

**PWYLLGOR ARCHWILIO A SICRWYDD RISG  
AUDIT AND RISK ASSURANCE COMMITTEE**

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	24 August 2021
<b>TEITL YR ADRODDIAD: TITLE OF REPORT:</b>	NHS Pension Scheme Year End Processing 2021
<b>CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:</b>	Huw Thomas, Director of Finance
<b>SWYDDOG ADRODD: REPORTING OFFICER:</b>	Huw Thomas, Director of Finance

**Pwrpas yr Adroddiad (dewiswch fel yn addas)**

**Purpose of the Report (select as appropriate)**

Er Gwybodaeth/For Information

**ADRODDIAD SCAA  
SBAR REPORT**

**Sefyllfa / Situation**

Hywel Dda University Health Board must provide information regarding its employees enrolled in the NHS Pension Scheme to the NHS Pensions agency. NHS Pensions evaluates the accuracy of the data provided by Employment Services - NWSSP on behalf of the Health Board, through the year end update processing via the Electronic Staff Record (ESR) system.

For the year ended 31<sup>st</sup> March 2021, the Health Board achieved an A grade rating (95%+) and showed good compliance compared with other NHS organisations.

The Audit and Risk Assurance Committee is asked to note the performance against the percentage success rate as assessed by NHS Pensions.

**Cefndir / Background**

NHS Pensions evaluates the accuracy of the data provided by Employment Services - NWSSP on behalf of the Health Board, through the interface between the Electronic Staff Record (ESR) system and NHS Pensions.

Following the processing of ESR year end 2021 data, a report has been produced by NHS Pensions showing details of the data processed, overall percentage success rate and comparative performance of other NHS organisations.

The figures provided relate only to year end updates received through the ESR interface. Records updated or cleared errors through Pensions On-Line, are not reflected in the report. The percentage success rate also excludes errors that are unavoidable by the Health Board.

Achieving a high percentage success rate via the ESR process means less manual intervention is required.

**Asesiad / Assessment**

The report from NHS Pensions, appended, shows:

97.94% overall percentage success rate for records processed via ESR.

This places the Health Board in category A (95%+) and above average for organisations with staff numbers between 10,000 and 14,999.

NHS Pensions thanked Employment Services - NWSSP and the Health Board for their efforts in cleansing and updating data to a good standard.

**Argymhelliad / Recommendation**

The Audit & Risk Assurance Committee is asked to note the content of the report.

**Amcanion: (rhaid cwblhau)**

**Objectives: (must be completed)**

Committee ToR Reference Cyfeirnod Cylch Gorchwyl y Pwyllgor	3.23 The Audit and Risk Assurance Committee will also seek assurances where a significant activity is shared with another organisation and collaboratives, in particular the NHS Wales Shared Services Partnership, Welsh Health Specialised Services Committee, Emergency Ambulance Services Committee and other regional committees. The Audit and Risk Assurance Committee will expect to receive assurances from internal audit performed at these organisations that risks in the services provided to them are adequately managed and mitigated with appropriate controls.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Not applicable
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	Not Applicable
Amcanion Strategol y BIP: UHB Strategic Objectives:	Not Applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Objectives Annual Report 2018-2019</a>	10. Not Applicable

**Gwybodaeth Ychwanegol:**

**Further Information:**

Ar sail tystiolaeth: Evidence Base:	Report from NHS Pensions Agency
Rhestr Termiau: Glossary of Terms:	NWSSP – NHS Wales Shared Services Partnership

Partïon / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Archwilio a Sicrwydd Risg: Parties / Committees consulted prior to Audit and Risk Assurance Committee:	Not applicable
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<b>Effaith: (rhaid cwblhau)</b> <b>Impact: (must be completed)</b>	
<b>Ariannol / Gwerth am Arian:</b> <b>Financial / Service:</b>	Accurate reporting is important to assure financial control.
<b>Ansawdd / Gofal Claf:</b> <b>Quality / Patient Care:</b>	Not applicable
<b>Gweithlu:</b> <b>Workforce:</b>	Not applicable
<b>Risg:</b> <b>Risk:</b>	Accurate reporting is important to assure financial control.
<b>Cyfreithiol:</b> <b>Legal:</b>	The HB has a duty to provide accurate information to the NHS Pensions Agency.
<b>Enw Da:</b> <b>Reputational:</b>	Not applicable
<b>Gyfrinachedd:</b> <b>Privacy:</b>	Not applicable
<b>Cydraddoldeb:</b> <b>Equality:</b>	Not applicable

# NHS Pension Scheme Year End Processing 2021

EA: 6023 - HYWEL DDA HEALTH BOARD

## Year End Updating Statistics

This table reflects updates received from the ESR year end update interface, for your organisation.

