

Member Related Activity - LGPS	
Annual Allowance - provision of data	90.00%
Additional Pension Contributions - setting up of contract	90.00%
Data Changes - all	90.00%
Deaths - process and make payment on receipt of all data	95.00%
Deferred Benefits - process and send out information *	90.00%
Divorces - quocation through to processing sharing order	95.00%
Estimates – Employer - provide data to scheme employer	90.00%
Estimates – Member - provide data to member	90.00%
General Queries - Member -reply to queries	90.00%
Re-employments - linking of records and updating member records *	90.00%
Refund of Benefits - make payment on receipt of all information	95.00%
Retirements - pay benefits on receipt of all information	95.00%
Transfers/ IFA In - process and send information to member	90.00%
Transfers /IFA Out - make payment on receipt of all information	95.00%

Name	Description	Status	Start Date	End Date		Notes
GMP Reconciliation	Reconcile fund records with those of HMRC to determine where liability rests	In progress		31.12.18	A	GMP Data uploaded and first run has been completed. A large number of queries have been identified and a meeting is scheduled for mid June to discuss resolution of these to enable project to move to final stage of reconciliation.
Backlog of Work	Number of cases not processed - work to be outsourced to a third party for completion	In progress		31.08.18	G	Project deadline was previously extended. 50% of the files have now been processed.
Implementation of GDPR	New data protection regulations to be implemented	In progress	05.10.17	30.04.18	A	Not all actions will have been completed by the deadline but in line with statutory requirements there is a clear plan to resolve outstanding actions.
Implement Member Self Service for Active and Deferred Members	To allow members online access to their pension records and update certain data	In progress		31.07.18	G	Deferred members have received activation codes with the activation codes for active members being sent out at the end of May.
Address Checks - Deferred Members	Run a tracing exercise to find current addresses for deferred members			31.05.18	G	This will link in to above project. In progress.

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National Fraud Initiative	Bi-annual exercise to review payments against recorded deaths	In progress		31.03.18	A	Recoveries of monies in progress and all payment plans are being finalised.
Implementation of i-Connect	This additional module would allow scheme employers to upload data directly from their payroll system to Altair			TBC	A	As at 04.05.18 all issues regarding software security queries have been resolved and project timeline can now be reset.
Implementation of Employer Relationship Management System	To have employer details recorded on system for better control & reporting	In progress		31.08.18	A	Data is now in process of being uploaded. To open up to the team in read only capacity June 2018
Change in Regulations	Brewster Case -	In progress		15.03.18	R	No longer on hold - waiting for reports to be run
Data Quality	Under TPR guidance Funds are required to measure both common and conditional data to report annually to TPR	In progress		31.08.18	A	Issues identified within the report have been included in the end of year project plan to ensure all are completed in required timescale.
End of Year / ABS Production		In progress		31.08.18	G	52 Employers completed, 2% of queries from 2016/17 end of year left will be resolved during 2017/2018 End of year. First Milestone set for 25/05/2018 (5%)

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Implement Administration to Pay	For instructions and records to be passed from Benefit to Payroll team without need for paper	In progress	31.12.18	TBC	R	The original date for completion - 31.10.17 has moved as needed further discussion with software suppliers about product enhancements. They have an enhanced product which has only been implemented in Scotland so OPF would be first English Fund to take on this new product (not all tested) . The software suppliers have confirmed that there are still issues with software and it will not be available for some months.
Implement Tell Us Once	Allows Pension Services to have access to information reported to Registrars					Completed
JAVA Payroll	Payroll language / software being updated need to parallel run to ensure has properly transitioned			31.12.17		Completed
Re- tendering of Actuarial Contract	Actuarial contract ends 10.12.17 so need to re-tender			10.12.17		Completed
Codings for payments	To comply with accounting requirements			31.03.2018		Completed

Name	Description	Status	Start Date	End Date		Notes
Implementation of Windows 10	Upgrading of operating system			31.03.18		Completed

	Date:	Employer	Status	Date:	Referred	Outcome:	Notes:
1	13.01.18	OCC	Closed	30.01.18	Internal	Found	Delays in issuing ABS due to outstanding queries. Now resolved & statements issued.
2	15.01.18	OSJCT	Closed	30.01.18	Internal	Found	Delays in issuing ABS - complaint received after long correspondence. Employer gave enough information for PS to issue an estimate.
3	15.01.18	Carillion	Closed	15.03.18	Internal	Not found	Member transferred to Carillion in 2013 after which no pension contributions were deducted - Member queried this with Pension Services in 2016 - despite following up no response ever received and complaint now made. Investigation confirmed member had opted out at time of transfer. Deferred benefits now brought in to payment.
4	15.02.18	SODC	Closed	23.02.18	Internal	Not found	Member had completed paperwork to request refund of contributions - this was sent to an individual team member rather than general mailbox. Due to annual leave payment was not processed within SLA. Response has been sent.

Date / Time	Description of Breach	Call Reference Number	Actions Taken	Disciplinary action taken/ considered	Assessed Reason for incident	Impact categories	Date Closed
12.03.2018	Personal details of a member included in an email sent to different member	F2207147	Recipient of information has been contacted and has provided written confirmation that data has been destroyed. Letter has been sent to data subject explaining error and corrective action taken. Team member has re-taken online training course. Whole team has been reminded of correct procedures and policies.	No	Mistake	Medium	15.03.2018
27.04.18	Member's payslip sent to wrong address, which was co-incidentally address of another member	F2238884	Awaiting return of payslip so can properly update member as to impact of security breach. Payslip was returned unopened and report has been updated.	No	Mistake	Low	
30.04.18	Member has received refund letter and statement - the enclosed statement refers to another member	F2240326	It has been confirmed that the statement was securely destroyed. Letters have been sent out to other members to ask them to contact Pension Services so that we can check that they have received the correct information.	No			

Date / Time	Description of Breach	Call Reference Number	Actions Taken	Disciplinary action taken/ considered	Assessed Reason for incident	Impact categories	Date Closed
15.05.18	Deferred member online activation code sent to an old address, now coincidentally occupied by an active member who opened the letter and reported it to us	F2253599		No			