Firefighter's Pension Schemes
Common Data Quality Report
ORBIS
Surrey Fire and Rescue Authority

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1 Executive Summary

1.1 Introduction

In 2015, the Pensions Regulator (TPR) assumed responsibility for Public Sector Pension Schemes. Prior to this, in June 2010, TPR issued guidance on the approach that they consider to be good practice for measuring the presence of member data. Specific targets were set for data TPR deemed as 'common' and Aquila Heywood has assisted customers in the collection and qualification of this data.

To assist customers in undertaking a practical assessment of their common data, Aquila Heywood offers a Data Quality service.

1.2 Data Quality Service

Working with ORBIS, Aquila Heywood has completed a review of Surrey Fire and Rescue Authority's common pension data in line with the guidance notes set down by TPR. Aquila Heywood's understanding of the Firefighter's Pension Scheme data, benefit calculations, interfaces and processes, has assisted in the agreement of which items to test. The tests to satisfy each condition have been run and the results quantified to provide guidance on any corrective action required.

The service incorporates data items tested against the data conditions agreed with ORBIS. To provide focus on the key areas of common data to be addressed, each data category is measured against an agreed benchmark.
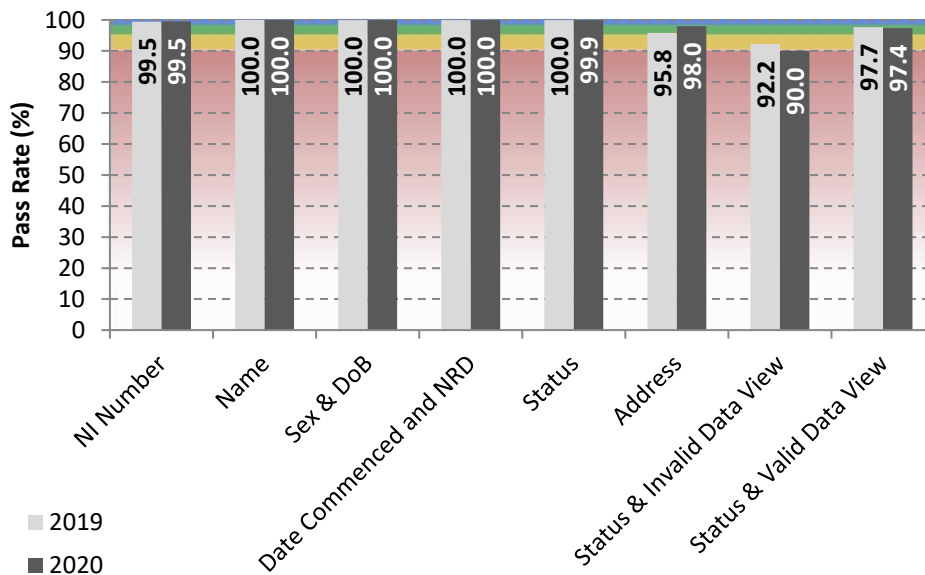
1.3 Benchmark

The benchmarks applied to the results presented in this report were agreed between ORBIS and Aquila Heywood. The categories and thresholds are as follows:

Category	Pass Threshold
Blue	Pass rate >= 98%
Green	95% <= Pass rate < 98%
Amber	90% <= Pass rate < 95%
Red	Pass rate < 90%

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These benchmarks are illustrated in the background of the results graph. TPR have set targets of 100% accuracy for data created after June 2010 and 95% accuracy for data created beforehand. The Aquila Heywood data quality service measures data as a whole as updates for many members are continuous and alter the last updated date on the system.

1.4 Summary of Common Data Results

The graph below indicates Surrey Fire and Rescue Authority's performance for each data category against the agreed scheme benchmarks. The results presented herein are generated from data extracted from ORBIS Live Altair service on 7th October 2020 for all tests. The 2019 tests were generated from data extracted on 2nd September 2019. The overall percentage of tests passed for the Surrey Fire and Rescue Authority's common data is **98.1%** which is the same as is 2019.

