



Local Pension Board

Date: 19th December 2019

Data Quality – Annual Report (for information and discussion)

Report of the Head of Pensions

Purpose of Report

1. This report updates the Board on matters concerning data quality in respect of pensions administration and member benefits.
2. The Board is recommended to note this report.

Background

3. In order to administer the LGPS and calculate and pay members benefits certain elements of data is required. Various pieces of legislation set out what these are and how they should be managed.
4. Since taking on the role of overseeing governance and administration of the LGPS the Pensions Regulator has introduced a number of codes, guidance notes and requirements.
5. The key and most significant requirements for data quality are set out in the following regulations and compliance codes:
 - The Public Service Pensions Act 2013 and The Public Service Pensions (Record Keeping and Miscellaneous Amendment) Regulations.
 - The Pensions Regulator (TPR) Code of Practice No.14, governance and administration of public service pension schemes. The code itself is not a statement of law but we must ensure that we meet the underlying requirements. Penalties may be imposed if these requirements are not met.
 - TPR record keeping guidance including common and scheme specific (previously known as conditional) data scores.
6. Under the current shared arrangement data for Tyne and Wear Pension Fund and Northumberland County Council Pension Fund fall under the same controls and methods. However, for the purposes of compliance with the Regulations and Codes of Practice they can be identified as separate funds.

Data Collection

7. The data required to administer the Scheme originates from various sources. Predominantly the Scheme employer provides most of the member data. However information is also collected from members and/or their representatives and third parties such as HMRC and other pension providers.
8. The vast majority of data collected from employers is via secure electronic processing. This is either by:
 - bulk data imports for large volumes
 - online forms within our employer web services facility.
9. The data provided by Scheme members is either by telephone (subject to security clearance), paper forms, or via our secure member web services known as “mypension”.

10. We advise members not to send us personal information via email and actively promote the use of mypension.
11. Information supplied by third parties comes in both electronic and paper form.

Data Held

12. Member data is stored in a database integral to the Civica UPM Pension administration system. This sits within South Tyneside Council's secure IT network.
13. Jointly for both funds we currently hold 168,000 records in respect of members who are either are in receipt of a pension or are due benefits or a possible refund from either of the funds. We hold a further 127,000 records for previous members of the Scheme who or are either deceased, have transferred to another pension scheme or have received a full refund of their contributions.

Data Quality

14. Record keeping is a vital part of running a scheme and failure to maintain complete and accurate records means a risk of failing to meet our legal obligations. Poor record keeping can have a huge impact on members and can be very expensive if things go wrong because of bad or missing data.
15. Poor member data can also impact on Fund valuations and the setting of employer contribution rates.
16. Presence and quality of data are both equally important. The following controls are in place to ensure this:
 - Standard file layouts for all bulk imports and individual online web forms to ensure all required data is captured.
 - Validations within the above to ensure all information is present and in the correct format.
 - Standard paper forms for members and employers, where electronic processing is not appropriate or developed.
 - Member tracing services where we lose touch with a member.
 - Participation in the National Fraud Initiative.
 - Online access to pensions records, allowing employers and members to check their data.
 - The Actuary undertakes a data validation process as part of the triennial valuation.

- Annual data reviews resulting in data improvement plans
17. The Fund's move to electronic processing has greatly assisted with improvements to data quality and good record keeping.

The Pension Regulator's Data Requirements

18. The Regulator recognises that there are two types of data held in pension scheme records:
- Data used to identify scheme members, such as name, address national insurance number. Referred to as **common data**
 - Data specific to the scheme and used to calculate benefit entitlement and other transactions. Referred to as **scheme specific data - previously known as conditional data**
19. The Regulator expects schemes to carry out a data review at least annually to determine the presence and quality of both of the above categories. If poor quality or missing data is identified then a data improvement plan needs to be put in place.
20. The importance of good data is a message that is regularly reinforced by the Regulator and included in guidance notes, presentations and very recently within the report on the findings from the deep dives into the administration of 10 Local Government Pension funds.
21. Whilst historically questions in respect of common and scheme specific data have been included the Regulator's discretionary annual surveys, no formal monitoring had been in place for the LGPS. However, in July 2018 the Regulator introduced a requirement for all LGPS funds to provide their common and scheme specific data score in the mandatory Annual Scheme Return, which is submitted in November each year.
22. In order to be able to fairly compare each fund's data there needs to be consistency within the data items included in the scores. The data set for common data is relatively simple to define. However, scheme specific is more challenging. Whilst the Regulator set a requirement to declare a score the standard data set was not provided.
23. In light of this the Local Government Association (LGA) undertook the task of establishing the standard basis on which to score data. However it was not possible to agree such a standard approach in the first year of scoring data.
24. In the absence of an agreed approach, administering authorities were advised to adopt their own approach and, if necessary, to liaise with their software provider and/or actuarial adviser on how best to meet the survey's requirements on data.

