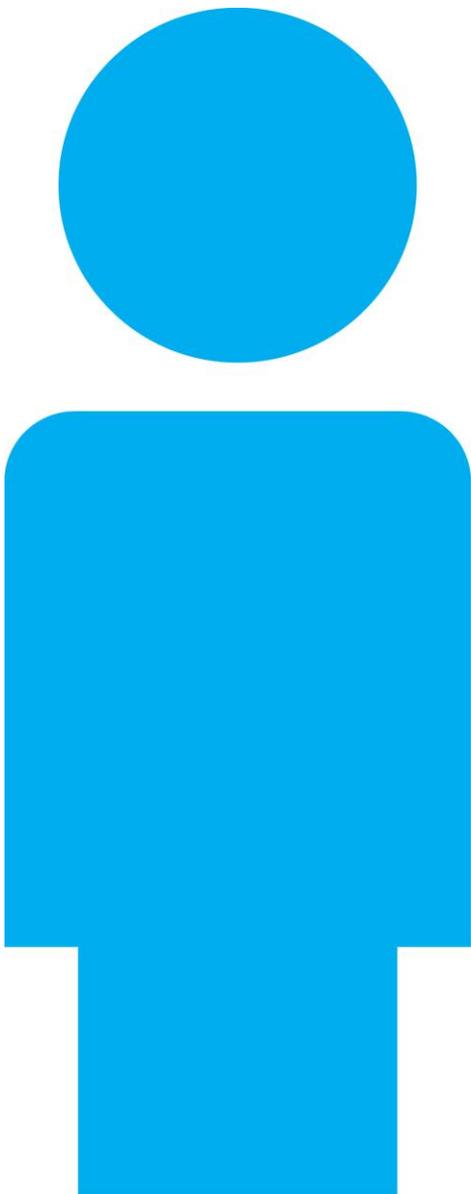


NiLGOSC

NORTHERN IRELAND LOCAL GOVERNMENT OFFICERS'
SUPERANNUATION COMMITTEE



Corporate Plan

2015/16 - 2017/18

Northern Ireland Local Government Officers' Superannuation Committee

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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 Management 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 With effect from 1 April 2015, the governing regulations are the Local Government Pension Scheme Regulations (Northern Ireland) 2014, the Local Government Pension Scheme (Amendment and Transitional Provisions) Regulations (Northern Ireland) 2014 and the Local Government Pension Scheme (Management and Investment of Funds) Regulations (Northern Ireland) 2000.

2 The Corporate Plan

- 2.1 The rolling Corporate Plan covers the three-year period from 1 April 2015 to 31 March 2018.
- 2.2 Its main purpose is to:-
- state the Vision and Mission of NILGOSC
 - state the aims of NILGOSC
 - set out the key objectives of NILGOSC
 - provide an administrative budget
 - state NILGOSC's values and service standards.
- 2.3 NILGOSC undertook its last 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). The next strategic review is scheduled to be undertaken in 2015 and the outcome of this exercise will be incorporated into the Corporate Plan 2016/17-2018/19.
- 2.4 The Plan will be reviewed and revised annually. Progress in meeting the objectives will be reported quarterly to the Management Committee (the Committee) and Department of the Environment and in the Annual Report and Financial Statements.
- 2.5 The Plan has been formulated by NILGOSC taking into account the views of the Committee, 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

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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 Activities in tabular format.

- 2.6 The plan for the three years to 31 March 2018 is driven by NILGOSC's desire to provide a level of service suitable for the stakeholders of today. In doing so NILGOSC aims to comply with government policy for public sector bodies and pension schemes.

3 Vision

- 3.1 NILGOSC's vision is

"To be an excellent Pension Service provider."

4 Mission Statement

- 4.1 NILGOSC'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 The preceding twelve months have been one of significant change for NILGOSC with the introduction of the new Local Government Pension Scheme on 1 April 2015. The new scheme sees a move from a final salary defined benefit scheme to a Career Average Revaluated Earnings (CARE) defined benefit scheme and sees a fundamental change in the way that scheme benefits are accrued. While significant preparation has taken place in advance of the effective date, the implementation of the CARE scheme brings with it continued challenges as NILGOSC adapts its systems and processes to administer the new scheme effectively. As with any regulatory change which has a significant impact on the administration of the pension scheme, the transition will

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undoubtedly bring with it teething problems as new software is tested in a live environment and staff adapt to new processes and procedures.

