

## **Review of Administration Performance**

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### **1. Summary**

1.1 Administration quarterly performance report.

### **2. Issues for consideration**

2.1 The Committee note the report and actions being undertaken by officers to ensure compliance and best practice.

### **3. Background**

3.1 Peninsula Pensions monitors performance against the Occupational and Personal Pension Schemes (Disclosure of Information) Regulations 2013, which set out the statutory requirements regarding the disclosure of pension information.

3.2 Performance targets are monitored via a task management system and reporting tool within the pension administration database.

3.3 This report also encompasses an update on employer bodies covered by the Fund.

### **4. Administration team performance**

4.1 Total performance against the Occupational and Personal Pension Schemes (Disclosure of Information) Regulations 2013 for the quarter ending 31<sup>st</sup> March 2024 was 91% (96% for High Priority procedures).

4.2 During the quarter, the team received 41 recorded compliments.

4.3 Appendix 1 of the report provides a detailed breakdown of administration performance relating to the Somerset Pension Fund only for both the quarter ending 31<sup>st</sup> March 2024, and the full year 1<sup>st</sup> April 2023 – 31<sup>st</sup> March 2024, against the statutory Disclosure Regulations. It also includes a graph which shows the monthly trend analysis on the percentage of high, medium, and low priority cases completed within timescales since April 2022.

4.4 Appendix 2 of the report highlights the longer-term performance of Peninsula Pensions (Somerset Fund only) from 1<sup>st</sup> April 2023 to 31<sup>st</sup> March 2024. The bottom chart shows how many of the 'remaining' tasks outstanding to be actioned are awaiting information from another third party (member/employer) and therefore are on 'reply due'.

4.5 Appendix 3 of the report highlights the amount of work received over the previous 12 month rolling period, compared to the same period in the previous year. The chart currently is showing an increase in demand.

## **5. Employer updates**

### **5.1 New Employers**

No new employers this quarter.

### **5.2 New Academies**

1 January 2024 - Redstart Learning Partnership Re-brokerage led to Ashill Community Primary School, Buckland St Mary Church of England School, Hatch Beauchamp Church of England School, Holy Trinity Church of England Primary School and Winsham School joining Academies of Chartered Excellence Trust.

The remaining schools Castle Primary School, Minerva Primary School, Priorswood Primary School, and Redstart Primary School joined Cabot Learning Federation.

1 January 2024 - St Louis Catholic Primary School joined Dunstan Catholic Education Trust.

1 January 2024 - St Aldhems and Abbas & Templecomb Schools joined the Bath and Wells MAT.

1 March 2024 St Nicholas CofE School, Norton Sub Hamdon Church School and West Chinnock Church School joined the Bath and Wells MAT

### **5.3 Cessations**

On 31 March 2024 after consultation with staff and unions Aster Communities closed the LGPS to its staff. This meant those who were active members were taken out of the Somerset Fund with effect from 1 April 2024.

## 6. Other matters

### 6.1 McCloud:

<https://www.lgpsmember.org/mccloud-remedy/>

Peninsula Pensions continue to work on the implementation of the remedy accordingly and liaise with software providers as required.

### 6.2 The Pension Regulator annual returns

Completed January 2024

2023 data quality score included:

Common data score: 95.9% (95.5% 2022)

Scheme-specific data score: 96.79% (96.6% 2022)

### 6.3 Cyber Security Audit review 2024 – Devon Audit Partnership (DAP)

Please see DAP audit Summary below comparing assurance in February 2023 with improvement on review in April 2024. For information, Peninsula Pensions also has a 'Cyber Security' Policy document in place as recommended.

Internal Audit Report - Final  
Follow Up of Cyber Security 2022-23  
Peninsula Pensions  
May 2024



#### Service Objective

To ensure the Confidentiality, Integrity, and Availability of Devon Pensions Funds data and subsequent systems.

