



# Haverling

LONDON BOROUGH

## LOCAL PENSION BOARD AGENDA

**4.00 pm**

**Tuesday  
21 November 2023**

**MS Teams**

Members 7: Quorum 2

Joanne Sladden, Scheme Employer Representative  
Mark Holder, Scheme Member Representative  
Yasmin Ramjohn, Scheme Member Representative  
Dionne Weekes, Scheme Member Representative  
Jonathan Bunt, Independent  
Denise Broom, Scheme Employer Representative  
Andrew Frater, Scheme Employer Representative

**For information about the meeting please contact:  
Luke Phimister 01708434619  
luke.phimister@onesource.co.uk**

## **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 3 - 6)**

To approve as correct the minutes of the meeting held on 10 October 2023 (attached) and authorise the Chair to sign them.

### **5 TO RECEIVE FEEDBACK FROM RECENT MEETINGS OF THE PENSIONS COMMITTEE**

### **6 PENSIONS ADMINISTRATION UPDATE (Pages 7 - 40)**

### **7 LPPA INTERNAL CONTROL ASSURANCE REPORT (Pages 41 - 76)**

### **8 RISK REGISTER**

**Zena Smith**  
**Head of Committee and Election Services**

# Public Document Pack Agenda Item 4

**MINUTES OF THE MEETING OF THE  
LOCAL PENSION BOARD  
Virtual meeting  
10 October 2023 (4.00 - 6.00 pm)**

**Present:**

Broom (Scheme Employer Representative), Bunt (Chairman) and Frater (Scheme Employer Representative)

Mark Holder (Scheme Member Representative), Ramjohn (Scheme Member Representative) and Sladden (Scheme Employer Representative)

Apologies were received from

All decisions were taken with no votes against.

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

**176 CHAIR'S ANNOUNCEMENTS**

**177 APOLOGIES FOR ABSENCE**

**178 DISCLOSURE OF INTEREST**

There were no disclosures of interest.

**179 MINUTES OF THE MEETING**

The minutes of the previous meeting were agreed as a correct record.

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

The Board noted the feedback from the Pension Committee.

**181 PENSIONS ADMIN PERFORMANCE**

The Board were presented with a report on the pension administration performance.

Members noted the target level of 95% which had been reached however elapsed time was not measured. Members also noted all SLAs were standardised from 1<sup>st</sup> April 2022 and officers explained the changes to the 5 and 10 day SLAs for retirements.

The Board members discussed steps had been taken to improve the system efficiency and how focus had shifted to active deferrals and deaths.

The Board noted the report.

**182 LPPA INTERNAL CONTROL ASSURANCE**

The Board was presented with a report on the LPPA internal control assurance.

Members noted this was an annual report and it was difficult for officers to make comments on it. However members did agree to bring an LPPA representative to the next board meeting to answer any questions raised by members.

The Board noted the report.

**183 CODE OF PRACTISE 14**

The Board was presented with the Code of Practise 14 report.

It was explained that Section A, which was a legal requirement, was fully complaint with the next scheme review imminent. Members also noted there were some actions outstanding in section B and there were some outstanding training modules.

The Board noted the report.

**184 RISK REGISTER**

The Board was presented with the risk register.

Members noted the risk register was due to be presented at the November Pensions Committee following a review of the register. Members questioned the assessment of risk 4.2 bur officers confirmed it was the correct assessment. Members also asked for the risk register to be typo and grammar checked for future meetings.

The Board noted the register.

**185 TRAINING**

The Board was updated on the position of the training modules.

It was explained to the Board that members would have to re-complete the CIPFA knowledge and skills module and would have to wait for the migration to the new system to complete any outstanding modules.

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**Chairman**

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## Local Pensions Board

**Subject Heading:**

Pensions Administration Update

**Report Author and contact details:**

Caroline Guyon  
Pensions Projects and Contracts Manager  
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**SUMMARY**

This report provides a summary of the performance of the Local Pensions Partnership during Quarter 2 of 2023/24 and key activities affecting the Havering Local Government Pension Scheme (LGPS).

**RECOMMENDATION**

That Board members note the report.

**REPORT DETAIL**

**Havering Pension Fund Administration – LPPA Performance**

From 1 November 2017, the London Borough of Havering delegated the pension administration service to Lancashire County Council who have engaged the Local Pensions Partnership Administration (LPPA) to undertake their pension portfolio. The Local Pensions Partnership was formed in 2016 through a collaboration between Lancashire County Council and the London Pensions Fund Authority and provides pension services to the Local Government Pension Scheme, Police and Firefighter Schemes.

LPPA provide a quarterly performance report attached as Appendix A.

Overall performance against SLAs is above the target 95% however performance has been impacted by a focus to clear cases that had already missed the SLA. Completion of cases against the SLAs in the quarter stood at 97.3% for July, 96.3% for August and 97.9% for September.

Looking at the 3 highest priority cases of retirements from active, retirements from deferred and deaths members should note the following:

Case Type	SLA Target	Brought Forward	Received in Period	Completed	Carried Forward	Completed on time
Retirement (Active)	5 working days	126	157	186	97	93%
Retirement (Deferred)	5 working days	143	175	194	124	97.1%
Deaths	5 working days	124	117	99	142	87.7%



## **Local Pensions Board DATE**

When looking at retirement satisfaction surveys, the results remain disappointing with a limited number of members responding. The table below provides the breakdown of the Q2 responses

Calendar Month	Satisfied	Neutral	Dissatisfied	Surveys Taken
July 23	11.1%	33.3%	55.6%	9
August 23	21.4%	0.0%	78.6%	14
September 23	33.3%	25.0%	41.7%	12

Only members returning a dissatisfied comment on the survey and general themes related to delays and the length of time taken to complete a case. Only 7 members left comments.

LPPA received 18 complaints during Q2. 17 cases were upheld where the complaint is justified due to errors or omissions in processing, 1 case was not upheld and no error or omission had been made. Enhanced complaint reporting and monitoring will be available for Q3.

Calls into the LPPA's helpdesk are now recorded at a client level with 976 calls being answered during the quarter. The majority of calls are answered in under 5 minutes with a small percentage having to wait over 15 minutes.

Helpdesk satisfaction levels are shown below:

Calendar Month	Satisfied	Neutral	Dissatisfied	Surveys Taken
July 23	57.1%	22.2%	33.3%	9
August 23	72.2%	11.1%	16.7%	18
September 23	62.5%	12.5%	25.0%	8

The report details the data quality and the Pension Regulator data scores for common and scheme specific data. This quarter has seen a drop in the scoring whilst the end of year processing is finalised. The scores are expected to improve over the coming months as the queries are resolved.

At the end of Q2 our common data score was 98.2% (previously 98.2%) and the scheme specific data score was 78.1% (previously 91.3%).

## **Legislation Update**

The McCloud Remedy

The Regulations were laid on 8 September 2023, coming into force on 1 October 2023 to allow underpin protections to be extended to all members of the scheme who meet the relevant criteria.

LPPA are now working with their software provider, Civica, to ensure the system updates are working correctly to identify the affected members and calculate the benefits in line with the new Regulations. The update is expected to be available mid November.

DLUHC have issued an initial prioritisation policy for administrators that will be discussed by the McCloud guidance working group and consulted on, before a final version is issued early next year.

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# LPP

Local Pensions Partnership  
Administration

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Havering Pension Fund

## Quarterly Administration Report

1st July – 30th September 2023

[lppapensions.co.uk](http://lppapensions.co.uk)

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# DEFINITIONS

## Page 8

### Total Fund Membership

Total Fund Membership is the number of Member records held on the LPPA pensions administration system that are contributing to, awaiting benefits, or receiving benefits from the pension fund.

### Current Age Demographic

The age profile of the Membership is split across three types of status:

*Active Members* – Members who are currently contributing toward their pension benefits.

*Deferred Members* – Members who hold a deferred benefit in the fund.

*Pensioner Members* – Pensioners and Dependants who are currently receiving a pension.

## Page 10

### Casework Performance - All Cases

Performance is measured once all information is made available to LPPA to enable them to complete the process.

Relevant processes are assigned a target timescale for completion, and the performance is measured as the percentage of processes that have been completed within that timescale.

## Page 11

### Casework Performance - Standard

The category of 'Other' on this page covers processes including, but not limited to:

- APC/AVC Queries
- Additional Concs Cessation
- Change of Hours
- Change of Personal Details
- Under Three Month Opt-Out
- Main to 50/50 Scheme Changes
- Divorce Quotes
- Divorce Settlement
- Ill Health Reviews

Please note that this page includes cases that have met the SLA target, but the stop trigger may also have been actioned before the process has been completed.

## Page 12

### Ongoing Casework at the end of the Reporting Quarter

Please note the number of processes brought forward, does not match the corresponding number of outstanding processes reported in the previous quarter (due to various reasons which can include; but not limited to, the deletion of a process or changes in assigned categories).

## Page 14 & 15

### Helpdesk Performance

Average wait time measures the time taken from the caller being placed into the queue, to them speaking with a Helpdesk adviser.

## Page 20 & 21

### Member Online Portal

The number and percentage of member records by status, that are registered for LPPA's Member Self-Service facility, PensionPoint.

## Page 28

### Common/Scheme Specific Data Fails

The Pensions Regulator requires Administrators to keep Member data up to date to ensure benefits are accurately paid. This is split by Common Data (details that are specific to the Member) and Scheme Specific Data (data that is related to the pension).

Individual Fails shows the total number of unique Members that have a single or multiple number of Common Data or Scheme Specific Data fails. On both charts, the Accuracy Rate (%) then compares the number of Individual Fails to the total number of Scheme Members.

For more detail on the Data Items / Error types presented in these charts, please visit either the [TPR](#) or [PASA](#) (The Pension Administration Standards Association) websites.

# OUR CORE VALUES

This administration report is produced in accordance with the Service Level Agreement (SLA) for the provision of pension administration services.

The report describes the performance of Local Pensions Partnership Administration (LPPA) against the standards set out in the SLA.

Within LPPA, our values play a fundamental role in guiding our behaviour as we grow our pensions services business and share the benefits with our Clients.



# ANNUAL PLAN

✓ COMPLETED    📅 DUE

Page 15

	Apr 23	May 23	Jun 23	Jul 23	Aug 23	Sep 23	Oct 23	Nov 23	Dec 23	Jan 24	Feb 24	Mar 24
Annual Benefit Statement and Newsletter to Deferred Members				✓								
Pension Increases		✓										
P60s and Newsletter to Pensioners		✓										
Annual Benefit Statement and Newsletter to Active Members					✓							
Pension Saving Statements							📅					
HMRC Scheme Returns							📅					
IAS19 data				✓	✓				📅			📅

# EXECUTIVE SUMMARY

Forward thinking...  
Working together...  
Doing the right thing...  
Committed to excellence...

## This performance report covers the reporting period of Q2 2023/24 (July – September 2023)

Casework and Helpdesk performance metrics continue to trend in the right direction, but this is not yet translating fully through to the member, employer and client experience.

### Payroll

All pensioner payroll and lump sum payments due in the reporting period were made on time (this equates to over £100 million, across all clients, in pension payments per month).

### Statutory deadlines

All regulatory and statutory deadlines due in the reporting period were met.

- Annual Benefit Statements for eligible active and deferred members
- Newsletter issued to active and deferred members.

### Casework SLA performance

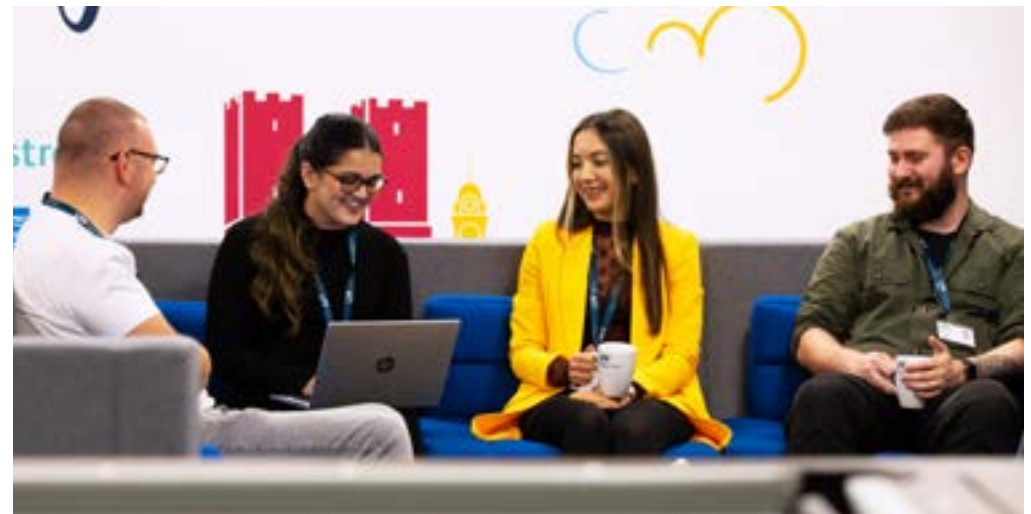
Overall performance against SLAs is back above the targeted 95% however, performance has been impacted by a focus to clear cases that had already missed the SLA. Cases that have missed SLA impact the performance measure when they are completed, and not when they miss.

