



Haverling

LONDON BOROUGH

LOCAL PENSION BOARD AGENDA

4.00 pm

**Tuesday
2 April 2019**

**Committee Room 1,
Town Hall, Main Road,
Romford**

Members 4: Quorum 3

Mark Holder, Scheme Member Representative
Anne Giles, Scheme Member Representative
David Holmes, Employer Representative
Denise Broom, Employer Representative

**For information about the meeting please contact:
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AGENDA ITEMS

1 CHAIR'S ANNOUNCEMENTS

The Chair will announce details of the arrangements in case of fire or other events that might require the meeting room or building's evacuation.

2 APOLOGIES FOR ABSENCE

(if any) – receive.

3 DISCLOSURE OF INTEREST

Members are invited to disclose any interest in any items on the agenda at this point of the meeting.

Members may still disclose any interest in an item at any time prior to the consideration of the matter.

4 MINUTES OF THE MEETING (Pages 1 - 22)

To approve as correct the minutes of the meeting held on 21 August 2018 and to receive the notes of the inquorate meetings held on the 2 October 2018 and 18 December 2018 (attached).

5 MONTHLY LPP PERFORMANCE REPORT (Pages 23 - 42)

6 ALTERNATIVE KEY PERFORMANCE INDICATORS AND CASE JOURNEYS (Pages 43 - 56)

7 FUND MANAGERS PERFORMANCE

8 COMPLIANCE CHECKLIST (Pages 57 - 60)

9 AUDITS - INTERNAL AUDIT OF LPP AND PENSION REGULATOR (Pages 61 - 64)

10 DATA SCORE (Pages 65 - 70)

11 RISK REGISTER (STANDING ITEM)

12 WORKPLAN & UPDATE OF MEETING WITH CHAIR OF PENSIONS COMMITTEE

13 TO RECEIVE FEEDBACK FROM RECENT MEETINGS OF THE PENSIONS COMMITTEE (Pages 71 - 78)

To receive the minutes of the meetings of the Pension Committee held on the 13 November 2018 and the 11 December 2018. The minutes of the Pensions Committee to be held on the 19 March 2019 will follow.

14 CHAIRMAN SELECTION

15 ANNUAL GENERAL MEETING

**Andrew Beesley
Head of Democratic Services**

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**MINUTES OF THE MEETING OF THE
LOCAL PENSION BOARD
Committee Room 2 - Town Hall
21 August 2018 (4.00 - 5.46 pm)**

Present:

Mark Holder, Scheme Member Representative (Chairman)
David Holmes, Scheme Member Representative
Virpi Raivio, Employer Representative

Officer attendance:

Caroline Berry, Pensions Projects and Contracts Manager, OneSource, LBH
Debbie Ford, Pensions Manager, Pensions and Treasury
Lillian Thomas, Pensions Accountant, Pensions and Treasury
James Curtis, LPP (part of the meeting)

49 CHAIR'S ANNOUNCEMENTS

The Chair reminded Members of the action to be taken in an emergency.

50 APOLOGIES FOR ABSENCE

An apology for absence was received from Anne Giles, Scheme Member Representative.

51 DISCLOSURE OF INTEREST

There were no disclosures of interest.

52 MINUTES OF THE MEETING

The minutes of the ordinary meeting held on the 24 April 2018 were agreed as a correct record and signed by the Chairman. The following matters arose from the minutes of the previous meeting, which were not covered elsewhere on the agenda:

- Minute No. 34(i): It was confirmed that all board members had reviewed the CIPFA knowledge and skills self assessment and sent confirmation of completion to Debbie Ford.
- Minute No. 34(ii): Various training event invitations had been circulated to members.
- Minute No. 34(iii): Minute No.58 refers.
- Minute No. 35: It was confirmed that Local Pension Board members were covered for liabilities within the scope of the council's own

indemnity provisions. A confirmation letter was awaited from the insurance company.

- Minute No. 36 (C5): Members were advised that Democratic Services were responsible for holding details of members declarations.
- Minute No. 36 (C6): It was requested that Local Pension Board members declarations not be published on website.
- Minute No. 36 (G1): An explanation to be provided of the process in place to identify late payments. Action to be carried forward.
- Minute No. 36 (G5): Members had suggested that when the Charging Policy was next reviewed, that reference be included to charging a fee for administration for processing late payments and interest charges. Action to be carried forward - Caroline Berry.
- Minute No. 37: Minute No.60 refers.
- Minute No. 40: It was confirmed that the Annual Report had been agreed by members at the Annual General Meeting on the 18 June 2018 and presented to the Pensions Committee on the 24 July 2018.

The minutes of the Annual General meeting held on the 18 June 2018 were agreed as a correct record and signed by the Chairman. There were no matters arising from the minutes of the previous meeting, which were not covered elsewhere on the agenda.

Members received, and noted, the feedback from the meeting of the Pensions Committee held on the 24 July 2018 and the Special Pensions Committee meeting held on the 20 August 2018.

Members requested that the work plan be included as a standing item on future agendas.

Actions:

- i) **Minute No. 36 (G1): An explanation to be provided of the process in place to identify late payments. Action to be carried forward – Caroline Berry.**
- ii) **Minute No. 36 (G5): Members had suggested that when the Charging Policy was next reviewed, that reference be included to charging a fee for administration for processing late payments and interest charges. Action to be carried forward - Caroline Berry.**
- iii) **Work plan be included as a standing item on future agendas – Victoria Freeman**

53 **LATEST KEY PERFORMANCE INDICATOR REPORT**

The latest KPI report was circulated and presented by James Curtis (LPP).

In addition to the PRoWS Statistical document for April 2018, members received the three month statistics at the meeting.

The focus for LPP was on processing Deaths, Retirements and Estimates (employer), with improvements having been seen in all areas. There had been 681 overdue cases as of the 1 June 2018, and this had reduced to 94 as of the 21 August 2018. There were currently no overdue Retirement or Death cases. The focus was on ensuring that all cases were processed by their due date in addition to reducing the backlog of cases. Benefit statements would be made available to members on the 31 August 2018, generating additional work for officers.

There were a number of questions around improvements and clarifications on the report and these are covered in the section below.

54 **NEW KEY PERFORMANCE INDICATOR REPORT**

The London Borough of Newham monthly report for February 2018 was circulated at the meeting for members to view the format of report produced by the Local Pensions Partnership (LPP).

Members liked the style of the new report which made it a lot clearer on the position of each of the categories measured.

Members requested that all cases be allocated on the report to provide a complete picture of performance. That descriptions be made clearer and if necessary an appendix giving more detailed information on all heading descriptions. Members requested a separate report on cases on hold and the reasons why they were on hold.

Members requested that the SLA target be shown on the report to make it clear whether we were achieving agreed targets.

Members requested a cumulative position to be included on the report calculating the cumulative position from the 1st April 2018, as an annual cumulative performance report was the agreed method of reporting performance to the Pensions committee.

Members requested that the performance report to be completed with the Septembers data in the new format and this added as a standing item on future agendas.

Action: To produce new report for next board meeting to review - LPP

55 **COMPLIANCE CHECKLIST**

The following sections were discussed and points noted:

Section F – Administration and Scheme Record Keeping

F1 – Do member records hold the information required as defined in the Record Keeping Regulations and is it accurate? Members agreed that the requirement was fully compliant.

F2 – Does the Fund have the appropriate processes in place so employers can provide timely and accurate information? Officers were working on training provision for 'Your Fund', with LPP to initially provide training to Havering, as the largest employer in the scheme. When available, the Pension Administration Policy would be presented to the Pension Committee, for approval, although this was not currently a high priority.

F3 – Does the Fund keep records or and reconcile transactions as required by the Record Keeping Regulations? Caroline Berry would discuss the process of recording those overpayments that were written off with Sarah Bryant and would report back to members.

F4 – Are records kept of pension board meetings as required by the Record Keeping Regulations? Members agreed that the requirement was fully compliant.

F5 – Are records kept of decisions made by the pension board, outside of meetings as required by the Record Keeping Regulations? Members agreed that the requirement was fully compliant.

F6 – Are records retained for as long as they are needed? It was confirmed that legally records could be retained indefinitely and would not breach the General Data Protection Regulations.

F7 – Does the Administrating Authority have policies and processes to monitor data on an ongoing basis? The formal monitoring of data and checks would be carried out as part of the audit process. Furthermore, performance indicators highlighted any issues.

F8 – Does the Administrating Authority carry out a data review at least annually? Members agreed that the requirement was fully compliant.

F9 – Is a data improvement plan in place which is being monitored with a defined end date? There was currently no improvement plan in place, and this was a priority for Caroline Berry.

F10 – Are processes and policies in place to reconcile scheme data with employer data? Addresses were not currently checked. Work on LPP data processes would be undertaken next year and address reconciliation would be done.

F11 – Do the Administrating Authority's member data processes meet the requirements of the Data Protection Act 1998 and the data protection

principles? Members agreed that the requirement was fully compliant. LPP use Mimecast as their secure email facility.

Section H – Providing information to members and others

H1 – Has an annual benefit statement been provided to all active members within the required timescales? Caroline Berry was requested to investigate the process followed for providing the annual benefit statement to active members.

H2 – Do these meet the legal requirements in relation to format? Members agreed that the requirement was fully compliant.

H3 – Has a benefit statement been provided to all active, deferred and pension credit members who have required one within the required timescales? Members agreed that the requirement was fully compliant.

H4 – Does this meet the legal requirements in relation to format? Caroline Berry advised that she would check to ascertain whether the legal requirements applied to deferred statements.

H5 – Has an annual benefit statement been provided to all members with AVCs within the required timescales? Officers did not have authority to check with AVC providers as to whether AVC members receive an annual benefit statement. However, written confirmation was sought from the AVC providers that they sent an annual benefits statement to all members with AVCs within the required timescale. Prudential had confirmed that they adhere to the requirements and no response had been received from Standard Life. Caroline Berry advised that she would chase Standard Life for a response.

H6 – Do these meet the legal requirements in relation to format? Minute H5 above refers.

H7 – Is basic scheme information provided to all new and prospective members within the required timescales? The target had been set and contained in the service level agreement with LPP.

H8 – Does this meet the legal requirements in relation to format? Members agreed that the requirement was fully compliant.

H9 – Is all other information provided in accordance with the legal timescales? Members agreed that the requirement was partially compliant.

H10 – Where any information is only provided electronically (i.e. instead of any hard copy) does it comply with the legal requirements? Members agreed that the requirement was fully compliant.

H11 – Does the Administering Authority aim to design and deliver communications in a way that ensures scheme members are able to

engage with their pension provision? Members were advised that the standard letters had been reviewed when the operating system had been migrated to LPP.

H12 – Does the Administering Authority use a tracing service? Members agreed that the requirement was fully compliant.

Actions:

- i) **F3 - To discuss the process of recording those overpayments that were written off with Sarah Bryant and would report back to members - Caroline Berry**
- ii) **H1 – To investigate the process followed for providing the annual benefit statement to active members - Caroline Berry.**
- iii) **H4 – To check to ascertain whether the legal requirements applied to deferred statements - Caroline Berry**
- iv) **H5 – To chase Standard Life for confirmation that they send an annual benefit statement to all members within the required timescales - Caroline Berry**
- v) **Sections ‘D’ and ‘I’ to be considered at the next meeting – Victoria Freeman**

56 LOCAL PENSION BOARD - END OF YEAR FINANCE REPORT 2017-18

Members received a report which notified of the budget set for the 2018-19 financial year.

In 2017/18 costs totalled 14.5% of the budget allocated and for 2016/17 costs totalled 22% of the budget allocated, averaging out at 18.25% over the 2 year period. The costs for 2017/18 did not incur recruitment costs, however there may be a need to recruit two new employer representatives to the Board.

57 REVIEW OF SCHEME RISKS

Member's views were sought on the updated draft Pension Fund Risk Register document which was circulated at the meeting. The final document would be presented to the Pension Committee at their meeting on the 13 November 2018.

Action: To provide views on the format of the Pension Fund Risk Register document to officers by the 11 September 2018 – All members

58 **INTERNAL AUDIT**

A review to ensure that procedures were sufficiently robust was on the Internal Audit work plan for September 2018. LPP had recently been audited by Deloitte and a client version of their report would be circulated to members.

Action: To circulate a client version of Deloitte audit of LPP to members – Caroline Berry

59 **BOARD RECRUITMENT**

Members discussed future changes to the membership of the Board and the potential vacancy for one employer representative from September 2018 and another from April 2019. It was agreed that an advertisement be placed for the recruitment of an employer representative as soon as possible.

Action: To place an advertisement for the recruitment of an employer representative - Caroline Berry / Debbie Ford

Chairman

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**NOTES OF THE MEETING OF THE
LOCAL PENSION BOARD
Town Hall, Main Road, Romford
2 October 2018 (4.00 - 5.25 pm)**

Present:

Mark Holder, Scheme Member Representative
David Holmes, Scheme Member Representative

Officer Attendance:

Caroline Berry, Pensions Projects and Contracts Manager, OneSource, LBH
Debbie Ford, Pensions Manager, Pensions and Treasury
Lillian Thomas, Pensions Accountant, Pensions and Treasury
James Curtis, LPP (part of the meeting)

1 CHAIR'S ANNOUNCEMENTS

The Chair reminded Members of the action to be taken in an emergency.