**It does not include updates made through Pensions On Line (POL) or where errors have been cleared and records subsequently updated following the processing of the ESR year end data.**

This shows the overall percentage success rate, with excluded errors removed, for the processing of your 2019, 2020 and 2021 year end updates.

NHS Pension Scheme Data - Year End Processing	Y/E 2019	Y/E 2020	Y/E 2021
95% + <b>A</b>	98.28%	95.25%	97.94%
90-94% <b>B</b>			
85-89% <b>C</b>			
80-84% <b>D</b>			
70-79% <b>E</b>			
0-69% <b>F</b>			

## Year end 2021 annual update processing information

Number of active employments at 31.03.2021	Number of updates received	Number successfully processed	% success rate before excluded errors removed	Overall % success rate with excluded errors removed
12529	11838	10819	91.39%	97.94%

An explanation of the figures;

**Number of active employments at 31.03.21** – this is the number NHS Pensions had for your employing authority as at 31.03.21. This will not include any members who joined before this date but where the joiner details were sent to NHS Pensions after 31.03.21.

**Number of updates received** – this is the number of updates we received in the ESR year end run. It does not include updates made through Pensions On Line (POL) or where errors have been cleared and records subsequently updated.

**Number successfully processed** – this is the number of annual updates in the ESR year end run that processed successfully. without any data errors. It does not include updates made through POL or where errors have been cleared and records subsequently updated.

**% success rate before excluded errors removed** – shows the % of your year end updates that processed without generating any data errors.

**Overall % success rate with excluded errors removed** – a number of data errors cannot be avoided by employers. Your final success rate excludes these errors and the success rate % has been updated to reflect this.

The table below shows the error types and volumes excluded from overall % success rate (with excluded errors removed);

Code	Description	Volume
0056	Whole-time employment overlapping with another employment	603
0403	Mid Year Contribution Rate History Invalid	79
0421	SD55 Received: Member record not updated for previous year	82
8309	Corrupt Service History	1
8310	Corrupt member status details	7
8311	Corrupt Tax History Records	0
8312	Corrupt Hours History Records	0
8400	Generic Batch Failure - Requires further investigation	3

The table below shows the error types and volumes your year end processing generated that are included in % success rate before excluded errors removed

Inclusive Errors		
0186	No emp found match Emp ID-EA Code and DOC-DOT	151
8087	Employment already exists for this record.	66
0420	Earnings, contributions and or worked hours appear low	60
0197	Amendment-change already recorded but date of change differs	49
0173	Yearly hours-sessions not required	23
0061	Member should have ceased to be pensionable.	5
0415	Missing Additional Pension Contributions	5
8030	No MR found to match input	5

### National Overview

The table below shows the data successfully processed at year end by;

- Percentage rate banding.
- Number of NHS organisations with a data processing success rate in the banding for each year.

From this, you can determine if your organisation is in the higher percentile.

Year	95% & Above	94% - 90%	89% - 80%	79% - 70%	69% - 50%	0% - 49%	Total
2021	363	72	13	1	1	3	453
2020	431	51	21	1	2	3	509
2019	438	88	15	2	3	7	553
2018	411	75	22	7	3	7	525
2017	402	108	0	0	0	0	510
2016	404	98	11	3	7	6	529
2015	386	133	8	5	1	6	539
2014	352	135	27	8	3	14	539
2013	189	108	8	12	16	121	454
2012	27	254	99	23	37	26	466

The table below shows the highest, lowest and average overall % success by organisation size.

From this, you can see how your results compare to other, similar sized organisations. This will show if you are one of the higher performers or below the national average.

Number of NHSPS members	Number of Organisations	Highest pass %	Lowest pass %	Average pass %
15000 or more	13	99.56	94.51	97.26
10000 to 14999	29	98.62	90.23	96.74
5000 to 9999	95	99.10	88.52	96.31
1000 to 4999	108	99.35	84.33	96.52