

## North Yorkshire County Council

## Pension Fund Committee

21 February 2020

## Administration Report

## Report of the Treasurer

**1. Purpose of the Report**

- 1.1. To provide Members with information relating to the administration of the Fund in the quarter and to provide an update on key issues and initiatives which impact the administration team.

**2. Admission Agreements & New Academies**

- 2.1. The latest position relating to admission agreements and academy conversions is shown in **Appendix 1**.

**3. Administration****3.1. Membership Statistics**

Membership Category	At 30/09/2019	+/- Change (%)	At 31/12/2019
Active	33,462	+0.9%	33,777
Deferred	37,842	+1.7%	38,496
Pensioner (incl spouse & dependant members)	23,563	+1.2%	23,850
<b>Total</b>	<b>94,867</b>		<b>96,123</b>

**3.2. Throughput Statistics**

- Period from 1 October 2019 to 31 December 2019

Casetype	Cases Outstanding at Start	New Cases	Cases Closed	Cases Outstanding at End
Transfer In quotes	6	37	42	1
Transfer Out quotes	17	119	120	16
Employer estimates	9	86	77	18
Employee estimates	48	176	194	30
Retirement quotes	137	613	635	115
Preserved benefits	230	961	719	472
Death in payment or in service	30	68	79	19
Refunds	53	655	595	113
Actual retirement procedure	104	1140	853	391
Interfund transfers	50	191	162	79
Aggregate member records	50	301	223	128
Process GMP	123	4	123	4
Others	205	535	378	362
<b>Total Cases</b>	<b>1062</b>	<b>4886</b>	<b>4200</b>	<b>1748</b>

- Alongside the above cases the Pensions team also handled 5,236 phone calls (average 107 per day) and 1,656 emails received via the Pensions Inbox (average 27 per day) in the quarter to 31 December 2019.

### 3.3. Performance Statistics

- The performance figures for the period 1 October 2019 to 31 December 2019 are as follows:

Performance Indicator	Target in period	Achieved
Measured work achieved within target	98%	92%
Customers surveyed ranking service good or excellent	94%	89%
Increase numbers of registered self-service users by 700 per quarter (total registered users 26,019)	700	767

- Our performance against the measures above has deteriorated in the quarter due to high work volumes, high demand, staff holidays and being temporarily understaffed. The staffing situation has now been addressed and more formalised training is being provided. This will enable staff to get up to speed and become more effective much quicker.

We continue to focus on ensuring current work is processed as priority whilst also working on clearing the oldest dated cases.

### 3.4. Commendations and Complaints

- This quarter the following commendations and complaints were received:

#### Commendations

Date	Number	Summary
Oct	1	Grateful for help
Nov	4	Very efficient, supportive, great experience and great staff
Dec	2	Helpful staff, great quick service

#### Complaints

Date	Number	Summary
Oct	2	2 Admin - misleading info provided at retirement - transfer in taking too long
Nov	2	2 Admin - benefits reduced on benefit statements between 2015 & 2019 - pension suspended since May
Dec	1	1 Admin - benefits automatically aggregated due to no response from member

- The complaint categories are:
  - Admin - these can relate to errors in calculations, delays in processing and making payment of benefits.
  - Regs - these relate to a complaint where regulations prevent the member being able to do what they want to.
  - IHER - these are where members have been declined for early retirement on the grounds of ill health and are appealing the decision through the Internal Disputes Resolution Procedure.

### Lessons Learned

Having reviewed the complaints received in the period it was identified our communications aren't always as clear as they could be. This is being addressed as part of the ongoing letters project.

### 3.5. Annual Benefit Statements 2020

Preparatory work has begun on the 2020 annual benefit statement process with templates reviewed and amended. The year-end template and guide has also been reviewed and updated and has been issued to employers in the week commencing 13 January. Further reminders will be issued in February, March and early April.

