

**Appendix 1 DATA IMPROVEMENT PLAN**

<b>Data Type</b>	<b>Data Area Activity</b>	<b>Potential Impact on Fund of poor data quality</b>	<b>Mitigation</b>	<b>Data improvement activities</b>
D1	Member records	Inability to ensure accurate payment of benefits within prescribed timescales  Potential additional administration and legal costs to correct historical data	Frequent ongoing data reconciliation exercises will highlight gaps and anomalies in fund records	<ul style="list-style-type: none"> <li>• Payroll Reconciliation</li> <li>• GMP Reconciliation</li> <li>• Year End contribution exercise</li> <li>• Ongoing engagement with scheme employers</li> </ul>
D2	Allocation of CARE data to member accounts	Failure of the Fund to fulfil its statutory requirement to ensure accurate payment of benefits within prescribed timescales	Continued development of annual return data, to enable the import of employer payroll data into the Pension Administration system.	<ul style="list-style-type: none"> <li>• Developing secure employer portal to improve the import of employer data.</li> <li>• Working with employers to improve data from third party payroll providers</li> <li>• Working with software provider to enable the import of data into the system.</li> </ul>
D3	Data quality control of CARE data received in the year end contribution return	Fund system updated with CARE data that has not been subject to data quality control checks.  Impact on annual allowance calculation for members	Continued development of “sanity” checks on pay data submitted. Feedback to employers where anomalies are highlighted.	<ul style="list-style-type: none"> <li>• Data checks undertaken as part of the year end process.</li> <li>• Send data back to the employer where incomplete data is identified.</li> <li>• Apply the Administration strategy to employers where data issues are identified.</li> </ul>
D4	Use of third party data services to improve the quality of data	To ensure accurate payment of benefits.	Ongoing data reconciliation exercise. Procedurally check data when processing death of scheme members.	<ul style="list-style-type: none"> <li>• LGPS National Insurance Database</li> <li>• Tell us Once Service</li> <li>• National Fraud Initiative.</li> <li>• Mortality screening</li> </ul>
D5	Pension Regulator Validation Reports: Common and Conditional Data held within the Pension Administration Data Base.	Ensure accurate data as required by the Pensions Regulator. Required to report improvements to the Pension Regulator in the scheme annual return.	Ensure there are no gaps in the Pension records of members.	<ul style="list-style-type: none"> <li>• Run a series of pension system reports to enable the identification of anomalies within the Pensions Database.</li> </ul>

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D6	Pension Payroll Data	Incorrect payments to pensioners	Ensure that the Pension Payroll reconciles with the Pension Administration system	<ul style="list-style-type: none"> <li>• Payroll Data reconciliation project has been started to reconcile the pension payroll.</li> </ul>
D7	Active pension records	Requirement by the Pension regulator and ensures accurate information can be provided to the Fund member	Ensure there are no gaps in the Pension records of members.	<ul style="list-style-type: none"> <li>• Implementation of the Employer Portal to enable large employers of the pension fund to have secure access to their employee pension record, and to enable the employer to update records when changes happen.</li> </ul>
D8	Employers Data submissions	Incorrect data submitted to the Pension Fund	Ensure there are no gaps in the Pension records of members.	<ul style="list-style-type: none"> <li>• Develop and review data processes for employers to submit data to the fund:                             <ul style="list-style-type: none"> <li>○ New Starters</li> <li>○ Leavers</li> <li>○ Hours changes</li> <li>○ Personal data changes</li> </ul> </li> </ul>
D9	Guaranteed Minimum Pension data	Incorrect payment of pension benefits: <ul style="list-style-type: none"> <li>• Overpayments</li> <li>• Underpayments</li> <li>• Incorrect member liabilities</li> <li>• Incorrect data held by HMRC</li> </ul>	Ensure that the correct record reconciles with HMRC records and the pension payroll	<ul style="list-style-type: none"> <li>• GMP Project and resources agreed</li> <li>• External validation and support provided by software provider in undertaking of the reconciliation of the Data.</li> <li>• Audit support.</li> </ul>
D10	Annual benefit Statements	Benefit statements issued and sent to incorrect address. A number of returned benefit statements returned to the fund each year.	Ensure communication is issued to the correct address.	<ul style="list-style-type: none"> <li>• Issue communications reminding members to update the fund of any changes to personal details.</li> <li>• Communication of Pay slips</li> <li>• Communication on the website</li> <li>• Remind employers of their responsibility to update the fund.</li> </ul>