



# Corporate Plan

2014/15 - 2016/17

## **Northern Ireland Local Government Officers' Superannuation Committee**

### **Corporate Plan 2014/15 – 2016/17**

#### **1 Introduction**

- 1.1 The Northern Ireland Local Government Officers' Superannuation Committee is a statutory body established by the Local Government (Superannuation) Act (Northern Ireland) 1950 to: -
- administer a pension scheme for local authorities and admitted bodies
  - to manage and maintain a fund out of which the benefits of the scheme are met.
- 1.2 The Committee is appointed by the Department of the Environment, which makes statutory regulations setting out the constitution, and powers of the Committee and the rules governing the pension scheme and the management of the Fund.
- 1.3 The current regulations are the Local Government Pension Scheme (Administration) Regulations (Northern Ireland) 2009, Local Government Pension Scheme (Benefits, Membership and Contributions) Regulations (Northern Ireland) 2009 and Local Government Pension Scheme (Amendment and Transitional Provisions) Regulations (Northern Ireland) 2009 as amended which came into operation on 1 April 2009.

#### **2 The Corporate Plan**

- 2.1 The rolling Corporate Plan covers the three-year period from 1 April 2014 to 31 March 2017.
- 2.2 Its main purpose is to:-
- state the Vision and Mission of NILGOSC
  - state the aims of the Committee
  - set out the key objectives of the Committee
  - provide an administrative budget
  - state the Committee's values and service standards.
- 2.3 The Committee undertook its triennial strategic review in March 2012 and subjected its revised Vision, Mission, Strategic Aims and Values to a public consultation in October 2012. The results of this strategic review and response to the subsequent consultation exercise have been incorporated into this Corporate Plan (the Plan).
- 2.4 The Plan will be reviewed and revised annually. Progress in meeting the objectives will be reported quarterly to the Management Committee and Department of the Environment and in the Annual Report and Financial Statements.
- 2.5 The Plan has been formulated by the Committee taking into account the views of management and staff and understanding external factors such as government policy and stakeholder needs. Each business area undertakes a number of Operational Activities which fulfil NILGOSC's Business Objectives, and in turn are designed to satisfy the Corporate Aims. Annex B sets out the key objectives and performance targets for the next three years and the strategy for achieving them. Annex B also sets out the relationship between Corporate Aims, Business Objectives and Operational

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Activities in tabular format.

- 2.6 The plan for the three years to 2016/17 is driven by the Committee's desire to provide a level of service suitable for the stakeholders of today. In doing so the Committee aims to comply with government policy for public sector bodies and pension schemes.

### **3 Vision**

- 3.1 The Committee's vision is

*"To be an excellent Pension Service provider."*

### **4 Mission Statement**

- 4.1 The Committee's mission statement is

*"To administer and manage the NILGOSC Scheme efficiently and effectively while continuously seeking to enhance the quality of service provided to all stakeholders".*

- 4.2 NILGOSC has adopted a number of business practices designed to facilitate the achievement of its mission. These are: -

- The review and monitoring of key performance indicators and the taking of appropriate action.
- The annual review of NILGOSC's business needs and the potential benefits offered by advances and innovation in the available technologies to provide IT solutions.
- The focus on best practice, compliance with legislation, and prioritising areas for improvement.
- The maintenance of proactive human resource policies, which ensure fairness, sensitivity and equality in dealing with staff.
- The enhancement of team spirit and associated working practices by promoting a culture that encourages participation, consultation and communication.

### **5 Key Activities for the Year Ahead**

- 5.1 NILGOSC faces a number of significant challenges during the period covered by this corporate plan with respect to the administration of the pension scheme. Continued uncertainty over the terms of the new Local Government Pension Scheme continues to create significant challenges in terms of member and employer communications, pension administration IT systems and staff resources. The Corporate Plan 2014/15 – 2016/17 takes into account these uncertainties and the business objectives and operational activities have been formulated based on information available to NILGOSC at the time of writing.
- 5.2 The first and most significant of these challenges, relates to the planned introduction of the new Career Average Local Government Pension Scheme on 1 April 2015. Although progress was made throughout 2013/14, both at a national and local political level, the

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original timeframe for implementation of the changes experienced substantial delays, resulting in a deferral of twelve months to 1 April 2015. Consolidated draft regulations which govern how the scheme will operate were issued by the Department for consultation in December 2013, making it unlikely that final regulations will be in place until well into 2014/15. An initial review by NILGOSC has indicated that the regulations are incomplete as currently drafted and that significant redrafting will be required to produce a complete and robust set of regulations. As the scheme administrator, NILGOSC has to prepare for and implement the new Scheme, including extensive third party software programming, an overhaul of existing procedures, employer and member communications, in advance of the effective date. The impact of such a major change in the structure of the pension scheme, over a relatively short timeframe, will place considerable pressure on limited resources and will undoubtedly impact on NILGOSC's high expectations for service delivery over the next 12 months. NILGOSC continues to face these challenges head on and will continue to work with both the Department of the Environment and the Assembly with regards to regulatory change in Northern Ireland.

- 5.3 A related challenge arises in respect of the impact of the new scheme on employers, who will also be required to make substantial software changes to their payroll and HR systems in order to operate the new CARE (Career Average Revaluated Earnings) scheme from 1 April 2015. Should employers be unable to fully implement these changes in advance of the effective date, this will have a detrimental impact on NILGOSC's ability to administer the scheme in line with the regulations.
- 5.4 Stakeholder communication has historically been an area of pride for NILGOSC as it seeks to maintain and improve the level of service it provides to both its members and employers. The move from a final salary to a CARE scheme will fundamentally change the way in which members accrue benefits in the pension scheme. The absence of regulations to date has made it difficult for NILGOSC to inform its stakeholders of the implications of the new scheme well in advance of the changes taking effect. Stakeholder communications therefore form a key part of the 2014/15 business plan.
- 5.5 The long term financial position of many of the scheme employers remains uncertain and NILGOSC will continue to seek to ensure that the Fund is adequately protected. Reorganisation and restructuring continues across the local government sector which increases the workload for NILGOSC as employers consider redundancies and members explore their retirement options. In 2013/14 NILGOSC commenced its review of employer covenants and financial stability with a view to managing risk within the Fund. Phase 2 of this exercise will commence in 2014/15 with the focus moving towards addressing the weaknesses identified. Overall scheme sustainability remains high on the agenda with a continued focus on achieving solid investment returns as well as addressing affordability concerns.
- 5.6 Notwithstanding the introduction of the new CARE scheme, NILGOSC has a number of planned IT related projects underway which are designed to improve efficiency and enhance service delivery. The introduction of an Electronic Document Records Management System in 2014/15 will revolutionise the way in which NILGOSC stores and manages information. The move from a paper based records system will undoubtedly result in a change in working practices and behaviours and it is hoped that the new system will provide new opportunities in terms of how NILGOSC can improve service delivery. 2014/15 will also see a change in pension administration software as third party support for the current system will be withdrawn with effect from 1 January 2015.

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- 5.7 The above changes and uncertainty create a massive communication challenge for NILGOSC as it seeks to keep its stakeholders, both external and internal, fully informed of developments. NILGOSC will continue to explore new and improved methods of communication, including a focus on electronic communications where appropriate. Difficult economic conditions and financial constraints for many individuals, together with a backdrop of a new LGPS benefit structure, reinforces the importance of effective communication with both existing and potential members. Active engagement and outreach to stakeholders continues to form a key part of this corporate plan.
- 5.8 Skilled and experienced staff remain a critical business asset and the attraction, retention and development of employees remains a priority for NILGOSC. The corporate plan sees the inclusion of a number of new operational actions designed to ensure NILGOSC remains an employer of choice. The significant level of change expected over the coming 12-15 months will stretch existing resources and additional staff will be required to oversee the implementation of the more significant projects outlined above. Current staffing levels, together with an increase in demand for public meeting space, have resulted in a necessary expansion of existing office premises. A full refurbishment cycle has been built into the Corporate Plan 2014/15 – 2016/17.
- 5.9 In addition to its core business and service related objectives, NILGOSC recognises the importance of promoting equality of opportunity and fulfilling its Section 75 statutory obligations. Accordingly, this Corporate Plan includes a number of actions which relate specifically to NILGOSC's Equality Scheme and Action Plan.
- 5.10 A full report on the progress made in implementing the Corporate Plan 2014/15 will be included in the Annual Report and Accounts for the Year Ended 31 March 2015.

## **6 Review of the Annual Corporate Plan 2012/13 and 2013/14**

- 6.1 A review of NILGOSC's performance in the preceding financial year, together with an estimate of performance for 2013/14, is attached at Annex C and Annex D respectively.
- 6.2 With respect to the 2013/14 year, a significant proportion of the annual plan has been completed although some longer term projects have been rolled forward into future periods. The following projects are not complete or have a completion date which falls outwith the 2013/14 planning period and have been carried forward to this year's corporate plan:
- Implementation of the LGPS 2015
  - Implementation of an electronic document records management system
  - Review of employer covenants
  - Legal services tender
  - Increasing scheme membership by 10% by March 2015
  - Exploration and utilisation of electronic communication for stakeholders
  - Full office refurbishment cycle completed by 31 March 2016
- 6.3 The biggest threat to the achievement of the 2013/14 Corporate Plan remains the absence of Regulations in respect of the new career average LGPS. The 2013/14 plan included a number of objectives in relation to the planned introduction of the new scheme on 1 April 2014. The absence of regulations and a last minute deferral by the NI Assembly has meant that NILGOSC was unable to meet some of its operational actions as originally stated in the Corporate Plan 2013/14-2015/16. While the revised

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implementation date of 1 April 2015 allows many of the operational actions to be rolled forward into the 2014/15 Plan, concern remains that insufficient time will be available to allow NILGOSC to plan and implement an orderly transition.