2 APOLOGIES FOR ABSENCE

An apology for absence was received from Anne Giles, Scheme Member Representative.

3 DISCLOSURE OF INTEREST

There were no disclosures of interest.

4 MINUTES OF THE MEETING

The meeting of the Local Pension Board held on the 21 August 2018 could not be approved, as the meeting was not quorate.

The following matters arose from the minutes of the previous meeting, which were not covered elsewhere on the agenda:

- i) Minute No. 52(i): There was a written process in place to identify late payments, however the process would require amendment to bring in line with the Charging Policy.
- ii) Minute No. 52(ii): Members had suggested that when the Charging Policy was next reviewed, that reference be included to charging a fee for administration for processing late payments and interest charges.
Action to be carried forward – Caroline Berry

- iii) Minute No. 52(iii): The Work Plan to be included on the agenda as a standing item – Victoria Freeman.
- iv) Minute No. 54: Note No. 5 below refers.
- v) Minute No. 55(i): To discuss the process of recording those overpayments that were written off with Sarah Bryant and would report back to members. Action to be carried forward – Caroline Berry.
- vi) Minute No. 55(ii): It was reported that all active members would receive email notifications if their email addresses were held by LPP. Furthermore, details were made available on the website.
- vii) Minute No. 55(iii): Members were advised that the legal requirements did not apply to deferred statements. The regulations applied only to annual benefit statements.
- viii) Minute No. 55(iv): It was confirmed that Standard Life had sent an annual benefit statement to all members within the required timescales.
- ix) Minute No. 55(v): Note No. 6 below refers.
- x) Minute No. 57: Note No. 7 below refers.
- xi) Minute No. 58: Note No. 8 below refers.

Actions:

- i) Note No. 4(i): Members had suggested that when the Charging Policy was next reviewed, that reference be included to charging a fee for administration for processing late payments and interest charges. Action to be carried forward – Caroline Berry.**
- ii) Note No. 4(ii): The Work Plan to be included on the agenda as a standing item – Victoria Freeman.**
- iii) Note No. 4(v): To discuss the process of recording those overpayments that were written off with Sarah Bryant and would report back to members. Action to be carried forward – Caroline Berry.**

5 KEY PERFORMANCE INDICATOR REPORT

The monthly report for September 2018 was circulated to members. The majority of cases had been completed on time, and this was largely due to the section being fully staffed and an improvement in management. It was requested that it be highlighted on the Pension Board monthly report the main indicators that are reported in the Annual report to the Pensions Committee. Furthermore, it was requested that accumulative data for the year be presented to the next meeting. Members questioned the validity of data for cases completed on time and were provided assurance that the data was not misleading. Members requested that the following data be provided in future reports:

- Additional work
- 'Top' cases not on time
- Complaints and IDRPs cases
- Life Certificates
- Axis online take up numbers

Concern was raised that the issues with the event report from HMRC had not been resolved, as this was a breach and needed to be urgently addressed.

Actions:

- i) That it be highlighted on the Pension Board monthly report the main indicators that are reported in the Annual report to the Pensions Committee – James Curtis / Caroline Berry.**
- ii) To discuss the format to present accumulative data for the year - James Curtis / Caroline Berry.**
- iii) To check who was responsible for running previous reports for HMRC as a priority to ensure that statutory obligations are met – James Curtis / Debbie Ford.**

6 COMPLIANCE CHECKLIST

The following sections were discussed and points noted:

Section D – Publishing Information about schemes

D1 – Does the Administering Authority publish information about the Pension Board? Members considered the requirement to be fully compliant.

D2 – Does the Administering Authority publish other useful related information about the Pension Board? Members agreed that the website be updated to include a profile of the Local Pension Board members.

D3 – Is the information about the Pension Board kept up to date? Members considered the requirement to be fully compliant.

D4 – Does the Administering Authority publish information about Pension Board business? Members considered the requirement to be fully compliant.

Section I – Internal Dispute Resolution

I1 – Has the Administering Authority put in place an internal dispute resolution procedure? Members considered the requirement to be fully compliant. The IDRP was being reviewed with LPP to ensure that it was up to date and included all required and additional helpful information as the current version was based on an old DCLG sample.

I2 – Does the Administering Authority's process highlight or consider whether a dispute is exempt? The process would be included in the IDRP factsheet when the document was reviewed.

I3 – Does the information made available to applicants about the procedure clearly state the procedure and process to apply for a dispute to be resolved including: who it applies to; who the specific person (stage 1) is; the timescales for making applications; who to contact with a dispute; the information that an applicant must include; the process by which decisions are reached? Members considered the requirement to be fully compliant.

I4 – Has the Administering Authority ensured that employers who make first stage decisions also have IDRP in place? Some of the scheme employers had published their stage 1 IDRP adjudicator details along with their scheme discretions, however all employers needed to be encouraged to do so although it was optional for employers to nominate stage 1.

I5 – Are the timescales in the procedure adhered to including sending an acknowledgement on receipt of an application? As yet, the London Borough of Havering had not had a formal IDRP complaint to process, however there was a policy and process in place and this would be reviewed.

I6 – Does the Administering Authority notify and advertise the procedure appropriately? Members considered the requirement to be fully compliant.

I7 – Are the notification requirements in relation to TPAS and the Pensions Ombudsman being adhered to? Members considered the requirement to be fully compliant.

18 – Does the Administering Authority regularly assess the effectiveness of its arrangements? Members considered the requirement to be fully compliant.

19 – Does the Administering Authority regularly assess the effectiveness where employers carry out a stage one process? Members considered the requirement to be fully compliant.

Actions:

- i) D2 - To provide a short profile for inclusion on the website - All members.**
- ii) I1 – To review the IDRP with LPP to ensure that it was up to date and included all required and additional helpful information as the current version was based on an old DCLG sample – Caroline Berry.**
- iii) I2 – Details of the process highlighting or considering whether a dispute is exempt to be included in the IDRP factsheet when it is reviewed – Caroline Berry.**
- iv) I5 – The policy and process for IDRP complaints to be reviewed – Caroline Berry.**

7 RISK REGISTER REVIEW

Members received the Pension Fund Risk Register, which incorporated risks relating to Havering, Newham and Bexley.

The following points were discussed:

- Risk No. 1, Risk of Inaccurate three yearly actuarial valuation: It was proposed that the wording be amended to 'inappropriate' rather than 'inaccurate'.
- Risk No. 4, Risk of failure to comply with legislative requirements: It was felt that the consequence of not adding on legislation in a timely manner and contributions being delayed was a risk.

Members were requested to provide their views on the format of the Pension Fund Risk Register document to officers before the document was presented to the Pensions Committee on the 13 November 2018.

Action:

To provide views on the format of the Pension Fund Risk Register document to officers by the 12 October 2018 – All members.

8 LPP INTERNAL AUDIT

LPP had an internal audit around benefits administration in January 2018. Unfortunately, due to risk, LPP were unable to share the internal audit report externally.

The scope of the internal audit included:

- Benefit processing – Controls were in place surrounding the accurate calculation and payment of pension benefits, payment authorisations, documentation and record keeping procedures;
- Accuracy of benefit calculations;
- Workflow management process from receipt of task to delivery; and
- Management of the administration system in respect of calculations and factor changes, to enable the administration system to process calculations in line with the Rules of each scheme.

LPP had received an 'effective' rating which could be defined as:

'Compliant (adequate in the circumstances) – low risk of failure in risk mitigation and control and some scope or justification to improve risk mitigation and control activities for audited functions, processes and activities'.

Concern was raised that the key performance data may not provide an accurate picture as the data did not account for time received and when the case was logged onto the system. It was suggested that any questions that officers and members may have, be presented to Lancashire Council who procure LPP, in order for LPP to be challenged.

Action: Statistics and questions to be presented to Lancashire Council – Caroline Berry.

9 BOARD MEMBERSHIP AND RECRUITMENT

The advertisement and application form for an employee representative for the Local Pension Board and Pensions Committee had been sent to all employers and trusts. The closing date for applications was the 31 October 2018.

10 TO RECEIVE FEEDBACK FROM RECENT MEETINGS OF THE PENSIONS COMMITTEE

Members received the minutes of the Pensions Committee held on the 18 September 2018.

Chairman

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**NOTES OF THE INQUORATE MEETING OF THE
LOCAL PENSION BOARD
Town Hall, Main Road, Romford
18 December 2018 (4.00 - 6.00 pm)**

Present:

Anne Giles, Scheme Member Representative
Mark Holder, Scheme Member Representative

Officer Attendance:

Caroline Berry, Pensions Projects and Contracts Manager
Debbie Ford, Pensions Manager, Pensions and Treasury

11 CHAIR'S ANNOUNCEMENTS

The Chair reminded Members of the action to be taken in an emergency. The meeting was inquorate, and those in attendance agreed that the meeting should proceed informally.

12 APOLOGIES FOR ABSENCE

Apologies for absence were received from Denise Broom, Employer Representative, and David Holmes, Employer Representative.

13 DISCLOSURE OF INTEREST

There were no disclosures of interest.

14 MINUTES OF THE MEETING

The minutes of the Local Pension Board meeting held on the 21 August 2018 and the notes of the inquorate meeting held on the 20 October 2018 were received.

The following matters arose from the minutes of the previous meeting, which were not covered elsewhere on the agenda:

- i) Minute No. 4 (i): Reference to charging a fee for administration for processing late payments and interest charges had been included in the Charging Policy.
- ii) Minute No. 4 (iii): Discussion of the process of recording those overpayments that were written off were ongoing and the process would be reviewed to bring Havering and Newham Council's in line.

- iii) Minute No. 6(i): Short member profiles had been provided for inclusion on the website. Profiles of any new members would need to be provided in due course.

15 **COMPLIANCE CHECKLIST**

The following sections were discussed and points noted:

Section B – Knowledge and Understanding

B8 – Are all pension board members investing sufficient time in their learning and development? Members agreed that the requirement was fully compliant. Members of the Pensions Committee needed to complete a skills audit prior to a training plan being drawn up, however training was undertaken prior to consideration of specialist decisions.

B12 – Have the pension board members completed the Pension Regulator's toolkit for training on the Code of Practice number 14? It was requested that all members should complete the Pensions Regulator toolkit within 6 months. Members were requested to forward any certificates of training completed to the Pensions Manager to ensure completeness of the training register.

Section C – Conflicts of Interest

C7 – Is appropriate information included in the register? New members to complete the conflicts register.

Section D – Publishing Information about Schemes

D2 – Does the Administrating Authority publish other useful related information about the Pension Board? The website required updating to include job titles and any other relevant roles held by members. Once completed, the requirement would be compliant.

Section E – Managing Risk and Internal Controls

E1 – Is there an agreed process for identifying and recording scheme risks? The pending audit would ensure that all checks were in place. Once the audit had been completed, the requirement would be compliant.

E2 – Does the Fund have an adequate process to evaluate risks and establish internal controls? The pending audit would ensure that all checks were in place. Once the audit had been completed, the requirement would be compliant.

E4 – Does the Administrating Authority review the effectiveness of the risk management and internal control systems of the Fund? The pending audit would ensure that all checks were in place. Once the audit had been completed, the requirement would be compliant.

E6 – Is there a standing item on the Pension Board agenda to review scheme risks? Although the review of scheme risks was not a standing item on agendas, the risk register would be reviewed on an annual basis.

E7 – Does the Administrating Authority have adequate systems, arrangements and procedures (internal controls) in place for the administration and management of the Fund and are they documented? The pending audit would ensure that all checks were in place. Once the audit had been completed, the requirement would be compliant.

E8 – Do these procedures apply equally to outsourced services, are internal controls reflected in contracts with third party providers and is there adequate reporting in relation to those controls? The pending audit would ensure that all checks were in place. Once the audit has been completed, the requirement would be compliant.

Section F – Administration and Scheme Record Keeping

F2 – Does the Fund have the appropriate processes in place so employers can provide timely and accurate information? Members agreed that the requirement was compliant and further agreed that the requirement would be monitored as a KPI. 'Your Fund' was in place and appropriate training had been offered to all scheme employers; and the Pensions Committee had delegated the approval of the Charging Policy to the Section 151 Officer.

F3 – Does the Fund keep records of and reconcile transactions as required by the Record Keeping Regulations? Reconciliation was done on a quarterly basis. Due to there being no interface between Altair and Oracle, there may be discrepancies. Confirmation was sought on whether there was a requirement in the Record Keeping Regulations.

F7 – Does the Administrating Authority have policies and processes to monitor data on an ongoing basis? The pending audit would ensure that all checks were in place. Once the audit had been completed, the requirement would be compliant.

F9 – Is a data improvement plan in place which is being monitored with a defined end date? There was currently no formal data improvement plan. Members requested that a date be inserted for the provisional plan to be submitted. Members further requested that a report on the data score be presented to the next meeting.

Section H – Providing Information to Members and Others

H9 – Is all other information provided in accordance with the legal timescales? Checks to be undertaken to ensure compliance with Disclosure Regulations; and to be written into monitoring checklists. Action outstanding.