### Satisfaction scores

Helpdesk and Retirement satisfaction scores are now reported at client level and for the last 12 months. Moving away from 'All LPPA' reporting reduces the number of completed member surveys, which affects the visual presentation of the graphs. However, it does provide a more specific view of satisfaction scores for your members.

### Pensions Helpdesk

Helpdesk performance for average call wait time and number of answered calls is now reported at a client level – the abandoned call rate remains at 'All LPPA' level, as the Helpdesk telephone number is the same for all clients (and therefore it isn't possible to measure abandon rates at client level).





# Fund Membership

## In this section...

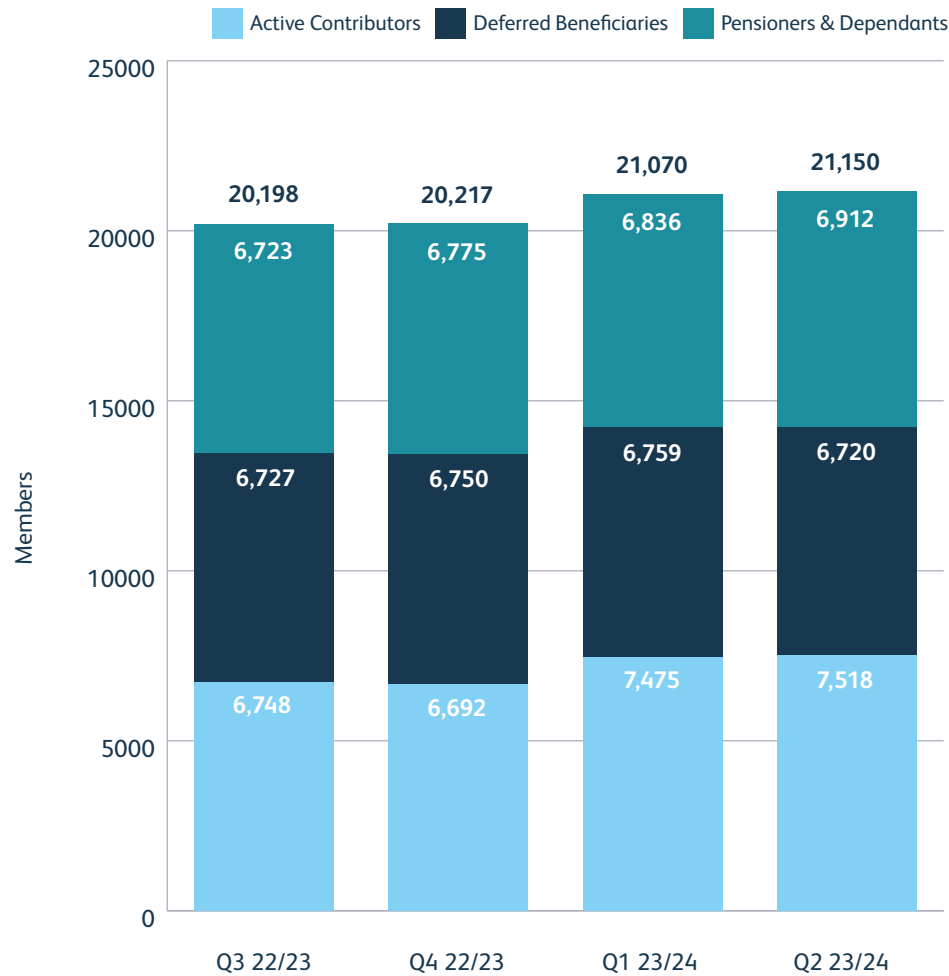
- Total fund membership
- Current age demographic

# TOTAL FUND MEMBERSHIP



## TOTAL FUND MEMBERSHIP

CLIENT SPECIFIC



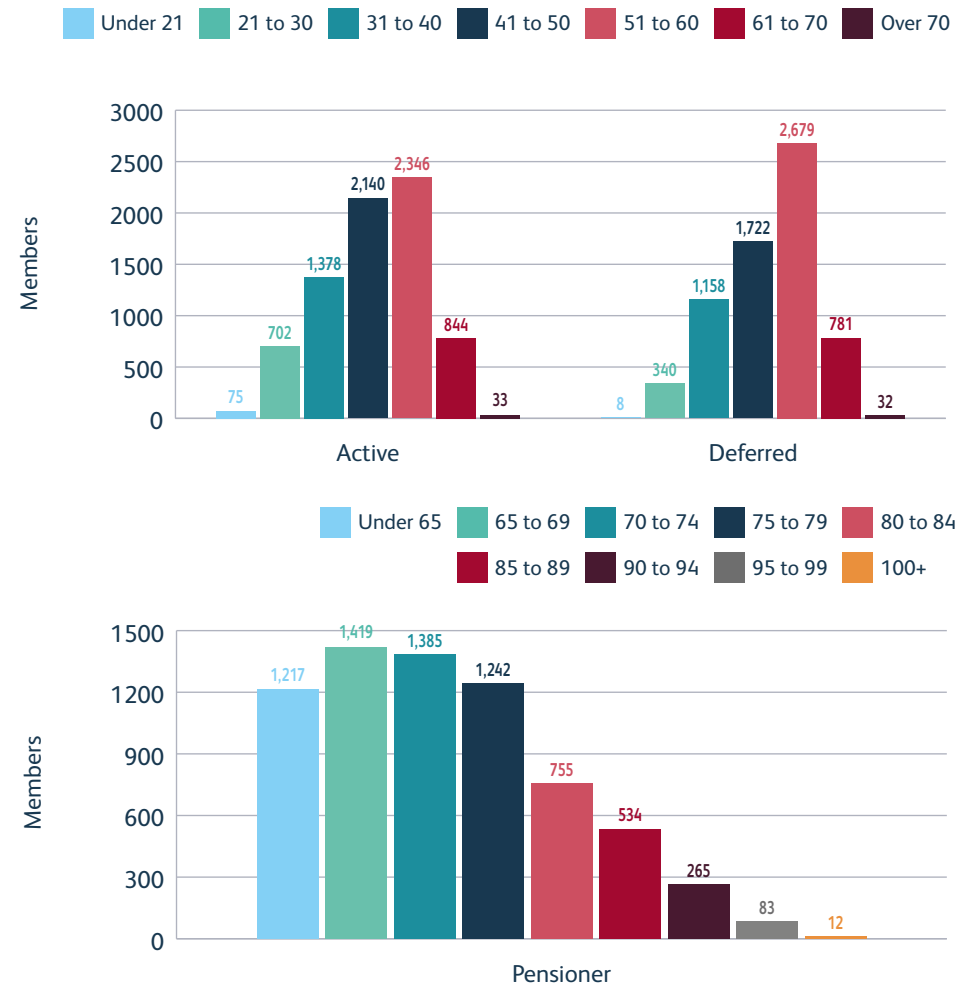
Page 18

Members



## CURRENT AGE DEMOGRAPHIC

CLIENT SPECIFIC



Members

Members

# Casework Performance

## In this section...

- Performance – all cases
- Performance standard
- Ongoing casework at end of reporting quarter

# CASEWORK PERFORMANCE

**Please note:**

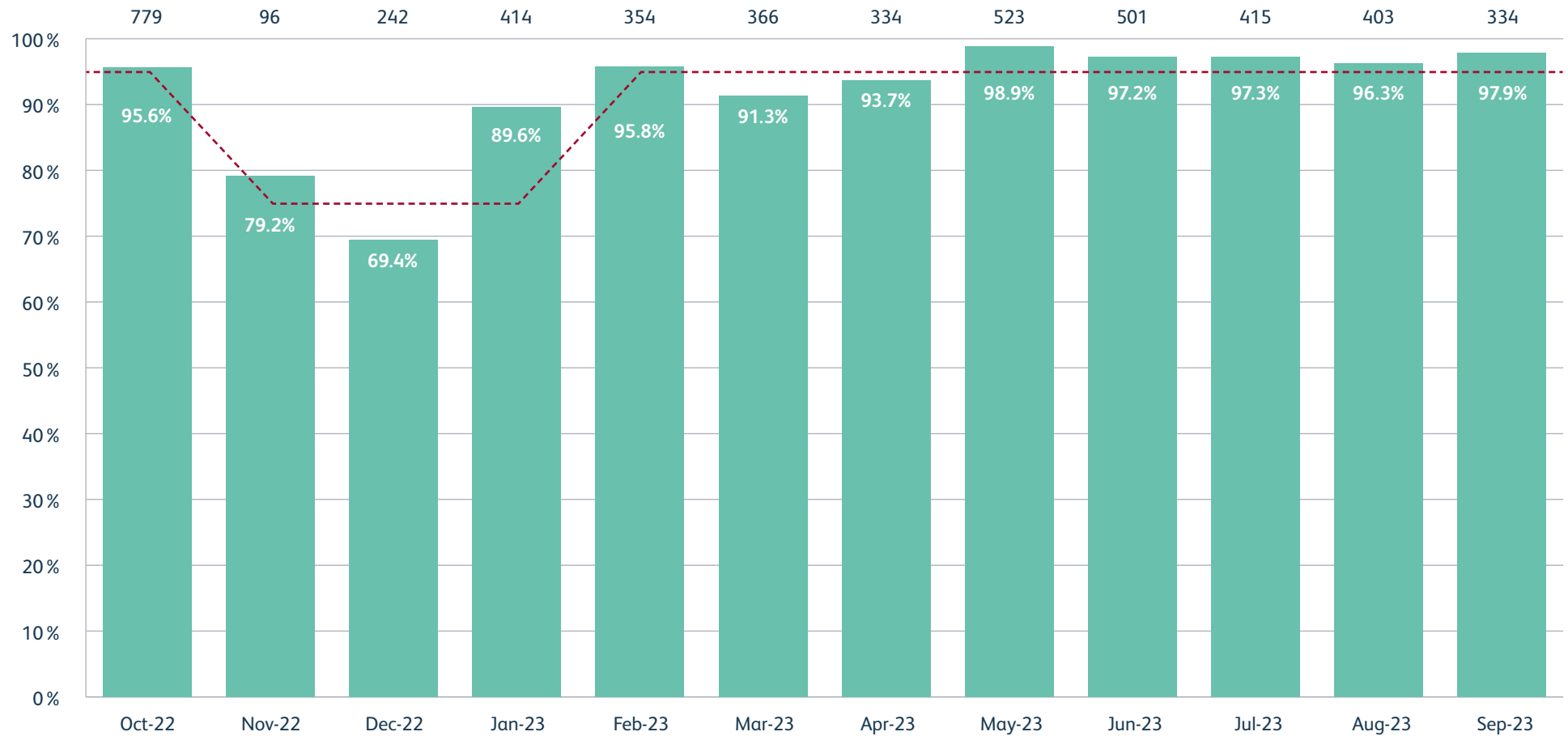
Agreed with clients that LPPA's monthly operational targets would be relaxed from Nov 22 to Jan 23, in line with UPM migration timings (22/23).

▾ **PERFORMANCE – ALL CASES** CLIENT SPECIFIC

--- Target      **The quarterly SLA performance was 97.1%**      Total completed cases included for each month.

Page 20

Performance



# CASEWORK PERFORMANCE



## PERFORMANCE STANDARD

## CLIENT SPECIFIC

----- Target (95%)

Page 21



# CASEWORK PERFORMANCE



## ONGOING CASEWORK AT THE END OF THE REPORTING QUARTER

CLIENT SPECIFIC

The following table is created by identifying all reportable casework within UPM, and includes those that have subsequently Completed / Aborted / Remain Outstanding within the quarter. The figures in this table cannot be compared to those in the previous slide for a number of reasons including: the table includes aborted cases, but the horizontal bar graph does not; the SLA 'stop trigger' can be actioned before the process has been completed.

