



# Corporate Plan

2013/14 - 2015/16

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

### **Corporate Plan 2013/14 – 2015/16**

#### **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 2013 to 31 March 2016.
- 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. Responses were received from the following stakeholders: Disability Action, North Down Borough Council, Probation Board for Northern Ireland and arc21. The results of this strategic review and subsequent consultation exercise have been incorporated into the Corporate Plan 2013/14 – 2015/16.
- 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

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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 2015/16 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.
- 2.7 NILGOSC continues to face a number of challenges during the period covered by this corporate plan with respect to the administration of the pension scheme. The ongoing political debate regarding the future of public sector pension schemes continues to create significant challenges in terms of member and employer communications, pension administration IT systems and staff resources. The Corporate Plan 2013/14 – 2015/16 takes into account the uncertainties facing NILGOSC and the business objectives and operational activities have been formulated to incorporate alternative scenarios.
- 2.8 The first of these changes, the roll-out of the Government's Automatic Enrolment plans, commenced in October 2012 and NILGOSC has already had to adapt its processes and systems to take account of the legal requirement for employing authorities to bring all eligible employees into the pension scheme. The preparatory and planning stages were completed in the 2012/13 corporate planning year and this corporate plan and budget incorporates the recurring costs, resources, systems and communications required to allow NILGOSC to meet both its statutory obligations and the needs of its stakeholders.
- 2.9 Progress continues to be made on the future structure of the Local Government Pension Scheme, both at a national level and in Northern Ireland. In September 2012, the Department's Local Government Review Group agreed and recommended to the Minister an outline scheme for Northern Ireland to be introduced in April 2014. The second phase of the negotiations, concerning cost sharing and scheme governance, has yet to commence. The continued uncertainty and tightening timeframe surrounding the LGPS 2014, together with the corresponding primary legislation that will be required in Northern Ireland, creates a number of challenges for NILGOSC as the scheme administrator. NILGOSC will therefore continue to seek to influence the Department of the Environment and the Assembly with regards to regulatory change in Northern Ireland. Whatever its final form and governance structure, the new LGPS 2014 scheme will require new Regulations along with substantial changes to existing pension administration systems and processes. NILGOSC will continue to issue guidance and communications to both its members and employers on the changes to and implications of the new scheme.
- 2.10 The 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. One area which will be a key focus for the 2013/14 corporate planning year is a fundamental review of employer covenants and financial stability.
- 2.11 The next triennial actuarial valuation of the pension scheme is due on 31 March 2013, resulting in a significant data collection and processing exercise culminating in the publication of the valuation by 31 March 2014. In conjunction with this exercise, NILGOSC continues to monitor and improve its data quality in line with regulatory requirements.

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- 2.12 The above changes and uncertainty create a massive communication challenge for NILGOSC as it seeks to keep its members and employers fully informed. 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 forms a key part of this strategic plan and a number of new business objectives and operational actions have been added into the Corporate Plan to reflect this important role.
- 2.13 Skilled and experienced staff remain a critical business asset and the attraction, retention and development of employees remains a priority for NILGOSC. 2013/14 will see the implementation of the revised management structure approved in October 2012 and will bring with it the additional resource needed to manage the challenges above, as well as provide stakeholders with a high level of service. This planned increase in staff, together with an increase in demand for public meeting space, has resulted in a necessary expansion of existing office premises. A full refurbishment cycle has been built into the Corporate Plan 2013/14 – 2015/16.
- 2.14 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.
- 2.15 A full report on 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.

### **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.

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- 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. Review of the Annual Corporate Plan 2011/12 and 2012/13**

- 5.1 A review of NILGOSC's performance in the preceding financial year, together with an estimate of performance for 2012/13, is attached at Annex C and Annex D respectively.
- 5.2 In respect to the 2012/13 year, a significant proportion of the annual plan has been completed although some longer term projects have been rolled forward into future periods. Those projects not completed have been carried forward to this year's corporate plan and include:
- Agreement and implementation of the LGPS 2014
  - Implementation of an electronic records management system
  - Review of employer covenants
  - Increasing scheme membership by 10% by March 2015
  - Exploration and utilisation of electronic communication for stakeholders
- 5.3 For the second year running, service standards improved considerably during 2012/13 although some remain short of target. Fluctuating workflows, particularly at the start and end of the financial year, continue to have a negative impact on cumulative performance figures, which are also affected by external factors such as delays in the issuance of guidance from the Department and the Government Actuary's Department.
- 5.4 Full details of the progress made in implementing the Corporate Plan 2012/13 will be included in the Annual Report and Accounts for the Year Ended 31 March 2013.