#### Audit Opinion – April 2024

**Reasonable Assurance** - There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.

#### Audit Opinion – February 2023

**Limited Assurance** - Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.

Assurance Opinion on Risks or Areas Covered - Original key concerns or unmitigated risks	Level of Assurance Feb 23	Level of Assurance April 24
<b>Risks are not identified to mitigate against threats to the IT infrastructure (Risk Management).</b> - Some of the mitigating controls for some risks may not be appropriate or have been omitted.	Limited Assurance	Reasonable assurance
<b>Suppliers or partners disclose information or disrupt the pension service (Supply Chain Management).</b> - Lack of minimum requirements (standard operating procedures) in place regarding the management of suppliers. - Lack of detail regarding the roles and responsibilities of both parties in the event of a cyber-attack for Altair.	Limited Assurance	Reasonable assurance
<b>Unauthorised modification or deletion of data (Access controls).</b> - No standardised documented procedure for the creation/removal of user access.	Reasonable assurance	Reasonable assurance
<b>Poor user understanding of cyber-risk and security procedures results in the disclosure of information (Training).</b> - Mandatory training not being completed by all staff or Board/Committee Members.	Limited Assurance	Reasonable assurance
<b>Devon County Council (DCC) recovery processes fail following a cyber-attack or IT disruption (PP BC &amp; DR plans).</b> - There is no scheduled testing for PP's BCP, and there has not been a test completed within the past 12 months. - A number of further areas where improvements can be made.	Limited Assurance	Reasonable assurance

**Note:** For sight of individual background papers please contact the report author.

# Appendix 1

## Administration Performance – 1<sup>st</sup> January 2024 – 31<sup>st</sup> March 2024 (Somerset Pension Fund)

### Performance Summary

	Total Cases	Performance (Disc Regs)
High Priority Procedures	1,993	96%
Medium Priority Procedures	3,434	94%
Low Priority Procedures	1,029	72%
<b>TOTAL</b>	<b>6,456</b>	<b>91%</b>

### High Priority Cases

	Total Cases	Performance (Disc Regs)
Changes	184	98%
Complaints (First Instance)*	12	100%
Complaints (Stage 1 IDRP)*	2	100%
Complaints (Stage 2 IDRP)*	0	
Deaths	191	90%
Deferred (Over 55)	127	95%
Payroll	393	95%
Refunds	327	100%
Retirements (Active)	275	97%
Retirements (Deferred)	482	95%
<b>TOTAL</b>	<b>1,993</b>	<b>96%</b>

\* **Complaints:** These are broken down into 3 categories:

First instance complaints – these are ‘informal’ member complaints with the aim of resolving prior to Internal Dispute Resolution Procedure (IDRP).

These complaints are generally raised through the Member Self Service portal. Out of the 12 complaints received in the quarter, 2 were general enquiries where the member had selected ‘complaint’ option in error. Overview of the 10 complaints:

- 6 relating to delay with transfers of benefits to other schemes and quantity of documentation required – clarification provided to members of statutory timescales (available on website), and explanation around required process following legislation amendments in November 2021 with regards to Pension Scams – not upheld, within timescales
- 2 relating to Employer delay/incorrect documentation provided – Employers contacted accordingly.
- 1 relating to a transfer in from another scheme – member had missed deadline – member acknowledged and not upheld.
- 1 relating to incorrect National Insurance number provided by the Government ‘[Tell us once](#)’ service with regards to death of member – apology issued to member and explanation with regards to TUO service given.

IDRP stage 1 (administrative or employer decisions)

- Both IDRP were ill health decision review requests by members for Individual Employers