25. Whilst the expectation was to have an agreed data set for the 2019 return and for software providers to build reports into their system, this has not been possible and work continues.
26. Therefore, the same approach has been adopted for 2019 as was used in 2018.

The Fund's Position:

Common data

27. The Fund has measured common data since 2012. The last review was October 2019 with score of 99.7%, which is an improvement from 99.4%. Whilst improvement has been made it was not possible to demonstrate this within the TPR 2019 scheme return which was submitted in November. The return provides for full numbers so the Fund returned 99%, the same as last year. It was deemed not appropriate to declare 100% as a very small number of errors had been identified, which can be expected with so many records.
28. Following commencement of the shared service arrangement, Northumberland's common data was measured in June 2018 with a score of 99%. This has increased to 99.8 when measured in October 2019.

Scheme specific data

29. In the absence of agreed datasets and reports in 2018 the Fund engaged with both Civica and Aon to provide a tool to measure this, but no simple and obvious approach was identified. As a consequence the Fund decided to use internal resources and run a series of reports to provide the data score for the 2018 return. This had the benefit of not incurring costs for a one year approach before a formal approach at Scheme level has been agreed.
30. In 2018, this resulted in a score of 90% declared in Tyne and Wear Regulator's return. The score provided to Northumberland for their return was 85%. The lower score was expected due to data issues identified as part of the data migration for the commencement of shared services.
31. In the absence of standards for 2019, the Fund once again used internal resources and adopted the same approach of running a number of reports and eliminating non relevant data to calculate the data score for 2019 return.
32. This resulted in a score of 97.8% (97% declared) in the Tyne and Wear Regulator's return, which is an improvement from 90%. The score provided to Northumberland for their return was 97%, which is an improvement from 85%.
33. It should be noted that when a formal data set is agreed, scores may be different from those derived from the Fund's approach. This may be due to

the need to count different data sets and not discount any missing data that is deemed not material or relevant to benefit process or cannot be obtained due to historical events. This may result in a reduction in scores.

34. The Fund has made representations to the LGA and TPR that the scoring for scheme specific data should only count material and relevant data fields. Nevertheless once a formal approach and standard is agreed this will be adopted by the Fund.

Data Improvement

35. An improvement plan to correct or obtain the data for both funds identified in the above reviews is currently in a draft format and appended to this report. Any outstanding actions from the 2018 plan have been carried forward to this plan. The next step will be to prioritise tasks and timings to align with statutory deadlines and work priorities.
36. The data improvement plan will continue to be a live document throughout the year and will be updated following any reviews or actions taken. The plan will be presented to the Board on an annual basis with the timing of this to tie in with the results and actions arising from the annual data review.

Data Quality at the 2016 and 2019 Valuations

37. As noted above in point 16, the Fund's Actuary, Aon undertakes a data validation exercise as part of the valuation exercise.
38. Following the 2016 valuation the Fund asked Aon to comment on the quality of the Fund's data. Analysis was undertaken between ourselves and four other clients of similar size across a range of comparators and a summary of the position is:
- Across all member records the Fund had the second lowest proportion of queries raised by Aon.
 - In relation to key queries, the Fund had the lowest proportion of queries raised.
 - Of all queries raised on the valuation data the Fund had the highest rate of resolving those queries
39. Based on this analysis, Aon has confirmed that the quality of the Fund's data submitted for the 2016 valuation was of a high standard and significantly better than average.
40. As part of preparation for the 2019 valuation the Fund undertook a data review with Aon in advance of the 2019 valuation data extract. Actions identified were incorporated into the data improvement plan and subsequently rectified. This helped reduce the number of queries at the

time of the valuation and improved the timetable for providing results to employers.