Six of the eight categories tested met the highest benchmark of greater than 98% with one category not recording a single failure. Two of the six categories have been rounded up to 100% with scores of greater than 99.95%.

The 2020 tests were executed across 3,275 member records, an increase of 112 records from the number tested in 2019.

1.5   TPR Scheme Return

The final two categories tested, **Status & Invalid Data View** (**90%**) and **Status & Valid Data View (97.4%)** are data items that are not within TPR's definition of common data but are data items that are critical to effective administration.

The percentage of member records without a single common data failure within the TPR definition of common data is **97.5%** and this is the figure that TPR will be requesting on the scheme return. This represents an improvement over the 2019 score of 85.8%.

There is not a clear requirement to split the results by the percentage of the member records within each scheme, but for reference these results are shown below. Please note that as some members have records within more than one scheme, they may be counted more than once in this breakdown and these figures may not be consistent with the overall figure as a result.

1992 Scheme	**97.4%**
2006 Scheme	**97.0%**
2015 Scheme	**99.3%**

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2 Analysis of Common Data Results

Condition	Qualifying Members			Areas for Review		Comments
	Tested (change)	Passed (change)	Pass Rate (change)			
NI Number Eligible for Testing: All members	3275 (+112)	3260 (+114)	99.5% (+0.08%)	Fail A: Fail B: Fail C:	0 15 0	The number of members failing a test has decreased by 2 to 15 since 2019. There are 15 members with a temporary NI number to be addressed. The 1 deferred member and 1 adult dependent should be addressed ahead of the deceased cases.
Name Eligible for Testing: All members	3275 (+112)	3275 (+112)	100% (0%)	Fail A: Fail B: Fail C:	0 0 0	All members records have a valid name for the third consecutive year.
Sex and Date of Birth Eligible for Testing: All members (Leavers and deaths excluded from test D)	3275 (+112)	3274 (+112)	100% (0%)	Fail A: Fail B: Fail C: Fail D:	0 0 0 1	1 awaiting entry to the scheme has a date of birth prior to 01/01/1900 the same as they did in 2019.
Date commenced and NRD Eligible for Testing: All members	3275 (+112)	3274 (+112)	100% (0%)	Fail A: Fail B:	1 0	1 awaiting entry to the scheme has a blank date joined fund the same as they did in 2019.
Status Eligible for Testing: All members	3275 (+112)	3273 (+111)	99.9% (-0.03%)	Fail A: Fail B: Fail C:	0 0 2	The number of members failing a test has increased by 1 to 2 since 2019. 2 records with a marked status of "A" do not have the same current status on the status list.

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Condition	Qualifying Members			Areas for Review	Comments
	Tested (change)	Passed (change)	Pass Rate (change)		
Address <u>Eligible for Testing:</u> All members except leavers and deaths (status 3 and 7)	3275 (+112)	3210 (+180)	98% (+2.22%)	Fail A: 4 Fail B: 0 Fail C: 50 Fail D: 12 Fail E: 2	The number of members failing a test has decreased by 68 to 65 resulting in a 2.22% improvement in the pass rate since 2019. 4 members have no address recorded. 50 members, (3 actives, 2 undecided leavers, 20 deferreds, 12 pensioners, 7 dependants, 3 frozen refunds, 1 status 'A' and 2 optants-outs) are recorded as "gone away". 12 members are missing a postcode and a further 2 have a postcode in an incorrect format. Of the 14 members either missing a postcode or one in an incorrect format, 3 of them are also recorded as gone away.