- 5.2 Perhaps the most significant operational challenge relates to the pension administration software, which is a bespoke system developed and supported by a third party provider. The timing of the delivery of final scheme regulations, followed by a period of software development and testing, resulted in software being released in the first quarter of 2015. It is therefore anticipated that activities surrounding the introduction of the new scheme will continue into the first half of 2015/16 as NILGOSC seeks to continuously improve the service it delivers to its stakeholders. The Corporate Plan 2015/16-2017/18 continues to focus on service delivery and includes a number of objectives and operational actions relating to service standards and meeting stakeholder expectations.
- 5.3 In addition to servicing the members of the pension scheme, NILGOSC also provides a vital service to its other key stakeholder group, the 200+ employing authorities that contribute to the scheme. During 2014/15, NILGOSC delivered its communication and education plan to help employers prepare for the new administration requirements of the CARE scheme. The implementation of the new scheme on 1 April 2015 not only affects the software that NILGOSC uses to administer the scheme, but also scheme employers, who will also be required to make substantial software changes to their payroll and HR systems in order to provide NILGOSC with the information required. The release of final regulations at the end of June 2014 has left a relatively narrow window for software development and testing for NILGOSC and scheme employers alike. Should employers be unable to fully implement the changes in advance of the effective date and provide the information required under the new regime, this will have a detrimental impact on NILGOSC's ability to provide a service to members and administer the scheme in line with the regulations.
- 5.4 Stakeholder communication remains a top priority for NILGOSC in the current corporate planning period and a number of objectives and operational actions relate to keeping members and employers informed of changes to the scheme and the pensions sector. In order to improve efficiency and meet the needs of our members and employers, the business plan includes various actions promoting the use of electronic communications and developments to facilitate increased automation and direct access to services.
- 5.5 NILGOSC is acutely aware that change in general can trigger uncertainty and is therefore keen to ensure that the move from a final salary to a CARE scheme does not have an adverse impact on its membership. Difficult economic conditions and financial constraints for many individuals, together with a backdrop of a new benefit structure, reinforces the importance of effective communication with both existing and potential members. The business plan continues to include objectives and actions which seek to inform current and prospective members of the benefits of being in the scheme and active engagement and outreach to stakeholders continues to form a key part of the Plan. Given the planned rationalisation in the public sector during the rolling three year period covered by this Plan, the focus has shifted to maintaining membership levels at current levels rather than aiming for a year on year increase as in previous periods.
- 5.6 The long term financial position of many of the scheme employers remains uncertain in the current climate of public sector spending restraint, and NILGOSC continues to seek to ensure that the Fund is adequately protected with a continued focus on achieving solid investment returns as well as addressing affordability concerns. Monitoring of employer covenants and managing risk in conjunction with the funding strategy will be

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a key activity going forward.

- 5.7 Rolling forward from the previous Plan, actions for the year ahead include a number of IT related projects which are designed to improve efficiency and enhance service delivery. Progress will continue in respect of the planned introduction of an Electronic Document Records Management System which will revolutionise the way in which NILGOSC stores and manages information. 2015/16 will also herald the start of a new project to procure and deliver a pension administration system for December 2017 onwards, the date on which the current contract expires. This will be a substantial, cross-function project which will start with a system requirement review and development of a full tender specification and will include the procurement of a pension administration system and subsequent implementation. The additional resource requirements for this project have been scoped and included in the 2015/16 Budget.
- 5.8 NILGOSC recognises that its staff are its key business asset and continuously seeks to be an employer of choice within both the public and private sector. Staff turnover has been higher than usual over the previous corporate planning period and the 2015/16 Plan includes a number of operational actions to help address this issue including a review of staff turnover, a review of current staffing levels and structure and staff training initiatives. The ongoing changes expected in the public sector over the coming 12-18 months will stretch existing resources within NILGOSC as many of our employers face staff reductions, together with the implementation of local government reform and the civil service voluntary redundancy scheme. Such activities have a knock on effect on the membership of the NILGOSC scheme and an increase in retirements and redundancies are expected over a relatively condensed period of time. It is anticipated that additional staff will be required to manage this expected spike in demand for quotations and benefit payments and this has been incorporated into the 2015/16 Budget. A further consequence of changes in the sector is an increase in demand for public meeting space, as more and more members avail of the opportunity to visit us at our offices. A full office refurbishment cycle had already been incorporated into the previous year's Plan and phases two and three of the refurbishment are included in the 2015/16-2017/18 Plan.
- 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, the 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 2015/16 will be included in the Annual Report and Accounts for the Year Ended 31 March 2016.

6 Review of the Annual Corporate Plan 2013/14 and 2014/15

- 6.1 A review of NILGOSC's performance in the preceding financial year, together with an estimate of performance for 2014/15, is attached at Annex C and Annex D respectively.
- 6.2 With respect to the 2014/15 year, a significant proportion of the annual plan is expected to be complete as at 31 March 2015, although some longer term projects roll forward into future periods. The following projects or activities are not expected to be complete or have a completion date which falls outwith the 2014/15 planning period and have been carried forward to this year's corporate plan:

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- Implementation of an electronic document records management system
- Review of employer covenants in conjunction with future funding mechanisms
- Administration systems and procedures updated for LGPS 2015
- Development of electronic communication channels
- Full office refurbishment cycle