41. Once the 2019 valuation is completed the Fund will again request that Aon undertake a further review of the quality of data submitted for the valuation and rank the Fund against other funds.

Recommendations

42. The Board is recommended to note the report.

Data Improvement Plan

TWPF 2019 - position as at 25.11.2019

Common Data ran Oct = 2019	Score 99.77%	Scheme Specific Data ran Oct 2019	Score 97.84%
----------------------------	--------------	-----------------------------------	--------------

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Common Data	A	Active member where gender is not male or female	1	Update person details with correct gender	Comms		No records without gender		
Common Data	A	Active member with invalid date of birth	2	Review and update with correct date of birth	Comms		No records with invalid date of birth		
Common Data	A	Active members with TN NINO	3	Follow up with employer to request correct data.	Comms		Reduction in number of temporary NI numbers		
Common Data	D	Deferred members with TN NINO	4	Review file for valid NINO. Follow up with employer if recent leaver otherwise write to each member once to request correct data	Comms		Reduction in number of temporary NI numbers		
Common Data	B	Beneficiary members with TN NINO	218	Review file for valid NINO. Write to each beneficiary once to request correct data (is this cost prohibitive?)	Comms		Reduction in number of temporary NI numbers		
Common Data	PR	Preserved refund members with TN Nino	14	Review file for valid NINO . Follow up with employer if recent leaver else write to each member once to request correct data. Offer payment of refund again in same communication?	Comms		Reduction in number of temporary NI numbers		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Common Data	A/D/B/PR	Missing Postcodes	56	Use postcode “look up” to obtain data	Comms		Reduction in number of missing postcodes		
Common Data	D/PR	No last known address held	22	Review documentation on file for last known address.	Comms		Reduction in number of records with missing address		
Scheme Specific Data	A	UPM Folder does not have valid pay location	1	Review case and update record with valid pay location.	Tech		No records with invalid employer code		
Scheme Specific Data	A	Pre 1.4.19 joiner without 2019 care earnings	83	Review records and, unless a leaver process is running, update earnings view from annual return data or request missing data from employer where necessary. Ensure records have earnings recorded for all previous years.	Should be picked up as part of 2019 care revaluation error exercise.		No earnings records for pre 1.4.19 joiners with missing care earnings	ongoing	
Scheme Specific Data	A	Pre 1.4.19 joiner without 2019 contributions posted	721	Review records and, unless a leaver process is running, update contributions view from annual return data or request missing data from employer where necessary.	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records for pre 1.4.19 joiners with missing contributions	ongoing	
Scheme Specific Data	A	Pre 1.4.14 joiner without 2019 final pay entry	29	Review records and, unless a leaver process is running, update earnings view from annual return data or request missing data from employer where necessary. Ensure records have earnings recorded for all previous years.	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records for pre 1.4.14 joiners with missing final pay entry for 2019	ongoing	