#### **6. Aims and Key Objectives for 2012/13 to 2015/16**

- 6.1 **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.**

##### 6.1.1 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

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- To ensure that all necessary action is taken on any change to scheme rules
- To ensure that systems and procedures comply with new or recent 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

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

##### 6.2.1 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

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

##### 6.3.1 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

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

##### 6.4.1 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

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

##### 6.5.1 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

#### **6.6 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.**

##### 6.6.1 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

## **7. Service Standards, Values and Targets**

### **7.1 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

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- being responsible, both as an investor and an employer
- being economical, maximising returns and minimising expenditure
- being understandable, providing simple, clear and complete information

#### 7.2 Service Standards

| Action                     | Service Standard   | Target |
|----------------------------|--|--------|
| Retirement                 | To pay any lump sum due as soon as possible or 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%    |
|                            | 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 individual quotation requests within 10 working days.   | 90%    |
| New Entrants               | To process new entrants forms within 20 working days of receipt.   | 95%    |
| Correspondence             | To reply to correspondence and communication 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 preserved 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%   |

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#### 7.3 Other Targets - Investment Managers Returns

| <b>Manager</b>           | <b>Asset Type</b>    | <b>Target</b>   |
|--------------------------|----------------------|-----------------|
| 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                  | Property             | Index +1%       |

7.4 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.

#### 8. Freedom of Information

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.

#### 9 Costs of the Corporate Plan

9.1 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 2013/14

|                                    | £                |
|------------------------------------|------------------|
| <b>STAFF COSTS</b>                 |                  |
| Salaries                           | 1,480,229        |
| Employer Capital Cost              | 25,700           |
| Superannuation                     | 284,139          |
| National Insurance                 | 107,559          |
| Staff Training                     | 82,337           |
| Staff Travelling                   | 44,800           |
| Chairman's Allowance               | 12,644           |
| National Insurance                 | 515              |
| Committee's Training Expenses      | 18,790           |
| Committee's Travel & Expenses      | 52,364           |
|                                    | <b>2,109,077</b> |
| <b>OFFICE OVERHEADS</b>            |                  |
| Rates & Insurance                  | 101,600          |
| Electricity                        | 19,580           |
| Office Rent                        | 7,800            |
| Property Expenses                  | 5,444            |
| Office Service Charges             | 106,698          |
| Office Cleaning                    | 26,393           |
|                                    | <b>267,515</b>   |
| <b>COMPUTER RUNNING COSTS</b>      |                  |
| Maintenance                        | 187,664          |
| Materials                          | 12,000           |
|                                    | <b>199,664</b>   |
| <b>DEPRECIATION AND HIRE</b>       |                  |
| Computers                          | 46,457           |
| Refurbishment                      | 18,178           |
| Templeton House                    | 44,000           |
| Office Equipment                   | 11,276           |
|                                    | <b>119,911</b>   |
| <b>ADMINISTRATION</b>              |                  |
| Printing, Advertising & Stationery | 176,123          |
| Telephone and Communications       | 32,394           |
| Postage                            | 159,535          |
|                                    | <b>368,052</b>   |
| <b>PROFESSIONAL FEES</b>           |                  |
| Medicals                           | 56,222           |
| Actuary                            | 76,200           |
| Local Government Auditor           | 25,200           |
| Internal Audit                     | 24,500           |
| Professional Advice                | 162,560          |
| Back-scanning                      | 122,400          |
|                                    | <b>467,082</b>   |
| <b>GENERAL EXPENSES</b>            |                  |
| Bank Charges                       | 11,250           |
| Maintenance                        | 12,110           |
| Miscellaneous                      | 10,480           |
|                                    | <b>33,840</b>    |
| <b>TOTAL EXPENDITURE</b>           | <b>3,565,141</b> |
| Recoverable Costs                  | 117,036          |
| <b>NET EXPENDITURE</b>             | <b>3,448,105</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 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   |
|   |  | 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 calculate Employer liabilities promptly and accurately           | Provide calculation 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 date 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 1 month of a regulation change  |
|                      |   | 1.5.2 To train relevant staff on any regulation changes  | Relevant staff trained on new regulations by date regulations effective   |
|                      |   | 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                               |
|                      |   | 1.5.4 To train relevant staff on the LGPS 2014 scheme  | Relevant staff trained on LGPS 2014 scheme by date scheme effective.  |
|                      |   | 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                                  |
|                      |   | 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 |