- 6.3 The biggest threat to the achievement of the 2014/15 Corporate Plan remains the tight timeframe surrounding the introduction of the new LGPS 2015 scheme on 1 April 2015. The 2014/15 business plan included various actions surrounding the new scheme including the action to have administration systems and software updated and all necessary procedures in place to administer the scheme within 3 months of regulations being made. This was an extremely challenging objective which requires all scheme literature, third party software, processes and procedures to be updated ahead of the introduction of the new career average scheme. As the Department issued final scheme regulations on 27 and 30 June 2014, this resulted in a nine month window for the development, testing and delivery of bespoke pension administration software. The third party supplier of the pension administration software for the new scheme, Heywood, is unable to deliver a tested version of the software until February 2015, thereby delaying the formation of new processes and procedures until the final month of the financial year. Given the scale of the changes to the LGPS, together with the fact that the final regulations differed in parts to the previous version issued for consultation, the majority of activity will therefore take place in the final three months of the corporate planning period.
- 6.4 For the third year running, achievement rates for service standards have generally been in the 80-100% range, although at the nine-month point several remain short of target performance levels. Preparation for the introduction of the LGPS 2015, ongoing reorganisation and financial restraint in the public sector and an enforced change in pension administration software in the third quarter stretched existing resources and had a detrimental impact on the ability to meet all service standards. Service delivery to both scheme members and employers remains a priority and is reflected in the estimate of performance for the year which shows a large percentage of the plan as Achieved or On Target for the year ended 31 March 2015.
- 6.5 Full details of 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.

7 Aims and Key Objectives for 2015/16 to 2017/18

- 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 and accurately
- To credit pension contributions, transfers and other employer liabilities received promptly and accurately
- To provide members with information needed to make pension decisions

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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.

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

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- 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

7.6 Aim 6: To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfilment 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

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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%
Transfer Out	To pay the cash equivalent within 10 working days of receiving authority.	90%
Transfer In	To provide an estimate of the amount to be credited to the member's pension account within 10 working days of receipt of relevant details.	90%
	To provide confirmation of the amount credited to the member's pension account 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.	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%

* based on normal levels of activity

8.3 Other Targets - Investment

NILGOSC has set an investment performance target at an overall Fund level. The target is to exceed the rate of increase in the Consumer Price Index (CPI) by 5% per annum, to be measured over a three and five year period.

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) or by contacting the Information Officer.

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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, further information on which is accessible at www.nilgosc.org.uk/publication-scheme.

10 Costs of the Corporate Plan

- 10.1 The Corporate Plan for 2015/16 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 2015/16

	£
STAFF COSTS	
Salaries	1,835,385
Superannuation	331,603
National Insurance	124,669
Staff Training	74,285
Staff Travelling	34,700
Chairman's Allowance	13,052
National Insurance	682
Committee's Training Expenses	16,475
Committee's Travel & Expenses	56,924
	2,487,775
OFFICE OVERHEADS	
Rates & Insurance	97,543
Electricity	20,612
Office Rent	8,400
Property Expenses	3,438
Office Service Charges	156,283
Office Cleaning	26,436
	312,712
COMPUTER RUNNING COSTS	
Maintenance	217,011
Materials	10,000
	227,011
DEPRECIATION AND HIRE	
Computers	257,255
Refurbishment	21,463
Templeton House	34,000
Office Equipment	14,227
	326,945
ADMINISTRATION	
Printing, Advertising & Stationery	125,616
Telephone and Communications	61,818
Postage	141,190
	328,624
PROFESSIONAL FEES	
Medicals	57,821
Actuary	45,470
Local Government Auditor	25,000
Internal Audit	28,080
Professional Advice	250,152
Back-scanning	30,000
	436,523
GENERAL EXPENSES	
Bank Charges	9,000
Maintenance	18,437
Miscellaneous	15,853
	43,290
TOTAL EXPENDITURE	4,162,880
Recoverable Costs	107,880
NET EXPENDITURE	4,055,000

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Annex B

Relationship between Corporate Aims, Business Objectives and Operational Action

Corporate Aim	Business Objective	Operational Action	Performance Indicator
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 and accurately	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
		1.1.5 To reconcile member GMP values with those held by HMRC	Reconciliation completed by 31 March 2016
	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 pension accrued annually	For 100% of employers by 31 December
		1.2.3 To credit pension account 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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Corporate Aim	Business Objective	Operational Action	Performance Indicator
		1.3.4 To provide members and deferred members with benefit statements	Benefit statements issued within 6 months of year end
		1.3.5 To provide members with annual allowance statements as applicable	Statements issued by 6 October
		1.3.6 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 monitor and improve data quality and ensure common data quality meets TPR standards	100% accuracy for post June 2010 data 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
		1.6.2 To implement the Retention and Disposal Schedule	Schedule effective by 31 December 2015
	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.