## 4. Issues and Initiatives

### 4.1. GMP Reconciliation

- ITM are awaiting the final data cut from HMRC to undertake a closing data reconciliation exercise to ensure we have an agreed final position before we undertake the actual rectification of records.
- Due to the delay in receiving the HMRC final data cut we will not be able to correct records before the April increases are due to be applied but hope to do so shortly afterwards.

### 4.2. Breaches Policy & Log

- The North Yorkshire Pension Fund's Breaches Log is included at **Appendix 2** for review. There are no new entries.

### 4.3. Efficiency Initiatives

- The major retirement options letter is now live although staff have to input figures manually. This is being reviewed shortly to see if full automation can be achieved. The retirement estimate letter has been aligned with the options letter to ensure consistency of information and style and this is in testing. The transfer out letters are being worked on to combine multiple letters into one to handle every scenario.

### 4.4. Administration System Review

- The licence for the current system, Altair, has been extended to 31 December 2021 to allow time to complete the review and re-procurement project.
- Allowance for the procurement of the additional employer online portal has been included in the 2020/21 budget. The integrated payroll module won't be purchased until the 2021/22 financial year and so will be included in that year's budget.
- The employer portal enables us to move to monthly online returns enabling us to regularly capture validated data along with leavers and joiners instead of catching up at year end.
- It removes the need for the large year-end process enabling more time for the production of annual benefit statements.
- Work continues with Technology and Change to capture requirements from all relevant parties, produce the relevant documentation and ensure effective procurement happens.
- Procurement will be undertaken via the LGPS Pensions Administration Software Framework

## 5. Member Training

- 5.1. The Member Training Record showing the recent training undertaken up to November 2019 is attached as **Appendix 3**.
- 5.2. Responses to the CIPFA Skills Matrix are being collated and it is anticipated the results of the assessment will be brought to the next meeting. The outcome of this will be considered alongside the Fund's business plan and budget which will also be brought to the February meeting.
- 5.3. Upcoming courses, seminars and conferences available to Members are set out in the schedule attached as **Appendix 4**. Please contact Ashleigh Burdess (01609 536053 or email [Ashleigh.burdess@northyorks.gov.uk](mailto:Ashleigh.burdess@northyorks.gov.uk)) for further information or to reserve a place on an event.

## 6. Meeting Timetable

- 6.1 The latest timetable for forthcoming meetings of the Committee and Investment Manager meetings is attached as **Appendix 5**. Due to the closure of the Brierley Building, there will be a change of venue for future meetings, Members will be updated once the new venue has been confirmed.

## **7. Recommendations**

- 7.1. Members to note the contents of the report.
- 7.2. Members to note the contents of the Breaches Log

Gary Fielding  
Treasurer of North Yorkshire Pension Fund  
NYCC  
County Hall  
Northallerton

12 February 2020

Academy Conversions – 25 ‘in progress’

Name of School	Local Education Authority	Multi Academy Trust (MAT) Name	Conversion Date	Current Position
Cambrai Primary School, Catterick	A new Free School	Lingfield Education Trust	1.9.2019	Complete
Sherburn High School	NYCC	STAR Multi Academy Trust	1.10.2019	Complete
St John’s CoE VC Primary School Knaresborough	NYCC	Elevate Multi Academy Trust	1.10.2019	Complete
Marton cum Grafton VA Primary School	NYCC	Elevate Multi Academy Trust	1.10.2019	Complete
Brayton CoE Primary School	NYCC	STAR Multi Academy Trust	1.11.2019	Complete
Skipton Parish CoE School	NYCC	Yorkshire Causeway Schools Trust	1.2.2020	Will be progressed nearer the time
Rillington CP School	NYCC	Elevate Multi Academy Trust	1.3.2020	Will be progressed nearer the time
Thornton Dale CofE Primary School	NYCC	Elevate Multi Academy Trust	1.3.2020 (tentative)	Will be progressed nearer the time
Carnagill Community Primary School	NYCC	Dales Academies Trust	1.3.2020	Will be progressed nearer the time. Delayed from 1.11.2019
The Forest School Knaresborough	NYCC	Wellspring Academy Trust	1.4.2020	Will be progressed nearer the time
St Hedda’s Roman Catholic Primary School	NYCC	St Margaret Clitherow Academy Trust	1.4.2020	Will be progressed nearer the time. Delayed from 1.10.2019
Escrick CoE VC Primary School	NYCC	South York Multi Academy Trust	Expected late spring/summer 2020	Will be progressed nearer the time
Danesgate Community School	COYC	South York Multi Academy Trust	Expected late spring/summer 2020	Will be progressed nearer the time
Ryedale School Helmesley Community Primary School Sinnington Primary School Kirkbymoorside Primary School	NYCC	The Ryedale Learning MAT	Date to be confirmed	