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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 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  |
|   | 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 implement the revised staff and management structure   | New structure operational by 30 September 2013  |
|   | 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 have an accurate address database.   |
| 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  |
|   |  | 2.1.2 To ensure employer contribution rates for 2013/14 implemented.                                    | Collect higher contributions from 1 April.  |
|   | 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   |
|   |  | 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.  |

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| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  |
|---|--|---|---|
|   | 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. |
|   |  | 2.3.2 Review Statement of Investment Principles and Funding Strategy Statement  | Revise FSS and revise SIP when necessary  |
|   |  | 2.3.3 To review employer covenants and address weaknesses   | Review complete by March 2014. 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 2 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 publish the annual report in the NI Assembly.  | At end of Summer recess   |
|   |  | 3.2.4 To review and develop the Communications Strategy   | Review completed by 31 March 2014.  |
|   | 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 post-Hutton LGPS (LGPS 2014).   | Communications issued within 3 months of regulations made.  |

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| <b>Corporate Aim</b>  | <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  |
|---|---|---|---|
|   | 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.<br>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 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, OAG, 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 | Ratio of briefing materials and meetings to the number of issues  |
|   | 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 extend data exchanged   | Identify invalid payments and recoup losses.  |

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| <b>Corporate Aim</b> | <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  |
|----------------------|--|--|---|
|                      |  | 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 2014.  |
|                      |  | 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. | Each member has undertaken 40 hours of training/development per annum                 |
|                      |  | 5.1.9 To develop an Information Strategy   | Information Strategy in place by 31 March 2014  |
|                      | 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                                     |
|                      |  | 5.2.2 Implementation of an electronic records management system  | ERMS installed and operational by March 2014  |
|                      |  | 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      |

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

**Corporate Plan 2013/14 – 2015/16**

| <b>Corporate Aim</b>  | <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</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 a online update system in place by March 2014.<br>To have collected email addresses by Jun 2014<br>To start using email addresses for bulk publications by October 2014 |  |
|   | 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.  |  |
|   |  | 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  | Report prepared by April 2014   |  |
|   |  | 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 review and update Equality Scheme Action Plan and communicate changes to the Equality Commission  |   | Changes notified to Equality Commission by 30 April 2013   |
|   |  |  | 6.3.2 To submit s75 Annual Progress Report to include publication of EQIA monitoring information  | Submission to Equality Scheme by 31 August 2013  |
|   |  | 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**