Page 22

	Brought Forward at 01/07/23	Received (Inbound)	Completed (Outbound)	Outstanding as of 30/09/23
New Starters	8	183	140	51
Transfers In	131	77	62	146
Transfers Out	141	91	85	147
Estimates	33	57	55	35
Deferred Benefits	194	152	69	277
Retirements - Deferred	143	175	194	124
Retirements - Active	126	157	186	97
Refunds	67	81	75	73
Deaths	124	117	99	142
Correspondence	44	128	104	68
Aggregation	182	162	161	183
Other (see Definitions – page 3)	77	309	319	67
<b>TOTALS</b>	<b>1,270</b>	<b>1,689</b>	<b>1,549</b>	<b>1,410</b>

# Helpdesk Calls Performance

The Helpdesk deals with all online enquiries and calls from Members for all funds that LPPA provide administration services for.

## **In this section...**

- Wait time range
- Calls answered

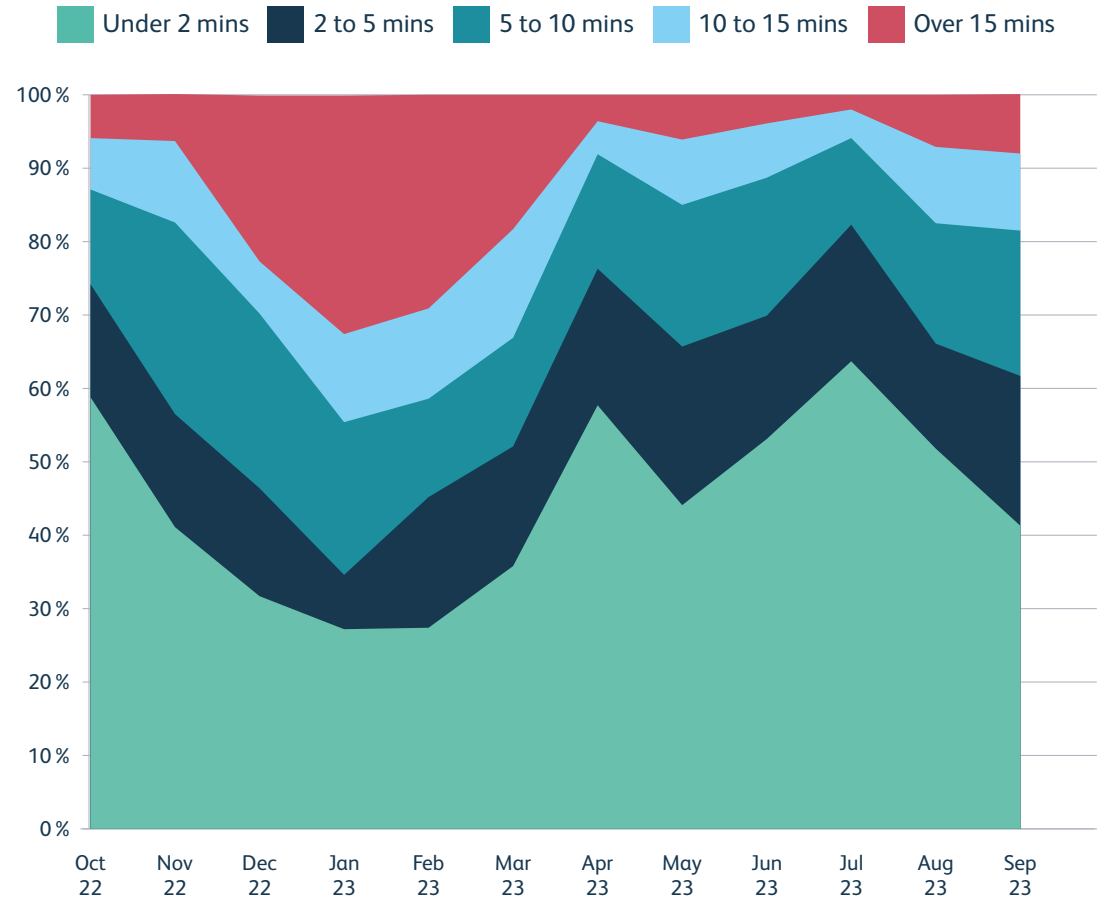
# HELPDESK CALLS PERFORMANCE



## WAIT TIME RANGE

CLIENT SPECIFIC

	Under 2 mins	2 to 5 mins	5 to 10 mins	10 to 15 mins	Over 15 mins
Oct 22	58.8%	15.4%	12.9%	7.0%	5.9%
Nov 22	41.1%	15.4%	26.1%	11.1%	6.4%
Dec 22	31.7%	14.7%	23.8%	7.1%	22.6%
Jan 23	27.2%	7.4%	20.8%	12.0%	32.5%
Feb 23	27.4%	17.8%	13.4%	12.3%	29.1%
Mar 23	35.8%	16.3%	14.8%	14.8%	18.3%
Apr 23	57.7%	18.6%	15.6%	4.5%	3.6%
May 23	44.1%	21.6%	19.3%	8.9%	6.1%
Jun 23	53.1%	16.8%	18.8%	7.4%	3.9%
Jul 23	63.7%	18.6%	11.8%	3.9%	2.0%
Aug 23	51.8%	14.3%	16.4%	10.4%	7.1%
Sep 23	41.3%	20.4%	19.8%	10.5%	8.1%





# HELPDESK CALLS PERFORMANCE

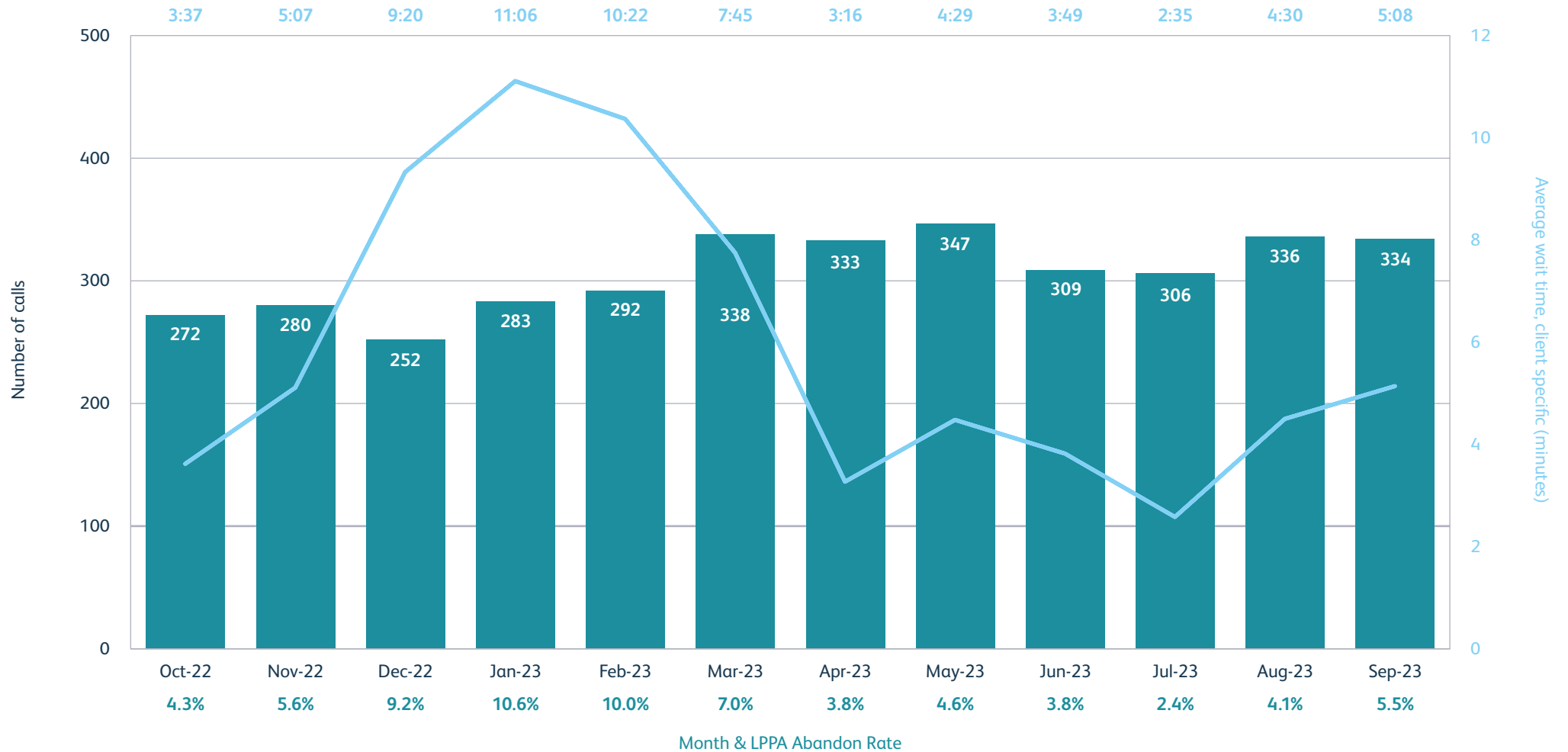


## CALLS ANSWERED

CLIENT SPECIFIC

— Average wait time (mm:ss)

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# Customer Satisfaction Scores

## In this section...

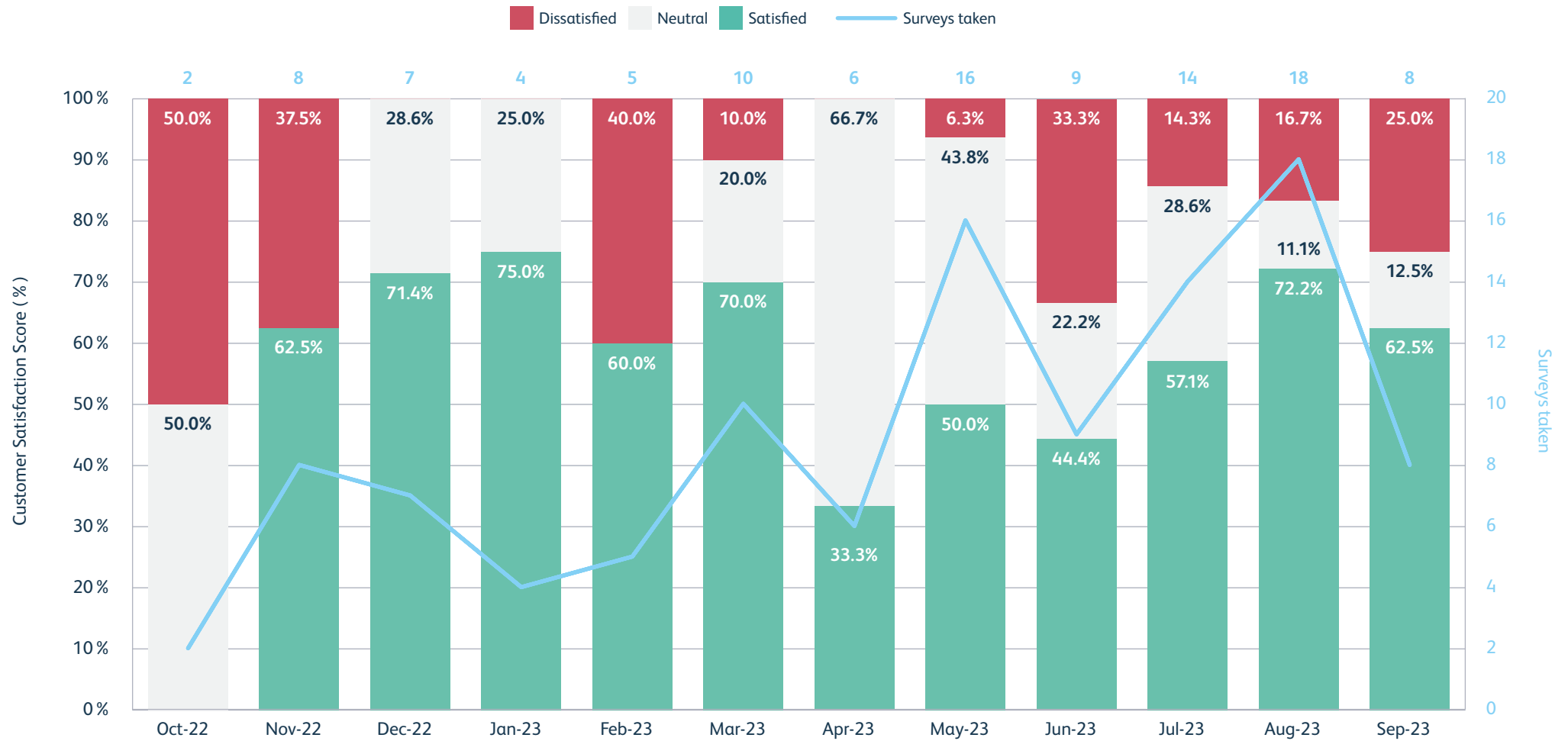
- Helpdesk calls satisfaction
- Retirements