- 6.4 For the second year running, achievement rates for service standards have been in the 80-100% range, although at the nine-month point some remain short of target. Fluctuating workflows and volumes continue to have an impact on cumulative performance figures, which were also affected by the planned restructuring of the pension administration teams in 2013/14.
- 6.5 The roll-out of the Government's Automatic Enrolment programme commenced in October 2012 with the preparatory and planning stages completed in the 2012/13 corporate planning year. 2013/14 saw the successful implementation of this plan with processes, systems and communications updated to allow NILGOSC to meet both its statutory obligations and the needs of its stakeholders.
- 6.6 Full details of the progress made in implementing the Corporate Plan 2013/14 will be included in the Annual Report and Accounts for the Year Ended 31 March 2014.

## **7 Aims and Key Objectives for 2013/14 to 2016/17**

- 7.1 **Aim 1: To continue to provide a level of service needed to comply with the pension scheme regulations, good practice, other legislation and stakeholder expectations.**

### 7.1.1 Objectives

- To pay member's pension benefits, refunds and transfers promptly
- To credit pension contributions, transfers and other employer liabilities received promptly and accurately
- To provide members with information needed to make pension decisions promptly
- To pay death benefits promptly and accurately
- To ensure that all necessary action is taken on any change to scheme rules
- To ensure that systems and procedures comply with relevant legislation
- To ensure NILGOSC attracts and retains well trained personnel
- To ensure that the office environment is adequate to meet the growing needs of stakeholders and staff
- To update address information of those members who have not informed NILGOSC of address changes

- 7.2 **Aim 2: To maintain an effective investment strategy in line with the actuarial profile of the fund.**

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#### 7.2.1 Objectives

- To value the scheme assets and liabilities and set contribution rates accordingly
- To invest scheme funds in accordance with the Statement of Investment Principles
- To understand and adopt good practice in Public Sector pension fund management

#### 7.3 **Aim 3: To promote the scheme and inform members and employers of their pension options.**

##### 7.3.1 Objectives

- To actively encourage retention in, and new membership of, the Scheme
- To provide general scheme information to scheme employers, their employees, members and pensioners through active engagement
- To provide members and employers with specific details of Regulation changes
- To provide advice on the pensions implication of other changes such as public sector reorganization

#### 7.4 **Aim 4: To influence and inform the debate on the future of the Local Government Pension Scheme**

##### 7.4.1 Objectives

- To respond to consultation on changes to the LGPS and actively contribute to consultee groups
- To engage with, and inform, interested parties and relevant decision makers
- To improve the Scheme Regulations for the benefit of employers and members

#### 7.5 **Aim 5: To undertake business in an efficient, effective and accountable manner as required of a public body.**

##### 7.5.1 Objectives

- To maintain corporate governance arrangements appropriate for a public body
- To introduce IT developments and other procedures in order to improve efficiency
- To manage change in an effective and timely manner

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7.6 **Aim 6: To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfillment of its Section 75 obligations.**

#### 7.6.1 Objectives

- To assess the likely impact of policies on the promotion of equality of opportunity and good relations
- To ensure NILGOSC personnel policies promote equality of opportunity
- To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission

## 8 Service Standards, Values and Targets

### 8.1 Values

NILGOSC is committed to providing a professional service to all its stakeholders. In carrying out its aims and objectives NILGOSC is committed to:

- responsiveness, taking action in a quick and timely manner
- fairness, embracing equality in its widest sense
- honesty, integrity and openness
- being responsible, both as an investor and an employer
- being economical, maximising returns and minimising expenditure
- being understandable, providing simple, clear and complete information

### 8.2 Service Standards

| Action       | Service Standard   | Target |
|--------------|--|--------|
| Retirement   | To pay any lump sum due within 10 working days of the receipt of the relevant details.   | 90%    |
|              | To notify the pensioner of the pension payable within 10 working days of the receipt of the relevant details.                          | 90%    |
| Death        | To pay the death grant and notify any dependants of the pension within 10 working days of the receipt of the relevant proofs of title. | 90%    |
| Early Leaver | To provide a statement of benefit options within 20 working days of notification.  | 90%    |
| Refund       | To pay within 10 working days of receiving a valid application.  | 95%    |
| Transfer Out | To provide an estimate of the cash equivalent within 20 working days of request and receipt of relevant details.                       | 90%    |

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| Action                     | Service Standard   | Target |
|----------------------------|--|--------|
| Transfer Out               | To pay the cash equivalent within 10 working days of receiving authority.  | 90%    |
| Transfer In                | To provide an estimate of pensionable service to be credited to the member within 10 working days of receipt of relevant details.    | 90%    |
|                            | To provide confirmation of the membership credit within 20 working days of receiving the transfer payment.                           | 90%    |
| Quotation                  | To provide quotation requests within 10 working days.  | 90%    |
| New Entrants               | To process new entrants within 20 working days of receipt.   | 95%    |
| Correspondence             | To reply to correspondence within 10 working days.   | 95%    |
| Annual Report              | To issue by 30 November each year.   | 100%   |
| Pension Benefit Statements | To issue pension benefit statements to all members and deferred members within 6 months of year end unless relevant data unavailable | 100%   |
| Monthly Pension            | To pay all pensions by the last banking day each month.  | 100%   |
| P60s issued to Pensioners  | To issue P60s by 31 May each year  | 100%   |

### 8.3 Other Targets - Investment Managers Returns

| Manager                  | Asset Type            | Target          |
|--------------------------|-----------------------|-----------------|
| Legal & General          | Passive Equity        | Various Indices |
| Baillie Gifford          | UK Equity             | Index + 2%      |
| Baillie Gifford          | Global Unconstrained  | Index + 3%      |
| Edinburgh Partners       | Global Unconstrained  | Index + 3%      |
| Wellington               | Global Equity         | Index + 2%      |
| Jupiter Asset Management | UK Unconstrained      | Index + 2%      |
| Blackrock                | UK Unconstrained      | Index + 4%      |
| Wellington               | Bonds                 | Index + 1%      |
| LaSalle                  | Core Property         | Index +1%       |
| LaSalle                  | Index Linked Property | RPI +3%         |

8.4 NILGOSC's performance against targets is reported in its Annual Report and Accounts which is available on the website ([www.nilgosc.org.uk](http://www.nilgosc.org.uk)) or by contacting the Information Officer.

## 9 Freedom of Information

9.1 The Committee believes that information about its plans, activities and services should be accessible to members of the public. The aim is to be open, transparent and proactive in our information provision, embracing the ethos of the Freedom of Information Act 2000 and responding to requests for information courteously and promptly, offering advice and assistance where necessary. This corporate plan forms part of NILGOSC's Publication Scheme.

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**10 Costs of the Corporate Plan**

- 10.1 The Corporate Plan for 2013/14 has been costed and a forecast of administration income and expenditure for the year ahead is attached at Annex A.

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### Annex A

#### Budget 2014/15

|                                    | £                |
|------------------------------------|------------------|
| <b>STAFF COSTS</b>                 |                  |
| Salaries                           | 1,615,541        |
| Superannuation                     | 303,476          |
| National Insurance                 | 114,354          |
| Staff Training                     | 74,677           |
| Staff Travelling                   | 44,440           |
| Chairman's Allowance               | 12,986           |
| National Insurance                 | 694              |
| Committee's Training Expenses      | 19,270           |
| Committee's Travel & Expenses      | 54,670           |
|                                    | <b>2,240,108</b> |
| <b>OFFICE OVERHEADS</b>            |                  |
| Rates & Insurance                  | 99,661           |
| Electricity                        | 26,150           |
| Office Rent                        | 7,800            |
| Property Expenses                  | 5,850            |
| Office Service Charges             | 152,517          |
| Office Cleaning                    | 29,946           |
|                                    | <b>321,924</b>   |
| <b>COMPUTER RUNNING COSTS</b>      |                  |
| Maintenance                        | 236,443          |
| Materials                          | 12,000           |
|                                    | <b>248,443</b>   |
| <b>DEPRECIATION AND HIRE</b>       |                  |
| Computers                          | 130,849          |
| Refurbishment                      | 28,842           |
| Templeton House                    | 28,000           |
| Office Equipment                   | 20,170           |
|                                    | <b>207,861</b>   |
| <b>ADMINISTRATION</b>              |                  |
| Printing, Advertising & Stationery | 180,481          |
| Telephone and Communications       | 42,254           |
| Postage                            | 173,082          |
|                                    | <b>395,817</b>   |
| <b>PROFESSIONAL FEES</b>           |                  |
| Medicals                           | 60,784           |
| Actuary                            | 61,760           |
| Local Government Auditor           | 24,000           |
| Internal Audit                     | 22,380           |
| Professional Advice                | 176,256          |
| Back-scanning                      | 126,960          |
|                                    | <b>472,140</b>   |
| <b>GENERAL EXPENSES</b>            |                  |
| Bank Charges                       | 9,000            |
| Maintenance                        | 17,064           |
| Miscellaneous                      | 15,740           |
|                                    | <b>41,804</b>    |
| <b>TOTAL EXPENDITURE</b>           | <b>3,928,097</b> |
| Recoverable Costs                  | 110,397          |
| <b>NET EXPENDITURE</b>             | <b>3,817,700</b> |