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Corporate Aim	Business Objective	Operational Action	Performance Indicator
		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 review the factors affecting staff retention and identify any areas for improvement.	Review completed by 31 March 2016
	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 December 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 2015/16 implemented.	Collect minimum contributions due under current Rates & Adjustment certificate.
	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.

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Corporate Aim	Business Objective	Operational Action	Performance Indicator
		2.3.2 To undertake a review of the sustainability of the fund including future funding mechanisms	Review complete by March 2016
		<i>2.3.3 Review Statement of Investment Principles and Funding Strategy Statement</i>	Revise FSS and revise SIP when necessary
		<i>2.3.4 To monitor employer covenants in line with Funding Strategy Statement</i>	Review complete by 31 March 2016
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	Maintain active membership levels at March 2015 levels.
		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
		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
		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
	3.4 To provide advice on the pensions implication of other changes such as public sector reorganisation	3.4.1 Continue to work with affected bodies and staff to explain pension implications	Meetings with bodies, advice given to members, satisfaction with NILGOSC service. Representation on working groups

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Corporate Aim	Business Objective	Operational Action	Performance Indicator
		3.4.2 Determine the implications of reorganisation on the ability to deliver a pension service.	Undertake staffing needs assessment by June 2015
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
	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 data matching exercises as appropriate	Identify invalid payments and recoup losses.
		5.1.4 To test Business Continuity procedures and ensure effective	Annual test of Business Continuity Plan

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Corporate Aim	Business Objective	Operational Action	Performance Indicator
		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 prepare specification and procure pension administration software to be operational by 31 December 2017	Software operational by 31 December 2017
		5.2.3 To continue to collect member email addresses, automate email address updating and preferencing, and use email for publications if desired by the member	Increase members opting for electronic publications by March 2016 by 10%
		5.2.4 To implement a system to allow for direct access to services by members.	System operational by December 2017
		5.2.5 To undertake a business process review of key systems.	Review undertaken by September 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.

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Corporate Aim	Business Objective	Operational Action	Performance Indicator
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	Report prepared by April 2015
		6.2.2 To record annual recruitment monitoring information	Report submitted by 1 May each year
	6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission	6.3.1 To implement the Equality Scheme Action Plan 2015/16-2017/18	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 2015
		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 2013/14 – 2015/16 – Actual Performance at 31 March 2014

Annex C

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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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	All payments YTD made on time	Achieved
	1.1.2 To pay pension lump sums promptly and accurately	Within 10 working days of the receipt of the relevant details	1,462 lump sum payments made YTD Average time taken - 7 days	Achieved
	1.1.3 To pay refunds of contributions promptly and accurately	Within 10 working days of receiving a valid application	85 refund payments made YTD Average time taken - 6 days	Substantially Achieved
	1.1.4 To pay transfer payments promptly and accurately	Pay the cash equivalent within 10 working days of receiving authority	84 transfer out payments made YTD Average time taken - 7 days	Substantially Achieved
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 4 contributions paid late per month for which letters/late payment invoices are issued.	Substantially Achieved
	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	256 transfers in confirmed YTD Average time taken - 8 days	Achieved

Northern Ireland Local Government Officers' Superannuation Committee
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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	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.	Achieved
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	17,678 items of correspondence processed YTD Average time taken - 1 day	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	2,544 early leaver notifications processed YTD Average time taken - 14 days	Substantially Achieved
	1.3.3 To provide members with benefit quotations on request.	Benefit quotations issued within 10 working days	2,423 benefit quotations issued YTD Average time taken - 6 days	Substantially Achieved
	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	296 transfer out quotations issued YTD Average time taken - 8 days	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	Within 10 working days of receipt of relevant proof of title	40 dependants' pensions processed YTD Average time taken - 5 days	Achieved
	1.4.2 To pay death grants promptly	Within 10 working days of receipt of relevant proof of title	72 death grants processed YTD Average time taken - 7 days	Achieved

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Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2014

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	Achieved
	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 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	As some of the LGPS(NI)2013 regulations were retrospective, it was not possible to achieve this action.	Not Achieved
	1.5.4 To train relevant staff on the LGPS 2014 scheme	Relevant staff trained on LGPS 2014 scheme by date scheme effective.	As the LGPS 2014 has been deferred to 1 April 2015, this action will be carried forward to the 2014/15 corporate plan.	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	As the LGPS 2014 has been deferred to 1 April 2015, this action will be carried forward to the 2014/15 corporate plan. New Scheme software is in the test facility.	On Target