# CUSTOMER SATISFACTION SCORES



## HELPDESK CALLS SATISFACTION

CLIENT SPECIFIC



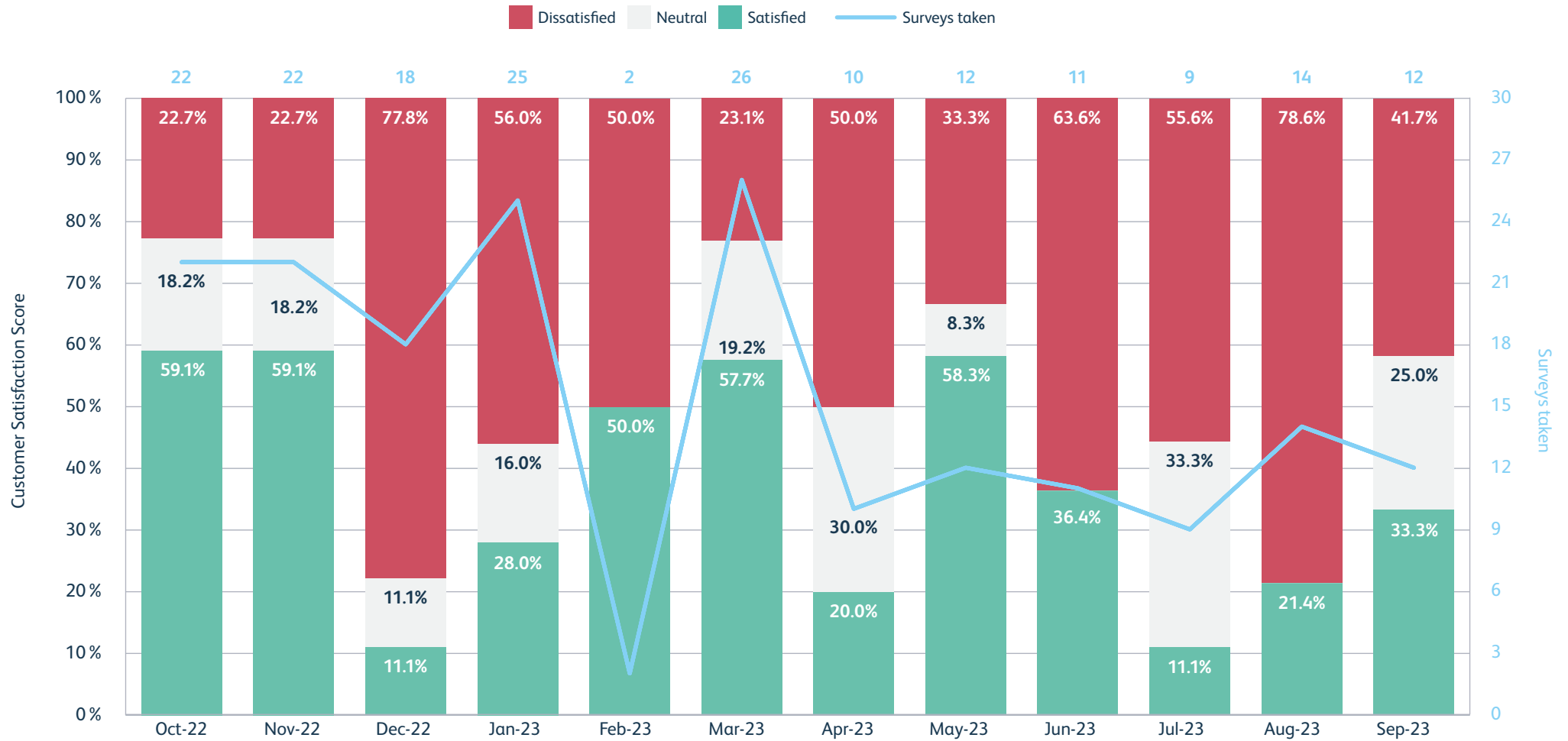
# CUSTOMER SATISFACTION SCORES

**Please note:**

Surveys were paused in February and reinstated in March, following a review of the process. Some surveys were being issued before payment had been made to the member – the timing of the survey has now been updated to correct this.

RETIREMENTS CLIENT SPECIFIC

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# Member Online Portal

## In this section...

- Total members registered
- Members registered (%)

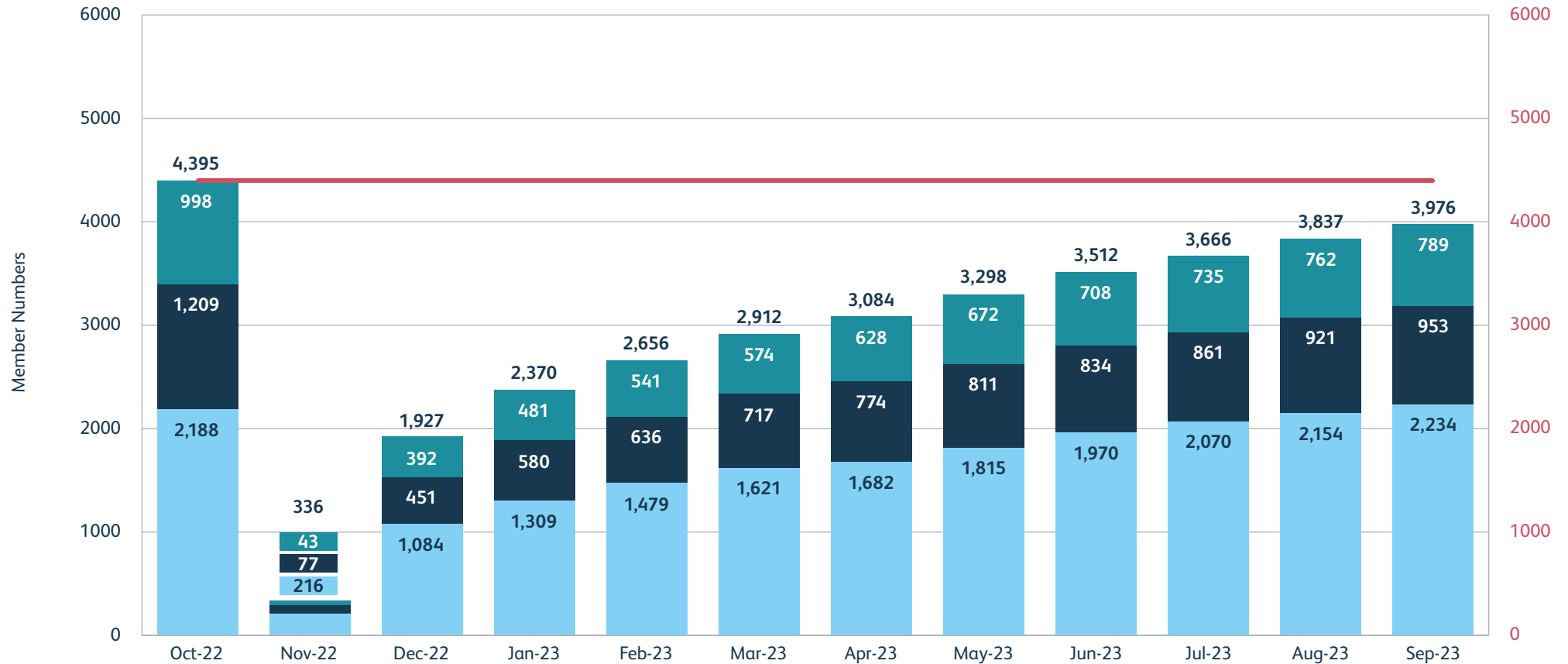


TOTAL MEMBERS REGISTERED

CLIENT SPECIFIC

Active Deferred Pensioner

4,395 (previous My Pension Online registrations as of October 2022)

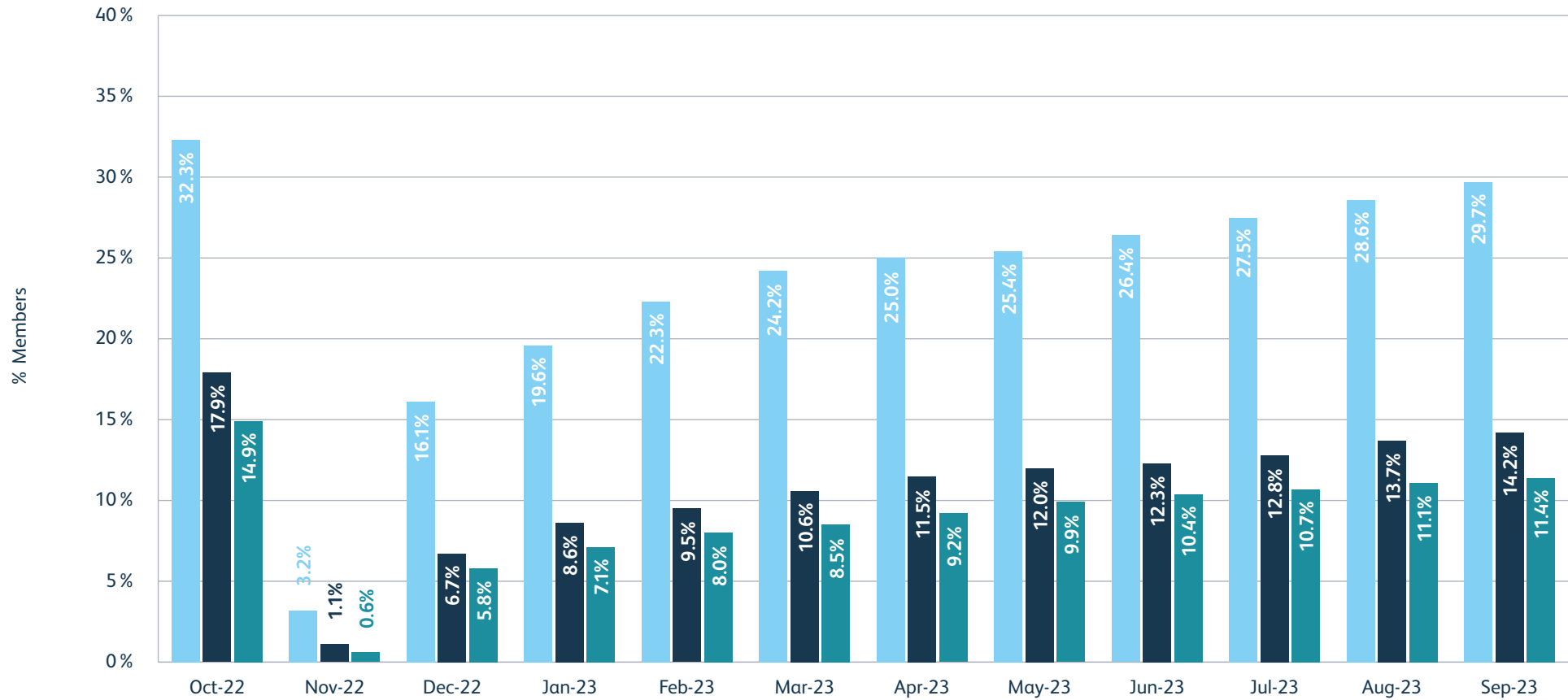




MEMBERS REGISTERED (%)

CLIENT SPECIFIC

Active Deferred Pensioner



# Employer Engagement & Member Communication Activity

## In this section...

- Delivered
- Scheduled
- Engagement communications (Employers & Members)



# EMPLOYER ENGAGEMENT & COMMUNICATION ACTIVITY



## DELIVERED

ALL LPPA

- [Pension Pulse](#) bulletin (employer newsletter) was issued to all employers.
- A separate email communicating [GAD factor changes](#) was also issued to all employers.
- An annual LPPA [Member newsletter](#) was produced for active/deferred members. Articles included pension increases, cost of living tips and member real-life stories.
- Member emails communicating [newsletter and ABS](#) were issued in July and August.
- [Automated email notifications](#) went live, alerting employers when they have unresolved data queries in their UPM portal work feed.
- Employers were also updated on [LGA training resources](#).
- Following feedback from members, a new “Service History” page went live in PensionPoint for active LG members. This now provides information on employment service, transfers and CARE history.
- The LPPA website was updated to provide more information for LG members on the [impact of remedy](#) (including links to the LGPS McCloud remedy page).
- Several emails were issued in September to employers, to provide updates on improvements to UPM employer portal functionality (generating [member estimates](#) – this now includes Tier 1 and 2 ill health), new [training sessions](#) and an update on [ABS activity](#).