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**Annex B**

**Relationship between Corporate Aims, Business Objectives and Operational Action**

| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  |
|---|--|---|---|
| 1. To continue to provide a level of service needed to comply with the pension scheme regulations, good practice, other legislation and stakeholder expectations. | 1.1 To pay members' pension benefits, refunds and transfers promptly   | 1.1.1 To pay monthly pensions promptly and accurately                                       | Paid by last banking day of the month   |
|   |  | 1.1.2 To pay pension lump sums promptly and accurately                                      | Within 10 working days of the receipt of the relevant details                 |
|   |  | 1.1.3 To pay refunds of contributions promptly and accurately                               | Within 10 working days of receiving a valid application                       |
|   |  | 1.1.4 To pay transfer payments promptly and accurately                                      | Pay the cash equivalent within 10 working days of receiving authority         |
|   | 1.2 To credit pension contributions, transfers and other Employer liabilities received promptly and accurately | 1.2.1 To collect monthly contributions and invest in scheme fund promptly                   | Within 10 working days of following month                                     |
|   |  | 1.2.2 To reconcile contributions received and service credited annually                     | For 100% of employers by 31 December  |
|   |  | 1.2.3 To credit service on receipt of transfers into the scheme promptly                    | Provide confirmation within 20 working days of receiving the transfer payment |
|   |  | 1.2.4 To obtain and advise employers of actuarial costs and agree payment schedule promptly | Within 20 working days of receipt of information                              |
|   | 1.3 To provide members with information needed to make pension decisions promptly                              | 1.3.1 To respond to member queries  | Within 10 working days  |
|   |  | 1.3.2 To provide members leaving the scheme with option choices                             | Provide a statement of benefit options within 20 working days of notification |
|   |  | 1.3.3 To provide members with benefit quotations on request.                                | Benefit quotations issued within 10 working days                              |

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| <b>Corporate Aim</b> | <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  |
|----------------------|---|--|---|
|                      |   | 1.3.4 To provide members and deferred members with benefit statements  | Benefit statements issued within 6 months of year end unless relevant data unavailable  |
|                      |   | 1.3.5 To provide an estimate of a cetv   | Within 20 working days of receipt of relevant details   |
|                      | 1.4 To pay death benefits promptly and accurately                                       | 1.4.1 To notify dependants of pensions payable   | Within 10 working days of receipt of the relevant proof of title  |
|                      |   | 1.4.2 To pay death grants promptly   | Within 10 working days of receipt of relevant proof of title  |
|                      | 1.5 To ensure that all necessary action is taken on any change to pension scheme rules. | 1.5.1 Ensure that processes change to reflect regulation changes   | Complete changes within 3 months of regulations made  |
|                      |   | 1.5.2 To train relevant staff on any regulation changes  | Relevant staff trained on new regulations within 3 months of regulations made   |
|                      |   | 1.5.3 To have administration systems updated for any new or amended regulations  | To have software tested and installed and to have new forms and procedures developed within 3 months of regulations made                        |
|                      |   | 1.5.4 To train relevant staff on the LGPS 2015 scheme  | Relevant staff trained on LGPS 2015 scheme within 3 months of regulations made  |
|                      |   | 1.5.5 To have administration systems updated for the LGPS 2015 scheme and all necessary procedures in place to administer the scheme | To have new software tested and installed, to have new forms and procedures developed within 3 months of regulations made                       |
|                      |   | 1.5.6 To issue guidance to employers on the LGPS 2015 scheme including changes to the contribution rates where appropriate           | To have prepared and distributed guidance on the LGPS 2015 scheme within 3 months of confirmation of the Department of Environment's intentions |

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| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  |
|---|--|---|---|
|   |  | 1.5.7 To monitor and improve data quality and ensure common data quality meets TPR standards            | 100% accuracy for post June 2010 data<br>95% legacy data deemed adequate        |
|   | 1.6 To ensure that systems and procedures comply with relevant legislation                                 | 1.6.1 To respond to Data Protection and Freedom of Information requests                                 | Within 40 days (DPA) or 20 days (FOI) of request                                |
|   | 1.7 To ensure NILGOSC attracts and retains well trained personnel  | 1.7.1 To ensure all staff complete training plans and undertake appropriate training.                   | That all staff complete plans and that training is received.                    |
|   |  | 1.7.2 To undertake a review of effectiveness of revised structure and job evaluation exercise.          | Review completed by 30 September 2015   |
|   |  | 1.7.3 To undertake a review of the existing recruitment process and documentation                       | Review completed by 31 March 2015   |
|   |  | 1.7.4 To introduce an employee assistance program   | Program in place by 31 March 2015   |
|   | 1.8 To ensure that the office environment is adequate to meet the growing needs of stakeholders and staff. | 1.8.1 To maintain and improve office facilities to meet the ongoing needs of stakeholders and staff     | Full office refurbishment completed by 31 March 2016                            |
|   | 1.9 To update address information of those members who have not informed NILGOSC of address changes        | 1.9.1 To use external databases/tracing services to track down members with missing address information | To update address information within 10 working days.                           |
| 2. To maintain an effective investment strategy in line with the actuarial profile of the fund. | 2.1 To value the scheme assets and liabilities and set contribution rates accordingly                      | 2.1.1 Undertake Actuarial valuation every 3 years.  | Publish valuation by 31 March 2017  |
|   |  | 2.1.2 To ensure employer contribution rates for 2014/15 implemented.                                    | Collect minimum contributions due under current Rates & Adjustment certificate. |

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| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  |
|---|--|---|---|
|   | 2.2 To invest scheme funds in accordance with the Statement of Investment Principles   | 2.2.1 To achieve investment performance in line with targets  | NILGOSC fund target   |
|   |  | 2.2.2 To monitor and regulate investment management   | That no manager breaches investment guidelines and that under performance is promptly addressed   |
|   |  | 2.2.3 To maximise income from scheme assets   | Amount of income earned.  |
|   | 2.3 To understand and adopt good practice in Public Sector fund management   | 2.3.1 Implement the Statement of Responsible Investment   | Vote in as many company meetings as possible, recoup earnings through class actions and to engage with companies to improve governance. |
|   |  | 2.3.2 To undertake a review of the sustainability of the fund including future funding mechanisms                           | Review complete by March 2016   |
|   |  | 2.3.3 Review Statement of Investment Principles and Funding Strategy Statement  | Revise FSS and revise SIP when necessary  |
|   |  | 2.3.4 To review employer covenants and address weaknesses   | Weaknesses addressed by March 2015.   |
| 3. To promote the scheme and inform members and employers of their pension options. | 3.1 To actively encourage retention in, and new membership of, the Scheme  | 3.1.1 To monitor the level of members opting-out of the scheme, understand the reasons and market the Scheme to non-members | Increase Scheme membership by 10% between April 2012 and March 2015   |
|   | 3.2 To provide general scheme information to scheme employers, their employees, members and pensioners through active engagement | 3.2.1 Publish comprehensive scheme literature and guidance  | Within 3 months of Scheme changes   |
|   |  | 3.2.2 Provide employee and employer seminars  | Employer satisfaction rating as measured through annual satisfaction survey   |
|   |  | 3.2.3 To lay the annual report in the NI Assembly.  | In accordance with date agreed with Department  |

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| <b>Corporate Aim</b>  | <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>   |
|---|---|---|--|
|   |   | 3.2.4 To implement the Communications Strategy  | Actions completed in line with target dates  |
|   | 3.3 To provide members and employers with specific details of regulation changes                        | 3.3.1 Communication of any regulation changes   | Within 3 months of regulations being made  |
|   |   | 3.3.2 To advise all new members of the benefits of the pension scheme   | Issue guidance to new scheme members and membership certificates within 20 working days of receipt                 |
|   |   | 3.3.3 To brief members and employers on the LGPS 2015.  | Communications issued within 3 months of regulations made.   |
|   | 3.4 To provide advice on the pensions implication of other changes such as public sector reorganisation | 3.4.1 Continue to work with RPA affected bodies and staff to explain pension implications of RPA transfers.   | Meetings with bodies, advice given to members, satisfaction with NILGOSC service. Representation on working groups |
|   |   | 3.4.2 Determine the implications of Local Government reorganisation on the ability to deliver a pension service.                                    | Produce a staff plan within 3 months of RPA decisions being made   |
| 4. To influence the future of the Local Government Pension Scheme | 4.1 To respond to consultation on changes to the LGPS and actively contribute to consultee groups       | 4.1.1 To ensure that employers are aware of potential scheme changes  | All employers informed of key potential scheme changes   |
|   |   | 4.1.2 To respond to relevant Government consultation exercises  | By consultation reply date   |
|   |   | 4.1.3 To respond to Department of the Environment consultation exercises  | By consultation reply date   |
|   |   | 4.1.4 To contribute to consultee groups eg NAPF, LGPC, LAPFF etc  | To have representation on all groups   |
|   | 4.2 To engage with, and inform, interested parties and relevant decision makers                         | 4.2.1 To identify interested parties and decision makers for relevant issues and ensure they are adequately briefed on the consequences for NILGOSC | Evidence of engagement   |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Corporate Plan 2014/15 – 2016/17**

| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>   |
|---|--|--|--|
|   | 4.3 To improve the Scheme Regulations for the benefit of employers and members       | 4.3.1 Identify potential changes to the existing regulations or draft regulations and lobby the Department to make the changes.                                | Formal notification of amendments to the Department  |
| 5. To undertake business in an efficient, effective and accountable manner as required of a public body | 5.1 To maintain corporate governance arrangements appropriate for a public body      | 5.1.1 Respond to External Auditor letters  | Within 10 working days   |
|   |  | 5.1.2 Review of NILGOSC Internal Controls  | Annually by 31 March   |
|   |  | 5.1.3 Participate in NFI exercise and biannual mortality tracing exercise  | Identify invalid payments and recoup losses.   |
|   |  | 5.1.4 To test Business Continuity procedures and ensure effective  | Annual test of Business Continuity Plan  |
|   |  | 5.1.5 Maintain a Risk Register and take actions to mitigate identified risks   | The Risk Register is complied, reviewed quarterly and action identified is completed.                                      |
|   |  | 5.1.6 To undertake a triennial review of the Organisation's Strategic Objectives   | Review undertaken by 31 December 2015 to inform the 2016/17 Corporate Plan.  |
|   |  | 5.1.7 To undertake the retendering of goods and services   | Tenders completed in line with procurement schedule  |
|   |  | 5.1.8 To ensure that all Committee members undertake appropriate training, including induction training, in line with good practice, guidance and legislation. | Each member has undertaken 40 hours of training/development per annum. Induction completed within 2 months of appointment. |
|   | 5.2 To introduce IT developments and other procedures in order to improve efficiency | 5.2.1 Implementation of an Electronic Document Records Management System   | System installed and operational in line with project plan.  |
|   |  | 5.2.2 To undertake a back scanning exercise for paper based records  | 100% members files and paper based records held electronically by December 2014  |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Corporate Plan 2014/15 – 2016/17**

| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>   |
|---|--|--|--|
|   |  | 5.2.3 To collect member email addresses, automate email address updating and preferencing, and use email for publications if desired by the member | To start using email addresses for bulk publications by March 2016                           |
|   |  | 5.2.4 To replace the existing telephone system   | New system operational by 30 September 2014  |
|   |  | 5.2.5 To effectively manage the transition to an alternative pension administration system   | Transition completed in line with project plan   |
|   |  | 5.2.6 To undertake an appraisal of requirements and subsequent implementation of system to allow for direct access to services by members.         | Appraisal completed by 31 March 2015. Implementation complete by 31 March 2016.              |
|   | 5.3 To manage change in an effective and timely manner   | 5.3.1 To issue an internal newsletter to improve and promote staff communication   | Newsletter issued quarterly.   |
|   |  | 5.3.2 To establish project groups to manage projects on a timely and effective manner.   | Projects managed in accordance with PRINCE 2 methodology and in line with project timetable. |
| 6. To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfillment of the Section 75 obligations | 6.1 To assess the likely impact of policies on the promotion of equality of opportunity and good relations | 6.1.1 Use the tools of screening and EQIA to determine the likely impact of any new policy   | Screening and/or EQIA completed during the policy development or review process              |
|   |  | 6.2 To ensure NILGOSC personnel policies promote equality of opportunity   | 6.2.1 To prepare s55 Report for Equality Commission  |
|   | 6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission            | 6.2.2 To record annual recruitment monitoring information  | Report submitted by 1 May each year  |
|   |  | 6.3.1 To implement the Equality Scheme Action Plan 2012/13-2014/15   | Actions completed in line with plan.   |
|   |  | 6.3.2 To submit s75 Annual Progress Report to include publication of EQIA monitoring information   | Submission to Equality Scheme by 31 August 2014  |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Corporate Plan 2014/15 – 2016/17**

| <b>Corporate Aim</b> | <b>Business Objective</b> | <b>Operational Action</b>                                  | <b>Performance Indicator</b>   |
|----------------------|---------------------------|--|--|
|                      |                           | 6.3.3 To publicise Equality Scheme in routine publications | Equality Scheme publicised in Annual Report, Members' News, Deferred Members' News and Pensioners' News. |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

**Annex C**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>%</b> | <b>Outcome</b> |
|---------------------------|---------------------------|------------------------------|-----------------|----------|----------------|
|---------------------------|---------------------------|------------------------------|-----------------|----------|----------------|

**1. To provide a level of service needed to comply with the pension scheme regulations, good practice, other legislation and stakeholder expectations**

|  |   |   |   |      |                          |
|--|---|---|---|------|--------------------------|
| 1.1 To pay member's pension benefits, refunds and transfers promptly               | 1.1.1 To pay monthly pensions promptly and accurately                     | Paid by last banking day of the month   | All paid by last banking day. The June 2012 payments were paid early due to the Ulster Bank crisis.       | 100% | Achieved                 |
|  | 1.1.2 To pay pension lump sums promptly and accurately                    | Within 10 working days of the receipt of the relevant details                 | 1720 paid, average time taken was 8 days.   | 88%  | Moderately Behind Target |
|  | 1.1.3 To pay refunds of contributions promptly and accurately             | Within 10 working days of receiving a valid application                       | 90 refunds paid, average time taken 1 day   | 99%  | Substantially Achieved   |
|  | 1.1.4 To pay transfer payments promptly and accurately                    | Pay the cash equivalent within 10 working days of receiving authority         | 110 paid, average time taken 6 days   | 90%  | Substantially Achieved   |
| 1.2 To credit pension contributions and transfers received promptly and accurately | 1.2.1 To collect monthly contributions and invest in scheme fund promptly | Within 10 working days of following month                                     | Average of 4 late contributions for which late payment invoices or letters are issued.                    | 98%  | Substantially Achieved   |
|  | 1.2.2 To reconcile contributions received and service credited annually   | For 100% of employers by 31 December  | 175 returns reconciled representing 40.3% of active scheme membership and 85.85% of employing authorities | 85%  | Moderately Behind Target |
|  | 1.2.3 To credit service on receipt of transfers into the scheme promptly  | Provide confirmation within 20 working days of receiving the transfer payment | 176 transfers in actioned, average time taken 7 days  | 98%  | Substantially Achieved   |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |                        |
|---|---|---|---|----------------|------------------------|
| 1.3 To provide members with information needed to make pension decisions promptly | 1.3.1 To respond to member queries                                    | Within 10 working days  | 18985 queries dealt with, average time taken 3 days   | 95%            | Substantially Achieved |
|   | 1.3.2 To provide members leaving the scheme with option choices       | Provide a statement of benefit options within 20 working days of notification | 2145 early leaver notifications provided, average time taken 11 days  | 97%            | Substantially Achieved |
|   | 1.3.3 To provide members with benefit quotations on request.          | Benefit quotations issued within 10 working days                              | 2366 quotations provided, average time taken 5 days   | 96%            | Substantially Achieved |
|   | 1.3.4 To provide members and deferred members with benefit statements | Benefit statements issued within 2 months of receipt of valid data            | 16854 deferred benefit statements issued week commencing 10 September. Active member statements issued October/November. In total 35,141/60,741 issued in line with performance indicator | 58%            | Not Achieved           |
|   | 1.3.5 To provide an estimate of a cetv                                | Within 20 working days of receipt of relevant details                         | 275 transfer out quotes provided, average time taken 10 days  | 96%            | Substantially Achieved |
| 1.4 To pay death benefits promptly and accurately                                 | 1.4.1 To notify dependants of pensions payable                        | Within 10 working days of receipt of the relevant proof of title              | 40 dependants pensions calculated, average time taken 6 days  | 98%            | Substantially Achieved |
|   | 1.4.2 To pay death grants promptly                                    | Within 10 working days of receipt of relevant proof of title                  | 73 death grants paid, average time taken 7 days   | 92%            | Substantially Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |
|---|--|---|---|----------------|
| 1.5 To ensure that all necessary action is taken on any change to pension scheme regulations. | 1.5.1 Ensure that processes change to reflect regulation changes   | Complete changes within 1 month of a regulation change  | LGPS (Amendment) Regulations (NI) 2012 came into operation on 1st June 2012. Processes updated in line with performance indicator | Achieved       |
|   | 1.5.2 To train relevant staff on any regulation changes  | Relevant staff trained on new regulations by date regulations effective   | Staff trained on new regulations by the effective date  | Achieved       |
|   | 1.5.3 To have administration systems updated for any new or amended regulations  | To have software tested and installed and to have new forms and procedures developed by date regulation effective | Systems and procedures in place by effective date   | Achieved       |
|   | 1.5.4 To train relevant staff on the LGPS 2014 scheme  | Relevant staff trained on LGPS 2014 scheme by date scheme effective.  | Department of Environment had not issued consultation on LGPS 2014 by 31 March 2013   | On Target      |
|   | 1.5.5 To have administration systems updated for the LGPS 2014 scheme and all necessary procedures in place to administer the scheme | To have new software tested and installed, to have new forms and procedures developed by date scheme effective    | Department of Environment had not issued consultation on LGPS 2014 by 31 March 2013   | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b>   |
|--|--|---|--|------------------|
|  | 1.5.6 To issue guidance to employers on the LGPS 2014 scheme including changes to the contribution rates where appropriate | To have prepared and distributed guidance on the LGPS 2014 scheme within 3 months of confirmation of the Department of Environment's intentions | Department of Environment had not issued consultation on LGPS 2014 by 31 March 2013  | On Target        |
|  | 1.5.7 To have specific administration systems in place necessary to deal with Automatic Enrolment                          | Systems in place by February 2013   | Administration systems in place to deal with automatic enrolment   | Achieved         |
|  | 1.5.8 To introduce systems to monitor data quality and ensure data quality adequate  | System in place by December 2012 and 95% Data deemed adequate   | Reporting system in place by December 2012. New common data 99.84%, legacy data 99.45% and conditional data 99.68% overall.                      | Achieved         |
| 1.6 To ensure that systems and procedures comply with new or recent non-pensions legislation | 1.6.1 To respond to Data Protection and Freedom of Information requests  | Within 40 days (DPA) or 20 days (FOI) of request  | 12 FOI requests and 64 SARs received in 2012/13. All were responded to within deadline.  | 100%<br>Achieved |
| 1.7 To ensure NILGOSC attracts and retains well trained personnel                            | 1.7.1 To ensure all staff complete training plans and undertake appropriate training.                                      | That all staff complete plans and that training is received.  | Training plans were prepared as part of the annual appraisal process. During the year staff completed 1,693 hours of training in line with plan. | 100%<br>Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|--|---|--|---|----------------|
|  | 1.7.2 To implement a Management Training Scheme   | Posts of Pensions Development Manager, Operations Manager are filled from the pool of management trainees. | The Management Training Scheme has been suspended pending the implementation of a revised management structure in 2013.   | Not Achieved   |
|  | 1.7.3 To have a staff or 3rd party resource in place to deal with additional demand due to Automatic Enrolment                    | Resources in place by May 2013 or sooner if necessary  | The use of postponement and transition periods by employers has resulted in more manageable workloads than originally anticipated. Resource requirements continue to be monitored closely but no additional resource required in 2012/13. | On Target      |
| 1.8 To ensure that the office environment is adequate to meet the growing needs of stakeholders and staff. | 1.8.1 To acquire and adapt the third floor of Templeton House to provide additional public spaces and improved office facilities. | Increased filing space by Jun 2012, office refurbishment and relocation by Mar 2013.                       | Negotiation of lease surrender completed in December 2012. Expenditure approval process has delayed commencement of refurbishment. Interim solution implemented in respect of additional office space.                                    | Behind Target  |
| <b>2. To maintain an effective investment strategy in line with the actuarial profile of the fund.</b>     |   |  |   |                |
| 2.1 To value the scheme assets and liabilities and set contribution rates accordingly                      | 2.1.1 Undertake Actuarial valuation every 3 years.  | Publish valuation by 31 March 2014   | Next valuation date is 31 March 2013.   | N/A            |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |               |
|--|--|---|---|----------------|---------------|
|  | 2.1.2 To ensure employer contribution rates for 2012/13 implemented.           | Collect higher contributions from 1 April.  | All employers have confirmed they are paying the new contribution rate for 2012/13.   | 100%           | Achieved      |
| 2.2 To invest scheme funds in accordance with the Statement of Investment Principles | 2.2.1 To achieve investment performance in line with targets                   | NILGOSC benchmark   | 3 year relative total return to 31 Mar 2013 was -0.60%. 68% assets under management performed in line with targets.   | 74%            | Behind Target |
|  | 2.2.2 To monitor and regulate investment management                            | That no manager breaches investment guidelines and that under performance is promptly addressed   | No manager breached investment guidelines and underperformance was addressed promptly through the scorecard process.  |                | Achieved      |
|  | 2.2.3 To maximise income from scheme assets                                    | Amount of income earned.  | Commission Recap £5,360.77 to 31/03/13. Stock Lending £289,889.27 to 31/03/13. Class Actions £173,783.21 to 31/03/13.   |                | N/A           |
| 2.3 To understand and adopt good practice in Public Sector fund management           | 2.3.1 Implement the Responsible Investment Policy                              | Vote in as many company meetings as possible, recoup earnings through class actions and to engage with companies to improve governance. | Votes cast at all 465 meetings where research allowed an informed decision to be made. Engagement letters issued to 105 UK companies where against votes were cast. £173,783.21 recovered through class action settlements. | 100%           | Achieved      |
|  | 2.3.2 Review Statement of Investment Principles and Funding Strategy Statement | Revise FSS and revise SIP when necessary  | It has not been necessary to revise the FSS in the period to 31 Mar 2013. The SIP was updated in April 2012 following a change in asset allocation.   |                | Achieved      |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b>                                 | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |
|---------------------------|---|---|---|----------------|
|                           | 2.3.3 To review employer covenants and address weaknesses | Review complete by March 2013.<br>Weaknesses addressed by March 2014. | Initial scoping of this work has identified that additional resources are required which are not expected to be in place until 2013/14. The project has been delayed by 1 year. | Not Achieved   |