Section I – Internal Dispute Resolution

I4 – Has the Administering Authority ensured that employers who make first stage decisions also have IDR in place? A discretion review was being undertaken and a report would be submitted to the Committee in March.

Members requested that timescales be included on all actions highlighted either red or amber.

Actions:

- i) **C7 - New members to complete the conflicts register – Denise Broom.**
- ii) **D2 - The website required updating to include job titles and any other relevant roles held by members – Caroline Berry.**
- iii) **E1, E2, E4, E7, E8 and F7 to be reviewed as part of Internal Audit process.**
- iv) **E6 - The board agreed to include the risk register as a standing item going forward.**
- v) **F3 – Confirmation to be sought on the reconciliation requirements in the Record Keeping Regulations – Caroline Berry.**
- vi) **F9 – Pension Board Regulator draft plan and a report on the data score to be presented to the next meeting – Caroline Berry / Victoria Freeman.**
- vii) **H9 – Is all other information provided in accordance with the legal timescales? Checks to be undertaken to ensure compliance with Disclosure Regulations; and to be written into monitoring checklists. Action outstanding – Caroline Berry.**
- viii) **Timescales to be included on all actions highlighted either red or amber.**

16 **KEY PERFORMANCE INDICATORS**

Members received the Performance Indicators – October Monthly Report and the LPP Monthly report for October 2018. Members expressed continued concern regarding the format LPP reported their performance as they considered the statistics to be misleading. Members requested that some case journeys be presented at the next meeting; that reasons be provided for those cases on hold; and that the Assistant Director of LPP be invited to attend the next meeting to explain the statistical data presented.

Actions:

i) Case journeys to be presented at the next meeting – Caroline Berry.

ii) Reasons for those cases on hold be provided – James Curtis.

iii) The Assistant Director of LPP to be invited to attend the next meeting to explain the statistical data presented – Caroline Berry / Victoria Freeman.

17 INTERNAL DISPUTE RESOLUTION PROCESS UPDATE

Members received the draft Internal Dispute Resolution Procedure – Employer’s Guide, which would be published on the Pension website once approved by LPP.

Members were informed that Internal Audit would be allocating 10 days, during which they would focus on contract management, monitoring, issues and resolution. The compliance checklist would be forwarded to LPP for confirmation that they were adhering to the legislation.

Action: Compliance checklist to be forwarded to LPP for confirmation that they were adhering to the legislation – Caroline Berry.

18 LPP INTERNAL AUDIT

Members requested that reassurance be sought from Lancashire Council regarding the recent LPP internal audit by Deloitte.

Action: Reassurance to be sought from Lancashire Council regarding the recent LPP internal audit by Deloitte – Caroline Berry.

19 PENSION REGULATOR SCHEME SURVEY

The Pensions Regulator surveyed public service pension schemes in autumn 2018 to assess how they were being run. This built on previous surveys in 2015, 2016 and 2017. In the latest survey, the Pensions Regulator further examined certain risks and areas of underperformance that schemes identified in previous years.

Sections of the survey covered:

- Makeup of the Board
- Administration and recording keeping
- Service security
- Data Review
- Annual benefit statements
- Resourcing issues

The Council's response to the survey had been submitted on the 27 November, in order to meet the 30 November 2018 deadline.

20 **TO RECEIVE FEEDBACK FROM RECENT MEETINGS OF THE PENSIONS COMMITTEE**

Members received feedback of the Pensions Committee meeting held on the 13 November 2018 and the 11 December 2018. The minutes would be circulated for information at the next meeting.

Action: Minutes of the Pension Committee meetings held on the 13 November 2018 and the 11 December 2018 to be circulated for information at the next meeting.

21 **BOARD MEMBERSHIP AND RECRUITMENT**

Members noted the appointment of Denise Broom as an employer representative on the Local Pension Board.

Members discussed the succession of the Chair and the need to appoint an employer representative pending the resignation of David Holmes.

Action: Advice would be sought on the options available if a Chair were not forthcoming, in accordance with the terms of reference of the Board.

22 **WORK PLAN**

The Chair of the Local Pension Board and the Chair of the Pensions Committee would meet to discuss potential items for the work plan.

Chairman

Local Pension Board - Performance Indicators - February Monthly Report

No	Case Type	Performance Standard Schedule 1		Minimum Target	Brought Forward	Received	Completed	Completed On Time	% On Time	Carried Forward	Average Elapsed Time	Average Completed Time	Comments
1	HV01	Provide welcome letter to new members within 3 working days of notification of joining.		95%	54	57	63	63	100	48	9	0	Annual Report standard is 10 working days
	HV01W		online		41	88	99	99	100	30	3	0	
2	HV02A	Calculate transfer in calculations within 4 working days of receiving required documentation	IFA	95%	6	3	0	0	0	9	0	0	Annual Report standard is 15 working days
	HV03A		TVI		3	1	1	1	100	3	63	0	
3	HV09A	Calculate and pay transfer out calculations within 5 working days of receiving required documentation	IFA	90%	1	2	3	3	100	0	3	0	Annual Report standard is 15 working days
	HV010A		TVO		2	1	1	1	100	2	72	0	
4	HV04A	Act upon request for payment of additional contributions within 10 working days		90%	1	1	1	1	100	1	19	0	
5	HV24 HV24A HV24G HV24K HV24M HV24V	Respond to general queries/correspondence including updates for, but not limited to, change of address. change of bank account details, Member Self-Service registrations within 5 working days or within timescales set out in Appendix 1		90%	51	80	72	72	100	59	16	9	Split into 6 different case types on CMS - Totals/averages used
6	HV11	Calculate deferred benefit entitlement on leaving within 4 working days of receiving necessary notification of leaving or date of leaving, whichever is later		90%	207	41	32	32	100	217	65	11	Annual Report standard is 15 working days
	HV11W		online		44	50	40	40	100	54	10	0	
7	HV12 HV12P HV12Z	Calculate and pay retirement benefits, including deferred into payment within in 5 days of receiving all required documentation from employer and/or member or date of entitlement, whichever is later.	DB in pay	95%	57	40	18	18	100	79	52	3	
	HV14		Ret		28	6	11	11	100	23	97	7	
	HV14W		Ret Online		36	12	19	19	100	29	25	0	

10	HV08	Respond to member requests for estimates of benefits within 5 working days following receipt of request		90%	19	45	39	39	100	25	6	0	
11	HV22	Respond to employer requests for estimates of benefits within 5 working days following receipt of request	online	90%	3	3	6	6	100	0	14	0	Annual Report standard is 10 working days
	0				0	0	0	0	0	0	0		
12	HV34E	Provide information on request in respect of pension sharing on divorce within legislative timescales (within 5 days of receipt of all relevant information). (a charge to the member will be levied in line with pension sharing on divorce legislation)		100%	2	1	2	2	100	1	5	0	
13	HV34A	Implement pension sharing orders within legislative timescales (within 5 days of receipt of all relevant information)		100%	0	1	0	0	0	1	0	0	
14		Provide annual benefit statements to active and deferred members within legislative timescales		100%									100% achieved prior to 31/08/18 deadline
15		Act upon and implement pension increase orders by next available payment date		100%									Pensions increase implemented in April for pensions and August for additional PI on lump sums
16	HV15	Implement changes to pensioner circumstances by next available payment date		100%	8	0	2	2	100	6	254	177	
17		Respond to requests for information for reports from DWP, HMRC, DCLG, GAD within legislative timeframes		100%									All reports/information received in time to meet deadlines
18		Reporting – Provide monthly and quarterly reports to client highlighting performance against SLA's, membership statistics, Annual planner, Technical updates and any other information relevant to the ongoing running of the service within 5 working days after the start of each month and within 10 working days of the end of		100%									Need to monitor
19		Number of cases in backlog											To be provided a/w report
20		Complaints			0	1	0	0	0	0	0	0	

Havering Council

Monthly Report
February 2019

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Workflow and Performance - 01/02/2019 to 28/02/2019

1. 'Top' Case Types Report

These are the main day to day member related cases measured under the Service Level Agreement.

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV00	Post Item	0	88	88	87	98.86	0	0	0
HV01	Admission	54	57	63	63	100.00	48	0	9
HV01b	Admissions (Automatic Enrolment)	0	0	0	0	100.00	0	0	0
HV01O	Opt-In	0	0	0	0	100.00	0	0	0
HV01R	Admissions (Monthly return)	0	0	0	0	100.00	0	0	0
HV01w	Online joiner form	41	88	99	99	100.00	30	0	3
HV02A	IFA IN (Actual)	6	3	0	0	100.00	9	0	0
HV02E	IFA in (estimate)	137	8	18	18	100.00	127	63	169
HV03A	Other TV in (actual)	3	1	1	1	100.00	3	0	63
HV03E	Other TV in (estimate)	66	10	11	11	100.00	65	32	146
HV04	Additional Contributions	0	1	1	1	100.00	0	0	4
HV04a	Additional Pension Contributions (APCS) actual	1	1	1	1	100.00	1	0	19
HV04e	Additional Pension Contributions (APCS) estimate	0	0	0	0	100.00	0	0	0
HV05	Maternity leave/LWOP	0	0	0	0	100.00	0	0	0
HV05w	Maternity leave/LWOP (Online Forms)	0	0	0	0	100.00	0	0	0
HV06	AVCs/FSAVCs	2	1	0	0	100.00	3	0	0
HV06A	Retirement AVC	0	0	0	0	100.00	0	0	0
HV07	Change of hours	11	20	11	11	100.00	20	4	36
HV07R	Change of Hours (Monthly Return)	0	0	0	0	100.00	0	0	0
HV07w	Change of hours (Online Forms)	4	37	40	40	100.00	1	0	4
HV08	Estimates - individual	19	45	39	39	100.00	25	0	6
HV09A	IFA Out (Actual)	1	2	3	3	100.00	0	0	3
HV09E	IFA Out (estimate)	14	8	6	6	100.00	16	0	14
HV09p	IFA Payment	0	0	0	0	100.00	0	0	0
HV10A	Other TV out (actual)	2	1	1	1	100.00	2	0	72
HV10E	Other TV out (estimate)	11	10	12	12	100.00	9	8	34
HV11	Deferred Benefits	207	41	32	32	100.00	217	11	65
HV11w	Deferred Benefits (online Leaver)	44	50	40	40	100.00	54	0	10
HV12	DBs into payment	52	40	17	17	100.00	75	3	58

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV12p	Deferred Payment	2	0	0	0	100.00	2	0	0
HV12z	DB into Payment (Disclosure)	3	0	1	1	100.00	2	0	46
HV13	Death in service	5	0	1	1	100.00	4	42	175
HV13p	Death in Service Payment	0	0	0	0	100.00	0	0	0
HV13w	Death in service (Online Forms)	1	0	0	0	100.00	1	0	0
HV14	Retirements (immediate)	28	6	11	11	100.00	23	7	97
HV14p	Retirement Payment	0	0	0	0	100.00	0	0	0
HV14q	Third tier ill health review	0	0	0	0	100.00	0	0	0
HV14v	P45	0	0	0	0	100.00	0	0	0
HV14w	Retirements (immediate online)	36	12	19	19	100.00	29	0	25
HV15	Benefit Revision	8	0	2	2	100.00	6	177	254
HV15p	Revision Payment	0	0	0	0	100.00	0	0	0
HV16	Refunds	34	34	37	37	100.00	31	0	20
HV16p	Refund Payment	3	0	3	2	66.66	0	0	20
HV16w	Refunds (Online Forms)	27	59	55	55	100.00	31	0	7
HV17	Opt outs	21	10	14	14	100.00	17	0	20
HV17d	Opt Out (3mths or more)	0	0	0	0	100.00	0	0	0
HV17r	Opt Out (less than 3 mths)	0	0	0	0	100.00	0	0	0
HV17w	Opt outs (Online Forms)	0	9	9	9	100.00	0	0	3
HV18	GMP (NI MOD)	2	30	22	22	100.00	10	0	10
HV19	Re-employments	0	0	0	0	100.00	0	0	0
HV20	Death on Pension	87	25	14	14	100.00	98	5	79
HV20d	Death on Deferred	0	2	0	0	100.00	2	0	0
HV20p	Death on Pension Payment	0	0	0	0	100.00	0	0	0
HV21s	S/term to L/term spouses	0	0	0	0	100.00	0	0	0
HV22	Estimates - employer	3	3	6	6	100.00	0	0	14
HV22w	Estimates (Online Forms)	0	0	0	0	100.00	0	0	0
HV23	Redundancy and Severance	3	0	2	2	100.00	1	0	28
HV23p	Redundancy Severance Payment	0	0	0	0	100.00	0	0	0
HV24	Correspondence (customer) - level 3	11	1	7	7	100.00	5	9	37
HV24A	Change of address	9	27	24	24	100.00	12	0	5
HV24B	Bank change	0	4	2	2	100.00	2	0	2
HV24C	Annual Covenant	0	0	0	0	100.00	0	0	0