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	A	Pre 1.4.2019 joiners without 2019 care entry	170	Find cases where no leaver process running. Ensure care earnings view is updated with 2019 annual return data or request from employer where necessary. Will also need to check for any previous years missing care entries and request and update. Will then need to arrange to run care revaluation for 2019.	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records with missing care earnings	ongoing	
Scheme Specific Data	A	Care benefit record does not show correct revaluation rate for 2019	24	Review incorrect entries and update where necessary. If revaluation has not been applied arrange for 2019 care revaluation to be run.	Technical		All care records have correct revaluation rate		
Scheme Specific Data	A	Care benefit record does not show survivor total	1	Review record and update	Technical		All care records have survivor totals		
Scheme Specific Data	A/D	Member with APC regular contributions contract without expected end date	4	Review record and update. Ensure that 2018 care benefits view is correct.	Technical		All records with APC contract show full contract information in order to assess correct APC benefit entitlement	ongoing	
Scheme Specific Data	A	Member with APC regular contributions contract without service or pension details	1	Review record and update.	Technical		All records with APC contract show full information		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	A	Member with APC lump sum contract without expected end date	20	Should not be material to benefit calculation as single one off payments are accounted for in year of start date but review records and update	Technical		All records with APC contracts show full contract information		
Scheme Specific Data	A/D/P	Additional contribution contract recorded on record but without any expected amount recorded (includes all contract types)	70	Only material for ARC and APC contracts (A =6 cases, D = 3 cases P = 13 cases) Review and update. For non-active records ensure that benefit entitlement has been calculated correctly and correct where necessary.	Technical		All records with ARC and APC contracts hold correct contributions paid in order to assess correct ARC/APC benefit entitlement		Future reports only report on active members where contract is still open or has closed after prev 1st April
Scheme Specific Data	B	Beneficiary record with missing 2019 pensions increase	5	Review and update record	Technical team as part of data clean exercise for 2020 pensions increase		All beneficiary records up to date with pensions increase		
Scheme Specific Data	B	Latest entry on pension history is shown as 'not sent to payroll'	6	Review and update record	Technical		All beneficiary records updated with pension values		
Scheme Specific Data	D	Post 31.3.14 leavers without any care earnings recorded on deferment table	3	Review records and update.	Technical team		Reduction in records with care earnings missing from deferment table.		Checked for genuine cases where no care earnings in year of leaving and excluded.

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	D/PD	2019 pension increase missing from member deferred pension	9	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All deferred records are current and fully updated with pension values		
Scheme Specific Data	D/PD	2019 pension increase missing from member contingent spouse pension	9	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All deferred records are current and fully updated with pension values		
Scheme Specific Data	D	Post 14 leaver - pension history record does not contain 1st April after DOL entry for member pension	2	Review records and update	Technical team		All deferred records are current and fully updated with pension values		
Scheme Specific Data	D/PD	Post 14 leaver - pension history record does not contain 1st April after DOL entry for spouses pension	2	Review records and update	Technical team		All deferred records are current and fully updated with pension values		
Scheme Specific Data	D	Deferred record with missing future review (deferred payment) date	1	Review records and update	Technical team		All deferred records are current and fully updated with pension values		
Scheme Specific Data	P/PEX	Pensioner/ Pensioner credit member with missing date left	15	Review records and update	Technical team		All pensioner record contain date left		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	PEX	Missing gross pension element on retirement table	22	Review records and update	Comms/Tech/Ops		All pension credit member records contain value of gross pension at date pension commenced		
Scheme Specific Data	PEX	Pension credit awarded in respect of post 14 service but no post 14 pension element on retirement table	8	Review records and update. Ensure that pension history contains basic pension and care pension elements where appropriate.	Ops teams to review cases and confirm to Technical team value of pre and post 14 pension to be recorded.		All pension credit member records contain correct value of post 14 pension at date pension commenced where appropriate		Future reports only exclude deferred retirement types - this element should be on deferment (when fully complete)
Scheme Specific Data	PEX	No pre commutation lump sum amount where amount after commutation > 0	1	May be genuine case if no lump sum awarded by PSO or no lump sum attributable to original member's pension but review record and update if necessary.	Comms/Tech/Ops		Reduction in number of records with missing pre conversion lump sum where post conversion lump sum exists		
Scheme Specific Data	PEX/P	Pension history not updated with 2019 pensions increase	19	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All pensioner records current and fully updated pension values		1 case 1308309 passed to SR as PI needed from 2015
Scheme Specific Data	PEX/P	No LTA % recorded on crystallised benefits	68	Review records and update	Comms/Tech/Ops		All pensioner records for post 5.4.06 retirement contain LTA% at date pension commenced		All cases relate to Kidderminster/Carlisle College to Newcastle College records