**3. To promote the scheme and inform members and employers of their pension options.**

|  |  |   |   |              |
|--|--|---|---|--------------|
| 3.1 To provide general scheme information to scheme employers, their employees, members and pensioners | 3.1.1 Publish comprehensive scheme literature and guidance | Within 2 months of Scheme changes               | Newsletter was issued to all active members by 2 June describing regulations changes. | Achieved     |
|  | 3.1.2 Provide employee and employer seminars               | Within 1 month of request or later if requested | Eight employer seminars were conducted in line with performance indicator             | Achieved     |
|  | 3.1.3 To publish the annual report in the NI Assembly.     | At end of Summer recess                         | Annual Report laid with the NI Assembly on 2 October 2012                             | Achieved     |
|  | 3.1.4 Redesign the website                                 | New website operational by 30 September 2012    | Website is at final approval stage prior to going live.                               | Not Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b>                |
|--|---|---|---|-------------------------------|
|  | 3.1.5 To assist employers in providing employee details about Automatic Enrolment and to provide member information about opting-out on request | To have appropriate guides, leaflets, forms, seminars and other educational material available by February 2013 | Guides, leaflets etc were available by February 2013 and systems were set up to ensure that the opting out form was available from NILGOSC by a variety of methods.   | Achieved                      |
|  | 3.1.6 To monitor the level of members opting-out of the scheme, understand the reasons and market the Scheme to non-members                     | Increase Scheme membership by 10% by March 2015   | 133 members opted out of active membership and 575 employees opted not to join the Scheme during 2012/13. The common reasons for not joining the scheme have been identified. Active membership increased from 44,029 at 31 March 2012 to 44,465 at 31 March 2013 (1%). | Behind Target                 |
| 3.2 To provide members and employers with specific details of regulation changes | 3.2.1 Communication of any regulation changes   | Within 3 months of regulations being made   | Newsletter was issued to all active members within timescales describing regulations changes.   | Achieved                      |
|  | 3.2.2 To advise all new members of the benefits of the pension scheme   | Issue guidance to new scheme members and membership certificates within 20 working days of receipt              | 4486 new members processed, average time taken 13 days  | 99%<br>Substantially Achieved |
|  | 3.2.3 To brief members and employers on the post-Hutton LGPS (LGPS 2014).   | Communications issued within 3 months of regulations made.  | Department of Environment had not issued consultation on LGPS 2014 by 31 March 2013   | On Target                     |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b>         |
|---|---|---|--|------------------------|
| 3.3 To provide advice on the pensions implication of other changes                                  | 3.3.1 Continue to work with RPA affected bodies and staff to explain pension implications of RPA transfers.           | Meetings with bodies, advice given to members, satisfaction with NILGOSC service. | Pensions Manager has attended meetings of the HR Working Group and with the DOE.   | On Target              |
|   | 3.3.2 Determine the implications of Local Government reorganisation on the ability to deliver a pension service.      | Produce a staff plan within 3 months of RPA decisions being made.                 | No RPA decisions made  | On Target              |
|   | 3.3.3 To inform employers about Automatic Enrolment and how NILGOSC will assist and deal with the increase in demand. | To implement plan by 1 October 2012.  | Employers have been informed and updated on automatic enrolment and provided with assistance where necessary.  | Substantially Achieved |
| 3.4 To update address information of those members who have not informed NILGOSC of address changes | 3.4.1 To use external databases/tracing services to track down members with missing address information               | To have an accurate address database.   | 192 service currently being utilised. Other databases will be explored as part of the Data Quality Project and this has been carried forward into 2013/14. | Substantially Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>Outcome</b> |
|---------------------------|---------------------------|------------------------------|-----------------|----------------|
|---------------------------|---------------------------|------------------------------|-----------------|----------------|

**4. To influence the future of the Local Government Pension Scheme**

|  |   |   |   |  |              |
|--|---|---|---|--|--------------|
| 4.1 To respond to consultation on changes to the LGPS and contribute to consultee groups | 4.1.1 To ensure that Employers are aware of potential scheme changes and canvas views   | All employers informed of key potential scheme changes                                  | Employers advised of potential changes.   |  | Achieved     |
|  | 4.1.2 To respond to Government consultation exercises   | By consultation reply date  | Responded to all relevant consultations including BIS Executive Pay and Pensions Bill consultation.   |  | Achieved     |
|  | 4.1.3 To respond to Department of the Environment consultation exercises  | By consultation reply date  | Responded to Draft 2013 Amendment Regulations in December 2012.   |  | Achieved     |
|  | 4.1.4 To contribute to consultee groups eg NAPF, LGPC, OAG, LAPFF etc   | To have representation on all groups  | Representation on all groups throughout the year.   |  | Achieved     |
| 4.2 To improve the Scheme Regulations or proposed changes to the Scheme                  | 4.2.1 Identify potential changes to the existing regulations or draft regulations and lobby the Department to make the changes. | The number of improvements identified and the number of changes made by the Department. | NILGOSC identified changes required for Auto Enrolment and notified the Department of these in 2011. These changes were not made in time to meet the first employer's staging date. |  | Not Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>Outcome</b> |
|---------------------------|---------------------------|------------------------------|-----------------|----------------|
|---------------------------|---------------------------|------------------------------|-----------------|----------------|