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV24E	Correspondence (Employer)	8	7	4	4	100.00	11	109	166
HV24g	Correspondence (customer) - data	0	0	0	0	100.00	0	0	0
HV24H	EOY queries	0	0	0	0	100.00	0	0	0
HV24I	Employer Invoice	0	0	0	0	100.00	0	0	0
HV24k	General Cor - Level 1	0	0	0	0	100.00	0	0	0
HV24M	MSS Registration	0	4	3	3	100.00	1	0	7
HV24O	Opt out of e-comms	0	0	0	0	100.00	0	0	0
HV24S	Employer Security	1	0	0	0	100.00	1	0	0
HV24t	P60/Payslip	1	0	0	0	100.00	1	0	0
HV24v	General Cor - Level 2	31	48	38	38	100.00	41	0	13
HV24w	Correspondence (Web)	0	2	2	2	100.00	0	0	2
HV24x	Correspondence (Employer Risk)	1	0	1	0	0.00	0	0	25
HV24y	Invoice (Employer Risk)	0	0	0	0	100.00	0	0	0
HV24z	Chargable Case (Employer Risk)	0	0	0	0	100.00	0	0	0
HV25	Active GMP	11	1	10	10	100.00	2	0	14
HV25p	Pensioner GMP	1	0	1	1	100.00	0	0	20
HV26	Recovery of overpayment	0	0	0	0	100.00	0	0	0
HV27	Scheme Pays - Finance	0	0	0	0	100.00	0	0	0
HV28	Annual Allowance query	0	0	0	0	100.00	0	0	0
HV28l	LTA query	0	0	0	0	100.00	0	0	0
HV28p	tax to pay to HMRC	0	0	0	0	100.00	0	0	0
HV28y	Yearly AA Checks	0	0	0	0	100.00	0	0	0
HV29	Correspondence (DWP & tax)	0	0	0	0	100.00	0	0	0
HV30	Diary	0	27	26	26	100.00	1	0	0
HV30c	Cease pay - level 3	0	0	0	0	100.00	0	0	0
HV30d	Cease pay - Level 2	0	0	0	0	100.00	0	0	0
HV30e	Cease pay - Level 1	0	0	0	0	100.00	0	0	0
HV30H	End of Year Query - Havering	247	0	7	7	100.00	240	0	156
HV30L	Diary - Leaver with admin	0	0	0	0	100.00	0	0	0
HV30r	Diary (Employer Risk)	0	0	0	0	100.00	0	0	0
HV33	Childrens' pension review	2	0	0	0	100.00	2	0	0
HV34A	Divorce TVs and earmarking (actual)	0	1	0	0	100.00	1	0	0
HV34E	Divorce TVs (estimate)	2	1	2	2	100.00	1	0	5

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV35	Financial advisor estimate request	0	1	0	0	100.00	1	0	0
HV37	Valuation Clearance Cases	0	0	0	0	100.00	0	0	0
HV38	Crombie and injury allowance	0	0	0	0	100.00	0	0	0
HV38p	Crombie/Injury Payment	0	0	0	0	100.00	0	0	0
HV40	Bulk TVs	0	0	0	0	100.00	0	0	0
HV40t	TUPE	1	4	3	3	100.00	2	0	5
HV42	LG99 request	0	0	0	0	100.00	0	0	0
HV43w	Contribution Return Validation	0	0	0	0	100.00	0	0	0
HV44	Contribution posting	0	0	0	0	100.00	0	0	0
HV45	PR update	0	0	0	0	100.00	0	0	0
HV45a	Queries to Employer	0	0	0	0	100.00	0	0	0
HV46	ABS production	0	0	0	0	100.00	0	0	0
HV47	Contribution reconciliation	0	0	0	0	100.00	0	0	0
HV48	End of year member queries	0	0	0	0	100.00	0	0	0
HV48H	Havering EOY queries	0	0	0	0	100.00	0	0	0
HV49	Monthly conts income LG221	0	0	0	0	100.00	0	0	0
HV49a	Contribution Receipt Case	0	0	0	0	100.00	0	0	0
HV50	Complaints	0	1	0	0	100.00	1	0	0
HV51	IDRP and Ombudsman	0	0	0	0	100.00	0	0	0
HV52	ABS requests	0	2	0	0	100.00	2	0	0
HV53	DWP letter traces	6	1	0	0	100.00	7	0	0
HV56	Record Maintenance Query	0	0	0	0	100.00	0	0	0
HV56e	Record query End of Year	0	0	0	0	100.00	0	0	0
HV57	LG221 - late payers	0	0	0	0	100.00	0	0	0
HV57a	LG221 Late payers (Monies)	0	0	0	0	100.00	0	0	0
HV57b	LG221 Late payers (Missing)	0	0	0	0	100.00	0	0	0
HV57c	LG221 Late payers (Admin)	0	0	0	0	100.00	0	0	0
HV57d	Monthly Contributions Overpaid	0	0	0	0	100.00	0	0	0
HV57p	Late Payers PRUDENTIAL	0	0	0	0	100.00	0	0	0
HV58	AVC reconciliation	0	0	0	0	100.00	0	0	0
HV59	Life Certificate	4	0	4	4	100.00	0	2	87
HV59p	Police certificates	0	0	0	0	100.00	0	0	0
HV60	LPFA to Agency Payments	0	0	0	0	100.00	0	0	0

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV60p	CEP Payment	2	1	1	1	100.00	2	0	30
HV60r	Reclaim CEP	0	0	0	0	100.00	0	0	0
HV61p	AVC Payment	0	0	0	0	100.00	0	0	0
HV62p	Misc Payment	0	1	1	1	100.00	0	0	1
HV63p	Request Copy Certificates	0	0	0	0	100.00	0	0	0
HV64	DMT - combining care pay and contributions	0	0	0	0	100.00	0	0	0
HV64u	CARE recalculation URGENT	0	0	0	0	100.00	0	0	0
HV65	DMT - Annual AVC statements/lists	0	0	0	0	100.00	0	0	0
HV68A	Movement to 50/50 option	0	2	0	0	100.00	2	0	0
HV68B	Movement to full scheme	0	1	1	1	100.00	0	0	5
HV68R	Scheme Movement (Monthly Return)	0	0	0	0	100.00	0	0	0
HV70a	Scheme Pays election	2	0	0	0	100.00	2	0	0
HV70e	Scheme Pays Estimate	0	0	0	0	100.00	0	0	0
HV70p	Scheme Pays payment	0	0	0	0	100.00	0	0	0
HV71c	Death Nomination Form - Cohabiting Partners	0	0	0	0	100.00	0	0	0
HV71D	Death Nomination Form	5	8	10	10	100.00	3	0	5
HV75	Aggregation needed	129	24	14	11	78.57	139	1	38
HV76	Valuations	0	0	0	0	100.00	0	0	0
HV76b	Bond Renewals	0	0	0	0	100.00	0	0	0
HV76c	Cessation Valuations	3	0	0	0	100.00	3	0	0
HV76D	Admissions (Employer Risk)	5	0	1	0	0.00	4	0	57
HV76e	Cessation Estimate (Employer Risk)	0	0	0	0	100.00	0	0	0
HV76f	FRS17 / IAS19 Process	0	0	0	0	100.00	0	0	0
HV76v	Triennial Valuations	0	0	0	0	100.00	0	0	0
HV77	Concurrent Employments	4	0	1	1	100.00	3	0	32
HV78	AXIS Record Deletion	0	0	0	0	100.00	0	0	0
HV80	VTS Transfer	0	0	0	0	100.00	0	0	0
HV81d	Final Pay death	0	0	0	0	100.00	0	0	0
HV81l	Final pay leaver	0	0	0	0	100.00	0	0	0
HV81r	Final Pay retirement	0	0	0	0	100.00	0	0	0
HV81u	Underpin	0	0	0	0	100.00	0	0	0
HV82	Combining	0	0	0	0	100.00	0	0	0
HV83	EOY Process	0	0	0	0	100.00	0	0	0

Case Type	Description	Brought Forward	Received	Complete	On Time	On Time %	Carried Forward	Average Completed Time	Average Elapsed Time
HV84	2015 transition member	0	0	0	0	100.00	0	0	0
HV84w	Western Union	0	0	0	0	100.00	0	0	0
HV85	Invoices Chargeable/payable	0	0	0	0	100.00	0	0	0
HV86	Project Work GMP Pensions Revision	0	0	0	0	100.00	0	0	0
HV86r	Refund List	0	0	0	0	100.00	0	0	0
HV87	Project Work	0	0	0	0	100.00	0	0	0
HV89a	Technical AVC queries	1	0	1	1	100.00	0	0	4
HV89e	Technical Employer query	0	0	0	0	100.00	0	0	0
HV89r	Technical regulation queries	0	1	1	1	100.00	0	0	1
HV90	Compliments	0	0	0	0	100.00	0	0	0
HV92c	Court Order	0	0	0	0	100.00	0	0	0
HV92d	payroll change deduction	0	0	0	0	100.00	0	0	0
HV93	Pension Trace	0	1	0	0	100.00	1	0	0
HV94	Contact Centre call back - level 3	0	0	0	0	100.00	0	0	0
HV94a	Contact Centre call back - level 2	0	0	0	0	100.00	0	0	0
HV94b	Contact Centre call back - level 1	0	0	0	0	100.00	0	0	0
HV94c	Contact Centre call back - Data	0	0	0	0	100.00	0	0	0
HV95	Technical Member query	0	0	0	0	100.00	0	0	0
HV95a	Technical Newsletter articles	0	0	0	0	100.00	0	0	0
HV95b	Technical Staff updates	0	0	0	0	100.00	0	0	0
HV95c	Technical LPB tech reports	0	0	0	0	100.00	0	0	0
HV98	Post Number Change	0	0	0	0	100.00	0	0	0
HV98p	Post number change	2	0	2	2	100.00	0	0	30
HV98w	Post number change - web	0	0	0	0	100.00	0	0	0
HV99	Ad-Hoc Work (Employer Risk)	0	0	0	0	100.00	0	0	0

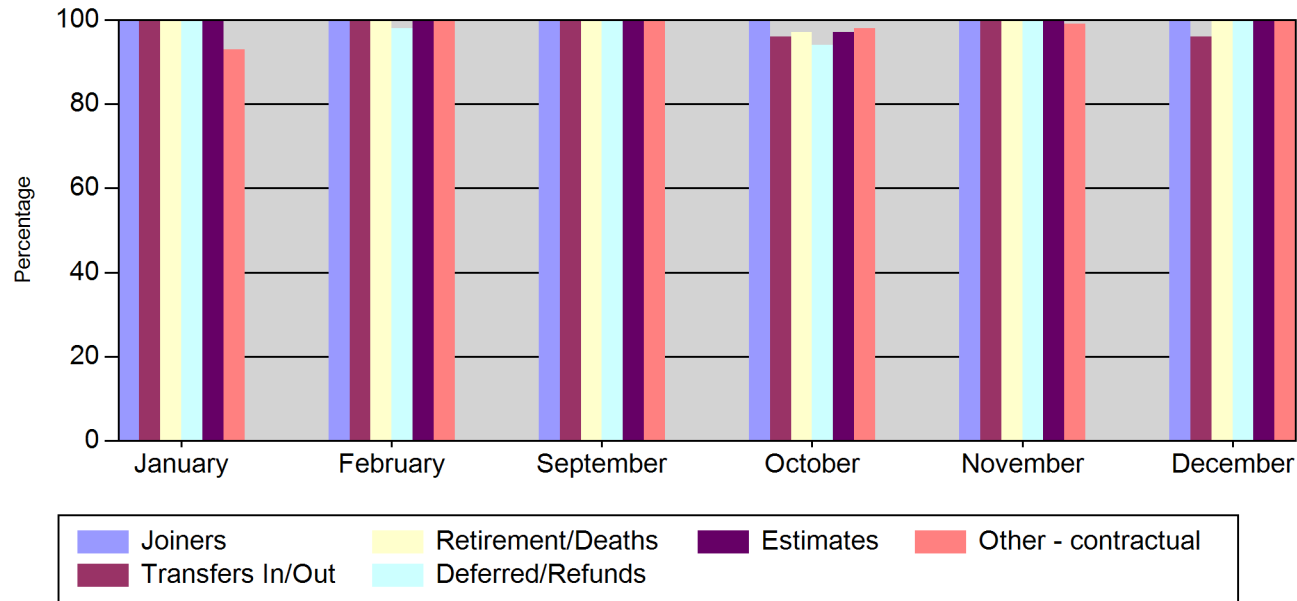
2. Cases completed summary

This is a grouped summary of all cases processed this month.