<b>Name of School</b>	<b>Local Education Authority</b>	<b>Multi Academy Trust (MAT) Name</b>	<b>Conversion Date</b>	<b>Current Position</b>
St Robert's Catholic Primary School, Harrogate	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.2.2020
Barkston Ash RC Primary School	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.9.2020
St Joseph's Catholic Primary School, Tadcaster	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.9.2020
St John Fisher Catholic High School, Ripon	NYCC	Possibly with Bishop Wheeler Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.9.2020
All Saints, York	COYC	St Margaret Clitherow Academy Trust	Not known	Delayed from 1.9.2019
St Hilda's Roman Catholic Primary School	NYCC	St Margaret Clitherow Academy Trust	On hold – date to be confirmed	Delayed from 1.10.2019
St Mary's Catholic Primary, Selby	NYCC	Possibly with Bishop Konstant Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.2.2020
Holy Family Catholic High, Carlton	NYCC	Possibly with Bishop Konstant Catholic Academy Trust	On hold – date to be confirmed	Delayed from 1.2.2020
Naburn CoE Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.10.2018
Lord Deramore's Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.11.2018
Fishergate Primary School	COYC	South York Multi Academy Trust	Not known	Delayed from 1.12.2018
Elvington CoE Primary School	COYC	South York Multi Academy Trust	Not known	Actuarial calculations provided based on conversion date of 1.7.18. Conversion delayed, new date not yet known
Langton Primary School	NYCC	Evolution Schools Learning Trust	Not known	Original conversion date was 1.10.2016 but MAT advised it has been delayed.
Thirsk School & Sixth Form College	NYCC	Arete Learning Trust	Not known	Original conversion date was 1.2.2018. MAT has advised no definite agreement in place at present
Stillington Primary School	NYCC	Not yet known	Not known	Proposed conversion date was 1.2.2019 with Hope Learning Trust. Project now on hold. School no longer converting with Hope Learning Trust and new sponsor being sought

**Admission Bodies –15 ‘in progress’**

<b>Name of Employer</b>	<b>Name of Contractor</b>	<b>Staff Transfer Date</b>	<b>Current Position</b>
Askham Bryan College (catering contract)	Aramark	1.9.2019	Complete
STAR MAT	RCCN Ltd	1.7.2019	Complete
<b>Hope Learning Trust</b> George Pindar School Graham School	Hutchison Catering Limited	1.9.2019	Complete
<b>NYCC</b> Holy Trinity (Ripon) Infants School	Melllors Catering Services Limited	1.9.2019	In progress
<b>NYCC</b> Grove Road Primary School	Compass Contract Services (U.K) Limited	1.9.2019	In progress
<b>School Yorkshire Causeway Schools Trust</b> Pannal Primary School	Compass Contract Services (U.K) Limited	1.9.2019	In progress
<b>Northern Star Academies Trust</b> Hookstone Chase Primary New Park Primary School Starbeck Primary School	Compass Contract Services (U.K) Limited	1.9.2019	In progress
<b>Yorkshire Collaborative Academy Trust</b> Hawes CP School Leyburn Primary School Lothersdale Primary School	P&A Food Management	1.9.2019	In progress
<b>NYCC</b> Boroughbridge Primary School	P&A Food Management	1.9.2019	In progress
<b>NYCC</b> Grewelthorpe Primary School	P&A Food Management	1.9.2019	In progress
<b>NYCC</b> Fountains Grantley CE Primary School	P&A Food Management	1.9.2019	In progress