**Annex C**

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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 and notification of pensions issued within 10 days of relevant details received. | All pensions paid by last banking date of the month.  | 100% |
|  | 1.1.2 To pay pension lump sums and death grants promptly and accurately   | Within 10 working days of the receipt of the relevant details  | 1683 processed, average time taken is 8 days  | 88%  |
|  | 1.1.3 To pay refunds of contributions promptly and accurately             | Within 10 working days of receiving a valid application.   | 128 processed, average time taken is 2 days   | 100% |
|  | 1.1.4 To pay transfer payments promptly and accurately                    | Pay the cash equivalent within 10 working days of receiving authority  | 79 processed , average time taken 9 days  | 70%  |
| 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%  |
|  | 1.2.2 To reconcile contributions received and service credited annually   | For 100% of employers by 31 December   | 159/202 received annual returns are complete.   | 79%  |
|  | 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  | 250 processed, average time 16 days (transfer factor suspension for 5 months led to backlog which could not be completed within time once factors available). | 68%  |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>% Target Met</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  | 13,996 items dealt with, average time 3 days   | 97%                 |
|   | 1.3.2 To provide members leaving the scheme with option choices   | Provide a statement of benefit options within 20 working days of notification                                     | 2542 early leaver notifications issued taking an average of 48 days  | 56%                 |
|   | 1.3.3 To provide members with quotations.   | Quotes issued within 10 days.   | 3286 quotes issued taking an average of 8 days   | 68%                 |
|   | 1.3.4 To provide members with benefit statements  | Benefit statements issued within 2 months of receipt of valid data.   | All benefit statements issued  | 100%                |
| 1.4 To ensure that all necessary action is taken on any change to pension scheme regulations. | 1.4.1 Ensure that processes change to reflect regulation changes  | Complete changes within 1 month of a regulation change  | No regulation changes  | 100%                |
|   | 1.4.2 To train relevant staff on any regulation changes   | Relevant staff trained on new regulations by date regulations effective   | No new regulations   | 100%                |
|   | 1.4.3 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 | Software updated for councillors. New procedure introduced for electronic receipt of new Councillor members. | 100%                |
|   | 1.4.4 To train relevant staff on the Councillors' scheme  | Relevant staff trained on Councillors' scheme by date scheme effective.   | All staff trained on councillor regulations.   | 100%                |
|   | 1.4.5 To have administration systems updated for the Councillors' 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.   | Administration systems in place and procedures completed for new councillor members.                         | 100%                |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|--|---|--|---|---------------------|
|  | 1.4.6 To issue specific guidance for Councillors                                      | To have prepared and distributed guidance on the Scheme for Councillors within 3 months of the May 2011 election | Councillors' Guide distributed to all new councillors   | 100%                |
| 1.5 To ensure that systems and procedures comply with new or recent non-pensions legislation | 1.5.1 To respond to Data Protection and Freedom of Information requests               | Within 40 days (DPA) or 20 days (FOI) of request   | 14 FOI requests and 38 subject access requests (SARs) received up to 31 March 2012. All were responded to within deadline except two SARs, which were delayed pending doctor's permission for information to be released. | 96%                 |
| 1.6 To ensure NILGOSC attracts and retains well trained personnel                            | 1.6.1 To ensure all staff complete training plans and undertake appropriate training. | That all staff complete plans and that training is received.   | Training plans in place for all staff. Approximately 2,353 hours of training completed in the period Apr-11 to Mar-12.  | 100%                |

**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         | Next valuation is at 31 March 2013.  | N/A  |
|   | 2.1.2 To ensure employer contribution rates for 11/12 implemented. | Collect higher contributions from 1 April. | Employers were contacted by email or telephone and all have confirmed that they are paying the higher contributions from 1 April 2011. | 100% |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</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 31 Mar 2012 was 0.07%.  | 71%                 |
|  | 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 2012 no manager had breached investment guidelines and underperformance was addressed through the scorecard process.  | 100%                |
|  | 2.2.3 To maximise income from scheme assets                                    | Amount of income earned.  | Commission Recap £5,014.62 to 31/03/12. Stock Lending £237,358.22 to 31/03/12. Class Actions £236,909.75 to 31/03/12.   | 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 433 meetings where research allowed an informed decision to be made. £236,909.75 recovered through class action settlements.  | 100%                |
|  | 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 March 2012. The SIP was updated in December 2011 to reflect the decisions reached following the 2011 asset allocation meeting. This was approved by the Committee on 24 January 2012. | 100%                |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