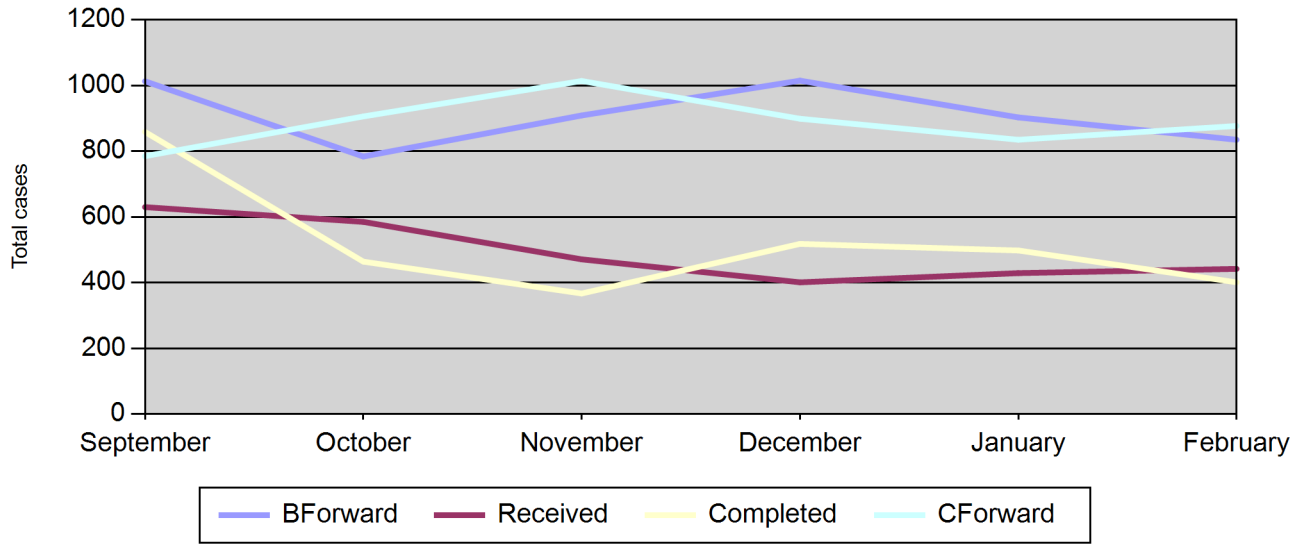
These figures include other lower profile cases included in the Service Level Agreement such as changes of hours, benefit revisions, GMP or DSS correspondence for example. These figures can be broken down or expanded upon request.

Description	B/fwd	Rec'd	Complete	On Time	% OT	C/fwd	Average Completed Time	Average Elapsed Time
Joiners	54	57	63	63	100.00	48	0	4
Transfers In/Out	240	43	52	52	100.00	231	12	62
Retirement/Deaths	172	71	43	43	100.00	200	14	102
Deferred/Refunds	244	75	72	71	98.61	248	3	35
Estimates	24	49	47	47	100.00	26	0	8
Other - contractual	101	147	124	124	100.00	124	23	41
Total	835	442	401	400	99.75	877		

Percentage of cases on time



Workload History

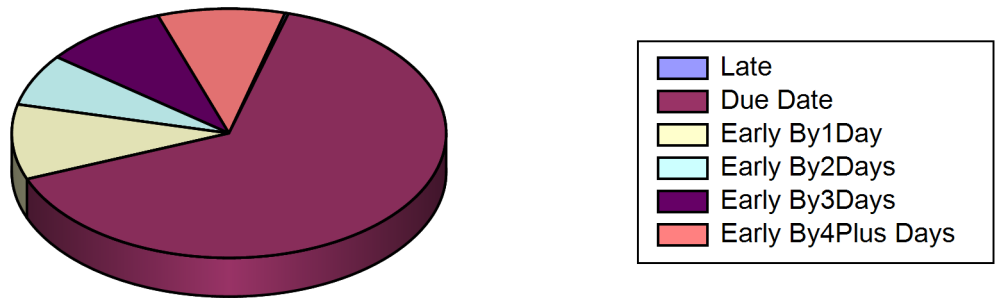


3. Cases completed Early

Of the 400 cases completed on time, 141 were completed early as detailed in the table below.

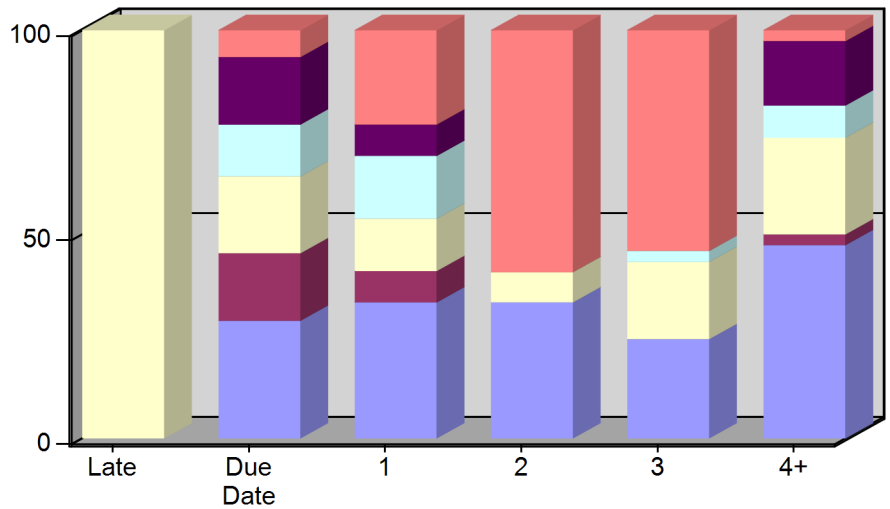
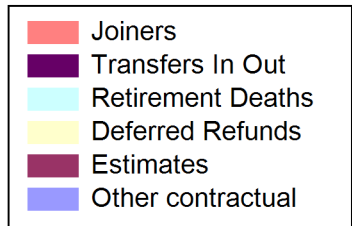
Description	1 Day Early	2 Days Early	3 Days Early	4+ Days Early
Joiners	9	16	20	1
Transfers In/Out	3	0	0	6
Retirement/Deaths	6	0	1	3
Deferred/Refunds	5	2	7	9
Estimates	3	0	0	1
Other - contractual	13	9	9	18
	39	27	37	38

Cases completed



Cases completed

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4. Additional Work

The table below shows the total of other 'additional' cases processed this month. These are a combination of year end member queries or backlog work undertaken to improve data and record quality, and 'internal' cases used specifically by LPFA to aid our own administrative procedure.

None

5. 'Top' Cases not on time

None

6. Complaints and IDRP Cases

Client	Date Received	Case Type	Status	
[REDACTED]	26/02/2019	HV50	Progress	Details available on request

7. Life Certificates

8. Axis online take up numbers

Pass 90 Service Credits 35

10. Third tier ill-health 18 month and 3 year review dates

11. Annual Benefit Statements

Annual Benefits Statement to be sent at the end of August

12. Event report from HMRC

LTA increasing to 1.03 Million for 2018/2019

13. Cases on hold where date received is over 6 months

Case Type	Description	Cases
HV03E	Other TV in (estimate)	1
HV20	Death on Pension	14

14. Web site Statistics

Month	Successful Page Requests	Average Page Requests per day
January 2018	0	0
February 2018	0	0
March 2018	0	0
April 2018	0	0
May 2018	0	0
June 2018	0	0
July 2018	0	0
August 2018	0	0
September 2018	0	0
October 2018	0	0
November 2018	0	0
December 2018	0	0

15. Membership Statistics

These are the total status types for each employer updated on Altair on the last day of the relevant month and are not to be used for actuarial purposes.

Employer Code	Employer Name	Status 1 Active	Status 2 Undecided Leaver	Status 4 Deferred Benefit	Status 5 Pensioner	Status 6 Dependant	Status 9 Frozen Refund
HV08070	Combined Service						
HV10500	L.b.of Havering	4690	487	4685	4881	867	474
HV10501	Acit Services Ltd						
HV10502	Abbs Cross School	39	7	22	28	6	3
HV10503	Frances Bardsley Academy	71	10	40	31	2	6
HV10504	Sixth Form College	92	6	73	34	2	8
HV10505	Havering College Fhe	261	9	395	175	19	39
HV10506	Coopers Coborn	44	11	39	21	3	4
HV10507	Sacred Heart Of Mary	52	3	31	22		4
HV10508	Citizens Advice Bureaux				5		
HV10509	Hav Mags Court Cttee			5	14	6	1
HV10510	Morrisons			7	35	2	
HV10511	Ppies						
HV10512	May Gurney				2	1	
HV10513	Almo		1	57	29	6	5
HV10514	Slm Food And Beverage Ltd			1			
HV10515	Slm Fitness And Health Ltd	3	10	4	2	2	
HV10516	Slm Community Leisure C T	45	16	12	11	1	1
HV10518	Catering For Education			1			
HV10519	The Chafford School	32	13	11	13		1
HV10520	Drapers Academy	53	6	28	4		1
HV10521	The Brittons Academy	60	5	43	21	2	3
HV10522	Campion School	72	12	43	11		3
HV10523	Hall Mead School	81	17	55	17	3	8
HV10524	St Edwards Snr Academy	48	8	49	16	1	1
HV10525	Emerson Park School	64	5	12	10		4
HV10526	Redden Court School	63	6	20	11		7
HV10527	The Royal Liberty School	1	12	11	4	3	2
HV10528	Volker				1		
HV10529	The Albany School	54	12	19	9	2	3
HV10530	Family Mosaic			36	39		
HV10531	Upminster Infant Academy	24		8	4		1

Employer Code	Employer Name	Status 1 Active	Status 2 Undecided Leaver	Status 4 Deferred Benefit	Status 5 Pensioner	Status 6 Dependant	Status 9 Frozen Refund
HV10532	Upminster Junior Academy	20	3	6	7		
HV10533	Bower Park Academy	50		17	7		5
HV10534	Drapers Brookside Jnr School	28	2	4	2		1
HV10535	Langtons Junior Academy	28	1	4	1	1	
HV10536	Oasis Academy Pinewood	35	12	11	1		7
HV10537	Breyer Group Repairs	7		3	3		
HV10538	Breyer Group Voids	2					
HV10539	Rise Park Infant Academy	32	5	6	1		
HV10540	Rise Park Junior Academy	43	3	8			4
HV10541	Elutec						
HV10542	Pyrgo Priory Primary School	79	6	5	1		4
HV10543	Dycorts School	38	10	13	5		1
HV10544	Caterlink			4			
HV10545	Drapers Maylands	7					3
HV10546	Ravensbourne Academy	67	11	9	3		1
HV10547	Drapers Brookside Infants	30		1	1		
HV10548	Sodexo			2			
HV10549	Benhurst Primary School	33		3			
HV10550	Concordia Academy	2					
HV10551	Olive Academy Trust	3		4	2		1
HV10552	Marshalls Park Academy	55		11	3		
HV10553	Royal Liberty Academy	40		7	3		
HV10554	Accent Catering	6					
HV10555	Scargill Infant Academy	29		1			2
HV10556	Scargill Junior Academy	22		3	1		1
HV10557	Whybridge Junior Academy	18			1		1
HV10558	Parklands Junior School	31	1	2	2		1
HV10559	Harrow Lodge Primary School	51					
HV10560	Harrison Catering	4					
HV10561	Gaynes Academy	23			4		
HV10562	Hacton Academy	50		2			
HV10563	Sanders Academy	33		2			
HV10564	Dame Tipping Academy	15					
HV10565	Lewis And Graves Partnr Ltd	5					
	Total	6735	710	5835	5498	929	611

16. Membership Movements 2018- 2019

These are the year to date number of new statuses since 1 April 2018

Employer Code	Employer Name	Status 1 Active	Status 2 Undecided Leaver	Status 4 Deferred Benefit	Status 5 Pensioner	Status 6 Dependant	Status 9 Frozen Refund
HV08070	Combined Service			6			1
HV10500	L.b.of Havering	738		203	197	47	116
HV10501	Acit Services Ltd						
HV10502	Abbs Cross School	1		1	2		2
HV10503	Frances Bardsley Academy	13		9	3		2
HV10504	Sixth Form College	2			4		
HV10505	Havering College Fhe	43		24	5	6	14
HV10506	Coopers Coborn	3		4			
HV10507	Sacred Heart Of Mary	4			1		2
HV10508	Citizens Advice Bureaux						
HV10509	Hav Mags Court Cttee						
HV10510	Morrisons				1	1	
HV10511	Ppies						
HV10512	May Gurney						
HV10513	Almo						
HV10514	Slm Food And Beverage Ltd						
HV10515	Slm Fitness And Health Ltd					2	
HV10516	Slm Community Leisure C T						
HV10518	Catering For Education						
HV10519	The Chafford School				2		
HV10520	Drapers Academy	1					
HV10521	The Brittons Academy	5		7	2		1
HV10522	Campion School	9		4	1		
HV10523	Hall Mead School	15		6	5	1	7
HV10524	St Edwards Snr Academy	3		4	2		
HV10525	Emerson Park School	2			1		1
HV10526	Redden Court School	9		6			4
HV10527	The Royal Liberty School	1					
HV10528	Volker						
HV10529	The Albany School	8			1		
HV10530	Family Mosaic				3		
HV10531	Upminster Infant Academy	4		1			1