IDRP Stage 2 Panel

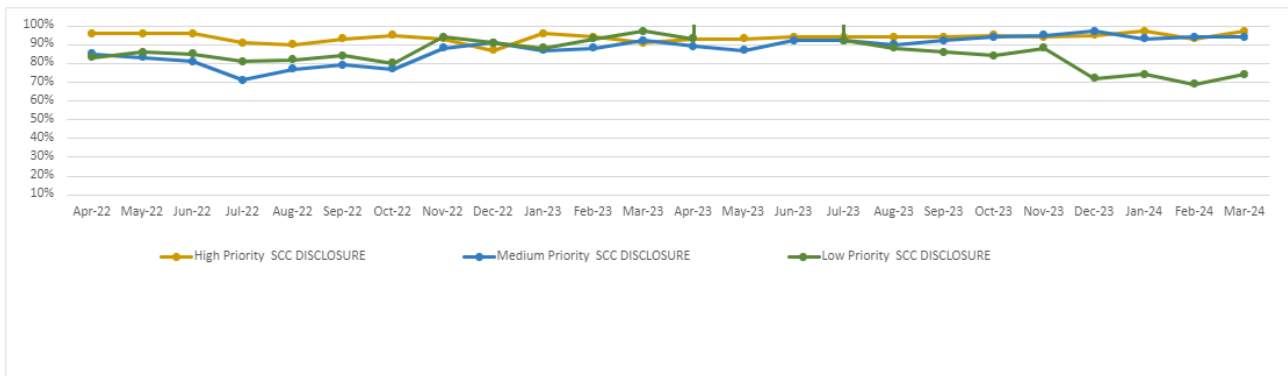
- None

### Medium Priority Cases

	Total Cases	Performance (Disc Regs)
Amalgamation of Records	386	63%
Deferred Benefit Calculations	770	93%
Divorce Calculations	42	86%
Employer Queries	153	95%
Estimates (Bulk)	0	-
Estimates (Employer)	274	100%
Estimates (Member)	28	96%
General	763	100%
HMRC	7	100%
Member Self-Service	1,011	100%
<b>TOTAL</b>	<b>3,434</b>	<b>94%</b>

### Low Priority Cases

	Total Cases	Performance (Disc Regs)
Estimates (Other)	42	95%
GMP Queries	5	100%
Interfund Transfers In	60	73%
Interfund Transfers Out	147	76%
Pension Top Ups	137	99%
Frozen Refunds	517	56%
New Starters	1	100%
Pension Transfers In	58	93%
Pension Transfers Out	62	97%
<b>TOTAL</b>	<b>1,029</b>	<b>72%</b>



**Administration Performance – 1<sup>st</sup> April 2023 – 31<sup>st</sup> March 2024**  
(Somerset Pension Fund)

**Performance Summary**

	Total Cases	Performance (Disc Regs)
<b>High Priority Procedures</b>	7,354	94%
<b>Medium Priority Procedures</b>	11,438	92%
<b>Low Priority Procedures</b>	3,098	82%
<b>TOTAL</b>	<b>21,890</b>	<b>91%</b>

**High Priority Cases**

	Total Cases	Performance (Disc Regs)
Changes	766	98%
Complaints (Member)	52	100%
Complaints (Employer)	6	83%
Deaths	786	80%
Deferred (over 55)	682	97%
Payroll	1,686	96%
Refunds	457	99%
Retirements (Active)	954	96%
Retirements (Deferred)	1,965	93%
<b>TOTAL</b>	<b>7,354</b>	<b>94%</b>

**Medium Priority Cases**

	Total Cases	Performance (Disc Regs)
Amalgamation of Records	1,606	76%
Deferred Benefit Calculations	3,009	86%
Divorce Calculations	136	92%
Employer Queries	324	85%
Estimates (Bulk)	0	-
Estimates (Employer)	432	100%
Estimates (Member)	126	94%
General	2,246	99%
HMRC	166	99%
Member Self-Service	3,393	100%
<b>TOTAL</b>	<b>11,438</b>	<b>92%</b>

**Low Priority Cases**

	<b>Total Cases</b>	<b>Performance (Disc Regs)</b>
Estimates (Other)	164	83%
GMP Queries	30	100%
Interfund Transfers In	211	77%
Interfund Transfers Out	409	76%
Pension Top Ups	423	98%
Frozen Refunds	1,472	76%
New Starters	2	100%
Pension Transfers In	190	88%
Pension Transfers Out	197	94%
<b>TOTAL</b>	<b>3,098</b>	<b>82%</b>