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

**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   | All Councillors advised of new regulations and new scheme literature in place. Retirement Guide revised to include HMRC changes. Short Guide revised and updated to include HMRC changes and new contribution rates. New updated Decisions, Reviews and Complaints leaflet issued. | 100% |
|  | 3.1.2 Provide employee and employer seminars  | Within 1 month of request or later if requested                                   | 34 seminars conducted within request period where relevant.  | 100% |
|  | 3.1.3 To publish the annual report in the NI Assembly.  | At end of Summer recess   | Annual Report and Accounts were laid in NI Assembly on 20 <sup>th</sup> September 2011.  | 100% |
| 3.2 To provide members and employers with specific details of regulation changes                       | 3.2.1 Communication of any regulation changes   | Within 2 months of regulations being made   | No new Scheme regulations apart from councilor regulations   | 100% |
|  | 3.2.2 To advise all new members of the benefits of the pension scheme                                       | Issue guidance to scheme members within 3 months of joining.                      | 4189 new members received Short Guide and Membership Pack. Average time taken is 11 days.  | 94%  |
| 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. | Participated in LGPS Review Group, LG Reform Joint Forum and NI Public Sector Pension Group.   | 100% |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|---|---|--|---|---------------------|
|   | 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 definite agreement has been reached on changes to Local Government structures.   | 100%                |
|   | 3.3.3 To assess the impact on Scheme Employers and NILGOSC of the Auto-Enrolment provisions and prepare an action plan. | To undertake review and prepare plan by 31 March 2012.<br>To implement plan by 1 October 2012. | Attended presentation by DWP and TPR on auto-enrolment. Queried legal background of employers with DOE to ascertain whether they can offer alternative to LGPS (NI). Awaiting minor legislative changes to Scheme. Seminars conducted for all scheme employers and circular issued. All employing authorities asked to provide NILGOSC with an assessment of their staff so that a project plan can be completed. | 80%                 |
| 3.4 To update address information of those members who have not informed NILGOSC of address changes | 3.4.1 To use external databases to track down members with missing address information                                  | To have an accurate address database.  | Basic address tracing software now being utilised.  | 100%                |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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 | All employers advised of potential changes by circular.  | 100% |
|  | 4.1.2 To respond to Government consultation exercises                                 | By consultation reply date                             | NILGOSC has influenced the NI Executive through meetings and conversations with the Finance Minister, as well as joint signatories to a letter to all Ministers. NILGOSC also influences CLG through its membership of the LGA's OAG.  | 100% |
|  | 4.1.3 To respond to Department of the Environment consultation exercises              | By consultation reply date                             | 7.11.2011 – responded to consultation on draft LGPS (Amendment) Regulations (NI) 2012 ahead of closing date of 13 January 2012.<br>27.10.2011 – responded to consultation on district councillors' allowances and multiple mandates ahead of closing date of 16 December 2011. | 100% |
|  | 4.1.4 To contribute to consultee groups eg NAPF, LGPC, OAG, LAPFF etc                 | To have representation on all groups                   | Representation continues on all groups   | 100% |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</b> |
|---|---|---|---|---------------------|
| 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. | A number of improvements have been identified for the amendments made last year but because they are subject to a judicial review they cannot at present be made. | N/A                 |

**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                       | External Auditor's Management Letter was responded to within 2 days.  | 100% |
|  | 5.1.2 Review of NILGOSC Internal Controls                   | Annually by 31 March                         | The Statement of Internal Control for 2010/11 was reported to the Audit Committee and was included in the 2011 Annual Report and Accounts.  | 100% |
|  | 5.1.3 Participate in NFI exercise and extend data exchanged | Identify invalid payments and recoup losses. | As at 31 March 2012, £85,204.01 has been identified as overpayments through the NFI exercise 2010/11 and Mortality Tracing exercise 2011. Three overpayments of £689.67 were irrecoverable. The remaining £84,514.34 has either already been recovered or is in the process of being recovered. | 99%  |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|--|---|--|---|---------------------|
|  | 5.1.4 To test Business Continuity procedures and ensure effective   | Business Continuity procedures are effective.  | Desktop exercise completed in May 2011. Annual test completed on 6 December 2011.   | 100%                |
|  | 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 2011/12 approved in June 2011. Quarterly reviews undertaken on 21 July, 18 October 2011 and 26 January 2012. Annual risk review scheduled for 25 April 2012.  | 100%                |
|  | 5.1.6 To undertake a triennial review of the Organisation's Strategic Objectives  | Committee review objectives to form part of Corporate Plan 2012/3 by 31 December 2011. | A working group of the Committee met on 14 February 2012 to review objectives. Revised vision, mission, strategic aims and values were approved by the Committee on 27 March 2012 and will be subject to consultation in early 2012/13.   | 0%                  |
| 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.                 | In the 12 months to 31 March 2012, current members completed 470 hours in total, resulting in each member meeting their pro-rata target to date. In addition, the 7 former members completed a total of 144 hours in the six months to September 2011, with 3 members failing to meet the target number of hours. | 89%                 |