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	P	Duplicate LTA amount on crystallised benefits	5	Review records and update	Technical		All pensioner records for post 5.4.06 retirement do not contain duplicate LTA amounts		
Scheme Specific Data	P	Pensioner where member joined before 1.4.2014 without final pay entry on retirement	5	Review records and updated	Technical		All pensioner records for pre 1.4.14 joiners have final pay recorded on retirement		
Scheme Specific Data	P	Post 31.3.14 leavers without any care earnings recorded on retirement	40	Review records and update	Technical		Reduction in records with care earnings missing from retirement table.		Excluded deferred retirement types and genuine cases where no care earnings in year of leaving.
Scheme Specific Data	P	Retirement table does not hold Gross Pension element for value of pension at date of retirement	8	Review records and exclude cases where element pension before commutation exists	Technical		Reduction in records with gross pension missing from retirement table		Excluded cases where date pension commenced < 1.4.1992 as these records were created from former payroll records where this information would not have been available.
Scheme Specific Data	P	Retirement table for post 31.3.14 leaver does not contain post 14 pension element	7	Review records and update	Technical		Reduction in records with care earnings missing from retirement table.		Excluded genuine cases where there were no care earnings (where max care entry carry forward value = 0.00) and excluded deferred retirement types (do not write back post 14 pension element) and also excluded Councillor members.

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	P	Retirement table for pensioner who joined before 1.4.08 does not contain lump sum element	145	Review records and exclude cases where date pension commenced < 1.4.1992 (records were created from former payroll record where this information would not have been available).	Technical		Reduction in number of records with missing lump sum element		Excluded cases where the date pension commenced <1.4.1992 as these records were created from former payroll records where this information would not have been available. Also excluded cases that were GMP only on retirement and those where lump sum before commutation element exists
Scheme Specific Data	P	Retirement table contains element of post conversion lump sum but no pre conversion element	18	Review records and update where member has pre 08 service.	Technical		All records contain correct information relating to pre and post conversion lump sum values		
Scheme Specific Data	P	Post 14 retirement - pension history record does not contain 1st April after DOL entry for member pension	21	Review and update record	Technical		All pensioner records are current and fully updated with pension values		20 cases relate to Kidderminster/ Carlisle College to Newcastle College
Scheme Specific Data	P	Post 14 retirement - pension history record does not contain 1st April after DOL entry for spouses pension	18	Review records and update	Technical		All pensioner records are current and fully updated with pension values		17 cases relate to Kidderminster/ Carlisle College to Newcastle College

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	P	Latest entry on pension history is not recorded as 'current' value of pension	5	Review records and update	Technical		All pensioner records are current and fully updated		
Scheme Specific Data	P	Latest entry on pension history is not recorded as 'Member'	1	Review records and update	Technical		All pensioner records are current and fully updated		
Scheme Specific Data	P	Latest entry on pension history is recorded as 'deferred'	6	Review records and update	Technical		All pensioner records are current and fully updated		
Scheme Specific Data	P	Latest entry on pension history is recorded as not 'sent to payroll'	3	Review records and update	Technical		All pensioner records are current and fully updated		
Scheme Specific Data	P	Latest entry on pension history has incorrect pension elements	1	Review records and update	Technical		All pensioner records are current and fully updated		
Scheme Specific Data	DEX	All records need to be updated with deferment details and pension history details	105	Review records and update. Also ensure all records have date joined and date left.	Comms/Tech/Ops		All DEX records fully updated		
-	PR	Pre 14 leavers - Preserved refund member who have another A / D / P record so PR should no longer apply	12	Pre 14 leavers with PR record who also have another record with A/P/B status as PR can no longer be paid - should be deferred or combined.	Comms/Tech/Ops				

NCCPF 2019 - position as at 25.11.2019

Common Data ran Oct = 2019	Score 99.86%	Scheme Specific Data ran Oct 2019	Score 97.39%
----------------------------	--------------	-----------------------------------	--------------

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Common Data	D	Deferred members with TN NINO	1	Review file for valid NINO. Follow up with employer if recent leaver or else write to each member once to request correct data.	Comms		Reduction in number of temporary NI numbers		
Common Data	B	Beneficiary members with TN NINO	21	Review file for valid NINO. Write to each beneficiary once to request correct data.	Comms		Reduction in number of temporary NI numbers		
Common Data	PR	Preserved refund members with TN Nino	6	Review file for valid NINO. Follow up with employer if recent leaver or else write to each member once to request correct data. Offer payment of refund again in same communication.	Comms		Reduction in number of temporary NI numbers		
Common Data	A	Active member with TN NINO	1	Follow up once with employer	Comms		Reduction in number of temporary NI numbers		
Common Data	A	Active member with invalid date of birth	1	Review and update with correct date of birth			No records with invalid date of birth		
Common Data	A /D/ B/ PR	Missing Postcodes	7	Use postcode “look up” to obtain data	Comms		Reduction in number of missing postcodes		
Common Data	A/D	Incorrect pay location held on service	2	Update with correct pay location	Comms				