**5. To undertake business in an efficient and accountable manner as required of a public body**

|  |  |   |   |     |                        |
|--|--|---|---|-----|------------------------|
| 5.1 To maintain corporate governance arrangements appropriate for a public body in line with published good practice | 5.1.1 Respond to External Auditor letters                                    | Within 10 working days  | Responded to Management letter within 2 days  |     | Achieved               |
|  | 5.1.2 Review of NILGOSC Internal Controls                                    | Annually by 31 March  | Annual review carried out in May 2012.  |     | Achieved               |
|  | 5.1.3 Participate in NFI exercise and extend data exchanged                  | Identify invalid payments and recoup losses.  | To date £103,948 has been identified as overpayments through the NFI and Mortality Tracing exercises. Recovery is sought on in respect of all overpayments. No cases of actual or suspected fraud identified to date.   | 99% | Substantially Achieved |
|  | 5.1.4 To test Business Continuity procedures and ensure effective            | Business Continuity Plan is regularly updated, tested at least annually and action identified is completed within deadline. | A live re-test of the pension payroll carried out in September 2012 was successful. The annual BCP test for 2012/13 was carried out on 4 Dec 2012. This involved a full test of systems at the DR site and was successful with only minor issues for follow up. |     | Substantially Achieved |
|  | 5.1.5 Maintain a Risk Register and take actions to mitigate identified risks | The Risk Register is compiled, reviewed quarterly and action identified is completed.                                       | Risk Register 2012/13 approved on 26 June 2012. Quarterly SMT reviews carried out on 23 July 2012, 22 Oct 2012, 21 Jan 2013 and 22 April 2013.  |     | Achieved               |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b>                  |
|--|---|--|---|---------------------------------|
|  | 5.1.6 To undertake a triennial review of the Organisation's Strategic Objectives  | Committee to review objectives to form part of Corporate Plan 2013/14 by February 2013       | Review undertaken in March 2012 followed by consultation. Corporate Plan 2013/14 incorporated outcome of review and approved in February 2013.  | Achieved                        |
|  | 5.1.7 To undertake the routine retendering of goods and services  | Tenders for actuarial services, legal services and banking services completed by March 2013. | The tender for actuarial services has been completed and the contract was awarded on 2/1/13. The legal services and banking services tenders have been postponed until 2013/14 due to resource constraints. | Not Achieved                    |
| 5.2 To ensure that Committee Members have the requisite Knowledge and Skills in compliance with good practice. | 5.2.1 To ensure that all Committee Members receive appropriate training in line with NILGOSC's Knowledge and Skills Framework | Each member has undertaken 40 hours of training/development per annum.                       | Two members did not meet the CPD target of 40 hours per annum. One member who resigned in December 2012 was 6 hours short of the pro-rata target while another member was 1 hour short.                     | 85%<br>Moderately Behind Target |
|  | 5.2.2 To ensure that new appointed Committee members receive induction training   | New members receive induction training before attending first Committee meeting.             | One new member appointed with effect from 1 July 2012 and induction training completed in advance of first meeting.   | Achieved                        |
| 5.3 To introduce IT developments and other procedures in order to improve efficiency                           | 5.3.1 Implementation of a Document Imaging System   | DI system installed and operational by March 2014  | Business case approval obtained in September 2012 and Back Scanning provider selected in March 2013.  | On Target                       |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b>  | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|---------------------------|--|--|---|----------------|
|                           | 5.3.2 Implementation of an electronic records management system  | ERMS installed and operational by March 2014   | Business case approval obtained in September 2012 and OJEU Tender published on 2 March 2013.  | On Target      |
|                           | 5.3.3 To undertake a back scanning exercise for paper based records  | 100% members files and paper based records held electronically by September 2014   | Business case approval obtained in September 2012. Back Scanning Tender selection completed in March 2013.  | On Target      |
|                           | 5.3.4 To collect member email addresses, automate email address updating and preferencing, and use email for publications if desired by the member | To have an online update system in place by March 2013.<br>To have collected email addresses by Jun 2013<br>To start using email addresses for bulk publications by October 2013 | There are issues using the current software as a bulk email client and further software investigations required. Due to resourcing constraints, this action has been carried forward into the 2013/14 corporate plan. | Not Achieved   |
|                           | 5.3.5 To introduce scalable telephone handling procedures and to monitor   | To increase capacity to answer calls to as many lines are available by March 2013  | Volumes, times and content of incoming calls analysed. Additional office space and telephony equipment required to site call handling team. Rolled forward into 2013/14.  | Not Achieved   |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>Outcome</b> |
|---------------------------|---------------------------|------------------------------|-----------------|----------------|
|---------------------------|---------------------------|------------------------------|-----------------|----------------|

**6. To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfillment of the Section 75 obligations**

|  |  |  |  |  |          |
|--|--|--|--|--|----------|
| 6.1 To assess the likely impact of policies on the promotion of equality of opportunity and good relations | 6.1.1 Use the tools of screening and EQIA to determine the likely impact of any new policy | All new or revised policies are screened for equality impact and EQIAs conducted where a policy is screened in. Quarterly screening reports to be issued to consultees and published on the website. | New Anti-Bribery Policy screened out on 17 May 2012. Revised Information Risk Policy screened out on 1 Oct 2012. |  | Achieved |
| 6.2 To ensure NILGOSC personnel policies promote equality of opportunity                                   | 6.2.1 To prepare Article 55 Report for Equality Commission                                 | Report prepared by April 2014  | Report not due in current financial year.  |  | N/A      |
|  | 6.2.2 To record annual recruitment monitoring information                                  | Report submitted by 1 May each year  | Report for the period 2011/12 submitted on 20 April 2012   |  | Achieved |
| 6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission            | 6.3.1 To publish the revised Equality Scheme and Action Plan                               | Scheme published within one month of Equality Commission approval  | Equality Commission approval obtained 25 July 2012 and Equality Scheme published on 24 August 2012.              |  | Achieved |
|  | 6.3.2 To prepare a summary of the equality Scheme and circulate to stakeholders            | Summary Scheme circulated within 1 month of approval by Equality Commission  | Summary Scheme circulated within 1 month of approval.  |  | Achieved |

**Northern Ireland Local Government Officers' Superannuation Committee**  
**Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2013**

| <b>Business Objective</b> | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b>         |
|---------------------------|---|--|---|------------------------|
|                           | 6.3.3 Development and implementation of detailed staff and Committee training programme | Training completed within 6 months of approval   | Equality Commission approval obtained 25 July 2012 and Committee training completed in December 2012. Comprehensive staff training completed at staff Away Day in March 2013. | Substantially Achieved |
|                           | 6.3.4 To publicise Equality Scheme in routine publications                              | Equality Scheme publicised in Annual Report, Members' News, Deferred Members' News and Pensioners' News. | ` Revised Equality Scheme publicised in 2012/13 Annual Report, Members' News, Deferred Members' News and Pensioners' News   | Achieved               |

**Key**

|                                 |   |
|---------------------------------|---|
| <b>Achieved</b>                 | <b>Target met</b>   |
| <b>Substantially Achieved</b>   | <b>Target substantially achieved</b>  |
| <b>On Target</b>                | <b>Progress in line with Plan, completion date not reached</b>              |
| <b>Moderately Behind Target</b> | <b>Performance moderately behind target or achieved outside of deadline</b> |
| <b>Not Achieved</b>             | <b>Target Not Achieved</b>  |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Annex D**