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>  | <b>% Target Met</b> |
|--|---|--|--|---------------------|
|  | 5.2.2 To ensure that new appointed Committee members receive induction training | New members receive induction training before attending first Committee meeting. | All new members received induction training in advance of first Committee meeting  | 100%                |
| 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 2012                                | A project management team has been formed to take forward the combined Document Imaging/Workflow/Electronic Document Records Management Project. A timetable is in place which provides for implementation and completion by 31 March 2014. The objective has been rolled forward into the 2012/13 Corporate Plan. | 0%                  |

**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 undertake Equality Impact Assessments on existing and new policies | 6.1.2 Undertake an EQIA on any new policy | Completion of the EQIA before implementation of the policy. | Personnel Policies have been impact assessed however amendments need to be made before the full document can be issued for consultation. Due to developments in responsible investment, a new screening exercise will be carried out in respect of investment policies when the new Scheme has been approved by the Equality Commission. | 85% |
|---|---|---|--|-----|

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

**Corporate Plan 2011/12 – 2013/14 – Review of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>                                  | <b>Performance Indicator</b>        | <b>Progress</b>  | <b>% Target Met</b> |
|--|--|-------------------------------------|--|---------------------|
| 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 2011       | Report for 3 years ending January 2011 was completed.  | 100%                |
|  | 6.2.2 To record annual recruitment monitoring information  | Report submitted by 1 May each year | 2010-11 report submitted to Equality Commission in April 2011. 2011-12 report due for submission in Q1 2012-13 | 100%                |

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

**Annex D**

**Corporate Plan 2012/13 – 2014/15 – Estimate of Performance**

| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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 and June's payment paid early due to the Ulster Bank crisis.       | 100% |
|  | 1.1.2 To pay pension lump sums promptly and accurately                    | Within 10 working days of the receipt of the relevant details                 | 1333 paid, average time taken was 8 days.   | 85%  |
|  | 1.1.3 To pay refunds of contributions promptly and accurately             | Within 10 working days of receiving a valid application                       | 53 refunds paid, average time taken 1 day   | 98%  |
|  | 1.1.4 To pay transfer payments promptly and accurately                    | Pay the cash equivalent within 10 working days of receiving authority         | 74 paid, average time taken 6 days  | 89%  |
| 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%  |
|  | 1.2.2 To reconcile contributions received and service credited annually   | For 100% of employers by 31 December  | 174 returns reconciled by the end of Q3 representing 40.2% of membership and 85.3% of employers | 85%  |
|  | 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 | 127 transfers in actioned, average time taken 7 days  | 98%  |

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

**Corporate Plan 2012/13 – 2014/15 – Estimate of Performance**

| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</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  | 11741 queries dealt with, average time taken 1 day  | 99%                 |
|   | 1.3.2 To provide members leaving the scheme with option choices       | Provide a statement of benefit options within 20 working days of notification | 1627 early leaver notifications provided, average time taken 13 days  | 96%                 |
|   | 1.3.3 To provide members with benefit quotations on request.          | Benefit quotations issued within 10 working days                              | 1091 quotations provided, average time taken 6 days   | 94%                 |
|   | 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 on time. | 58%                 |
|   | 1.3.5 To provide an estimate of a cetv                                | Within 20 working days of receipt of relevant details                         | 194 transfer out quotes provided, average time taken 11 days  | 96%                 |
| 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              | 29 dependants pensions calculated, average time taken 7 days  | 97%                 |
|   | 1.4.2 To pay death grants promptly                                    | Within 10 working days of receipt of relevant proof of title                  | 53 death grants paid, average time taken 8 days   | 89%                 |

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

**Corporate Plan 2012/13 – 2014/15 – Estimate of Performance**

| <b>Business Objective</b>   | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</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. | 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                               | Completed   | Achieved            |
|   | 1.5.4 To train relevant staff on the LGPS 2014 scheme  | Relevant staff trained on LGPS 2014 scheme by date scheme effective.  | No details on scheme for N Ireland as at 31 December 2012                                       | 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                                  | No details on scheme for N Ireland as at 31 December 2012                                       | On Target           |
|   | 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 | No details on scheme for N Ireland as at 31 December 2012                                       | On Target           |
|   | 1.5.7 To have specific administration systems in place necessary to deal with Automatic Enrolment                                    | Systems in place by February 2013   | Systems in place and expected to be operational by February 2013.                               | On Target           |