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Common Data	A	Last entry on status history does not match current status	2	Update with correct status	Comms				
Scheme Specific Data	A	Pre 1.4.19 joiner without 2019 care earnings	14	Review records and, unless a leaver process is running, update earnings view from annual return data or request missing data from employer where necessary. Ensure records have earnings recorded for all previous years.	Should be picked up as part of 2019 care revaluation error exercise.		No earnings records for pre 1.4.19 joiners with missing care earnings	ongoing	In future reports exclude members with leaver processes
Scheme Specific Data	A	Pre 1.4.19 joiner without 2019 contributions posted	120	Review records and, unless a leaver process is running, update contributions view from annual return data or request missing data from employer where necessary.	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records for pre 1.4.19 joiners with missing contributions	ongoing	In future reports exclude members with leaver processes
Scheme Specific Data	A	Pre 1.4.14 joiner without 2019 final pay entry	3	Review records and, unless a leaver process is running, update earnings view from annual return data or request missing data from employer where necessary. Ensure records have earnings recorded for all previous years	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records for pre 1.4.14 joiners with missing final pay entry for 2019	ongoing	In future reports exclude members with leaver processes
Scheme Specific Data	A	Pre 1.4.2019 joiners without 2019 care entry	20	Re-run report to find such cases where no leaver process running. Ensure care earnings view is updated with 2019 annual return data or request from employer where necessary. Will also need to check for any previous years missing care entries and request and update. Will then need to arrange to run care revaluation for 2019	Should be picked up as part of 2019 care revaluation error exercise.		Reduction in number of records with missing care earnings	Ongoing	In future reports exclude members with leaver processes

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	A	Care benefit record does not show correct revaluation rate for 2019	3	Review incorrect entries and update where necessary. If revaluation has not been applied arrange for 2019 care revaluation to be run.	Technical		All care records have correct revaluation rate		
Scheme Specific Data	D	Transfer in recorded but without any associated pension or service credit	4	Review record and update. Check Deferred cases to see if deferred bens are correct.	Technical		Pension or service credit recorded for all transfers in		
Scheme Specific Data	D/P	Additional contribution contract recorded on record but without any expected amount recorded (includes all contract types)	28	Only material for APC contracts	Technical		All records with APC contracts hold correct contributions paid in order to assess correct ARC/APC benefit entitlement		
Scheme Specific Data	A/D/P/PR	No contracted out date held on UPM folder for pre 2016 joiners	128	Check NCC data migration source data - spot check records to see if missing in source data. Raise with Civica - can this be scripted - if so cost?	Technical				Ran reports and brought in date joined fund
Scheme Specific Data	D	Post 31.3.14 leavers without any care earnings recorded on deferment table	36	Review records and update	Technical		Reduction in records with care earnings missing from deferment table		Checked for genuine cases where no care earnings in year of leaving and excluded.
Scheme Specific Data	D/PD	2019 pension increase missing from member deferred pension	1	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All deferred member records to be updated with 2019 PI		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	D	2019 pension increase missing from member contingent spouse pension	1	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All deferred member spouse pension to be updated with 2019 PI		
Scheme Specific Data	D	Post 14 leaver - pension history record does not contain 1st April after DOL entry for member pension	2	Review records and update	Technical		All deferred records to be fully updated with pension values		
Scheme Specific Data	D	Post 14 leaver - pension history record does not contain 1st April after DOL entry for spouses pension	2	Review records and update	Technical		All deferred records to be fully updated with pension values		
Scheme Specific Data	P	Pension history not updated with 2019 pensions increase	3	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All pensioner records to be fully updated with pension values		
Scheme Specific Data	P	Post 31.3.14 leavers without any care earnings recorded on retirement	25	Review records and update. Only needed where retirement is from active status.	Technical		Reduction in records with care earnings missing from retirement table.		Excluded members who were deferred into payment. Care earnings for these should be recorded on deferment table. Also checked for genuine cases where there were no care earnings in year of leaving and excluded them.
Scheme Specific Data	P	Retirement table for post 31.3.14 leaver does not contain post 14 pension element	26	Review records (exclude cases where member has no care earnings).	Technical		Reduction in records with care earnings missing from retirement table.		Checked for genuine cases where no care earnings in year of leaving and excluded.