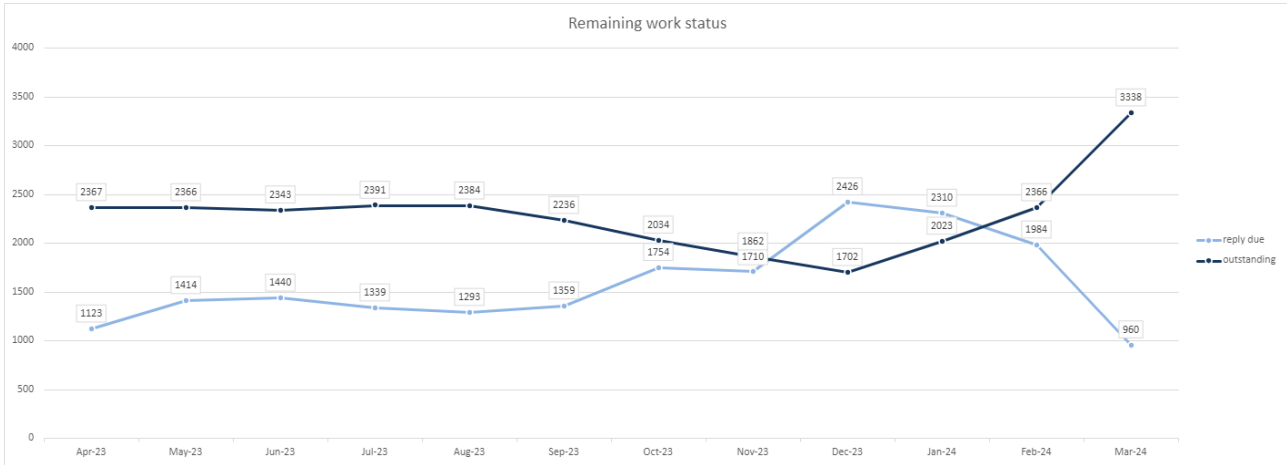
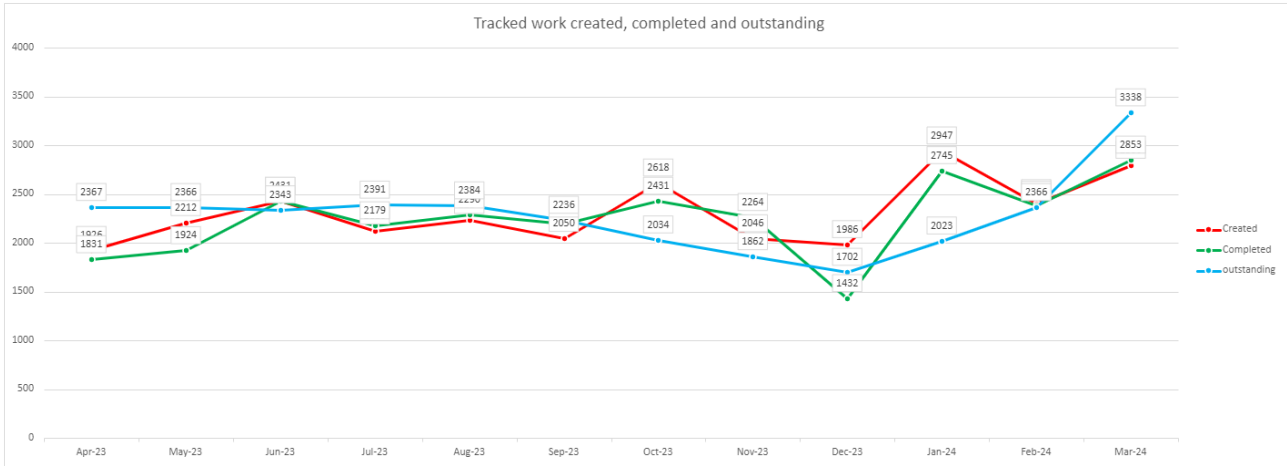


# Appendix 2

## Administration Performance

1st April 2023 – 31st March 2024

Month	Created	Completed	completion rate	Remaining	reply due	outstanding
Mar-24	2800	2853	101.89%	4298	960	3338



# Appendix 3

Work received 12 month rolling period 1<sup>st</sup> April 2023 – 31<sup>st</sup> March 2024  
(against same period for previous financial year)

from	to	Work Created	Work Completed	Average Monthly Work Remaining
01/04/2022	31/03/2023	24329	25070	3681
01/04/2023	31/03/2024	27780	26965	3914