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

**Corporate Plan 2012/13 – 2014/15 – Estimate of Performance**

| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|--|---|--|---|---------------------|
|  | 1.5.8 To introduce systems to monitor data quality and ensure data quality adequate   | System in place by December 2012<br>95% Data deemed adequate   | Systems in place and data meeting TPR standards by 31 December 2012.  | 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   | 2 FOI requests and 13 subject access requests (SARs) received in Q3. In total, 10 FOI requests and 51 SARs received in 2012/13. As at 31 Dec 2012, all were responded to within deadline. | 100%                |
| 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.   | Staff have completed approximately 426 hours of training as at 31 December 2013   | Achieved            |
|  | 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 early 2013.   | Not Achievable      |
|  | 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  | Internal Action Plan prepared and budget for additional staffing levels approved by the Committee in September 2012. Recruitment exercise commenced.                                      | 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 during third quarter with occupation from 6 December 2012. Interim filing space has been made available in existing filing room.                 | On Target           |

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

**Corporate Plan 2012/13 – 2014/15 – Estimate of Performance**

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

**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  | Next valuation is at 31 March 2013.   | N/A      |
|   | 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%     |
| 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 Sept 2012 was -0.44%.  | 70%      |
|   | 2.2.2 To monitor and regulate investment management                  | That no manager breaches investment guidelines and that under performance is promptly addressed   | At 31 Dec 2012 no 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 £3,857.69 to 30/11/12.<br>Stock Lending £238,732.08 to 30/11/12.<br>Class Actions £2,146.85 to 31/12/12.   | 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 417 meetings where research allowed an informed decision to be made. Engagement letters issued to 99 UK companies where votes cast were against management recommendations. £2,146.85 recovered through class action settlements. | 100%     |

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| <b>Business Objective</b> | <b>Operational Action</b>  | <b>Performance Indicator</b>                                       | <b>Progress</b>   | <b>% Target Met</b> |
|---------------------------|--|--|---|---------------------|
|                           | 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 Dec 2012. The SIP was updated in April 2012 to reflect the Committee's decision to move £100m from index-linked gilts to index-linked property. This was approved by the Committee on 24 April 2012. At its meeting on 11 Dec 2012, the Committee agreed a revised direction of travel and the SIP will be updated as the asset allocation changes are implemented. | Achieved            |
|                           | 2.3.3 To review employer covenants and address weaknesses                      | Review complete by March 2013. Weaknesses addressed by March 2014. | Initial scoping of this work has identified that additional resources are required. The project has been delayed by 1 year to allow for recruitment of additional resources.  | Not Achievable      |

**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 2nd June describing regulations changes.   | Achieved |
|  | 3.1.2 Provide employee and employer seminars               | Within 1 month of request or later if requested | Four Scheme Administration and Form Filling seminars have been held for 16 employers and one automatic enrolment seminar to all councils. | Achieved |

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| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</b> |
|--|---|---|---|---------------------|
|  | 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 delayed due to amendments re secure upload/download facility. Expected to be operational by 31 March 2013.  | Behind Target       |
|  | 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 | Amending legislation for automatic enrolment in Northern Ireland made during June 2012. DOE have advised that additional legislation will not be made until Feb/March 2013. | Not Achievable      |
|  | 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   | Active membership decreased from 44,029 at 31 March 2012 to 43,534 at 31 December 2012.   | 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 by 2nd June 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              | 2821 new members processed, average time taken 13 days  | 98%                 |
|  | 3.2.3 To brief members and employers on the post-Hutton LGPS (LGPS 2014).   | Communications issued within 3 months of regulations made.  | No regulations made   | On Target           |