Employer Code	Employer Name	Status 1 Active	Status 2 Undecided Leaver	Status 4 Deferred Benefit	Status 5 Pensioner	Status 6 Dependant	Status 9 Frozen Refund
HV10532	Upminster Junior Academy	3		1			1
HV10533	Bower Park Academy	12		2	2		6
HV10534	Drapers Brookside Jnr School						
HV10535	Langtons Junior Academy			2	1		
HV10536	Oasis Academy Pinewood	1		2			1
HV10537	Breyer Group Repairs						
HV10538	Breyer Group Voids						
HV10539	Rise Park Infant Academy						1
HV10540	Rise Park Junior Academy						
HV10541	Elutec						
HV10542	Pyrgo Priory Primary School	7		2			1
HV10543	Dycorts School	10		8			2
HV10544	Caterlink			3			
HV10545	Drapers Maylands	1					
HV10546	Ravensbourne Academy	14		7			2
HV10547	Drapers Brookside Infants			1			
HV10548	Sodexo						
HV10549	Benhurst Primary School	5					
HV10550	Concordia Academy						
HV10551	Olive Academy Trust	1					1
HV10552	Marshalls Park Academy	7		4			1
HV10553	Royal Liberty Academy	9		2			
HV10554	Accent Catering						
HV10555	Scargill Infant Academy	3		1			2
HV10556	Scargill Junior Academy	1		3	1		1
HV10557	Whybridge Junior Academy	1					
HV10558	Parklands Junior School	10		2	2		2
HV10559	Harrow Lodge Primary School	1					
HV10560	Harrison Catering						
HV10561	Gaynes Academy	28			4		1
HV10562	Hacton Academy	52		2			
HV10563	Sanders Academy	35		2			
HV10564	Dame Tipping Academy	15					
HV10565	Lewis And Graves Partnr Ltd	5					
	Total	1082		319	240	57	173

17. Year end Processing for period 2018- 2019

Employer	Employer Name	Return received	New Conts Return Received	Conts Posted	PR Posted	Queries uploaded to website
HV10500	L.B.OF HAVERING		N/A			
HV10502	ABBS CROSS SCHOOL		N/A			
HV10503	Frances Bardsley Academy		N/A			
HV10504	SIXTH FORM COLLEGE		N/A			
HV10505	Havering College FHE		N/A			
HV10506	COOPERS COBORN		N/A			
HV10507	SACRED HEART OF MARY		N/A			
HV10515	SLM Fitness and Health Ltd		N/A			
HV10516	SLM Community Leisure C T		N/A			
HV10519	THE CHAFFORD SCHOOL		N/A			
HV10520	DRAPERS ACADEMY		N/A			
HV10521	THE BRITTONS ACADEMY		N/A			
HV10522	CAMPION SCHOOL		N/A			
HV10523	HALL MEAD SCHOOL		N/A			
HV10524	ST EDWARDS SNR ACADEMY		N/A			
HV10525	EMERSON PARK SCHOOL		N/A			
HV10526	REDDEN COURT SCHOOL		N/A			
HV10529	THE ALBANY SCHOOL		N/A			
HV10531	UPMINSTER INFANT ACADEMY		N/A			
HV10532	UPMINSTER JUNIOR ACADEMY		N/A			
HV10533	BOWER PARK ACADEMY		N/A			
HV10534	DRAPERS BROOKSIDE JNR SCHOOL		N/A			
HV10535	LANGTONS JUNIOR ACADEMY		N/A			
HV10536	OASIS ACADEMY PINWOOD		N/A			
HV10537	BREYER GROUP REPAIRS		N/A			
HV10538	BREYER GROUP VOIDS		N/A			
HV10539	RISE PARK INFANT ACADEMY		N/A			
HV10540	RISE PARK JUNIOR ACADEMY		N/A			
HV10542	PYRGO PRIORY PRIMARY SCHOOL		N/A			
HV10543	DYCORTS SCHOOL		N/A			
HV10545	DRAPERS MAYLANDS		N/A			
HV10546	RAVENSBOURNE ACADEMY		N/A			
HV10547	DRAPERS BROOKSIDE INFANTS		N/A			
HV10549	BENHURST PRIMARY SCHOOL		N/A			

Employer	Employer Name	Return received	New Confs Return Received	Confs Posted	PR Posted	Queries uploaded to website
HV10550	CONCORDIA ACADEMY		N/A			
HV10551	OLIVE ACADEMY TRUST		N/A			
HV10552	MARSHALLS PARK ACADEMY		N/A			
HV10553	ROYAL LIBERTY ACADEMY		N/A			
HV10554	ACCENT CATERING		N/A			
HV10555	SCARGILL INFANT ACADEMY		N/A			
HV10556	SCARGILL JUNIOR ACADEMY		N/A			
HV10557	WHYBRIDGE JUNIOR ACADEMY		N/A			
HV10558	Parklands Junior School		N/A			
HV10559	Harrow Lodge Primary School		N/A			
HV10560	Harrison Catering		N/A			
HV10561	Gaynes Academy		N/A			
HV10562	Hacton Academy		N/A			
HV10563	Sanders Academy		N/A			
HV10564	Dame Tipping Academy		N/A			
HV10565	Lewis and Graves Partnr Ltd		N/A			

Key:

area of concern case put on hold case complete

Case Reference	Case Type	Step	Date Received	Date Logged	Date Actioned
2492163	Retirement - 5 working days Retired 31/10/2018	Notification r'cd	18/10/18 (Thurs)	22/10/18 (Mon)	
		1st Calculation run/letter to member			29/10/2018
		Forms received from member	22/11/2018	22/11/2018	
		Email to employer for leaver form			29/11/2018
		Leaver form received	18/12/2018	18/12/2018	
		Email query to employer			21/12/2018
		Chased employer			07/01/2019
		Response received	07/01/2019	07/01/2019	
		Email chase from employer	11/01/2019	11/01/2019	
		Final Calculation			14/01/2019
		Payment forms sent			14/01/2019 Completed
		2519773	Retirement - 5 working days Retired 23/11/2018	Leaver form received	19/12/2018 (dated)
1st Calculation run/letter to member					10/01/2019
Forms received from member	21/01/2019			21/01/2019	
Final Calculation					28/01/2019 Completed
2466924	Retirement - 5 working days Retired 31/08/2018	Leaver form received		23/08/2018	
		Letter to Pru re AVC			31/08/2019
		Letter from Pru	17/09/2018	17/09/2018	
		1st Calculation run/letter to member			19/09/2018
		Forms received from member	03/10/2018	03/10/2018	
		Internal LPP email			10/10/2018
		LPP Comment Unable to get GMP			10/10/2018
		LPP Try for GMP			10/10/2018
		Internal LPP email			17/10/2018
		Internal LPP email response	18/10/2018	18/10/2018	
Due date changed 24/10 to 25/10					

GMP figures	25/10/2018	25/10/2018	
LPP Comment to see JC			26/10/2018
Email from payroll	06/11/2018	06/11/2018	
Internal LPP email to JC			13/11/2018
Email to member re revised options			15/11/2018
Forms received from member	20/11/2018	20/11/2018	
AVC Payment request			27/11/2018
Letter from Pru	10/12/2018	11/12/2018	
A/w Bank Statements			18/12/2018
Bank Statement received	19/12/2018	19/12/2018	
Due date changed 31/12 to 20/12			
Revised Calculation & Options			20/12/2018
Forms received from member	07/01/2019	07/01/2019	
Final Calculation			14/01/2019
Payment forms sent			14/01/2019 Completed

Key:

area of concern case put on hold case complete

Case Reference	Case Type	Step	Date Received	Date Logged	Date Actioned
2487947	Death - 3 working days Died 06/09/2018	Notification received	10/10/2018	10/10/2018	
		Calculation and letter			15/10/2018
		Email to payroll			15/10/2018
		put to progress	09/11/2018		
		Chaser to payroll			14/11/2018
		Letter from Solicitor	22/11/2018	22/11/2018	
		Email from Payroll	23/11/2018	23/11/2018	
		Letter to Solicitor			27/11/2018
		Indemnity form received	06/12/2018	06/12/2018	
		Further letter to Solicitors			11/12/2018
		Indemnity form received	03/01/2019	07/01/2019	
		Payment made			10/01/2019 Complete
		2499917	Death - 3 working days Died 13/10/2018	Notification received	13/11/2018
Email to payroll					13/11/2018
Letter to NOK					26/11/2018
Death cert received	29/11/2018			03/12/2018	
Letter re o/p					06/12/2018
O/p received	11/01/2019			11/01/2019	
Letter to NOK					11/01/2019 Complete
2509365	Death - 3 working days Died 06/12/2018	Notification received	07/12/2018	07/12/2018	
		Email to payroll			07/12/2018
		Letter to NOK			07/12/2018
		Death cert received	19/12/2018	21/12/2018	
		Letter to NOK			28/12/2018
		Indemnity form received	09/01/2019	09/01/2019	
Payment made			14/01/2019 Complete		

Key:

area of concern case put on hold case complete

Case Reference	Case Type	Step	Date Received	Date Logged	Date Actioned
2519457	Employer estimate - 5 working days	Estimate spreadsheet received Response sent	09/01/2019	09/01/2019	16/01/2019 Complete
2508986	Employer estimate - 5 working days	Request from HR	05/12/2018	06/12/2018	
		Email to HR - incorrect format			13/12/2018
		Email from HR		17/12/2018	
		A/w completed spreadsheet			19/12/2018
		Response received		02/01/2019	
		Email to HR - no tier provided			09/01/2019
		Response received		11/01/2019	
		Email query to HR			18/01/2019
		Response received	21/01/2019	21/01/2019	
		Calculation			28/01/2019
		Est to HR			28/01/2019 Complete
2514657	Employer estimate - 5 working days	Request from HR Calculation run Response sent	20/12/2018	20/12/2018	02/01/2019 02/01/2019 Complete

Key:

area of concern case put on hold case complete

Case Reference	Case Type	Step	Date Received	Date Logged	Date Actioned
2524207	New Starter - 3 working days	Starter form received Letter to member	22/01/2019	22/01/2019	23/01/2019 Complete
2520419	New Starter - 3 working days	Starter form received Query to employer Response received Letter to member	13/12/18 (dated)	11/01/2019	16/01/2019 24/01/2019 Complete
2524180	Member Estimate - 5 working days	Estimate requested Calculation run Estimate sent		22/01/2019	29/01/2019 29/01/2019 Complete
2517431	Deferred Benefit - 4 working days	Leaver forms received Calculation run Letter sent	03/01/2019	03/01/2019	09/01/2019 09/01/2019 Complete
2523201	Deferred Benefit - 4 working days	Leaver forms received Email query to employer Response received Calculation run Letter sent	18/01/2019 24/01/2019	18/01/2019 24/01/2019	24/01/2019 30/01/2019 30/01/2019 Complete
2524021	Refund of Contributions - 4 working days	Claim form received Calculation run Payment made	17/01/2019	22/01/2019	25/01/2019 25/01/2019 Complete
2516225	Refund of Contributions - 4 working days	Leaver form received Calculation run Claim form sent	28/12/2018	28/12/2018	04/01/2019 04/01/2019 Complete

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Local Pension Board – Supplementary Performance Information

14 March 2018

Purpose of paper

The London Borough of Havering Local Pensions Board (LPB) receive standardised monthly performance data produced by LPP. We understand that the Board would like greater transparency around the following areas:

1. Visibility around the target SLA for each case type;
2. Year to date (YTD) performance, in addition to the standard monthly report;
3. The elapsed time of cases which are currently on hold, pending receipt of further information from a third party; and
4. A high-level overview of the 'reason' a case may be on hold.

This report provides an overview of items 1-4 for discussion with the Board at their meeting on 2nd April 2019.

SLA targets and YTD performance (items 1 & 2)

The table below gives a high-level overview of YTD performance for the period 1st April 2018 to 28th February 2019. **Please note:** these figures will include the processing of inherited backlog cases which have been cleared throughout the year.