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	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 on 7 and 9 May 2013 and a detailed circular was issued to employers on 25 April 2013 describing the proposed new scheme. Employer training took place in October. HR and Payroll Guides were issued to employers in Dec 2013. The Scheme was then postponed to 1 April 2015.	On 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% Legacy record data accuracy - 99.45%	Substantially Achieved
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	18 FOI requests and 45 subject access requests (SARs) received up to 31 March 2014. All were responded to within deadline.	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.	All staff training needs (for the year Apr-13 to Mar-14) were agreed by 30 July 2013. During the year ended 31 March 2014 staff completed 1,752 hours of training, which was in line with training plans.	Substantially Achieved
	1.7.2 To implement the revised staff and management structure	New structure operational by 30 September 2013	All new posts identified, with the exception of the training officer post, had postholders in place by 30 Sept. Following two unsuccessful recruitment exercises, this post is currently with an executive search agency. The new pension administration structure was operational by 30 Sept 2013.	Substantially Achieved

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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 for top floor agreed. Budget and procurement plan approved by the Committee in October 2013. Work is due to commence in Summer 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.	We continue to use the DWP bulk letter forwarding service for members whose post is returned as undelivered, and are also using the 192 online tracing service.	Substantially Achieved
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 2014	Triennial valuation report issued to employers on 31 March 2014.	Achieved
	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
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 and 5 year return to 31 December 2013 was ahead of fund target of CPI+5%.	Achieved

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	2.2.2 To monitor and regulate investment management	That no manager breaches investment guidelines and that under performance is promptly addressed	At 31 March 2014 no fund manager had breached investment guidelines and underperformance was addressed through the scorecard process.	Achieved
	2.2.3 To maximise income from scheme assets	Amount of income earned.	Commission Recap: £4,005.47 to 28 Feb 2014 (excl Sept); Stocklending: £384,735.67 (£198.5k paid in Feb 2014 due to system error) to 28 Feb 2014; Class Actions: £104,348.67 to 31 March 2014.	Achieved
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 457 meetings where research allowed an informed decision to be made. 97 engagement letters issued to UK companies. £104,348.67 recovered through class actions to 31 March 2014.	Achieved
	2.3.2 Review Statement of Investment Principles and Funding Strategy Statement	Revise FSS and revise SIP when necessary	The FSS was revised and issued for consultation on 11 July 2013 and approved by the Committee at its meeting on 23 October. The FSS was subsequently issued to employers on 14 November 2014. The SIP was revised and approved by the Committee on 23 April and 25 June 2013.	Achieved
	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. Some further work is required and it is expected the initial risk assessment will be completed by 30 June 2014.	On Target

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	Membership at April 2012 was 44,030. Membership at 31 March 2014 was 50,021 representing an increase of 14%.	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	Achieved
	3.2.2 Provide employee and employer seminars	Within 1 month of request or later if requested Employer satisfaction rating as measured through annual satisfaction survey.	31 seminars were conducted including 5 employer training sessions to 81 staff representing 35 employing authorities. Satisfaction survey will be issued in April 2014.	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 2013/14 was agreed. The review has been completed and a strategy has been drafted.	Substantially Achieved

Northern Ireland Local Government Officers' Superannuation Committee
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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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 and individual letters issued in March.	Achieved
	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	11,448 new members YTD Average time taken - 2 days	Achieved
	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 were held on the draft LGPS 2014 regulations. Employer training sessions held in October. Annual newsletter in October and individual letters issued in March updated members.	Achieved
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.	Achieved
	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 during 2014/15 which required a review of resources.	On Target

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	Employers advised of key changes under 2014 Scheme by several circulars.	Achieved
	4.1.2 To respond to Government consultation exercises	By consultation reply date	NI Pension Bill response made.	Achieved
	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.	Achieved
	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.	Achieved
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	(1) LGPS 2014: Correspondence with DOE, Employer Seminars, letters to Ministers, submission to Environment Committee, correspondence and meeting with DFP. (2) Auto enrolment: 3 circulars and 2 seminars for employers. (3) Pensions Bill: DFP consultation, Environment Committee submission.	Achieved
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.	Achieved

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Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	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 y/e 2012/13	Achieved
	5.1.3 Participate in NFI exercise and extend data exchanged	Identify invalid payments and recoup losses.	At 31 March 2014, a total of £40,292.03 has been identified as overpayments: - £29,531.12 re 2012/13 NFI Exercise - £10,760.91 re Mortality Screening Of these, £12,665.12 has been repaid, £679.28 is irrecoverable/written-off and £26,947.63 is in the process of being recovered.	Achieved
	5.1.4 To test Business Continuity procedures and ensure effective	Annual test of Business Continuity Plan	The annual test of the plan took place in November 2013. The test was successful and the results, together with the action plan, were reported to the ARAC on 25 February 2014. All outstanding actions were completed and updated USB's were issued by 3 March 2014.	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.	The 2013/14 Risk Register was agreed by the SMT on 1 May 2013 and subsequently approved by the Audit Committee on 28 May and the Management Committee on 25 June 2013. Quarterly reviews were undertaken in April, July, October and January.	Achieved