Name of Employer	Name of Contractor	Staff Transfer Date	Current Position
<b>Ebor Academy Trust</b> Camblesforth CP School Braeburn Primary & Nursery Academy Ebor Academy Filey Filey Nursery & Infants School Lakeside Primary Academy Park Grove Primary Academy Tadcaster Primary Academy Tockwith CE Primary Academy	Hutchison Catering Limited	1.9.2019	In progress
<b>Yorkshire Collaborative Academy Trust</b> Askwith Primary School	P&A Food Management	December 2019	In progress
<b>Ebor Academy Trust</b> Osbalwick Primary Academy Staynor Hall Community Primary Academy	Hutchison Catering Limited	1.1.2020	In progress
Selby College – Approx. 7 catering staff	Contractor not yet appointed	Tentative 6.1.2020 or 24.2.2020	In progress
City of York Council (Haxby Hall Care Home)	Yorkare Homes Ltd	March 2020	Future service rate provided, admission agreement will be progressed nearer the time. The transfer is now on hold (service was due to transfer January 2019)
Harrogate Borough Council – Security Contract at Harrogate Convention Centre	Contractor not yet appointed	June 2020	In progress
<b>Hope Learning Trust</b> Baldersby St James CoE Primary Academy Burton Green Primary School Forest of Galtres Anglican Methodist Primary School Popperton Ousebank Primary Academy Skelton Primary School	Contractor not yet appointed	20 July 2020	Will be progressed nearer the time



**Exiting Employers – 13**

<b>Name of Employer</b>	<b>Date exited the Fund</b>
OCS Group UK Limited	31.3.2017
Superclean Services Limited	16.7.2017
Joseph Rowntree Charitable Trust	31.12.2017
York Arts Education (Community Interest Company)	31.3.2018
Hutchison Catering Limited (contract at Canon Lee School)	19.7.2018
Be Independent	31.7.2018
Housing & Care 21	31.8.2018
Consultant Cleaners	31.10.2018 (voluntary liquidation) – in progress
Absolutely Catering Limited	Two contracts ceased 4.1.2019
ISS Mediclean (Tang Hall contract)	6.1.2019 (in progress)
The Wilberforce Trust	22.3.2019
Dolce Limited	14.4.2019
Schools Plus	30.4.2019



Date	Title or Nature of Course	Mulligan P	Swiers H	Weighell J	Clark J	Portlock D	M Chambers	A Solloway	A Thompson	C Lunn	*I Gillies	*C Steward	*I Cuthbertson	Unison (Vacancy)	Unison (Vacancy)
17- 19 October 2018	PLSA Annual Conference, Liverpool		✓	✓											
31 October 2018	Additional PFC meeting- Investment Strategy	✓	✓	✓	✓		✓		✓			✓			
8-9 November 2018	BCPP Annual Conference	✓	✓	✓	✓	✓			✓						
22 November 2018	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓			✓	✓				
5-7 December 2018	LAPFF Conference - Bournemouth														
14 February 2019	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓		✓						
21 February 2019	Investment Strategy Workshop	✓	✓	✓		✓	✓	✓	✓	✓					
25 February 2019	LGPS Members Spring Seminar - Leeds					✓									
25 April 2019	Investment Strategy Workshop- Leeds	✓	✓	✓	✓	✓	✓	✓		✓					
13-15 May 2019	PLSA Local Authority Conference, Cotswolds				✓										
24 May 2019	Manager workshop	✓	✓	✓	✓	✓	✓								
20 June 2019	Global Equity workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓					
4 July 2019	MAC Workshop	✓	✓	✓	✓	✓	✓			✓			✓		
9 –10 October 2019	Baillie Gifford Conference	✓	✓	✓					✓						
10-11 October 2019	BCPP Conference	✓	✓	✓	✓	✓	✓			✓					
21 November 2019	Investment Strategy Workshop	✓	✓	✓	✓	✓	✓			✓					