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Condition	Qualifying Members			Areas for Review	Comments
	Tested (change)	Passed (change)	Pass Rate (change)		
Status and invalid data view <u>Eligible for Testing:</u> All members	3275 (+112)	2949 (+33)	90% (-2.15%)	Fail A: 4 Fail B: 314 Fail C: 5 Fail D: 5	The number of members failing a test has increased by 79 to 326 since 2019 resulting in a 2.15% decrease in the pass rate. 4 members have an unexpected exit details data view. 1 of which is active, 2 are deferred and 1 is a pensioner. 314 members have an unexplained deferred details data view as they were never deferred on their status history. 7 are leavers, 4 are pensioners and 303 are deceased members. 5 members; 4 deceased and 1 dependant, have an unexpected pension details data view. 5 members; 4 deceased and 1 member awaiting entry, have an unexpected dependent details data view. 2 deceased members included in the numbers above have a deferred detail and a dependent detail data view that is not reflected in their status history. Fails in this category should be investigated to ensure correct benefits are calculated as a priority. Priority should be given to the pensioner and dependent members.
Status and valid data view <u>Eligible for Testing:</u> Members with deferred benefits or benefits in payment (Status 4, 5, 6, 7, and 9)	3275 (+112)	3189 (+99)	97.4% (-0.32%)	Fail A: 0 Fail B: 0 Fail C: 0 Fail D: 0 Fail E: 31 Fail F: 55	The number of members failing a test has increased by 13 to 86 since 2019 resulting in a 0.32% decrease in the pass rate. 31 deceased pensioners and 55 deceased dependants are missing a cease date for their pensions.

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3 Data Correction Plan

The table below provides ORBIS with suggestions for resolving the issues identified. This table is deliberately high-level as the detail and dates should be agreed once the results have been thoroughly reviewed. The recommendations represent a summary of the recommended actions outlined in Section 2.

Data Category	Recommendation	Suggested Priority
NI Number	• Obtain a correct NI number for the 15 members with a temporary number	• Low
Name	• No issues found	
Sex and Date of Birth	• Investigate the 1 member with a date of birth earlier than 01/01/1900	• Low
Date commenced and NRD	• Investigate the 1 member with a blank date joined fund	• **High**
Status	• Investigate the 2 members with a mismatched current status	• **High**
Address	• Current addresses should be sought and uploaded for the members that failed this category	• Medium
Status and invalid data view	• Invalid data should be removed where necessary or the member status corrected where appropriate. These cases should be treated as a high priority with the 5 pensioners and 1 dependant addressed as the highest priority	• **High**
Status and valid data view	• Correct the pension cease date for the 31 pensioners and 55 dependant members	• Low

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4 Appendices

4.1 Appendix A – TPR Guidance

Data Field	TPR Comment
National Insurance Number	'TN' formats should be regarded as missing data. The final character of NI numbers is not essential.
Surname	Check that surname is present.
Forename(s) or initials	Forenames are preferable but initials are an acceptable alternative.
Sex	Check that sex is present.
Date of birth	Check that date of birth is present and consistent (earlier than date joined scheme, retirement, date of leaving). False dates should be classed as missing data.
Date pensionable service started/policy start date/first contribution date	For trust-based schemes this will be date pensionable service started. For contract-based schemes this will effective start date of the policy or the first contribution date, depending on the provider's requirements.
Expected retirement/maturity date (target retirement age)	This field may be derived or explicit; for most DB schemes it will probably be derived as the scheme's normal retirement date. Need to check that it is populated if that is a scheme/system requirement, that it is consistent with scheme rules and statutory requirements, and is later than date of birth and pensionable service date/first contribution date.
Membership status	Check that a current valid status is recorded for each member. This may be a dual status, eg active or deferred member with partial retirement. For contract-based schemes this may be 'active' or 'inactive'.
Last status event	Check that benefits taken are consistent with status, and, if status history is recorded, that the latest status is the same as the explicitly recorded current status.

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Data Field	TPR Comment
Address	An address should be present for all members of all schemes. Because of DPA requirements an exception is permissible for active members of those trust-based schemes in which communication with members is normally sent via the employer. 'Gone away', 'unknown' or similar should be treated as missing data.
Postcode	Check that a postcode is present if address is not identifiable as being overseas. Will assist with valuations for actives, for whom storing full address may breach DPA principles.