1	Admissions - SLA 3 days	Received	Completed	Completed On Time	% On time
01	Admissions	1113	1107	1032	93.22
01b	Admissions (Automatic Enrolment)	0	0	0	100.00
01O	Opt in	0	1	1	100.00
01R	Admissions (Monthly return)	1	1	1	100.00
01w	Admissions (online Joiners)	598	568	567	99.82
	Total	1712	1677	1601	95.47
2	Transfers in - SLA 4 days	Received	Completed	Completed On Time	% On time
02A	IFA IN (Actual)	16	18	9	50.00
02E	IFA in (estimate)	132	111	78	70.27
03A	Other TV in (actual)	8	9	7	77.77
03E	Other TV in (estimate)	99	83	68	81.92
	Total	255	221	162	73.30
3	Transfers out - SLA 5 days	Received	Completed	Completed On Time	% On time
09A	IFA Out (Actual)	29	31	25	80.64
09E	IFA Out (estimate)	87	88	67	76.13
10A	Other TV out (actual)	11	9	8	88.88
10E	Other TV out (estimate)	75	75	62	82.66
	Total	202	203	162	79.80
4	Estimates member - SLA 5 days	Received	Completed	Completed On Time	% On time
08	Estimates - individual	363	363	280	77.13
	Total	363	363	280	77.13

5	Estimates employer - SLA 5 days	Received	Completed	Completed On Time	% On time
22	Employer Estimate	131	133	120	90.22
22w	Estimates (Online Forms)	0	0	0	100.00
	Total	131	133	120	90.23
6	Retirements - SLA 5 days	Received	Completed	Completed On Time	% On time
12	DBs into payment	232	189	166	87.83
14	Retirement	172	217	163	75.11
14q	Third tier ill health review	0	0	0	100.00
14w	Retirements (immediate online)	75	47	47	100.00
	Total	479	453	376	83.00
7	Deferred benefits - SLA 4 days	Received	Completed	Completed On Time	% On time
11	Deferred Benefits	721	662	540	81.57
11w	Deferred Benefits (online Leaver)	225	170	170	100.00
	Total	946	832	710	85.34
8	Refunds - SLA 4 days	Received	Completed	Completed On Time	% On time
16	Refund	387	417	323	77.45
16w	Refunds (Online Forms)	212	181	181	100.00
	Total	599	598	504	84.28
9	Deaths - SLA 3 days	Received	Completed	Completed On Time	% On time
13	Death in service	9	6	5	83.33
13w	Death in service (Online Forms)	1	0	0	100.00
20	Death on Pension	188	157	126	80.25
20d	Death on Deferred	3	1	1	100.00
	Total	201	164	132	80.49
10	Correspondence - SLA 5 days	Received	Completed	Completed On Time	% On time
24	Correspondence (customer) - level 3	246	305	198	64.91
24A	Change of address	457	465	441	94.83

	Total	703	770	639	82.99
11	Additional Contributions - SLA 5 days	Received	Completed	Completed On Time	% On time
04	Additional Contributions	7	9	6	66.66
04a	Additional Pension Contributions (APCS) actual	5	4	3	75.00
04e	Additional Pension Contributions (APCS) estimate	2	2	2	100.00
	Total	14	15	11	73.33
12	Divorce - SLA 5 days	Received	Completed	Completed On Time	% On time
34A	Divorce Actual	2	1	0	0.00
34E	Divorce Estimate	27	30	24	80.00
	Total	29	31	24	77.42
	Overall total of top 10 categories	5634	5460	4721	86.47

Elapsed time of current cases on hold (item 3)

The table below gives an overview of the number of cases currently on hold and the elapsed time of each as at 14th March 2019. Please note that a case on hold is one which has had action taken by LPP, but that is now awaiting further information from a 3rd party to finalise processing. In section 4, we look at the breakdown of ‘reasons’ why a case is currently be on hold.

LPP will proactively review the oldest cases identified in the table below and provide a high-level status update at the next board meeting following 2nd April 2019.

Cases on hold - Elapsed time overview							
Case Type	<1 month	2-3 months	4-6 months	7-9 months	10-11 months	>1 year	Grand Total
Child pension review			1				1
Complaints	1						1
Pension trace	1						1
Scheme movement	1						1
Transfer in actual	1						1
Transfer out actual	1						1
AVC's	1		1				2
Concurrent employment		1	1				2
GMP		1	1				2
Death in service			3		1		4
Benefit revision			1		1	3	5
Transfer out estimate		1	1	2	1		5
Change of address	1	2	2	2			7
IFA in actual	2	1	1		1	3	8
Change of hrs	5	1	2		1		9
IFA out estimate	3		3	1	2	2	11
Member estimate	2		4	2	2	3	13
Opt out	4	9	3				16

General correspondence	7	1	10	4		2	24
Retirement	9	5	8		4		26
Deferred into payment	17	15	13	1	3		49
Refund	19	12	13	1	3	1	49
Admissions	10	15	17	2	6		50
Transfer in estimate	13	7	11	4	10	8	53
Death on pension	19	11	13	9	15	15	82
IFA in estimate	6	8	17	12	20	51	114
Aggregation	9	20	16	8	41	25	119
Deferred Benefits	41	27	50	21	43	21	203
Grand Total	173	137	192	69	154	134	859

On hold 'reasons' (item 4)

The table below provides a high-level overview of the reasons why cases are currently on hold. These cases are where LPP has taken action and in order to progress the case we are awaiting for further information and/or a response from a 3rd party as per the breakdown below.

Case Type	Awaiting address confirmation	Awaiting death certificate	Awaiting DWP trace / benefit info	Awaiting employer / client	Awaiting fiche	Awaiting former / new scheme	Awaiting HMRC	Awaiting member / beneficiary	Awaiting overpayment	Awaiting probate	Awaiting solicitors	Grand Total
Admissions				50								50
Aggregation				33		1		85				119
AVC's				2								2
Benefit revision				5								5
Change of address				7								7
Change of hrs				9								9
Child pension review								1				1

Complaints								1				1
Concurrent employment				1				1				2
Death in service				1				3				4
Death on pension		4	8	53				10	5	1	1	82
Deferred Benefits				178	2	5	1	17				203
Deferred into payment	6			9		1		33				49
General correspondence			2	17				5				24
GMP				1			1					2
IFA in actual				5		3						8
IFA in estimate				34		52		28				114
IFA out estimate				9		2						11
Member estimate				10		1		2				13
Opt out				16								16
Pension trace				1								1
Refund				47				2				49
Retirement				17				9				26
Scheme movement								1				1
Transfer in actual						1						1
Transfer in estimate				25		13		15				53
Transfer out actual						1						1
Transfer out estimate				4				1				5
Grand Total	6	4	10	534	2	80	2	214	5	1	1	859

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Agenda Item 8

Summary Dashboard

A dashboard showing the summary of the results of the latest compliance checklist is shown below:

No.	Check	Compliant
Reporting Duties		
A1		
A2		
A3		
Knowledge and Understanding		
B1		
B2		
B3		
B4		
B5		
B6		
B7		
B8		
B9		
B10		
B11		
B12		
Conflicts of Interest		
C1		
C2		
C3		
C4		
C5		
C6		
C7		
C8		
C9		
C10		
C11		
Publishing Information		
D1		
D2		
D3		
D4		
Risk and Internal Controls		
E1		
E2		
E3		
E4		
E5		

E6		
E7		
E8		
Maintaining Accurate Member Data		
F1		
F2		
F3		
F4		
F5		
F6		
F7		
F8		
F9		
F10		
F11		
Maintaining Contributions		
G1		
G2		
G3		
G4		
G5		
G6		
G7		
G8		
G9		
Providing Information to Members and Others		
H1		
H2		
H3		
H4		
H5		
H6		
H7		
H8		
H9		
H10		
H11		
H12		
Internal Dispute Resolution		
I1		
I2		
I3		
I4		

I5		
I6		
I7		
I8		
I9		
Reporting Breaches		
J1		
J2		
J3		

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PENSIONS COMMITTEE

Subject Heading:	The Pensions Regulator (tPR) In Depth Engagement
SLT Lead:	Jane West Section 151 Officer
Report Author and contact details:	Caroline Berry 01708 432185 Caroline.berry@onesource.co.uk
Policy context:	Local Government Pension Scheme Regulations 2013 and Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014
Financial summary:	There is no financial impact of this report

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[x]
Places making Havering	[x]
Opportunities making Havering	[x]
Connections making Havering	[x]

SUMMARY

The Pensions Regulator (tPR) are conducting an in depth engagement with a sample of Local Government Pension Schemes and have chosen Havering as one of the funds that they would like to review. The review will identify strengths and areas for development for Havering. tPR will publish a report of their findings across all reviews that provides a picture of the pension scheme reviewed. This will be on an anonymous basis. The review will focus on the governance and administration of the Scheme.

RECOMMENDATIONS

It is recommended that the Committee note the review by tPR. Any resulting actions will be reported to the Committee at the conclusion of the review.

REPORT DETAIL

tPR carry out an annual Governance and Administration Survey amongst all public service pension schemes and the results from the last survey showed that improvements in the Local Government Pension Scheme had stalled.

The purpose of tPR's review is to understand the challenges that schemes are facing, to monitor how schemes are performing and suggest improvements and relevant actions.

The LGPS is made up of approximately 100 individual funds and 10% have been selected for review. London Borough of Havering is one of those. Schemes have been chosen at random based on their geographical location and the size of fund. tPR have emphasised that they have no specific concerns regarding the governance and administration of the Havering Fund.

The review will comprise of 5 meetings. The areas to be reviewed are:

- Administrator Risk
- Record Keeping
- Member Communications
- Internal Controls
- Internal Disputes Resolution Procedure
- Maintaining Contributions

- Employer Non-Compliance
- Affordability & Funding
- Pension Board Members Knowledge and Understanding
- Relationships between the Scheme Manager and the Pension Board
- Conflicts of Interest
- Fraud/Misappropriation of assets
- Scams
- Cyber Security

tPR will provide an observations letter after each meeting confirming any areas that they have identified for improvement along with any strengths.

London Borough of Havering are learning from, and sharing experiences with other authorities that have been selected for review.

The process is expected to take about 6 months and we will report back to Committee confirming outcomes.

tPR will provide a report of its findings across all the selected Local Government Pension Schemes. Although the report may contain information regarding Havering, we will not be named.

Existing resources within the Council's workforce will be required to support the meetings with tPR and to take any action required following the conclusion of the engagement.

IMPLICATIONS AND RISKS

Financial implications and risks:

There appear to be no financial implications or risks arising from this report

Legal implications and risks:

There are no apparent legal implications arising from consideration of this Report.

Human Resources implications and risks:

There appear to be no HR implications or risks arising that impact on the Council's workforce. However, there will be resources required from the Shared Service to support the meetings with the Pensions Regulator which will need to be drawn from existing resources.

Equalities implications and risks:

There are no direct equality implications regarding this matter

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Agenda Item 10

Common

Data Item	Max population*	Fails	Error Rate	Target Rate	Comments
NI Number Missing/Temp NI Number	19,710	41	0.21%	99.00%	
Surname	19,710	0	0.00%	99.00%	Common Report
Forname/Initials	19,710	0	0.00%	99.00%	Common Report
Sex	19,710	0	0.00%	99.00%	
Date of Birth	19,710	0	0.00%	99.00%	
Date started pensionable service/policy/contributions	19,710	0	0.00%	99.00%	
Expected retirement / maturity/target retirement date	6,554	0	0.00%	99.00%	Common Report
Membership status	19,710	46	0.23%	99.00%	
Last status event	19,710	0	0.00%	99.00%	
Active Address Errors	6,554	18	0.27%	99.00%	Common Report
Active Postcode Errors	6,554	23	0.35%	99.00%	Common Report
Deferred Address Errors	5,608	144	2.57%	99.00%	Common Report
Deferred Postcode Errors	5,608	144	2.57%	99.00%	Common Report
Pensioner Address Errors	5,357	433	8.08%	99.00%	Common Report
Pensioner Postcode Errors	5,357	497	9.28%	99.00%	Common Report
Dependant Address Errors	901	224	24.86%	99.00%	Common Report
Dependant Postcode Errors	901	241	26.75%	99.00%	Common Report
Frozen Address Errors	1,290	42	3.26%	99.00%	Common Report
Frozen Postcode Errors	1,290	62	4.81%	99.00%	Common Report
Total Errors	203,654	1,915	0.94%	99.00%	99.06%

Conditional

Data Item	Max population*	Fails	Error Rate	Target Rate	
Current Pension Missing	11,866	19	0.16%	99.00%	
Date Joined Company	12,162	0	0.00%	99.00%	
Date Joined Scheme missing	12,162	0	0.00%	99.00%	
Date of Leaving Missing	12,255	7	0.06%	99.00%	Common Report
Date of leaving, but with status 1	6,554	56	0.85%	99.00%	
Date Pension Started Missing	6,258	0	0.00%	99.00%	
Final Salary Missing	12,255	325	2.65%	99.00%	Common Report
Missing Contributions	6,554	24	0.37%	99.00%	Common Report
Missing Employer	19,710	114	0.58%	99.00%	
Missing Marital Status	19,710	1,674	8.49%	99.00%	Common Report
Missing Salary	6,554	28	0.43%	99.00%	
Pensioner member without a pension screen	5,357	0	0.00%	99.00%	
Possible age discrepancy	19,710	4	0.02%	99.00%	
Invalid CAY indicator	6,258	1	0.02%	99.00%	
Total Errors	157,365	2,252	1.43%	99.00%	98.57%

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LB Havering - Overview

Current Common Data Checking Results

Total number of fails as a percentage	Current Position
Very good data with minimal cleansing required	
Above 99%	99.06%
Between 96% and 99%	
Between 94% and 96%	
Between 92% and 94%	
Below 92%	
Poor data with high cleansing requirements	

Current Conditional Data Checking Results

Total number of fails as a percentage	Current Position
Very good data with minimal cleansing required	
Above 99%	
Between 96% and 99%	98.57%
Between 94% and 96%	
Between 92% and 94%	
Below 92%	
Poor data with high cleansing requirements	

Status	Number*	Average Age*
Active	6,554	47.20
Deferred	5,608	48.39
Pensioner	5,357	72.28
Dependant	901	75.48
Frozen	1,290	43.84

*As at 31/03/2018

Notes

Common Data

Common data is the basic information which every scheme should hold for each member such as name, address and date of birth. It is the information which identifies the member and their benefits and allows the scheme to keep in contact with them.