**\*City Of York Council Members – Ian Gillies/Chris Steward (Sub) - May 2017 to May 2019  
Ian Cuthbertson – May 2019 - Present**

## UPCOMING TRAINING AVAILABLE TO MEMBERS

<i>Provider</i>	<i>Course / Conference Title</i>	<i>Date(s)</i>	<i>Location</i>	<i>Themes / Subjects Covered</i>
LGC	Investment Seminar	27 – 28 February 2020	Carden Park Hotel, Cheshire	<p>“Converting 2020 vision into a successful investment strategy.”</p> <p>Educational workshop sessions where delegates can get to the core of some of the more complex investment issues</p> <p>Dedicated time to network with your peers and investment experts</p> <p>A comprehensive programme covering the most topical issues for your fund with high calibre speakers</p> <p>An informative debate pitched at the right level for the audience.</p>
PLSA	Investment Conference	11- 13 March 2020	EICC, Edinburgh	<p>This event brings together 1000 pension professionals including CIOs, pension managers, trustees, consultants and finance professionals and their advisers for the UK's largest conference of its kind.</p> <p>The programme offers a mix of plenary keynotes, focused stream sessions and events dedicated to learning, discussion and networking, as well as an exclusive exhibition with over 45 stands.</p>

PLSA	Local Authority Conference	18-20 May 2020	De Vere Cotswold Water Park Hotel, Gloucestershire	<p>A residential conference that includes keynote speeches, stream sessions, a Learning Zone, a specialist session, an exclusive exhibition, networking lunch for Local Pension Boards, Welcome Drinks Reception and a Conference Dinner.</p> <p>The event is the largest of its kind dedicated to the LGPS, attended by over 400 local authority officers, councillors, members of Local Pension Boards, admitted bodies and their advisers.</p>
PLSA	Annual Conference & Exhibition 2020	14-16 October 2020	ACC Liverpool	<p>Attracting 1,500 top industry professionals and with over 80 exhibition stands, the PLSA Annual Conference is the most important annual event for anyone involved in pensions. From trustees, pension managers and finance directors who control assets worth billions of pounds to HR specialists responsible for workforces of thousands of people, the delegates are made up of the most important pension decision makers in the country.</p> <p>The conference includes keynote speeches, streamed focus sessions, specialist sessions, a Trustee Learning Zone, exhibition and a conference drinks reception.</p>

## PENSION FUND COMMITTEE TIMETABLE FOR MEETINGS IN 2020/21

Meeting Date	Time & Venue	Event	Fund Managers
21 May 2020	10am, TBC	Pension Fund Workshop	Representative of BCPP and/or Fund Manager TBC
22 May 2020	10am, TBC	Pension Fund Committee	
2 July 2020	10am, TBC	Pension Fund Workshop	Representative of BCPP and/or Fund Manager TBC
3 July 2020	10am, TBC	Pension Fund Committee	
10 September 2020	10am, TBC	Pension Fund Workshop	Representative of BCPP and/or Fund Manager TBC
11 September 2020	10am, TBC	Pension Fund Committee	
26 November 2020	10am, TBC	Pension Fund Workshop	Representative of BCPP and/or Fund Manager TBC
27 November 2020	10am, TBC	Pension Fund Committee	
18 February 2021	10am, TBC	Pension Fund Workshop	Representative of BCPP Fund Manager TBC
19 February 2021	10am, TBC	Pension Fund Committee	