

## **Guidance for completion of this record keeping form**

Under s.16 of the Public Service Pensions Act 2013 scheme managers are required to keep records specified in regulations for their scheme and any connected scheme.

The Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014 set out the required records, and it is on these Regulations that this form is based. Under these Regulations, the following definitions apply and should be applied in your response:

'*member*' means any active, deferred, pensioner or pension credit member;

'*beneficiary*' means a person, other than a member, who is entitled to the present payment of benefits under a public service pension scheme, i.e. a beneficiary currently in receipt of a pension payment.

### **Section 1 – Member Information**

In respect of each type of information in this section, please confirm as percentages of the total membership (to be included in the first column), broken down by category of active, deferred, pensioner, pension credit member and / or beneficiary:

- the percentage of members and beneficiaries the scheme holds the information for;
- the percentage of members and beneficiaries the scheme does not hold the information for; and
- in respect of any members and beneficiaries the scheme does not hold the information for, the reason(s) for that, including any third party responsibility.

### **Section 2 – Financial Transactions**

In respect of each type of information in this section, please confirm the above where it is applicable to the type of transaction specified, which may or may not be member / beneficiary specific.

In relation to both sections, where space on the form does not allow you to answer any question fully, please use additional pages and make reference to them in your response.

Section 1: Member information	Total membership broken down by membership type	Percentage of each category of member / beneficiary the scheme <u>does</u> hold information for	Percentage of each category of member / beneficiary the scheme <u>does not</u> hold information for	The reason(s) for information <u>not</u> being held in respect of any category
<p><b>In respect of each member and beneficiary:</b></p> <p><b>*Please note: Capita, the Council's pensions administrators hold pensioner, pension credit member, and beneficiary data in one field "Pensioner"</b></p>				
<b>Name</b>	Active                    6,401 Deferred                    8,188 Pensioner*                    6,499	99.1%	0.9%	<p>There are 189 records currently under investigation where the initial or forename held may be incomplete or incorrect. These are being reviewed under the Record Keeping Plan –Index 2.3.</p> <p>Capita have not supplied a breakdown by member type but this has been requested</p>
<b>Date of birth</b>	Active                    6,401 Deferred                    8,188 Pensioner*                    6,499	99.9%	0.1%	<p>There are 7 records currently under investigation where the DOB recorded may be incorrect. These will resolved as part of the Record Keeping Plan –Index 2.5</p> <p>Capita have not supplied a breakdown by member type but this has been requested</p>
<b>Gender</b>	Active                    6,401 Deferred                    8,188 Pensioner*                    6,499	100%	100%	
<b>Last known postal address</b>	Active                    6,401 Deferred                    8,188 Pensioner*                    6,499	97%	3%	<p>These figures represent last known address held electronically. We are reliant on members and employers keeping us updated of any changes. We may hold historic data on scanned images but this is not in an extractable format. As part of the Record</p>

					Keeping Plan we are contacting employers to provide address for active members. We have commissioned a company to provide details for the missing addresses for deferred members –Index 2.10 & 2.11
<b>Scheme identification number</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		
<b>NI number</b>	Active	6,401	99.9%	0.1%	There are 11 records with Temporary NI numbers which are being investigated under the Record Keeping Plan. There are 181 records that are being investigated that may be incomplete or incorrect and these are being investigated as part of the Record Keeping Plan  Capita have not supplied a breakdown by member type but this has been requested
	Deferred	8,188			
	Pensioner*	6,499			
<b>Dates of joining and leaving the scheme</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		
<b>Pensionable service dates</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		
<b>Amount of pensionable earnings in each year of pensionable service</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		

<b>In respect of each member's rights / each beneficiary's entitlement (excluding money purchase, injury or compensation benefits):</b>					
<b>Any formula(s) used for calculation</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		
<b>Applicable percentage in respect of revaluation</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		
<b>Any increase to be applied in each year</b>	Active	6,401	100%		
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		

<b>In respect of pension credits or debits under s.29 (1) of the Welfare Reform and Pensions Act 1999 (or equivalent):</b>					
<b>Any information relevant to calculating each member's rights under the scheme which are attributable (directly or indirectly) to a pension credit.</b>	Active	6,401	N/A	N/A	<p>Within the HartLink pension administration system, all pension credit members are identified as a unique member category on the pension administration system (P/X).</p> <p>Calculations are either hard-coded into our systems or, if manual, they are scanned onto the individual records, but neither are in an extractable format.</p> <p>We would expect the scanned images handed over when the service transferred to Capita to include details of any pension credits processed prior to Capita's tenure</p>
	Deferred	8,188	N/A	N/A	
	Pensioner*	6,499	100%		

Any information relevant to calculating any reduction in each member's rights under the scheme which are attributable to a pension debit.	Active	6,401	100%		Individual member records are adjusted to show a debit adjustment against a members pension benefits showing the amount of the deduction.  Calculations are either hard-coded into our systems or if manual, they are scanned onto the individual records, but neither are in an extractable format.
	Deferred	8,188	100%		
	Pensioner*	6,499	100%		

Section 2: Financial transactions	Total membership broken down by membership type	Percentage of each category of member / beneficiary the scheme <u>does</u> hold information for, where applicable	Percentage of each category of member / beneficiary the scheme <u>does not</u> hold information for, where applicable	The reason(s) for information <u>not</u> being held in respect of any category	
<b>In respect of transactions:</b>					
Any employer contribution or member contribution paid in relation to each active member	Active	6,401	100%	100%	
	Deferred	8,188	N/A	N/A	
	Pensioner*	6,499	N/A	N/A	
Payments of pensions and benefits including the date of the payment	Pensioner*	6,499	100%		
Payments made by, or on behalf of, the scheme manager to any person including the name and address of that person and the reason for that payment			100%		
Any movement or transfer of assets from the scheme to any person including the name and			100%		

<p>address of the person to whom the assets were moved or transferred and the reason for that transaction</p>				
<p>The receipt or payment of money or assets in respect of the transfer of members into or out of the scheme including:</p> <ul style="list-style-type: none"> <li>• the name of that member;</li> <li>• the terms of the transfer;</li> <li>• the name of the scheme into or out of which the member has been transferred;</li> <li>• the date of the transfer; and</li> </ul> <p>the date of receipt or payment of money or assets</p>		100%		
<p>Payments made to any member who leaves the scheme, other than on a transfer, including:</p> <ul style="list-style-type: none"> <li>• the name of that member;</li> <li>• the date of leaving;</li> <li>• the member's entitlement at that date;</li> <li>• the method used for calculating any entitlement under the scheme; and</li> <li>• how that entitlement was discharged</li> </ul>		100%		

<b>Payments made to any employer participating in the scheme</b>	Participating Employer	100%		
<b>Any amount due to the scheme which has been written off in the scheme's accounts</b>		100%		
<b>Any other payment to the scheme including the name and address of the person from whom it is received and, where a payment is made in respect of a member, the name of the member in respect of whom it is made</b>		100%		