In 2010, The Pensions Regulator set specific targets for schemes to achieve by December 2012 regarding common data. The target for any records to which amendments of any kind have been made since June 2010 is 100% of common data to be present. The target for 'legacy data' which has not had any amendments since June 2010 is 95%. LPFA are aiming for 100% accuracy against all records. For areas where a scheme does not meet the targets The Pension Regulator would expect to see a clear plan for remedial action.

Whilst LPFA will be covered by the record keeping provisions of the Code of Practice 14 for Public Sector Pension Funds, which will apply from April 2015, rather than The Pension Regulators requirements, we are following their guidance as best practice.

Examples of common data checks include Missing NI numbers, Surnames, Initials, Sex, Date of Birth, Date Joined Fund/Employer, Post Code and Address.

Conditional Data

Conditional data is defined by The Pensions Regulator as "additional detailed data required for the administration of a pension scheme", though they have left it up to individual schemes to establish which data constitutes Conditional Data for them. This should be based on scheme design and type of scheme as well as member status and experience within the scheme.

However, they do provide an Illustrative list of Conditional Data, which demonstrates the kind of conditional data which might be required in different circumstance. They recommend that schemes use this list as a starting point, and adjust it according to their individual circumstances.

As with identifying the specific checks, The Pensions Regulator has left target setting to individual schemes, although they are clear that they still see this data as essential and expect schemes to take it seriously.

Examples of conditional data checks include missing salary history, contributions, employer, marital status, initial/current pension, date of leaving and final salary.

Currently for annual and valuation data cleaning the error rate is at 1%, we would therefore propose this tolerance for conditional data to ensure the data in place is to the standard that LPFA can effectively manage the administration of the scheme.

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**MINUTES OF A MEETING OF THE
PENSIONS COMMITTEE
Committee Room 3A - Town Hall
13 November 2018 (7.00 - 7.48 pm)**

Present:

COUNCILLORS

Conservative Group John Crowder (Chairman), Melvin Wallace (Vice-Chair) and Matt Sutton

Residents' Group Stephanie Nunn

North Havering Residents' Group Martin Goode

Upminster & Cranham Residents Group Ron Ower

Trade Union Observers Andy Hampshire

All decisions were taken with no votes against.

The Chairman reminded Members of the action to be taken in an emergency.

73 APOLOGIES FOR ABSENCE AND ANNOUNCEMENT OF SUBSTITUTE MEMBERS

There were no apologies for absence.

74 DISCLOSURE OF INTERESTS

There were no declarations of interest.

75 MINUTES OF THE MEETING

The minutes of the special meeting held on the 12 March 2018 and the ordinary meeting held on the 18 September 2018 were agreed as a correct record and signed by the Chairman.

76 LOCAL PENSION BOARD MINUTES

The Committee received the notes of the inquorate meeting of the Local Pension Board meeting held on the 2 October 2018.

77 SERVICE REVIEW OF THE PENSION FUND CUSTODIAN

The Committee received a report which reviewed the performance of the Custodian, State Street, for the period October 2017 to September 2018.

Officers were satisfied with the safe keeping and custody functions provided by State Street custodians. Officers were further satisfied with the overall investment accounting and reporting functions but officers would work with State Street to ensure that improvements to the level of service with regard to the accounting and reporting functions were improved.

RESOLVED:

That the views of officers on the performance of the Custodian, be noted.

78 INVESTMENT ADVISOR SERVICE REVIEW

The Committee received a report which reviewed the performance of the Investment Advisor, Hymans, covering the period October 2017 to September 2018. Due to the expiry of the existing contract, the report provided members with an update as to the procurement arrangements for a new investment Advisor contract.

RESOLVED: That

- i) The views of officers on the performance of the Investment Advisor, be noted.**
- ii) Officers resume the procurement process for the Investment Advisor for the Pension Fund through the LGPS National Framework for Investment Management Consultancy Services.**

79 REVIEW OF THE PENSION FUND ACTUARY SERVICES 10 OCTOBER 2017 - 30 SEPTEMBER 2018

The Committee received a report which reviewed the performance of the Actuary from the 1 October 2017 to 30 September 2018.

The Havering Pension Fund joined the Croydon Framework in 2015 to obtain Actuarial and Benefits Consulting Services. Hymans Robertson was the appointed Actuary under this framework agreement and that contract expired on the 31 March 2018. The Fund appointed Hymans Robertson under Lot 1 (Actuarial Services). The contract commenced on the 16 July 2018 and would terminate on the 15 July 2023 with an option to extend up to a further two years to 15 July 2025 if required.

RESOLVED:

That the views of officers on the performance of the Actuary during the period 1 October 2017 to the 30 September 2018, be noted.

80 **REVIEW OF GOVERNANCE COMPLIANCE STATEMENT**

The Committee received a report which set out the pension fund's draft Governance Compliance Statement for November 2018 and highlighted where changes might be required.

It was highlighted that Principle B Representation Item (a) (iii) was non-compliant. Members had previously considered whether or not to employ the services of an independent professional observer to participate in the governance arrangements and decided against it on the basis that the current monitoring arrangements were sufficient for the size of the fund.

RESOLVED:

That the Governance Compliance Statement, as amended at Appendix A, be agreed.

81 **WHISTLEBLOWING REQUIREMENTS OF THE PENSIONS ACT**

On the 6 April 2005, the whistle blowing requirements of the Pensions Act 2004 came into force. The basic requirement of this law was that nearly all persons who were involved with a pension scheme had a duty to report as soon as reasonably practicable to the Pensions Regulator where they had reasonable cause to believe that there had been a breach of law relevant to the administration of the scheme which was likely to be of material significance to the Regulator.

There had been no possible breaches reported to the named officer for reporting issues to within Havering which was the Chief Operating Officer/ Statutory 151 Officer. Consequently no reports had been made to the Regulator.

RESOLVED:

That the results of the annual review and that no breaches had been reported, be noted.

82 **PENSION FUND RISK REGISTER**

The Committee received a report which introduced the Pension Fund Risk Register 2018, which detailed the potential risks that the Fund was exposed to, that the Pensions Committee should be aware of, and the controls in place to manage these risks.

It was recognised that it might not be possible to eliminate all risks but accepting and actively managing risk was crucial to fulfilling the governance of the fund. All risks would be regularly reviewed to ensure that they remained appropriate and that the controls were in place to manage risks where feasible.

The risk scorings were assessed by the Council as having good controls in place and the Council was comfortable with the risks and the scores, therefore given a green rating.

RESOLVED: That the report be noted.

83 **COMMUNICATIONS STRATEGY STATEMENT FOR THE PERIOD 2018-21**

The Committee received a report which advised of the current Communication Strategy of the London Borough of Havering Pension Fund, in relation to the Local Government Pension Scheme.

RESOLVED:

That the Pension Fund Communications Strategy be approved for the three year period to November 2021, as attached at Appendix A.

84 **FUNDING REVIEW STRATEGY - UPDATE**

The Funding Strategy Statement set out the objectives of the London Borough of Havering's strategy, in its capacity as Administrating Authority, for the funding of the London Borough of Havering Pension Fund.

The Statement had been updated to reflect changes made under the LGPS (Amendment) (Regulations) 2018 that took effect from the 14 May 2018.

RESOLVED:

That the Funding Strategy Statement be updated to reflect regulation changes as shown in Appendix A to the report.

85 **FORWARD PLAN**

The Committee reviewed the forward plan and noted that a Public Service Pensions Act Section 13 report would be presented to the meeting on the 11 December 2018.

Chairman

**MINUTES OF A MEETING OF THE
PENSIONS COMMITTEE
Committee Room 3a, Town Hall, Main Road, Romford
11 December 2018 (7.00 - 8.50 pm)**

Present:

COUNCILLORS

Conservative Group	John Crowder (Chairman), Melvin Wallace (Vice-Chair) and Matt Sutton
Residents' Group	Stephanie Nunn
Upminster & Cranham Residents' Group	Ron Ower
Independent Residents' Group	David Durant
North Havering Residents' Group	Martin Goode

An apology for absence was received from Andy Hampshire, Trade Union Observer.

All decisions were taken with no votes against.

The Chairman reminded Members of the action to be taken in an emergency.

86 TO NOTE ANY CHANGES TO THE MEMBERSHIP OF THE PENSIONS COMMITTEE

The Committee noted that Councillor Durant had been appointed as a member of the Pensions Committee.

87 APOLOGIES FOR ABSENCE AND ANNOUNCEMENT OF SUBSTITUTE MEMBERS

There were no apologies for absence.

88 DISCLOSURE OF INTERESTS

There were no disclosures of interest.

89 MINUTES OF THE MEETING

The minutes of the meeting held on the 13 November 2018 were agreed as a correct record and signed by the Chairman.

90 THE LOCAL GOVERNMENT PENSION SCHEME CHARGING POLICY

The Charging Policy was originally introduced in November 2014 to formally set out the Pension Fund policy relating to the actuarial and legal charges for specific areas of work along with more general costs such as strain costs or charges relating to poor performance and late payment of scheme contributions. The Policy had been reviewed to ensure that it was still fit for purpose and included the most recent guidance from the Pensions Regulator.

The draft policy was circulated to all scheme employers for comment, and five responses had been received and their comments considered and incorporated into the policy where appropriate. Following the comments of the Pensions Committee, the draft charging policy would be finalised and submitted to the Section 151 Officer for approval and published for implementation in January 2019.

RESOLVED:

That the Committee:

- i) Noted the draft Charging Policy.**
- ii) Delegated the approval of the final Charging Policy to the Section 151 Chief Operating Officer.**

91 PUBLIC SERVICE PENSIONS ACT 2013 - SECTION 13

The Committee received the Executive Summary Review of the Actuarial Valuations of Funds as at 31 March 2016 Pursuant to Section 13 of the Public Service Pensions Act 2013.

The overall summary of the findings were:

- 89 funds were tested out of 91 LGPS funds (due to incomplete or missing data).
- 70 received green flags on all solvency and long term cost efficiency measures.
- 20 amber flags and 2 red flags allocated in total (14 amber flags in the solvency criteria – which included an amber flag for insolvency for Havering); 2 red flags under the solvency criteria; and 6 amber flags under the long term cost efficiency criteria.

The Council's actuaries had commented that the amber flag for insolvency was the only flat raised, therefore, it could be inferred that GAD had agreed with their actuary that the investment and contribution plans were suitable.

RESOLVED:

That the Committee:

- i) Noted the results of the report produced by GAD as attached as Appendix A, B and C.**
- ii) Noted the Actuarial firms joint letter to Ministry of Housing, Communities and Local Government and Scheme Advisory Board as attached as Appendix D.**

92 EXCLUSION OF THE PUBLIC

The Committee resolved to exclude the public from the meeting during discussion of the following items on the grounds that if members of the public were present it was likely that, given the nature of the business to be transacted, that there would be disclosure to them of exempt information within the meaning of paragraph 3 of Schedule 12A to the Local Government Act 1972 which could reveal information relating to the financial or business affairs of any particular person (including the authority holding that information) and it was not in the public interest to publish this information.

There were no members of the public or press present for the duration of the meeting.

93 FUND MANAGERS REVIEW - VOTING AND ENGAGEMENT

The Committee received a report produced by the Fund's Investment Advisor, Hymans Robertson, which presented a summary on the responsible investment activities of the Fund's investment managers in support of the Committee's ongoing monitoring requirement as set out in the Investment Strategy Statement. The review was focused on the period for the year to 30 June 2018.

RESOLVED:

That the Committee:

- i) Noted the Hymans summary review of fund manager voting and engagement activity attached as Appendix A.**
- ii) Noted the Responsible Investment policy of the London CIV attached as Appendix B.**
- iii) Considered and agreed the potential next steps in respect of future developments of the monitoring and review process as outline in the Hymans report at Appendix A.**

94 **PENSION FUND PERFORMANCE MONITORING FOR THE QUARTER ENDED SEPTEMBER 18**

The Committee received a report which provided an overview of the performance of the Havering Pension Fund investments for the quarter to 30 September 2018. The performance information was taken from the quarterly performance reports supplied by each Investment Manager, State Street Global Services Performance Services PLC quarterly Performance Review Report and Hymans Monitoring Report.

The net return on the Fund's investments for the quarter to 30 September 2018 was 1.2% (or £8.16m to £734m). This quarter, the fund underperformed against the strategic benchmark by 2.0%.

Based on the information supplied by the performance measurers, the total combined fund value at the close of business on 30 September 2018 was £734.57m. This valuation differed from the basis of valuation used by the Fund Managers and the Investment Advisor in that it excluded accrued income. This compared with a fund value of £726.41 at the 30 June 2018, an increase of £8.16m. Movement in the fund value was attributable to an increase in assets of £15.81m and a decrease in cash of £-7.65m. Internally managed case levels stood at £15.92m.

RESOLVED:

That the Committee:

- i) **Noted the summary of the performance of the Pension Fund within the report.**
- ii) **Considered Hymans performance monitoring report and presentation (Appendix A – Exempt).**
- iii) **Received a presentation from the Fund's Multi Asset Manager GMO – Global Real Return (UCITS) Fund (Appendix B – Exempt).**
- iv) **Considered the quarterly reports provided by each investment manager.**
- v) **Noted the analysis of the cash balances (paragraph 3.2 refers).**

Chairman