## SCHEDULED

ALL LPPA

- Remedy / McCloud information will continue to be added to the LPPA website for members, including additional updates from the LGA (Local Government Association).
- Further enhancements to the UPM employer portal planned.
- Additional PensionPoint development planned.
- Online LPPA Employer Forum planned for 23 November 23.

# EMPLOYER ENGAGEMENT & COMMUNICATION ACTIVITY



## ENGAGEMENT COMMUNICATIONS

CLIENT SPECIFIC

- 2 Virtual employer visits were held
- Absence and Ill Health training was delivered with 1 employer attending
- 1 employer attended LGPS Scheme Essentials Training
- UPM employer portal training was delivered with 1 employer attending
- Employer Responsibilities training was delivered with 2 employers attending
- Submitting monthly returns training was delivered and 1 employer attended
- Monthly member sessions were delivered, with 20 Havering Fund members attending the Making Sense of your Pension sessions and 11 attended the Making Sense of your Retirement session

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# EMPLOYER ENGAGEMENT & COMMUNICATION ACTIVITY

## EMPLOYERS

CLIENT SPECIFIC

Date	Employer	Activity	Number in attendance
11 Jul	SFAET	LGPS Scheme Essentials	1
20 Jul	Dame Tipping Academy	Virtual Employer Visit	1
27 Jul	SFAET	Employer Responsibilities	1
08 Aug	Life Education Trust	Submitting Monthly Returns	1
05 Sep	SFAET	Absence and Ill health	1
12 Sep	Coopers & Coburn School	UPM Employer Portal	1
21 Sep	SWECET	Virtual Employer Visit	3
21 Sep	Lime Trust	Employer Responsibilities	1

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## MEMBERS

CLIENT SPECIFIC

Date	Employer	Activity	Number in attendance
18 Jul	All Havering Employers	Making sense of your pension	10
20 Jul	All Havering Employers	Making sense of retirement	5
15 Aug	All Havering Employers	Making sense of your pension	8
17 Aug	All Havering Employers	Making sense of retirement	5
19 Sep	All Havering Employers	Making sense of retirement	1
21 Sep	All Havering Employers	Making sense of your pension	2



# Data Quality

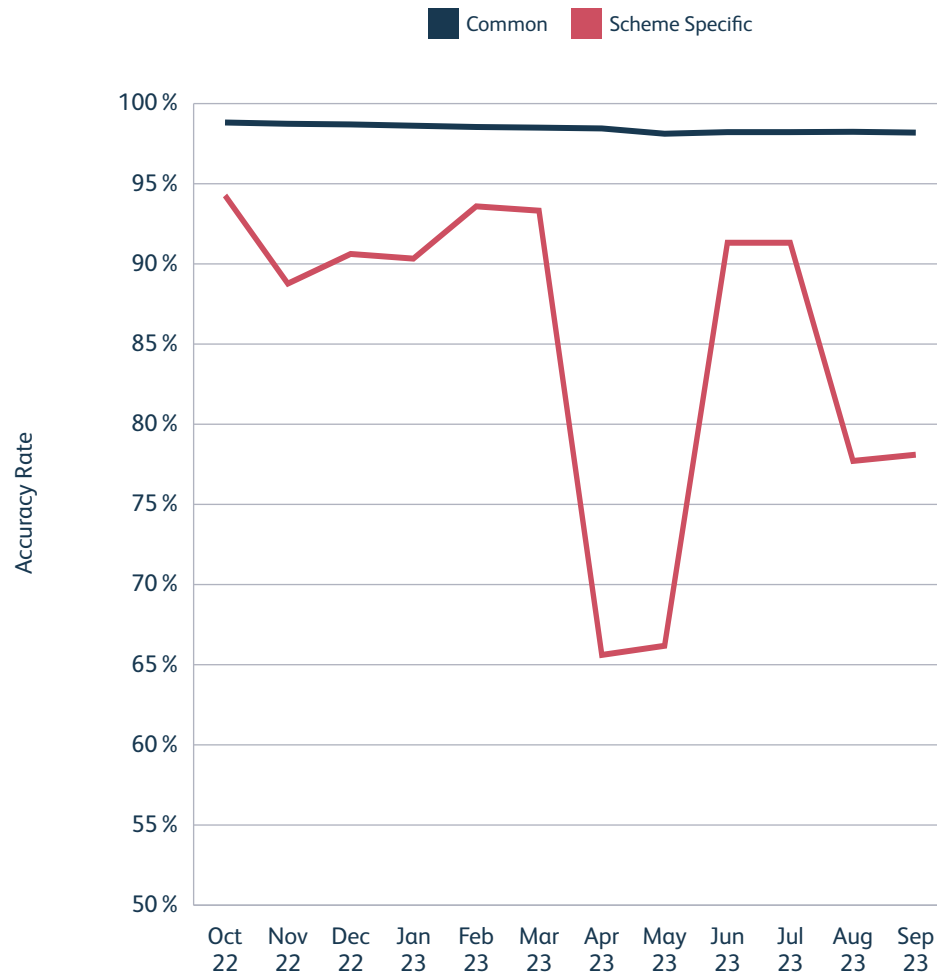
## In this section...

- TPR data scores
- Common data
- Scheme specific data

# DATA QUALITY

## TPR DATA SCORES

CLIENT SPECIFIC



**Please note:**

Fall in April's Conditional Data score is seasonal, and specifically related to Annual Allowance calculations (which follow employer submission of data returns and ABS processing).

	Common (Target 95%)	Scheme Specific (Target 90%)
Oct 22	98.82%	94.27%
Nov 22	98.74%	88.77%
Dec 22	98.70%	90.62%
Jan 23	98.62%	90.33%
Feb 23	98.54%	93.59%
Mar 23	98.50%	93.32%
Apr 23	98.45%	65.61%
May 23	98.12%	66.18%
Jun 23	98.22%	91.32%
Jul 23	98.22%	91.32%
Aug 23	98.24%	77.71%
Sep 23	98.19%	78.10%

# END OF QUARTER DATA QUALITY

(TPR SCORES)



## COMMON DATA

CLIENT SPECIFIC

Data Item	Active	Deferred	Pensioner / Dependant
Invalid or Temporary NI Number	1	5	15
Duplicate effective date in status history	0	18	16
Gender is not Male or Female	18	0	0
Duplicate entries in status history	5	21	26
Missing (or known false) Date of Birth	0	0	0
Date Joined Scheme greater than first status entry	5	1	0
Missing Surname	0	0	0
Incorrect Gender for members title	0	0	0
Invalid Date of Birth	3	0	0
No entry in the status history	4	0	0
Last entry in status history does not match current status	31	11	2
Member has no address	26	146	26
Missing Forename(s)	0	0	0
Missing State Retirement Date	18	0	0
Missing postcode	26	167	54
Missing Date Joined Pensionable Service	3	0	0
<b>Total Fails</b>	<b>140</b>	<b>369</b>	<b>139</b>
<b>Individual Fails</b>	<b>88</b>	<b>201</b>	<b>94</b>
<b>Total Members</b>	<b>7,518</b>	<b>6,720</b>	<b>6,912</b>
<b>Accuracy Rate</b>	<b>98.8%</b>	<b>97.0%</b>	<b>98.6%</b>
<b>Total accuracy rate</b>			<b>98.2%</b>

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## SCHEME SPECIFIC DATA

CLIENT SPECIFIC

Data Item	Fails
Divorce Records	0
Transfer In	24
AVC's/Additional Contributions	13
Deferred Benefits	4
Tranches (DB)	22
Gross Pension (Pensioners)	2
Tranches (Pensioners)	121
Gross Pension (Dependants)	10
Tranches (Dependants)	21
Date of Leaving	34
Date Joined Scheme	41
Employer Details	3
Salary	323
Crystallisation	80
CARE Data	988
CARE Revaluation	4
Annual Allowance	3,095
LTA Factors	160
Date Contracted Out	5
Pre-88 GMP	153
Post-88 GMP	323
<b>Total Fails</b>	<b>5,426</b>
<b>Individual Fails</b>	<b>4,632</b>
<b>Total Members</b>	<b>21,150</b>
<b>Accuracy Rate</b>	<b>78.1%</b>

### Please note:

The increase in Q2 Annual Allowance and CARE errors is linked to the year-end data return process and outstanding leavers, which is subject to ongoing work between employers and LPPA. The scores are expected to improve over the coming months as queries are resolved and leavers are processed

# LPP

Local Pensions Partnership  
Administration

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## Local Pensions Board

**Subject Heading:**

Local Pensions Partnership Annual  
Internal Control Assurance Report  
2022/23

**Report Author and contact details:**

Caroline Guyon  
Pensions Projects and Contracts Manager  
caroline.guyon@havering.gov.uk  
01708 4323185

**SUMMARY**

This report provides a summary of the Local Pensions Partnership's Annual Internal Control Report for 2022/23.

**RECOMMENDATION**

That Board members note the report.

**REPORT DETAIL**

From 1 November 2017, the London Borough of Havering delegated the pension administration service to Lancashire County Council who have engaged the Local Pensions Partnership Administration (LPPA) to undertake their pension portfolio. The Local Pensions Partnership was formed in 2016 through a collaboration between Lancashire County Council and the London Pensions Fund Authority and provides pension services to the Local Government Pension Scheme, Police and Firefighter Schemes.

The LPPA Annual Internal Control Assurance Report outlines the control objectives in place during the reporting year 2022/23.

LPPA have a risk management framework in place, responsible for ensuring business level risks are effectively managed and mandated policies and controls are in place and operating effectively.

The Quality Assurance and Compliance Monitoring team has implemented a programme of regular reviews to ensure policies, processes and procedures are effective and results are reported to the Executive Leadership Team and the Audit, Risk and Compliance Committee.

The LPPA Internal Audit sets out to provide assurance that the pension administration services being provided to their clients is compliant with robust systems and controls in place.

LPPA have established a number of control objectives within the key areas of pensions administration and information technology. The report details the controls tested during 2022/23 and provides an overview of the internal audit activity.

During 2022/23, 4 internal audits were carried out with a remit to ensure controls are in place to mitigate risks to LPPA and the client and drive a good customer experience.

These audits identified a number of areas for change including the introduction of a new management structure, an enhanced staff training programme and a requirement for

## **Local Pensions Board DATE**

improved management information reporting. Some immediate action has been taken and a strategic business plan for 2023-2026 has been implemented to address the findings.

The quality assurance and compliance monitoring team undertook a review of 3 administration processes to compare the processes in place between the previous administration system (Altair) and the new system (UPM) and ensure those in UPM are at least as robust as seen in Altair.

The team looked at processes across retirements, bereavements and transfers and identified process improvements in each area.

The full report is available as Appendix 1 to this report

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# Annual Internal Control Assurance Report 2022/23

for the year ending 31st March 2023

September 2023

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## EXECUTIVE SUMMARY

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**LPPA, part of the LPP Group, provides pension administration services to over 660,000 members across over 1,300 active employers for its 18 LGPS and blue light clients.**

LPPA’s aim is to make pensions simple at a time when our members need us the most. Our vision, is to be the provider of choice for public sector pensions administration.

To help LPPA achieve its vision, we are investing in our people by providing training and opportunities for professional qualifications. LPPA’s values set the foundation for the services we provide and the member experience we strive to deliver.

This report outlines the specific control objectives to support the evolution of LPPA as we move forward into the future.