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| <b>Business Objective</b>   | <b>Operational Action</b>   | <b>Performance Indicator</b>  | <b>Progress</b>   | <b>% Target Met</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 attend meetings for the HR Working Group and with the DOE.   | Achieved            |
|   | 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.  | Circular issued describing automatic enrolment and series of employer seminars undertaken by NILGOSC and with the Pensions Regulator. Met with YJA, UU and the councils. Pensions Manager on ESA Project Board. | 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 currently being utilized. Other databases will be explored as part of the Data Quality Project.   | On Target           |

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| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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 BIS Executive Pay and Pensions Bill consultation. No others relevant.   | Achieved     |
|  | 4.1.3 To respond to Department of the Environment consultation exercises  | By consultation reply date  | Responded to Draft 2013 Amendment Regulations 31 Dec 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 during quarter.   | 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 has identified changes required for Auto Enrolment and notified the Department of these in 2011. These changes have yet to have been made will not be made in time to meet at least the first employer's staging date. | Not Achieved |

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| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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 for the Statement of Internal Control carried out in May 2012.   | Achieved  |
|  | 5.1.3 Participate in NFI exercise and extend data exchanged       | Identify invalid payments and recoup losses.  | At 31 Dec 2012, £85,116.16 has been identified as overpayments through the NFI exercise 2010/11 and Mortality Tracing exercise 2011. Progress was made during the quarter to investigate outstanding re-employed matches and to follow up on outstanding amounts identified as overpayments. The new matches from the 2012/13 NFI exercise will be published on 29 Jan 2102. | On Target |
|  | 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. | Annual test in 2011/12 of Payroll procedures failed. Remedial action taken - a live re-test of the September pension payroll carried out on 21 and 24 September was successful. The Annual BCP test for 2012/13 was carried out on 4 Dec 2012. This was a full test of systems at the DR site and was successful, with only a few minor issues identified for follow-up.     | On Target |

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| <b>Business Objective</b>  | <b>Operational Action</b>   | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|--|---|--|---|---------------------|
|  | 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 reviews carried out on 23 July 2012, 22 Oct 2012 and 21 Jan 2013 respectively.  | Achieved            |
|  | 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       | Revised vision, mission, strategic aims and values agreed by the Committee in March 2012. Consultation period ended 31 December 2012.   | 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. | Tender for actuarial services has been completed and the contract awarded on 2/1/13. Specifications are currently being drafted for legal services and banking services. For legal services, the tender will be commenced but not completed by March 2013 as it is at the European threshold which results in a longer process. | Partially 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.                       | As at 31 Dec 2012, Committee members completed 527.5 hours training in total, which is in line the pro-rata target to date.   | On 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            |

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| <b>Business Objective</b>  | <b>Operational Action</b>  | <b>Performance Indicator</b>  | <b>Progress</b>  | <b>% Target Met</b> |
|--|--|---|--|---------------------|
| 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 and economic appraisal approved by the Committee on 4 September 2012. Tender issued on 4 January 2013.   | On Target           |
|  | 5.3.2 Implementation of an electronic records management system  | ERMS installed and operational by March 2014  | Business case and economic appraisal approved by the Committee on 4 September 2012. Tender issued on 4 January 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 and economic appraisal approved by the Committee on 4 September 2012. Tender issued on 4 January 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 a 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 will be carried forward in next year's corporate plan. | Not Achievable      |
|  | 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 and times of incoming calls analysed during Q1 and Q2. Content of calls analysed during Q3. Need additional office space to site call handling team.   | On Target           |

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| <b>Business Objective</b> | <b>Operational Action</b> | <b>Performance Indicator</b> | <b>Progress</b> | <b>% Target Met</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. | 6.3 To ensure that NILGOSC meets or exceeds best practice as set out by the Equality Commission  | On Target |
| 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 20th April 2012   | Achieved  |
|  | 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  |
|  | 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 scheduled for Away Day in Q4. | Achieved  |

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| <b>Business Objective</b> | <b>Operational Action</b>                                  | <b>Performance Indicator</b>   | <b>Progress</b>   | <b>% Target Met</b> |
|---------------------------|--|--|---|---------------------|
|                           | 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>On Target</b>     | <b>Substantially Achieved or Progress in line with Plan</b> |
| <b>Behind Target</b> | <b>Behind Target or Deadline Missed</b>                     |
| <b>Not Achieved</b>  | <b>Target Not Achieved or Achievable</b>                    |