**Corporate Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b> |
|--|---|---|--|----------------|
| 1.1 To pay member's pension benefits, refunds and transfers promptly   | 1.1.1 To pay monthly pensions promptly and accurately                     | Paid by last banking day of the month   | All payments YTD made on time  | On Target      |
|  | 1.1.2 To pay pension lump sums promptly and accurately                    | Within 10 working days of the receipt of the relevant details                 | 1117 lump sum payments made YTD<br>Average time taken - 8 days                                     | On Target      |
|  | 1.1.3 To pay refunds of contributions promptly and accurately             | Within 10 working days of receiving a valid application                       | 55 refund payments made YTD<br>Average time taken - 6 days   | On Target      |
|  | 1.1.4 To pay transfer payments promptly and accurately                    | Pay the cash equivalent within 10 working days of receiving authority         | 63 transfer out payments made YTD<br>Average time taken - 7 days                                   | Caution        |
| 1.2 To credit pension contributions, transfers and other Employer liabilities received promptly and accurately | 1.2.1 To collect monthly contributions and invest in scheme fund promptly | Within 10 working days of following month                                     | Average of 5 contributions paid late per month for which letters/late payment invoices are issued. | On Target      |
|  | 1.2.2 To reconcile contributions received and service credited annually   | For 100% of employers by 31 December  | All 204 employer annual returns have been reconciled   | Achieved       |
|  | 1.2.3 To credit service on receipt of transfers into the scheme promptly  | Provide confirmation within 20 working days of receiving the transfer payment | 178 transfers in confirmed YTD<br>Average time taken - 8 days                                      | On Target      |
|  | 1.2.4 To calculate Employer liabilities promptly and accurately           | Provide calculation within 20 working days of receipt of information          | All actuarial calculations provided within 20 days of receipt of information from the actuary.     | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|---|---|--|---|----------------|
| 1.3 To provide members with information needed to make pension decisions promptly | 1.3.1 To respond to member queries  | Within 10 working days   | 13,480 items of correspondence processed YTD<br>Average time taken - 1 day          | On Target      |
|   | 1.3.2 To provide members leaving the scheme with option choices   | Provide a statement of benefit options within 20 working days of notification          | 1931 early leaver notifications processed YTD<br>Average time taken - 15 days       | Caution        |
|   | 1.3.3 To provide members with benefit quotations on request.  | Benefit quotations issued within 10 working days                                       | 1727 benefit quotations issued YTD<br>Average time taken - 7 days                   | Caution        |
|   | 1.3.4 To provide members and deferred members with benefit statements   | Benefit statements issued within 6 months of year end unless relevant date unavailable | All statements issued within 6 months of year end where relevant data was available | Achieved       |
|   | 1.3.5 To provide an estimate of a cetv  | Within 20 working days of receipt of relevant details                                  | 226 transfer out quotations issued YTD<br>Average time taken - 9 days               | On Target      |
| 1.4 To pay death benefits promptly and accurately                                 | 1.4.1 To notify dependants of pensions payable within 10 working days of receipt of the relevant proof of title | Within 10 working days of receipt of relevant proof of title                           | 25 dependants' pensions processed YTD<br>Average time taken - 5 days                | On Target      |
|   | 1.4.2 To pay death grants promptly  | Within 10 working days of receipt of relevant proof of title                           | 48 death grants processed YTD<br>Average time taken - 7 days                        | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |
|---|--|---|---|----------------|
| 1.5 To ensure that all necessary action is taken on any change to pension scheme rules. | 1.5.1 Ensure that processes change to reflect regulation changes   | Complete changes within 1 month of a regulation change  | The Local Government Pension Scheme (Amendment) Regulations (Northern Ireland) 2013 were made on 15 March 2013 and came into operation on 8 April 2013. Processes were revised within one month of the change                   | On Target      |
|   | 1.5.2 To train relevant staff on any regulation changes  | Relevant staff trained on new regulations by date regulations effective   | Staff were trained on the LGPS (NI) 2013 regulations on 17 April 2013 but as some of the regulations were retrospective it was not possible to achieve this target.   | Not Achievable |
|   | 1.5.3 To have administration systems updated for any new or amended regulations  | To have software tested and installed and to have new forms and procedures developed by date regulation effective | It is only possible to amend forms etc once the regulations are made so this objective was not achievable.  | Not Achievable |
|   | 1.5.4 To train relevant staff on the LGPS 2014 scheme  | Relevant staff trained on LGPS 2014 scheme by date scheme effective.  | The draft LGPS 2014 (Benefits) regulations were issued for consultation on 11 April 2013 and staff were briefed on 26 April 2013. Comprehensive regulations remain outstanding and the new scheme has been deferred until 2015. | Behind Target  |
|   | 1.5.5 To have administration systems updated for the LGPS 2014 scheme and all necessary procedures in place to administer the scheme | To have new software tested and installed, to have new forms and procedures developed by date scheme effective    | Test software release is expected in January 2014. The deferral of the new scheme and absence of regulations meant it was not possible to meet the performance indicator by 31 March 2014.                                      | Behind Target  |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>Outcome</b> |
|---|--|---|---|----------------|
|   | 1.5.6 To issue guidance to employers on the LGPS 2014 scheme including changes to the contribution rates where appropriate | To have prepared and distributed guidance on the LGPS 2014 scheme within 3 months of confirmation of the Department of Environment's intentions | Employer briefing seminars were held in May 2013 and a detailed circular issued in April 2013 describing the proposed new scheme. Employer training took place in October with HR and Payroll Guides issued in December 2013. The deferral of the new scheme and absence of regulations meant it was not possible to meet the performance indicator by 31 March 2014. | Behind Target  |
|   | 1.5.7 To introduce systems to monitor and improve data quality and ensure common data quality adequate meets TPR standards | 100% accuracy for post June 2010 data. 95% legacy data deemed adequate  | Post June 2010 data accuracy – 99.84%<br>Legacy record data accuracy - 99.45%   | On Target      |
| 1.6 To ensure that systems and procedures comply with new or recent legislation | 1.6.1 To respond to Data Protection and Freedom of Information requests  | Within 40 days (DPA) or 20 days (FOI) of request  | 14 FOI requests and 23 subject access requests (SARs) received up to 31 December 2013 were responded to within deadline.  | On Target      |
| 1.7 To ensure NILGOSC attracts and retains well trained personnel               | 1.7.1 To ensure all staff complete training plans and undertake appropriate training.                                      | That all staff complete plans and that training is received.  | All staff training needs were identified by 30 July 2013. Staff completed 1,066 hours of training during the period to 31 December.   | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>                         | <b>Progress</b>   | <b>Outcome</b>         |
|--|---|--|---|------------------------|
|  | 1.7.2 To implement the revised staff and management structure   | New structure operational by 30 September 2013       | With the exception of one, all new posts identified in the revised staff structure were filled by 30 September. Following an unsuccessful recruitment exercise, one post remains vacant. The new pension administration structure was operational by 30 September 2013. | Substantially Achieved |
| 1.8 To ensure that the office environment is adequate to meet the growing needs of stakeholders and staff. | 1.8.1 To maintain and improve office facilities to meet the ongoing needs of stakeholders and staff     | Full office refurbishment completed by 31 March 2016 | Architect appointed and plan and budget for phase 1 agreed. Work is due to commence in March 2014.  | On Target              |
| 1.9 To update address information of those members who have not informed NILGOSC of address changes        | 1.9.1 To use external databases/tracing services to track down members with missing address information | To have an accurate address database.                | DWP bulk letter forwarding service is used for members whose post is returned as undelivered, and a trial of Locate GB online tracing service is underway,  | On Target              |
| 2.1 To value the scheme assets and liabilities and set contribution rates accordingly                      | 2.1.1 Undertake Actuarial valuation every 3 years.  | Publish valuation by 31 March 2014                   | The valuation is being finalised and will be issued by 31 March 2014.   | On Target              |
|  | 2.1.2 To ensure employer contribution rates for 2013/14 implemented.                                    | Collect higher contributions from 1 April.           | All employers have confirmed they are paying the new contribution rate for 2013/14.   | Achieved               |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b> |
|--|--|---|--|----------------|
| 2.2 To invest scheme funds in accordance with the Statement of Investment Principles | 2.2.1 To achieve investment performance in line with targets                   | NILGOSC benchmark   | 3 year relative total return to 30 September 2013 was -0.79%.  | Behind Target  |
|  | 2.2.2 To monitor and regulate investment management                            | That no manager breaches investment guidelines and that under performance is promptly addressed   | At 30 December 2013 no fund manager had breached investment guidelines and underperformance was addressed through the scorecard process.   | On Target      |
|  | 2.2.3 To maximise income from scheme assets                                    | Amount of income earned.  | Commission Recap: £2,668.37 to 30 Nov 2013 (excl Sept); Stocklending: £131,601.27 to 30 Nov 2013; Class Actions: £89,484.85 to 31 December 2013.   | N/A            |
| 2.3 To understand and adopt good practice in Public Sector fund management           | 2.3.1 Implement the Responsible Investment Policy                              | Vote in as many company meetings as possible, recoup earnings through class actions and to engage with companies to improve governance. | Votes cast at all 405 meetings where research allowed an informed decision to be made. 90 engagement letters issued to UK companies. £89,484.85 recovered through class actions to 31 December 2013. | On Target      |
|  | 2.3.2 Review Statement of Investment Principles and Funding Strategy Statement | Revise FSS and revise SIP when necessary  | The FSS was revised, subjected to consultation and approved by the Committee on 23 October 2013. The SIP was revised and approved by the Committee on 23 April and 25 June 2013.                     | On Target      |
|  | 2.3.3 To review employer covenants and address weaknesses                      | Review complete by March 2014. Weaknesses addressed by March 2015.  | The employer covenant review exercise commenced in November and a significant number of employers have been assessed. Work is ongoing to complete the exercise.                                      | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b> |
|--|---|---|--|----------------|
| 3.1 To actively encourage retention in, and new membership of, the Scheme  | 3.1.1 To monitor the level of members opting-out of the scheme, understand the reasons and market the Scheme to non-members | Increase Scheme membership by 10% between April 2012 and March 2015   | Membership at April 2012 was 44,030. Membership at 31 December 2013 was 48,127 representing an increase of 9%.       | On Target      |
| 3.2 To provide general scheme information to scheme employers, their employees, members and pensioners through active engagement | 3.2.1 Publish comprehensive scheme literature and guidance  | Within 2 months of Scheme changes   | Scheme literature revised following the Amendment regulations.   | On Target      |
|  | 3.2.2 Provide employee and employer seminars  | Within 1 month of request or later if requested<br>Employer satisfaction rating as measured through annual satisfaction survey. | 17 seminars were conducted including 5 employer training sessions to 81 staff representing 35 employing authorities. | On Target      |
|  | 3.2.3 To publish the annual report in the NI Assembly.  | At end of Summer recess   | The Annual Report and Accounts 2012/13 was laid with the NI Assembly on 24 September 2013.                           | Achieved       |
|  | 3.2.4 To review and develop the Communications Strategy   | Review completed by 31 March 2014.  | A Communications Plan for 2013 has been agreed with an action to develop a Communications Strategy by 31 March 2014. | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b> |
|---|--|---|--|----------------|
| 3.3 To provide members and employers with specific details of regulation changes                        | 3.3.1 Communication of any regulation changes  | Within 3 months of regulations being made   | Circular issued to employers on 22 April 2013. Member communication covered in annual newsletters.               | On Target      |
|   | 3.3.2 To advise all new members of the benefits of the pension scheme  | Issue guidance to new scheme members and membership certificates within 20 working days of receipt                  | 8165 new members YTD<br>Average time taken - 2 days  | On Target      |
|   | 3.3.3 To brief members and employers on the post-Hutton LGPS (LGPS 2014).  | Communications issued within 3 months of regulations made.  | Employers briefing seminars and training sessions were held on the draft LGPS 2014 regulations.                  | On Target      |
| 3.4 To provide advice on the pensions implication of other changes such as public sector reorganisation | 3.4.1 Continue to work with RPA affected bodies and staff to explain pension implications of RPA transfers.      | Meetings with bodies, advice given to members, satisfaction with NILGOSC service. Representation on working groups. | Attendance at the HR Working Group, ALACE and SOLACE as requested as well as meetings with affected individuals. | On Target      |
|   | 3.4.2 Determine the implications of Local Government reorganisation on the ability to deliver a pension service. | Produce a staff plan within 3 months of RPA decisions being made  | No decisions made as at 31 December 2013.  | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>                                     | <b>Progress</b>   | <b>Outcome</b> |
|---|---|--|---|----------------|
| 4.1 To respond to consultation on changes to the LGPS and actively contribute to consultee groups | 4.1.1 To ensure that employers are aware of potential scheme changes  | All employers informed of key potential scheme changes           | Employers advised of key changes under 2014 Scheme by Circular 06/2013, 10/2013 and 15/2013.  | On Target      |
|   | 4.1.2 To respond to Government consultation exercises   | By consultation reply date                                       | NI Pension Bill response made   | On Target      |
|   | 4.1.3 To respond to Department of the Environment consultation exercises  | By consultation reply date                                       | DOE LGPS 2014 High level and detailed responses made. Councillors Severance Scheme response made.   | On Target      |
|   | 4.1.4 To contribute to consultee groups eg NAPF, LGPC, OAG, LAPFF etc   | To have representation on all groups                             | Representation continues. OAG disbanded Sep 2013.   | On Target      |
| 4.2 To engage with, and inform, interested parties and relevant decision makers                   | 4.2.1 To identify interested parties and decision makers for relevant issues and ensure they are adequately briefed on the consequences for NILGOSC | Ratio of briefing materials and meetings to the number of issues | LGPS 2014: Correspondence with DOE, Employer Seminars, letters to Minister, submission to Environment Committee, correspondence and meeting with DFP. Auto Enrolment: 3 circulars 2 seminars. Pensions Bill: DFP consultation, Environment Committee submission | On Target      |
| 4.3 To improve the Scheme Regulations for the benefit of employers and members                    | 4.3.1 Identify potential changes to the existing regulations or draft regulations and lobby the Department to make the changes.                     | Formal notification of amendments to the Department              | Detailed recommendations made to DOE in respect of LGPS2014 which included improvements to the scheme.  | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>Outcome</b>           |
|---|--|---|--|--------------------------|
| 5.1 To maintain corporate governance arrangements appropriate for a public body | 5.1.1 Respond to External Auditor letters  | Within 10 working days  | Responded to External Auditor Management Letter within 3 working days.   | Achieved                 |
|   | 5.1.2 Review of NILGOSC Internal Controls  | Annually by 31 March  | Governance Statement prepared for year end 2012/13   | Achieved                 |
|   | 5.1.3 Participate in NFI exercise and extend data exchanged                      | Identify invalid payments and recoup losses.  | At 31 December 2013, a total of £35,493.87 has been identified as overpayments. Of these, £9,760.26 has been repaid, £312.33 is irrecoverable and £25,421.28 is in the process of being recovered. The six monthly NFI mortality screening data upload took place on 29 November 2013. The matches are due to be released in January 2014. | On Target                |
|   | 5.1.4 To test Business Continuity procedures and ensure effective                | Annual test of Business Continuity Plan   | The annual test of the BCP took place in November 2013. The test was successful and the results, together with the action plan, were reported to SMT on 16 December.   | On Target                |
|   | 5.1.5 Maintain a Risk Register and take actions to mitigate identified risks     | The Risk Register is compiled, reviewed quarterly and action identified is completed. | The 2013/14 Risk Register was approved by the Audit Committee on 28 May and the Management Committee on 25 June 2013. Quarterly reviews have been undertaken by SMT.   | On Target                |
|   | 5.1.6 To undertake a triennial review of the Organisation's Strategic Objectives | Review undertaken by 31 December 2014.  | Not due in this corporate plan reporting period  | On Target                |
|   | 5.1.7 To undertake the retendering of goods and services                         | Tenders completed in line with procurement schedule                                   | The banking tender has been completed. A decision has been taken to postpone the legal tender due to competing priorities.   | Moderately Behind Target |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|--|--|--|---|----------------|
|  | 5.1.8 To ensure that all Committee members undertake appropriate training, including induction training, in line with good practice. | Each member has undertaken 40 hours of training/development per annum.           | As at 31 December 2013, members had completed 496 hours of training, resulting in the Committee being on target to met the annual target. One new member received induction training on 17 May 2013.  | On Target      |
|  | 5.1.9 To develop an Information Strategy   | Information Strategy in place by 31 March 2014                                   | This will be developed following finalisation of the fileplan and disposal schedule in preparation for the implementation of EDRMS.   | On Target      |
| 5.2 To introduce IT developments and other procedures in order to improve efficiency | 5.2.1 Implementation of a Document Imaging System  | DI system installed and operational by March 2014                                | Provider selected and project initiation documentation signed in December 2013. Revised project plan and implementation date pending clarification on LGPS2014 and change in administration software. | Behind Target  |
|  | 5.2.2 Implementation of an electronic records management system  | ERMS installed and operational by March 2014                                     | Provider selected and project initiation documentation signed in December 2013. Revised project plan and implementation date pending clarification on LGPS2014 and change in administration software. | Behind Target  |
|  | 5.2.3 To undertake a back scanning exercise for paper based records  | 100% members files and paper based records held electronically by September 2014 | Provider selected, due diligence completed and contract signed in December 2013.  | On Target      |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|--|--|--|---|----------------|
|  | 5.2.4 To collect member email addresses, automate email address updating and preferencing, and use email for publications if desired by the member | To have an online update system in place by March 2014. To have collected email addresses by June 2014. To start using email addresses for bulk publications by October 2014 | A review of disclosure legislation around collecting and using email addresses has commenced. Fields to hold email addresses and preferences will be available under the new EDRMS software     | Behind Target  |
| 5.3 To manage change in an effective and timely manner   | 5.3.1 To reintroduce an internal newsletter to improve and promote staff communication   | Newsletter in place by 31 August 2013.   | First newsletter issued to staff on 13 June 2013. Quarterly newsletters have been issued in September and December 2013.  | Achieved       |
|  | 5.3.2 To establish project groups to manage projects on a timely and effective manner.   | Projects managed in accordance with PRINCE 2 methodology and in line with project timetable.   | EDRMS project is being managed in line with PRINCE 2 methodology.   | On Target      |
| 6.1 To assess the likely impact of policies on the promotion of equality of opportunity and good relations | 6.1.2 Use the tools of screening and EQIA to determine the likely impact of any new policy   | Screening and/or EQIA completed during the policy development or review process  | Equality Screening training was provided to all managers and staff involved in the screening and EQIA process in November 2013. 7 policies were screened during the period to 31 December 2013. | On Target      |
| 6.2 To ensure NILGOSC personnel policies promote equality of opportunity                                   | 6.2.1 To prepare s55 Report for Equality Commission  | Report prepared by April 2014  | Not due in this corporate plan reporting period   | N/A            |
|  | 6.2.2 To record annual recruitment monitoring information  | Report submitted by 1 May each year  | Annual return for the period to up to 1 Jan 2013 was submitted on 22 April 2013   | Achieved       |