Northern Ireland Local Government Officers' Superannuation Committee

Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2014

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	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	N/A
	5.1.7 To undertake the retendering of goods and services	Tenders completed in line with procurement schedule	Work has commenced to complete a procurement schedule for NILGOSC to set out the tender requirements over the next 5 years.	Moderately Behind Target
	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 March 2014, members had completed 738.5 hours of training, resulting in the Committee as a whole meeting its target to date. 1 member has not met his target to 31 March 2014 . Mr L Todd received induction training on 17 May 2013.	Substantially Achieved
	5.1.9 To develop an Information Strategy	Information Strategy in place by 31 March 2014	An Information Strategy was drafted by 31 March 2014.	Substantially Achieved
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 contractual terms agreed. Initial project timeframe postponed pending clarification on LGPS2015 and change in administration software. An updated action has been carried forward to the 2014/15 corporate plan.	Not Achieved
	5.2.2 Implementation of an electronic records management system	ERMS installed and operational by March 2014	Provider selected and contractual terms agreed. Initial project timeframe postponed pending clarification on LGPS2015 and change in administration software. An updated action has been carried forward to the 2014/15 corporate plan.	Not Achieved

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Corporate Plan 2012/13 – 2014/15 – Actual Performance at 31 March 2014

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	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	Backscanning commenced March 2014.	On Target
	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 Jun 2014. To start using email addresses for bulk publications by Oct 2014	An online updating system is in place and members have started to provide email addresses through a secure portal on the website. All active members were advised during March 2014.	On 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 thereafter.	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. To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfilment of the Section 75 obligations				
6.1 To assess the likely impact of policies on the promotion of equality of opportunity and good relations	6.1.2 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 on 6th and 12th November 2013. Four policies were screened during Q4 of 2013/14.	Achieved

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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 2014 was submitted on 22 January 2014.	Achieved
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 March 2014.	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:

Achieved	Target Met
On Target	Substantially Achieved (>90%) or Progress in line with Plan
Caution	Moderately Behind Target (between 75% and 90%)
Behind Target/Not Achievable	Significantly Behind Target (>75%) or Not Achieved

Northern Ireland Local Government Officers' Superannuation Committee

Annex D

Corporate Plan 2014/15 – 2016/17 – Estimate of Performance at 31 March 2015

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	266,918 pensions paid YTD All paid by last banking day	On Target
	1.1.2 To pay pension lump sums promptly and accurately	Within 10 working days of the receipt of the relevant details	1,075 pension lump sums paid YTD Average time taken YTD - 8 days	On Target
	1.1.3 To pay refunds of contributions promptly and accurately	Within 10 working days of receiving a valid application	51 refunds paid YTD Average time taken YTD - 9 days	Caution
	1.1.4 To pay transfer payments promptly and accurately	Pay the cash equivalent within 10 working days of receiving authority	78 transfer out payments YTD Average time taken YTD - 8 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 6 employing authorities paid late per month. Credit Control Policy and Procedures applied and letters/late payment invoices issued as required.	On Target
	1.2.2 To reconcile contributions received and service credited annually	For 100% of employers by 31 December	197 out of 204 annual returns queried YTD	On 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	114 transfer in confirmations YTD Average time taken YTD - 10 days	On Target

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	1.2.4 To obtain and advise employers of actuarial costs and agree payment schedule promptly	Within 20 working days of receipt of information	All carried out within 20 working days.	On Target
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	15,726 items of correspondence YTD Average time taken YTD - 3 days	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	2,082 early leaver notifications YTD Average time taken YTD - 18 days	Caution
	1.3.3 To provide members with benefit quotations on request.	Benefit quotations issued within 10 working days	2,097 benefit quotations issued YTD Average time taken YTD - 6 days	On Target
	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	Deferred statements issued in July 2014. 45,228 active statements were issued in August/September.	Achieved
	1.3.5 To provide an estimate of a cetv	Within 20 working days of receipt of relevant details	218 transfer out quotations YTD Average time taken YTD - 13 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	30 dependants' pensions YTD Average time taken YTD - 6 days	On Target
	1.4.2 To pay death grants promptly	Within 10 working days of receipt of relevant proof of title	654 death grants paid YTD Average time taken YTD - 3 days	On Target

Northern Ireland Local Government Officers' Superannuation Committee

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	No amending regulations issued during quarter. See 1.5.5 for action re LGPS 2015.	On Target
	1.5.2 To train relevant staff on any regulation changes	Relevant staff trained on new regulations within 3 months of regulations made	No amending regulations issued during quarter. See 1.5.5 for action re LGPS 2015.	On Target
	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	No amending regulations issued during quarter. See 1.5.5 for action re LGPS 2015.	On Target
	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	All staff had practitioner training on 9 & 10 October 2014.	Substantially Achieved
	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	New software in the Test service from January 2015, therefore testing and new procedures will not be available within 3 months of the regulations being made (June 2014) due to scale of changes in LGPS 2015.	Caution

