annual member revaluation updates which are part of the annual benefit statement production process. These discrepancies will be

assessed once the benefit statement exercise is completed and included in the project plan and reported on later in the year.

- 5.8 It is worth noting that the most significant area of *common* data discrepancies relates to “gone away” deferred members. SYPA have recently engaged a tracing agency to assist with tracing these members. The initial work carried out by the tracing agency has identified a potential forwarding address for 2,600 of the 4,000 known “gone away” deferred members. Additionally, the initial work has identified some 5,000 potential further deferred member cases where we may hold an incorrect address. Work is underway to contact all members who have potentially moved address to verify their identity before updating our records.
- 5.9 With regard to the remaining 1,400 records, more detailed secondary level tracing is being trialled with the tracing agency to identify the likely success levels before committing any further expenditure.

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

This page is intentionally left blank

Common Data													
Reference	Data Category	Examples of Error Types	Number of Errors at Jan 2021	Status (Active, Deferred, Pensioner)	Action Required	External dependency?	Target Date for Completion	Data Impact	Team/person(s) Responsible	Number of Errors at July 2021	Movement since last update	Commentary	Revised Target Date (if applicable)
COM1	Ni Number	Ni Number is temporary, invalid format, prefix/suffix missing, or duplicated.	201	ALL	Manually correct records and investigate duplicates.	NO	Jul-21	Low	Benefits Team (RC/WH)	197	↓	Most of these are unclaimed refunds with a temp Ni number. Exercise to contact members after address tracing complete.	Nov-21
COM2	Expected Retirement Date	Scheme Retirement Date inconsistent	795	ALL	Manually/bulk correct records	NO	Jul-21	Low	Benefits Team and Technical Adviser	426	↓	Bulk correction exercise to be run.	Aug-21
COM3	Membership Status	Active with Date Left	19	ALL	Manually correct inconsistent records.	NO	Apr-21	Low	Benefits Team (JS)	17	↓		Aug-21
COM4	Address	Lost Contact	5,158	Deferred Members	Engage Tracing Agency to locate potential updated address; send verification form.	YES	Apr-21	Medium	Customer Services/NoPA	5056	↓		September 2021 to write to all known addresses. Outcomes and next steps will depend on response levels.
COM5	Address	Invalid address, missing postcode etc	17	ALL	Manually correct incomplete address records.	NO	Feb-21	Low	Customer Services	25	↑	To be completed as part of COM4 address tracing exercise.	Sep-21
COM6	Last Status Event	Duplicate status history	44	ALL	Manually correct inconsistent records.	NO	Jul-21	Low	Benefits Team (JS)	55	↑	Low priority error with no impact.	Sep-21
COM7	Membership dates	Missing start date, date of joining inconsistent with record, duplicated start dates.	173	ALL	Investigate and manually/bulk correct incomplete records.	NO	Jul-21	Low	Technical Adviser	185	↑	Bulk correction exercise to be run.	Aug-21

Total No. of Errors	6,407
Multiples of above	670
Total No. of Records	167,482
Overall Data Score Reported to Regulator 2020	96%

Last Updated: Jul 2021

Reference	Issue Category	Examples of Error Types	Number of Errors at Jan 2021	Status (Active, Deferred, Pending)	Action Required	Escalated (Priority)?	Target Date for Completion	Data Impact	Team/Person(s) Responsible	Number of Errors at July 2021	Movement (color bar update)	Commentary	Revised Target Date (if applicable)
CDN61	Service Details (Datafeed)	Count and/or information missing (systemic)	61	All	Check documentation on file and manually update	Partial	Jul-21	Low	Benefits Team	71	↑	Numbers increased due to system upgrade team. System fix required for the migration timeline.	Sep-21
CDN62	Transfer in (Datafeed)	Missing transfer amount dates and amounts (systemic)	215	ACTIVE and DEFERRED	Check documentation on file and manually update	No	Jul-21	Low	Benefits Team	244	↑	Customs corrections with no impact.	Oct-21
CDN63	Miscellaneous Missing Datafeed	Missing/incorrect data relating to additional cases record	108	DEFERRED and PENDING	Manually investigate and correct records	No	Jul-21	Low	Benefits Team (at 4 Times)	263	↑	Increased in numbers caused for 2021. Previous software run.	Sep-21
CDN64	Salary Information	Part time hours shown as fulltime (missing)	23	ACTIVE	Manually investigate and correct records	No	Apr-21	Low	Benefits Team (RM)	See commentary		This report will be available from 2021 Annual Benefit Statement exercise completed.	Sep-21
CDN65	CASE Data	CASE Pension Missing	469	ACTIVE and DEFERRED	Investigate and manually correct records	No	Apr-21	Medium	Benefits Team	523	↑		Aug-21
CDN66	CASE Resolutions	CASE Resolution Missing	764	ACTIVE and DEFERRED	Investigate and manually correct records	No	Apr-21	Medium	Benefits Team/Systems Team/Technical Advisor	See commentary		This report will be available from 2021 Annual Benefit Statement exercise completed.	Sep-21
CDN67	HMRC Datafeed (Datafeed)	Equalisation Centre Run Value missing (systemic)	244	Pending	Manually investigate and correct records	No	Sep-21	Low	Benefits Team	244	↔	Customs corrections with no impact.	Nov-21
CDN68	Annual Allowance (Datafeed)	Pension Input Amounts missing	2,205	ACTIVE	Investigate and manually correct records	No	May-21	Medium	Benefits Team/Systems Team/Technical Advisor	See commentary		This report will be available from 2021 Annual Benefit Statement exercise completed.	Sep-21
CDN69	Contracting and Data	Data out of range (systemic error)	740	Active	Full system correction	Yes	Mar-21	Low	Systems Team/Technical Advisor	546	↓	System fix required to have data migrated from incorrectly entered by power systems. Closing cases.	Sep-21
CDN70	CAMP Data	Missing CAMP Value	6317	DEFERRED and PENDING	Monitor other CAMP reconstruction activities	Yes	May-21	Medium	HMPP Support (continued to RM)	6262	↓	Contract Support required for final HMPP release.	Oct-21

Total No. of Errors	11,376
Number of errors	289
Rate No. of Errors (Overall Error Rate) Reported to Regulator	0.06%

Last updated 14/10/2021