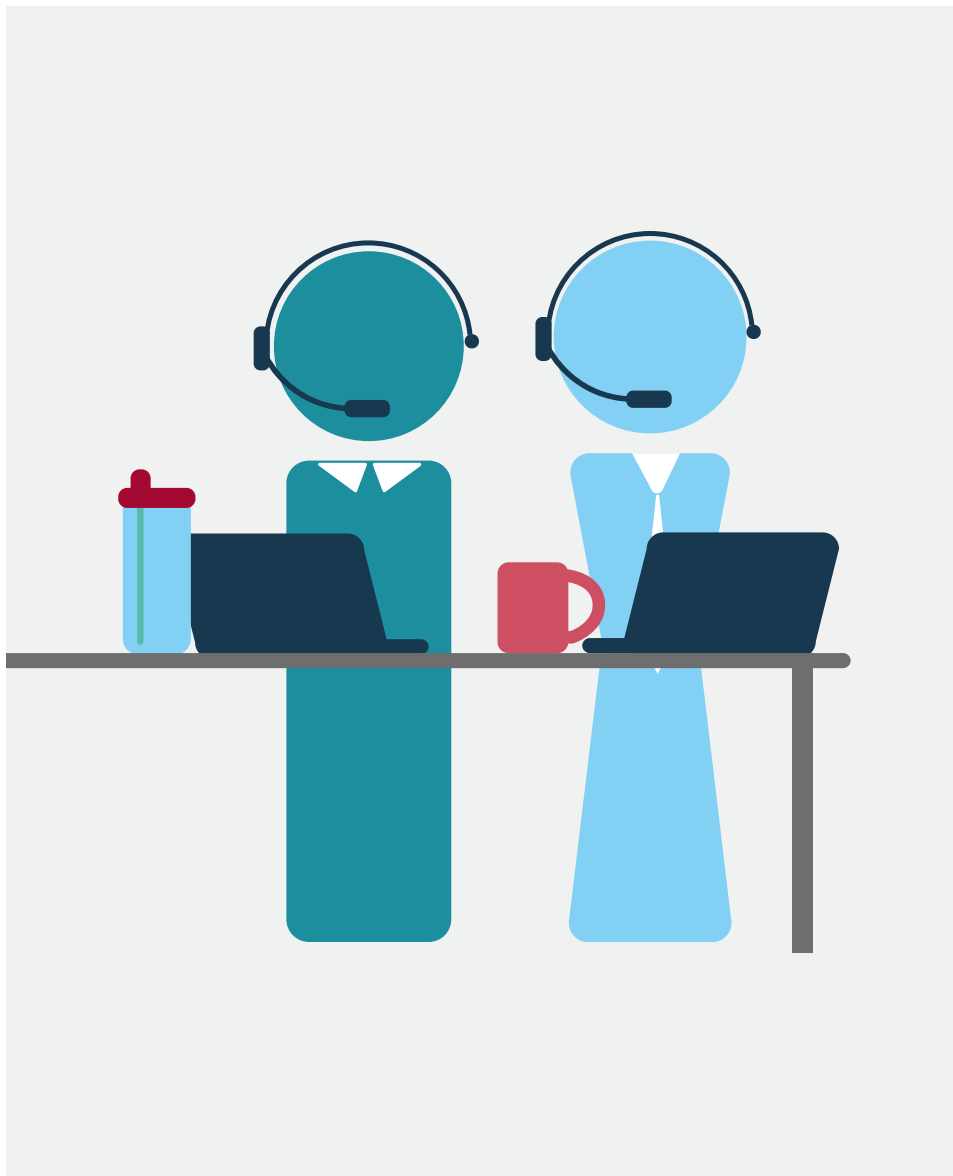
During 2022/23 LPPA has delivered its flagship programme, Project PACE, to deliver one single core pensions administration system for LPPA by the end of 2022. Civica’s Universal Pensions Management system (UPM) replaces the multitude of disparate non-integrated systems previously in place. Key deliverables include:

- Strengthen the LPPA control framework to support the path to AAF 01/20 by April 2024 with automated bank validation and laying the foundations for digital identity verification.
- To deliver a scalable, stable solution built on industry standard platforms that will meet Cyber Essentials, Cyber Essentials Plus, ISO-27001 and UK GDPR/DPA 2018 requirements.
- To provide improved member and employer experience by introducing greater self-service functionality.

At the end of this reporting period, 31st March 2023, LPPA has successfully migrated all 17 of its existing clients, and in addition, has onboarded a new LG client onto UPM.







During the year 2022/23 we have maintained the strong, effective and collaborative working relationships we have with our clients, and we sincerely thank them all for their support during a very challenging period of change. Our focus is now on returning to business as usual and driving continuous improvement in member experience and the services we provide.

**1**  
OFFICE

**18**  
CLIENTS

**OVER 1,300**  
ACTIVE  
EMPLOYERS

**OVER 660,000**  
MEMBERS

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## REPORT BY THE HEAD OF RISK & COMPLIANCE

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**This Report relates to the pension administration services provided by Local Pensions Partnership Administration Limited (LPPA).**



**Janet Morville-Smith**  
**Head of Risk & Compliance LPPA**

The reporting year, 2022/23, has seen a lot of change in LPPA. All of the live pension scheme data relating to the 18 pension schemes administered by LPPA has been successfully migrated across from various legacy systems into the Universal Pensions Management system (UPM). Historic data is still in the process of being fully migrated. This migration has been managed in a phased approach, with the last of our 18 clients migrating across in December 2022. This has been a significant transformation project that LPPA have carried out, with aggressive timescales, completing this work in just 12 months. However, with the hard work and support of everyone at LPPA, from the LPPA Board down, the migration was successfully completed with the security and integrity of all the data maintained.

The scale and complexity of the migration has created challenges with the loss of some experience and short term business disruption. LPPA acknowledge this and we are working hard to address the challenges as we return to business as usual. LPPA has enhanced its training programmes to achieve this, whilst at the same time driving continuous improvement in member experience and the services we provide for our clients.

The reporting period has been challenging, not only because of the amount of change, but from a risk & compliance perspective too. I have had to balance the risks to the business with the impact the change program has had on the business, whilst being pragmatic about the delivery of the risk management framework so as not to adversely affect the provision of the services to our clients and their members. At the same time, ensuring that those services are being provided in a compliant manner.

My technical and compliance teams have been working tirelessly on the myriad of regulatory consultations that have been published by the Home Office, Department of Levelling Up, Housing and Communities, HMRC and others, mostly in regard to the McCloud remedy implementation for Local Government, Police and Firefighters pension schemes. We responded to no fewer than 6 separate consultations.

From this reporting period, LPPA brought Internal Audit in-house. I have recruited a fully qualified, CMIIA Internal Auditor. The key benefit of LPPA providing its own Internal Audit is that the auditor has a full knowledge and understanding of LGPS and Public Sector Pensions, as well as quickly developing their knowledge of LPPA processes and practices. The auditor has the benefit of insight of LPPA's goals and future plans and is able to measure against these as well as LPPA's values when conducting an audit, ensuring the Executive Leadership Team have the relevant information when making key decisions.



To date, this report has provided assurances to our Clients that the services provided by LPPA are in compliance with the Pension Regulator's Code of Practice 14 and local government and public sector pensions legislation. This assurance has come from me as the Head of Risk & Compliance for LPPA and does so again for this reporting period.

During 2022/23 a lot of work has been ongoing with an external party to set the foundations for LPPA to be able to provide its clients with an independent assurance opinion in the form of an AAF 01/20 Report. AAF 01/20 is the 'de facto' market standard. A number of award-winning pensions administrators use the AAF control framework including Mercer/JLT, Barnett Waddingham, Trafalgar House, and XPS. LPPA is keen to establish robust and effective independent assurance reporting. AAF 01/20 will deliver the following:

- It is the "de facto" standard for pensions administration assurance reporting and adopted by many pensions administrators of similar or larger size and scale
- AAF will provide a list of pre-determined controls and is recognised across the industry
- It will give clients and their various oversight bodies (Committees and Boards) the independent assurance they require
- Ensures LPPA meets shared service contractual obligations
- Reduces the number of Client audits currently carried out on LPPA

During 2023/24 LPPA will be working closely with our third party provider with the aim of providing the first AAF 01/20 Report in 2024.

This report will not omit or distort information relevant to the scope of the services being described in the Control Objectives, whilst acknowledging that it has been prepared to meet the common needs of a broad range of clients and may not therefore include every aspect of the services that each individual client may consider important in its own particular environment.



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# LPPA STRUCTURE

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## Organisational Structure

LPPA is a subsidiary of Local Pensions Partnership Limited. LPPA's head office is in Preston, Lancashire.

## LPPA

LPPA provides pension administration services for Local Government Pension Schemes, Fire Fighter Pension Schemes and a Police Pension Scheme. We look after the needs of over 660,000 pension scheme members, across 18 pension schemes.

As a leading third party pensions administrator, we are responsible for the pension administration services, including calculation and payment of pension benefits, data quality and member and employer engagement.

## Internal Controls

The system of internal controls is based upon an ongoing process designed to identify the risks to the achievement of policies, aims and objectives; to evaluate the nature and extent of those risks; and to manage them efficiently, effectively and economically.

A key element of this structure includes formally agreed, clear definitions of the responsibilities and authority delegated to individual managers across all major activities, supported by LPPA's Executive Leadership Team, LPPA's Audit, Risk & Compliance Committee and the LPPA Board.

The LPPA Risk Management Framework includes the Risk Register, which maps and monitors the risks that threaten achievement of the Control Objectives and regularly reviews and tests the Controls to ensure they remain effective in managing those risks.

## Governance Structure

The LPPA Board has an independent Chair and includes 2 Non-Executive Directors and representatives of LPP's shareholders.

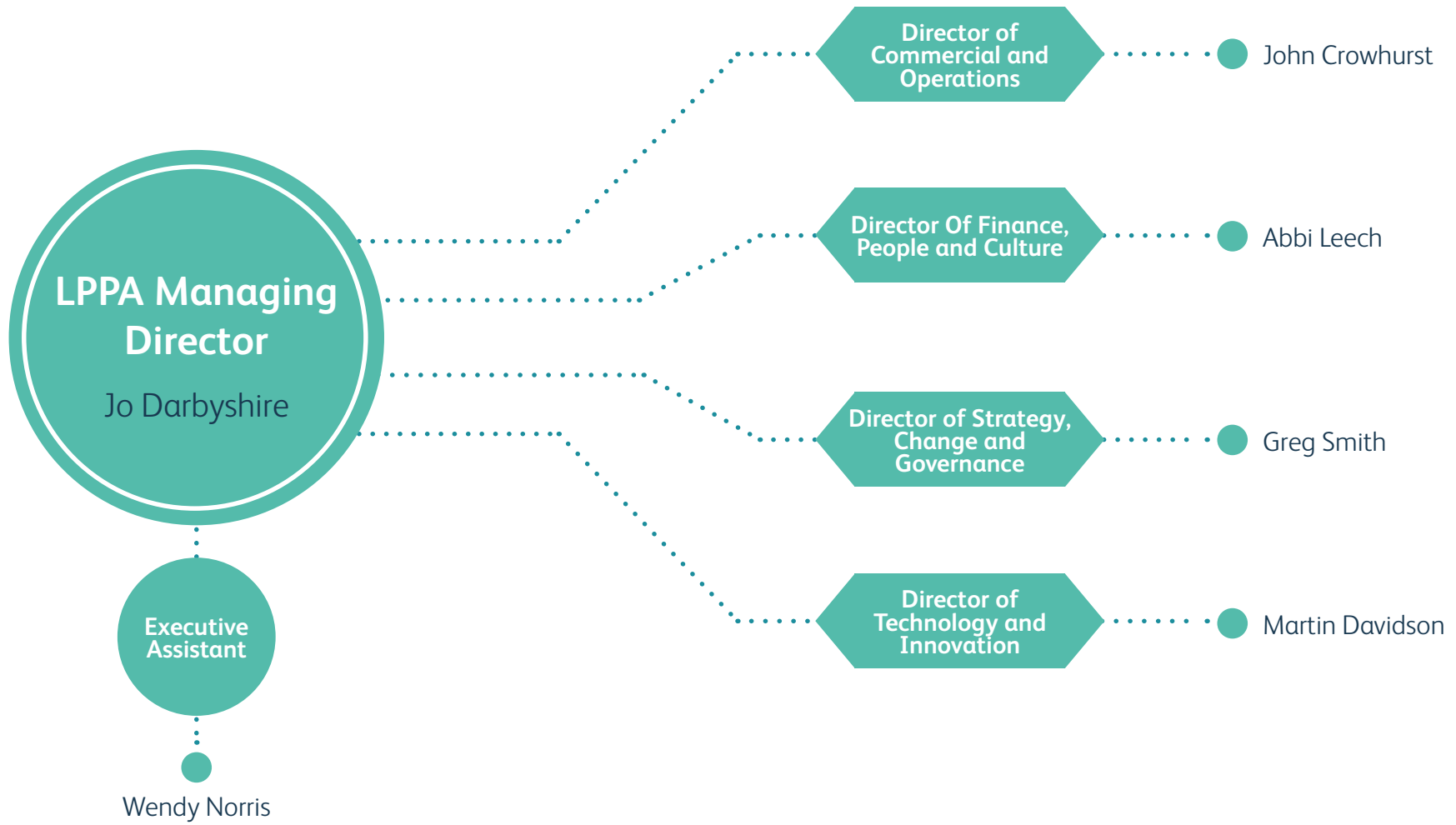
The LPPA Executive Leadership Team is led by Jo Darbyshire, LPPA Managing Director, and includes Senior Executives with the appropriate skills, knowledge and expertise to achieve the strategic objectives of LPPA.