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	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	Circular 09/2014 was issued to all employers on 26 September advising of the changes to the Scheme. Employers attended LGPS 2015 training sessions in Belfast and Dungannon on 24 & 30 October and 12 November. HR and Payroll Guides issued to employers.	On Target
	1.5.7 To monitor and improve data quality and ensure common data quality meets TPR standards	100% accuracy for post June 2010 data 95% legacy data deemed adequate	Post June 2010 data accuracy – 99.84% Legacy record data accuracy - 99.45%	On Target
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	5 FOI requests (plus 2 DoE inputs) and 29 subject access requests (SARs) have been received during the period to 31 December 2014. All requests were either responded to within the deadline or are on target to be 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.	100% of appraisals (including identification of training needs) were completed and returned by 30 June 2014. In Q3 - 547 hours of training was completed, giving a YTD figure of 1866 hours. Approximately 60% of the training identified at appraisal has been completed.	On Target

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
	1.7.2 To undertake a review of effectiveness of revised structure and job evaluation exercise.	Review completed by 30 September 2015	Not due in current planning year	On Target
	1.7.3 To undertake a review of the existing recruitment process and documentation	Review completed by 31 March 2015	Review of documentation commenced. A revised application form has been (and will continue to be) trialled for a number of recruitment exercises.	On Target
	1.7.4 To introduce an employee assistance program	Program in place by 31 March 2015	EAP rolled out and operational from December 2014.	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	Phase 1 completed in November 2014.	Caution
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.	2,768 address changes processed YTD Average time taken YTD - 3 days	On Target

Northern Ireland Local Government Officers' Superannuation Committee

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

Business Objective	Operational Action	Performance Indicator	Progress	Outcome
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	No action required at present.	On Target
	2.1.2 To ensure employer contribution rates for 2014/15 implemented.	Collect minimum contributions due under current Rates & Adjustment certificate.	All employers with a change in contribution rate for 2014/15 have confirmed they are paying the correct rate.	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 fund target	3 year and 5 year return to 30 September 2014 was ahead of fund target of CPI+5% by 6.36% and 2.47% respectively.	On Target
	2.2.2 To monitor and regulate investment management	That no manager breaches investment guidelines and that under performance is promptly addressed	At 31 December 2014 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: £1,997.73 to 30 Nov 2014 (incl Sept 2013); Stocklending: £181,983.14 to 30 Nov 2014; Class Actions: £15,003.07 to 31 December 2014.	On Target

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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.	Votes cast at all 414 meetings where research allowed an informed decision to be made. 108 engagement letters issued to UK companies. £15,003.07 recovered through class actions to 31 December 2014.	On Target
	2.3.2 To undertake a review of the sustainability of the fund including future funding mechanisms	Review complete by March 2016	Individual employer data being gathered. Initial discussion with Actuary.	On Target
	2.3.3 Review Statement of Investment Principles and Funding Strategy Statement	Revise FSS and revise SIP when necessary	The FSS was last updated in 2013 and subsequently issued to employers on 14 November 2013. The SIP was last updated and approved by the Committee on 29 April 2014.	On Target
	2.3.4 To review employer covenants and address weaknesses	Weaknesses addressed by March 2015.	Further work is required to identify the weaknesses before they can be addressed. It is expected this will re-commence in Q4.	Caution
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	Membership at April 2012 was 44,030. Membership at 31 December 2014 was 51,466 representing an increase of 17%.	On Target

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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	New Scheme literature and guidance is being drafted for the new Scheme.	On Target
	3.2.2 Provide employee and employer seminars	Employer satisfaction rating as measured through annual satisfaction survey	14 seminars conducted - 3 for councillors, 2 retirement, 1 scheme benefits, 6 LGPS 2015 and automatic enrolment and 2 on RPA and Severance	On Target
	3.2.3 To lay the annual report in the NI Assembly.	In accordance with date agreed with Department	2013/14 Annual Report and Accounts laid with the NI Assembly on 8 September 2014.	Achieved
	3.2.4 To implement the Communications Strategy	Actions completed in line with target dates	Pension Benefit Statements issued on time, videos added to the website, literature updated and circulated to employers.	On Target
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	See 3.3.3 for LGPS 2015 actions	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	6,976 new members YTD Average time taken YTD - 1 day	On Target
	3.3.3 To brief members and employers on the LGPS 2015.	Communications issued within 3 months of regulations made.	Circular 09/2014 was issued to all employers on 26 September advising of the changes to the Scheme. Employer training seminars in October and November 2014 had 306 attendees. Further employer training on discretions to take place in January.	On Target

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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	Meetings and communications ongoing with affected bodies and the Local Government Staff Commission.	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	Under continuous review. Public sector reorganisation has the potential to impact on staffing levels in Q4 and an initial assessment will be undertaken in January 2015.	On Target
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	Employers informed of key potential scheme changes.	On Target
	4.1.2 To respond to relevant Government consultation exercises	By consultation reply date	All relevant consultations responded to directly or indirectly.	On Target
	4.1.3 To respond to Department of the Environment consultation exercises	By consultation reply date	All relevant consultations responded to directly.	On Target
	4.1.4 To contribute to consultee groups eg NAPF, LGPC, LAPFF etc	To have representation on all groups	Representation has continued to date.	On Target