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4.2 Appendix B – Common Data and Fail Criteria

Common Data

Condition	Fail A	Fail B	Fail C	Fail D	Fail E	Fail F
NI Number <u>Eligible for Testing:</u> All members	NI Number (NI-NUMBER) is blank	NI number is temporary (commences TN) and is not a child pension (DEPND-TYPE = 'C')	NI number does not adhere to standard (Neither of the first two letters can be D, F, I, Q, U or V. The second letter cannot be O. Prefixes BG, GB, KN, NK, NT, TN (checked in fail B) and ZZ are not used. Suffix must be A, B, C or D. Characters 3-8 must be numbers)			
Tested: 3275	Failed: 0	Failed: 15	Failed: 0			
Name <u>Eligible for Testing:</u> All members	Surname (SURNAME) is blank	Forenames (FORENAMES) is blank	Initials (INITS) is blank			
Tested: 3275	Failed: 0	Failed: 0	Failed: 0			

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Condition	Fail A	Fail B	Fail C	Fail D	Fail E	Fail F
Sex and Date of Birth <u>Eligible for Testing:</u> All members *	Sex (SEX) is blank	Sex is not Male or Female	Date of Birth (DOB) is blank	Date of Birth is earlier than or equal to 01/01/1900 (* Leavers and deaths excluded from this test) (Status 3 and 7)		
Tested: 3275	Failed: 0	Failed: 0	Failed: 0	Failed: 1		
Date commenced and NRD <u>Eligible for Testing:</u> All members	Date Joined scheme (DJS) is blank	Date Joined scheme is earlier than Date of Birth plus 15 years	NRD checks are not required as these are always calculated			
Tested: 3275	Failed: 1	Failed: 0				
Status <u>Eligible for Testing:</u> All members	Status (STATUSKEYF) is blank	Status is not 1-9, A or O	Status on member summary (STATUSKEYF) does not match that on basic details (STATUS[1])			
Tested: 3275	Failed: 0	Failed: 0	Failed: 2			

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Condition	Fail A	Fail B	Fail C	Fail D	Fail E	Fail F
Address Eligible for Testing: All members except leavers and deaths (status 3 and 7)	Address record does not exist	Address record exists, but line 1 (ADD-LINE-1) is blank	Gone Away (ADD-GONAWY) indicator is set	If the address is not overseas, the Postcode (POSTCODE) is blank	If the address is not overseas, the Postcode is not the correct format (1st letter =Q, V or X, 2nd letter is I, J or Z, 3rd, 4th or 5th character is not a space)	
Tested: 3275	Failed: 4	Failed: 0	Failed: 50	Failed: 12	Failed: 2	
Status and invalid data view Eligible for Testing: All members	Exit details should not be present unless status is 3, 7 or 9 or a previous status is 9 and the current status is 1, 2, 4, 5 or A	Deferred details should not be present unless status is 4 or a previous status is 4 and the current status is 1, 2, 3, 5, 7 or A	Pension details should not be present unless status is 5 or a previous status is 5 and the current status is 1, 2, 3, 4, 7 or A	Dependant details should not be present unless status is 6 or a previous status is 6 and the current status is 3 or 7		
Tested: 3275	Failed: 4	Failed: 314	Failed: 5	Failed: 5		
Status and valid data view Eligible for Testing: Members with deferred benefits or benefits in payment (Status 4, 5, 6, 7 and 9)	Status 4 does not have deferred details	Status 5 does not have pension details	Status 6 does not have dependant details	Status 7 or 9, with a previous status of 1 or 4 do not have exit details	Status 7 with a previous status of 5 should have a relevant date pension ceased	Status 7 with a previous status of 6 should have a relevant date pension ceased
Tested: 3275	Failed: 0	Failed: 0	Failed: 0	Failed: 0	Failed: 31	Failed: 55

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