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	P	Retirement table for pensioner who joined before 1.4.08 does not contain lump sum element	22		Technical		Reduction in number of records with missing lump sum element		
Scheme Specific Data	P	Post 14 retirement - pension history record does not contain 1st April after DOL entry for member pension	1	Review and update record	Technical		All pensioner records are current and fully updated with pension values		
Scheme Specific Data	P	Post 14 retirement - pension history record does not contain 1st April after DOL entry for spouses pension	1	Review records and update	Technical		All pensioner records are current and fully updated with pension values		
Scheme Specific Data	P	Latest entry on pension history record shows pension type as being deferred	1	Review records and update	Technical team as part of data clean exercise for 2020 pensions increase		All pensioner records to be fully updated with pension values		
Scheme Specific Data	P	Latest entry on pension history record shown as not current	C	Review records and update	Technical		All pensioner records to be fully updated		
Scheme Specific Data	P	Latest entry on pension history record has incorrect pension elements	1	Review records and update	Technical		All pensioner records to be fully updated		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
Scheme Specific Data	P	Duplicate LTA amounts on crystallised benefits	9	Review records and update	Technical		All pensioner records for post 5.4.06 retirement do not contain duplicate LTA amounts		
Scheme Specific Data	PEX	Pension credit member with missing date left	4	Review records and update	Technical		All pensioner records contain date left		
Scheme Specific Data	PEX	Missing gross pension element on retirement table	5	Review records and update	Technical		All pension credit member records contain value of gross pension at date pension commenced		
Scheme Specific Data	PEX	Pension credit awarded in respect of post 14 service but no post 14 pension element on retirement table	1	Review records and update. Ensure that pension history contains basic pension and care pension elements where appropriate.	Technical		All pension credit member records contain correct value of post 14 pension at date pension commenced where appropriate		Future reports only exclude deferred retirement types - this element should be on deferment (when fully complete)
Scheme Specific Data	DEX	All records need to be fully completed and updated with date left.	21	19 also require co date, 3 require deferment details and 2 require pension history details. Review records and update.	Comm/Tech/Ops		All DEX records to be fully updated		

Source	UPM Folder Status	Issue	No of Cases	Methodology	Resource	Timescale	Success Criteria	Date complete	Comments
-	PR	Pre 14 leavers - Preserved refund member who have another A / D/ P record meaning PR should no longer apply	32	Pre 14 leavers with PR record who also have one or more other records with A/P/B status as PR can no longer be paid - should be deferred or combined.	Comm/Tech/Ops				
Data Migration	P/B	Records where values in payment on payroll did not match those on Altaire admin system. UPM pension history forced to match amount on payroll by application of balancing item	TBC	10 records with larger potential underpayment investigated and in all cases payroll proved to be correct. Review further set of potential underpayments (of varying amounts) to see if trend continues.	Tech			all cases with difference +/- £2 per month complete 25.2.19	

Data Quality

The following is a list of the background papers (excluding exempt papers) relied upon in the preparation of the above report:

Background Paper	File Ref:	File Location
TPR Public Service Code of Practice No.14	N/a	www.tpr.gov.uk/code14
The Public Service Pensions Act 2013 and The Public Service Pensions (Record Keeping and Miscellaneous Amendment) Regulations	N/a	www.legislation.gov.uk/uksi
TPR Record Keeping Guides	N/a	www.tpr.gov.uk/ps-record-keeping
Civica UPM Manuals	N/a	Pensions Office
Aon Files	N/a	Pensions Office