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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	Major issue to date was HMRC registration which has been resolved.	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	DOE made latest Regulations which reflected advice from NILGOSC. Further lobbying for improvements continuing.	On Target
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	External Auditor letter responded to within 3 working days	Achieved
	5.1.2 Review of NILGOSC Internal Controls	Annually by 31 March	Governance statement published in Sept 2014	Achieved
	5.1.3 Participate in NFI exercise and biannual mortality tracing exercise	Identify invalid payments and recoup losses.	At 30 September 2014, a total of £40,292.03 has been identified as overpayments: - £29,531.12 re 2012/13 NFI exercise - £10,760.91 re mortality screening Of these, £16,474.41 has been repaid, £841.84 is irrecoverable/written-off and £22,975.78 is in the process of being recovered.	On Target

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	5.1.4 To test Business Continuity procedures and ensure effective	Annual test of Business Continuity Plan	The BCP was updated to reflect staff changes and rotations in the various sub-committees of the Management Committee. Updated USBs were issued to the SMT on 28 July 2014. The annual BCP test has been scheduled for Q4.	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 2014/15 was agreed by the SMT on 8 May 2014 and subsequently approved by the Audit & Risk Assurance Committee (ARAC) on 3 June and the Management Committee on 23 June 2014. The first quarterly review took place on 28 July 2014. The second quarterly review took place on 23 October 2014. The outcome of this review was reported to the ARAC on 25 November 2014. The risk register was updated to incorporate the risk appetite and approved by the Committee on 16 December 2014. The third quarterly review is scheduled for 26 January 2015.	On Target
	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.	No action due in current planning period.	On Target
	5.1.7 To undertake the retendering of goods and services	Tenders completed in line with procurement schedule	A Procurement Schedule is in place and tenders are being completed/planned by the Procurement Officer as required during 2014/15.	On Target

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	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.	As at 31 December 2014, members had completed 507.25 hours of training, resulting in the committee as a whole meeting its pro-rata target to date. 3 members have not met their pro-rata target to date. (Celine McCartan - 24 hours, Ciaran Quigley - 26 hours and Peter McMurray - 12.5 hours)	On Target
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.	Project plan kept under review to facilitate change in pension administration software.	On Target
	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	99.8% member files scanned as at 31 December 2014. Remaining 0.2% member files and certain corporate records to be scanned in January 2015.	Substantially Achieved
	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	Email addresses collected for active members and existing email addresses validated for deferred members and pensioners. Currently hold 9,148 active members, 3,127 deferred members and 725 pensioners.	On Target
	5.2.4 To replace the existing telephone system	New system operational by 30 September 2014	New phone system installed and operational by July 2014.	Achieved
	5.2.5 To effectively manage the transition to an alternative pension administration system	Transition completed in line with project plan	Project completed in December 2014	Substantially Achieved

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	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.	Demo of Heywoods member self service software viewed and viewing to be organised with Civica.	On Target
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.	Issued June, September and December 2014.	On Target
	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 and Altair projects being managed in line with best practice. Altair migration successfully completed in December 2014.	On Target
6. To be committed to the need to promote equality of opportunity, the desirability of promoting good relations and the fulfilment 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	Six policies were screened during the quarter ended 30 June 2014. Two further policies were screened during the quarter ended 30 September 2014 and two were screened during the quarter ended 31 December 2014. No EQIAs were deemed necessary.	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	Report prepared by 16 April 2014	Achieved
	6.2.2 To record annual recruitment monitoring information	Report submitted by 1 May each year	Reported submitted 22 Jan 2014	Achieved

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6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission	6.3.1 To implement the Equality Scheme Action Plan 2012/13-2014/15	Actions completed in line with plan.	Progress against the action plan was reviewed for the periods ended 31 March 2014 and 30 September 2014. At the last review by SMT on 23 October 2014, action taken to that date was recorded and no changes were made to the action plan following the review. Another review of progress against the action plan is will be undertaken for the period ended 31 March 2015.	On Target
	6.3.2 To submit s75 Annual Progress Report to include publication of EQIA monitoring information	Submission to Equality Scheme by 31 August 2014	The s75 Annual Progress Report, including publication of EQIA monitoring information, was submitted (both via post and e-mail) to the Equality Commission within deadline on 12 August 2014.	On Target

Key:

Achieved	Target Met
On Target	Substantially Achieved (>90%) or Progress in line with Plan
Caution	Moderately Behind Target (between 75% and 90%)
Behind Target/Not Achievable	Significantly Behind Target (>75%) or Not Achieved