**Jo Darbyshire**  
LPPA Managing Director



## LPPA EXECUTIVE LEADERSHIP

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## CONTROL ENVIRONMENT

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**The executive leadership team of LPPA are committed to deploying a strong control environment for pension administration services through the following measures.**



## Risk Management Framework

LPPA operates within a risk management framework. This framework uses a “three lines of defence” model with the administration business supported by a dedicated risk function who provide oversight and co-ordinated reporting to the Executive Leadership Team, the Audit, Risk & Compliance Committee and the LPPA Board. The Risk Management Framework is responsible for ensuring that business level risks are managed effectively and that mandated policies and controls are in place and operating effectively. This covers the following areas relating to administration:

- ✓ Risk management and reporting
- ✓ Internal and external audits
- ✓ Internal control framework
- ✓ Fraud prevention
- ✓ Business continuity
- ✓ Complaints and errors
- ✓ Data Protection, Information Security and Cyber Security

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LPPA maintains a comprehensive Risk Register which covers:

- ✓ Strategic risks
- ✓ Financial risks
- ✓ Business Delivery risks
- ✓ Legal/Regulatory risks
- ✓ Technology risks

These risks are reviewed on a regular basis by Risk & Compliance with the relevant business areas. We work with clients to identify and understand the key risks which apply to their schemes and how they interact with our own Risk Register so that we can identify and implement measures to effectively mitigate these risks.

## Quality Assurance & Compliance Monitoring

We recognise our responsibilities to ensure that the activities of LPPA and our people are carried out properly and with the utmost propriety, and that our managers conduct their activity properly and in accordance with statutory and regulatory requirements.

To ensure administration activities are carried out competently, LPPA has a dedicated Risk & Compliance function. Integral to this function is maintaining an awareness of the external environment to ensure regulatory and legislative changes which impact us are adequately dealt with in our operations. In support of this objective, we issue a number of corporate procedural and policy documents to our staff, including: Code of Conduct; Confidentiality; Gifts and Hospitality Policy; Financial Crime Policy; Data Protection Policy; Vulnerable Member Policy.

The Quality Assurance & Compliance Monitoring team has implemented a programme of regular quality assurance and compliance monitoring reviews to ensure that our policies, processes and procedures are operating effectively, and they report the results of these to the Executive Leadership Team and the Audit, Risk & Compliance Committee.

## Internal Audit

The purpose of LPPA Internal Audit is to provide independent, objective assurance to the LPPA Audit, Risk & Compliance Committee, the LPPA Board and the LPPA Executive Leadership Team that the pension administration services being provided to its clients is compliant and the oversight of those services has robust systems and controls in place.

LPPA Internal Audit's mission is to add value to LPPA by seeking to continuously improve governance, risk management and operational processes and drive LPPA values and behaviours throughout the business to enhance client and their member experience.

LPPA Internal Audit will also offer assurance to clients on the integrity of LPPA administrative services in order to reduce the requirement for external client audit activity.

## Compliance & Technical

Our compliance and technical teams work together to assess the impact of legislative and/or regulatory change which may impact our clients and administration processes. Changes are communicated to staff via technical updates and face-to-face discussions and/or training sessions. LPPA's intranet site is accessible to all administrators and provides a central reference point for technical materials, policies, procedural guidance, standard letter templates and checklists.

Where Government and/or industry bodies publish consultations on proposed legislative change, the compliance and technical teams will carry out an impact assessment and draft responses to the consultation. Where appropriate, the draft responses are shared with our clients and a round-table session is facilitated to discuss the subject matter and share thoughts so that the final response submitted by LPPA is representative of all the relevant stakeholders.



## Information Security

LPPA understands the importance of keeping member data secure. To ensure that the data under our control is kept secure, LPPA has implemented a number of controls and technologies. Whilst technology is important in cyber security, the investment in training of staff is also a key factor in our defence against malicious acts.

LPPA is ISO 27001 accredited and has Cyber Essential Plus accreditation. This accreditation shows that it has processes and procedures in place that keep information and systems secure, which is independently verified.

All of LPPA's systems are protected at the network perimeter by firewalls, using Palo Alto firewalls. The firewalls are automatically updated to protect against emerging threats. Firewalls have a "default deny" policy, with changes to rules completed after a change control process is followed, with a business need and security review carried out. External penetration tests are carried out annually by CREST accredited organisations to verify the perimeter protection and identify any new issues.

Servers and end-user devices are patched monthly, with critical patches installed within 14 days of release. All devices are covered by antivirus, which is centrally managed and updates are automatically downloaded to devices.

To protect against the loss of data, system corruption or ransomware, LPPA backs up data daily to an immutable online backup repository and to tape, which are removed from site and stored securely.

Disaster recovery tests are carried out annually to test the restoration process and to confirm the validity of backups.

LPPA's systems are monitored 24 x 7 x 365 by a Security Operations Centre service, which checks for suspicious activity and Indications of Compromise, reporting any suspicious activity to LPPA IT and taking preventative action if deemed a critical incident.

Access rights for users must be authorised by line managers and specialised technical privileges must be authorised by IT. Access to client databases is further segregated via security groups. Quarterly access reviews of user and privileged access are carried out with the relevant manager / system owner required to review and confirm they are correct.



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# CONTROL OBJECTIVES

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## PENSION ADMINISTRATION

### 1. Accepting clients

- Accounts are set up and administered in accordance with client agreements and applicable regulations.
- Complete and authorised client agreements are operative prior to initiating administration activity.
- Pension schemes taken on are properly established in the system in accordance with the scheme rules and individual elections.

### 2. Authorising and processing transactions

- Benefits payable and transfer values are calculated in accordance with scheme rules and relevant legislation and are paid on a timely basis.

### 3. Maintaining financial and other records

- Member records consist of up-to-date and accurate information and are updated and reconciled regularly.
- Contributions and benefit payments are completely and accurately recorded in the proper period.
- Scheme documents (deeds, policies, contracts, booklets) are complete, up to date and securely held.

### 4. Safeguarding Assets

- Member and scheme data is appropriately stored to ensure security and protection from unauthorised use.
- Funds are safeguarded and payments are suitably authorised and controlled.

### 5. Monitoring compliance

- Services provided to pension schemes are in line with service level agreements.
- Transaction errors are rectified promptly and Members treated fairly.

### 6. Reporting to clients

- Periodic reports to participants and scheme sponsors are accurate and complete and provided within required timescales.
- Annual reports and accounts are prepared in accordance with applicable law and regulations.
- Regulatory reports are made if necessary.

### 7. Restricting access to systems and data

- Physical access to computer networks, equipment, storage media and program documentation is restricted to authorised individuals.
- Logical access to computer systems, programs, master data, transaction data and parameters, including access by administrators to applications, databases, systems and networks, is restricted to authorised individuals via information security tools and techniques.
- Segregation of duties is defined, implemented and enforced by logical security controls in accordance with job roles.

## INFORMATION TECHNOLOGY

### 8. Providing integrity and resilience to the information processing environment, commensurate with the value of the information held, information processing performed and external threats

- IT processing is authorised and scheduled appropriately and exceptions are identified and resolved in a timely manner.
- Data transmissions between the service organisation and its counterparties are complete, accurate, timely and secure.
- Appropriate measures are implemented to counter the threat from malicious electronic attack (for example firewalls and anti-virus software).
- The physical IT equipment is maintained in a controlled environment.

### 9. Maintaining and developing systems hardware and software

- Development and implementation of new systems, applications and software, and changes to existing systems, applications and software, are authorised, tested, approved and implemented.
- Data migration or modification is authorised, tested and, once performed, reconciled back to the source data.

### 10. Recovering from processing interruptions

- Data and systems are backed up regularly, retained offsite and regularly tested for recoverability.
- IT hardware and software issues are monitored and resolved in a timely manner.
- Business and information systems recovery plans are documented, approved, tested and maintained.

### 11. Monitoring compliance

- Outsourced activities are properly managed and monitored.

## DATA PROTECTION / GDPR

### 12. Data Security

- Processing, storing and transmission of personal data is defined, implemented and enforced by security controls in accordance with job roles.



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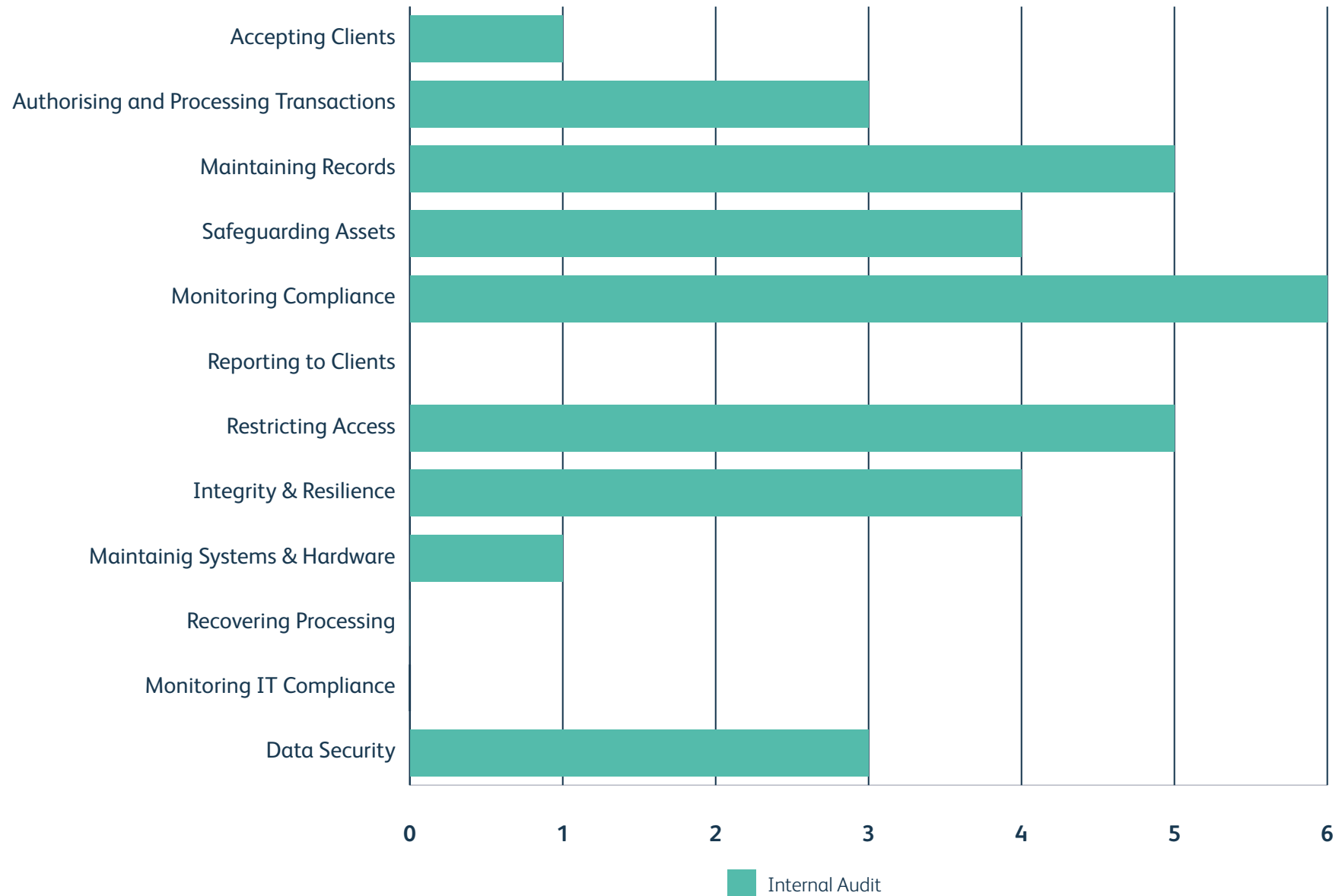
## CONTROL TESTING

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**The number of control objectives that have been tested during 2022/23 via the following methods are:**

# CONTROL TESTING

Page 64  
No. of controls tested





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## OVERVIEW OF INTERNAL AUDIT ACTIVITY 2022/23

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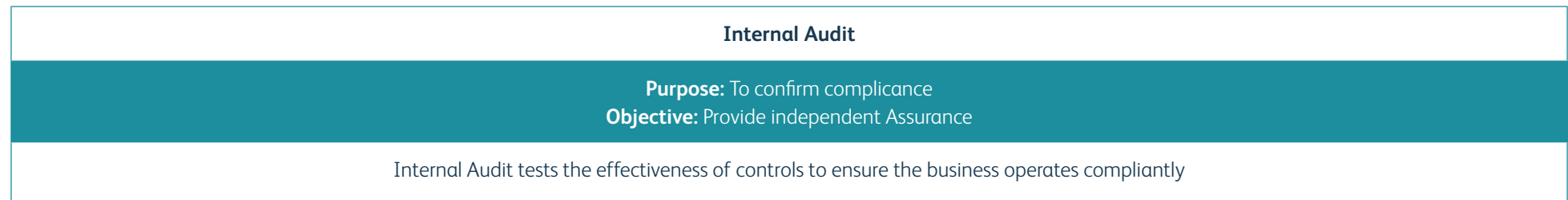
**The internal audit activity to assess the control objectives for the financial year ended 31 March 2023 was set out in the Internal Audit Plan 2022/23**

# OVERVIEW OF INTERNAL AUDIT ACTIVITY 2022/23

For the FY2022/23, 4 Internal Audits have been carried out in line with LPPA's Internal Audit Plan.