**Northern Ireland Local Government Officers' Superannuation Committee**

**Plan 2013/14 – 2015/16 – Estimate of Performance at 31 March 2014**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>Outcome</b> |
|---|---|--|---|----------------|
| 6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission | 6.3.1 To review and update Equality Scheme Action Plan and communicate changes to the Equality Commission | Changes notified to Equality Commission by 30 April 2013   | Progress against action plan was reviewed at 31 March 2013 and action taken to date has been recorded. No changes have been made to the action plan as at 31 December 2013. | Achieved       |
|   | 6.3.2 To submit s75 Annual Progress Report to include publication of EQIA monitoring information          | Submission to Equality Scheme by 31 August 2013  | The s75 Annual Progress Report was completed and submitted to the Equality Commission on 23 August 2013.  | Achieved       |
|   | 6.3.3 To publicise Equality Scheme in routine publications  | Equality Scheme publicised in Annual Report, Members' News, Deferred Members' News and Pensioners' News. | Annual Equality Statement containing actions undertaken in 2012/13 included in Annual Report laid on 24 September 2013.   | Achieved       |

**Key**

|                                 |   |
|---------------------------------|---|
| <b>Achieved</b>                 | <b>Target met</b>   |
| <b>Substantially Achieved</b>   | <b>Target substantially achieved</b>  |
| <b>On Target</b>                | <b>Progress in line with Plan, completion date not reached</b>              |
| <b>Moderately Behind Target</b> | <b>Performance moderately behind target or achieved outside of deadline</b> |
| <b>Not Achieved</b>             | <b>Target Not Achieved</b>  |