The audit remits were to ensure the appropriate controls are in place to mitigate risks to both LPPA and to the Client, as well as ensuring the LPPA values are being met which together drive a good customer experience.

## The definition of Internal Audit is:



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1

**Control Objective 1**  
Accepting Clients

2

**Control Objective 2**  
Authorising and  
Processing Transactions

3

**Control Objective 3**  
Maintaining Financial  
and Other Records

4

**Control Objective 4**  
Safeguarding Assets

5

**Control Objective 5**  
Monitoring Compliance

6

**Control Objective 6**  
Reporting to Clients

7

**Control Objective 7**  
Restricting Access to  
Systems and Data

8

**Control Objective 8**  
Providing integrity and resilience to the  
information processing environment,  
commensurate with the value of the  
information held, information processing  
performed and external threats

9

**Control Objective 9**  
Maintaining and  
developing systems  
hardware and software

12

**Control Objective 12**  
Data Security

## CONTROL OBJECTIVES

3 4 5 7

**Review**

Operational Quality

**Controls**

Scheme documents (deeds, policies, contracts, booklets) are complete, up to date and securely held.

Member and scheme data is appropriately stored to ensure security and protection from unauthorised use.

Services provided to pension schemes are in line with service level agreements.

Transaction errors are rectified promptly and Members treated fairly.

Segregation of duties is defined, implemented and enforced by logical security controls in accordance with job roles.

**Controls**

A consultative piece of work commissioned by LPPA’s Executive Leadership Team. The intention being to flush out areas of concern and to identify the need for change or improvements. Immediate action has already been taken, including a new management structure, enhanced staff training and a strategic business plan 2023-26 seeking to address findings.

## CONTROL OBJECTIVES

5 6 9

**Review**

Contractual SLA’s

**Controls**

Services provided to pension schemes are in line with service level agreements.

Periodic reports to participants and scheme sponsors are accurate and complete and provided within required timescales.

Development and implementation of new systems, applications and software, and changes to existing systems, applications and software, are authorised, tested, approved and implemented.

**Controls**

A consultative piece of work to provide assurance to LPPA’s ELT that UPM had been correctly configured to measure SLA’s and the reporting was accurate.

Internal audit identified areas where the internal management information could be enhanced.

[n.b. following this initial piece of work, further work is ongoing around the SLAs]

## CONTROL OBJECTIVES

1 3 7 8

### Review

Procurement & Vendor Management

### Controls

Accounts are set up and administered in accordance with client agreements and applicable regulations.

Scheme documents (deeds, policies, contracts, booklets) are complete, up to date and securely held.

Physical access to computer networks, equipment, storage media and program documentation is restricted to authorised individuals.

IT processing is authorised and scheduled appropriately and exceptions are identified and resolved in a timely manner.

### Controls

Procurement previously sat at LPP Group level and the Group undertook the process for the UPM administration system. There was no focus at the subsidiary level and no one point of ownership which was a known weakness for LPPA ELT. This audit provided focus and a dedicated LPPA point of ownership has been provided.

## CONTROL OBJECTIVES

5

### Review

Operational Capacity Planning

### Controls

Services provided to pension schemes are in line with service level agreements.

Transaction errors are rectified promptly and Members treated fairly.

### Controls

To consider the resourcing of LPPA and the effectiveness of resource planning to meet operational requirements.

Operational capacity is expected to improve as spikes in work, a consequence of Project PACE, are envisaged to be eliminated by the end of Q2 2023/24. This should then create the capacity to undertake further developmental activity.

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## OVERVIEW OF LPPA RISK & COMPLIANCE ACTIVITY 2022/23

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**This section contains details of the quality assurance and compliance monitoring activity for the financial year ended 31 March 2023 in regard to the pension administration business**

## Reviews Conducted by LPPA’s Quality Assurance & Compliance Monitoring Team:

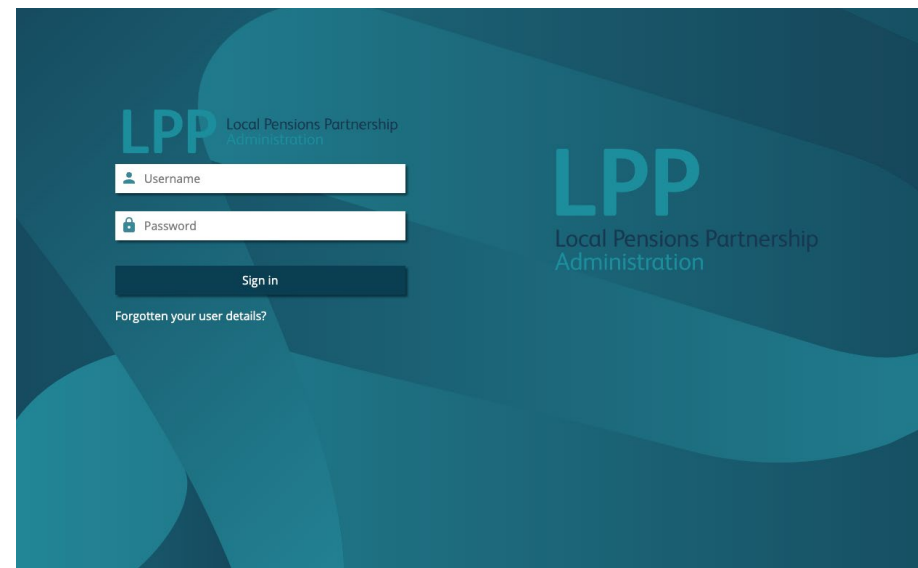
The Quality Assurance & Compliance Monitoring Plan was suspended in October 2022 for the remainder of this reporting period, in order to support the delivery of Project PACE

The remit of the Quality Assurance & Compliance Monitoring team is to ensure that LPPA administers pensions on behalf of its Clients to the highest standards and in compliance with all rules and regulations that apply to a pension administration business, which includes the pensions legislation, the Pensions Regulator’s Code of Practice 14 and Data Security to name but a few. The assessment of this tests the processes and procedures to ensure the appropriate controls are in place to mitigate risks to both LPPA and to the Client, as well as ensuring the LPPA values are being met which together drive a good customer experience.

For the FY22022/23 LPPA’s Quality Assurance & Compliance Monitoring Team have performed 3 reviews to compare processes in Altair to the same processes in UPM, to provide assurances that the controls in place within UPM are at least as robust as those previously in Altair.

The definition of Quality Assurance and Compliance Monitoring is:

Quality Assurance	Compliance Monitoring
<p><b>Purpose:</b> To drive business/process improvements  <b>Objective:</b> An internal Management Tool</p>	
<p>Quality Assurance provides an early warning of any procedural/skills/training gaps</p>	<p>Compliance Monitoring focuses on a process or business area to identify any inefficiencies or drive continuous improvement</p>



## Compliance Monitoring

### CONTROL OBJECTIVES 2 3 4 5 7 8 12

**Review**

Bereavements Process

**Controls**

Benefits payable are calculated in accordance with scheme rules and relevant legislation and are paid on a timely basis.

Member records consist of up-to-date and accurate information and are updated and reconciled regularly.

Benefit payments are completely and accurately recorded in the proper period.

Member and scheme data is appropriately stored to ensure security and protection from unauthorised use.

Funds are safeguarded and payments are suitably authorised and controlled.

Services provided to pension schemes are in line with service level agreements.

Transaction errors are rectified promptly and clients treated fairly.

Physical access to computer networks, equipment, storage media and program documentation is restricted to authorised individuals.

Segregation of incompatible duties is defined, implemented and enforced by logical security controls in accordance with job roles.

Data transmissions between the service organisation and its counterparties are complete, accurate, timely and secure.

Processing, storing and transmission of personal data is defined, implemented and enforced by security controls in accordance with job roles.

**Controls**

Process improvements were identified.

## Compliance Monitoring

### CONTROL OBJECTIVES 2 3 4 5 7 8 12

Review	Controls	Controls
<p>Retirements Process</p>	<p>Benefits payable are calculated in accordance with scheme rules and relevant legislation and are paid on a timely basis.</p> <p>Member records consist of up-to-date and accurate information and are updated and reconciled regularly.</p> <p>Benefit payments are completely and accurately recorded in the proper period.</p> <p>Member and scheme data is appropriately stored to ensure security and protection from unauthorised use.</p> <p>Funds are safeguarded and payments are suitably authorised and controlled.</p> <p>Services provided to pension schemes are in line with service level agreements.</p> <p>Transaction errors are rectified promptly and clients treated fairly.</p> <p>Physical access to computer networks, equipment, storage media and program documentation is restricted to authorised individuals.</p> <p>Segregation of incompatible duties is defined, implemented and enforced by logical security controls in accordance with job roles.</p> <p>Data transmissions between the service organisation and its counterparties are complete, accurate, timely and secure.</p> <p>Processing, storing and transmission of personal data is defined, implemented and enforced by security controls in accordance with job roles.</p>	<p>Process improvements were identified.</p>



## Compliance Monitoring

### CONTROL OBJECTIVES 2 3 4 5 7 8 12

**Review**

Transfer & Aggregation Process

**Controls**

- Benefits payable are calculated in accordance with scheme rules and relevant legislation and are paid on a timely basis.
- Member records consist of up-to-date and accurate information and are updated and reconciled regularly.
- Benefit payments are completely and accurately recorded in the proper period.
- Member and scheme data is appropriately stored to ensure security and protection from unauthorised use.
- Funds are safeguarded and payments are suitably authorised and controlled.
- Services provided to pension schemes are in line with service level agreements.
- Transaction errors are rectified promptly and clients treated fairly.
- Physical access to computer networks, equipment, storage media and program documentation is restricted to authorised individuals.
- Segregation of incompatible duties is defined, implemented and enforced by logical security controls in accordance with job roles.
- Data transmissions between the service organisation and its counterparties are complete, accurate, timely and secure.
- Processing, storing and transmission of personal data is defined, implemented and enforced by security controls in accordance with job roles.

**Controls**

Process improvements were identified.

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# ACCREDITATIONS

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# ACCREDITATIONS

LPPA will continue to maintain the following accreditations in support of its control assurance framework.

Title	Expiry
ISO 27001	LPPA accreditation achieved in December 2022
Cyber Essentials	LPPA accreditation achieved in July 2022
PASA Membership	LPPA renewed membership in September 2022
Cyber Essentials Plus	LPPA accreditation achieved in September 2022
Pension Scams Industry Forum Membership	Ongoing since 2020
The Pensions Regulator's Pledge to Combat Pension Scams	Ongoing since 2020

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In addition to the above accreditations, LPPA is proud to have participated in several industry body working groups in collaboration with DWP, LGA, NPCC.

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[lppapensions.co.uk](http://lppapensions.co.uk)

This Internal Control Assurance Report will  
be issued annually covering the previous  
financial year.