

Action Plan to address data quality issues driving up data standards and creating a robust record keeping improvement plan. The actions have been split into six detailed work plans

	Action	Owner	Time Scale	Outcome	Progress	Comments
<b>Work Plan 1</b>	Run Valuation report from Altair for period up to 31/03/2017. This will capture all historical data issues up to this date.	MC	31/12/2017	Report to be up loaded to Hyman's data capture secure site, the Brain, this will highlight any data issues	Complete	
	Upload valuation report to the data cleansing portal via Hyman's 'the Brain'.	MC	31/12/2017	Spreadsheet production of errors/issues	Complete	1407 errors
	Filter the report to show the Active member issues and in Employer order and store in the Data Quality folder in the pensions i:drive.	MC	31/12/2017	Data issues to be filtered to individual Employers which will indicate Employer data issues and enable the team to request data information for individual Employers.	Complete	
	Finalise the project specification	MC	31/03/2018	Project spec agreed.	Complete	
	Instigate the procurement procedure to commission the engagement of a specialist SWOT to assist with the rectification of data issues and the speed in which resolution can be determined	JT/MC/Procurement	30/04/2018	Procurement procedure to be agreed and tender issued to Third Party Administrators.	Complete	
	Appoint Third Party Administration team	JT/MC/Procurement	30.06.2018	Appoint a specialist team for data improvement and agree start dates and time frame.	Complete	Appointed ITM 22 June. Start dates etc to be confirmed
	Hold initial meeting with SWAT team do discuss project	MC/DQO	17.07.2018	Kick off meeting held at Westridge with ITM Ltd	Complete	
	Agree a project plan with Third Party Administration team	MC/JT/ITM (Matt Dodds)	17.07.18	Put together an agreed plan with the Third Party Administration team to work to. Add key action points to this plan	Complete	
	Provide access to Pension systems:	MC	TBC	This will enable the specialist team to access the Altair pension system to rectify any data issues	Complete	2 licences to the altair system allocated for ITM use. Awaiting further information from ITM as to the names of their staff and whether additional licences are required. Names now received from ITM. Licenses have been requested and will be available to ITM by 07/09/2018
	Provide assistance and support to provider regarding queries	Pensions Team	TBC	The pensions team will support the specialist team in ensuring they are engaging with the correct people within the external payroll providers/schools/Employers	Complete	ITM Ltd have been given contact details for Capita, Strictly Education and Admitted Bodies.
	Hold a meeting with ITM Ltd and external payroll providers	MC/DQO	15.08.2018	This will give ITM Ltd and the Pensions Team the opportunity to discuss the project with Capita and Strictly Education, and to set expectations.	Complete	Meeting held in London with Strictly Education and Capita 15.08.2018. Agenda, Liason and Escalation agreements provided by ITM. These have been saved in Data Improvement folder on I-drive for reference.
	Rectifying the issues back to Altair	ITM	31.12.18	The records will be up dated and corrected ensuring good data quality		
	Re run reports through the brain to show up dates	MC	Monthly	By using the Hyman's data validation system, this will confirm and validate that the data has been corrected and enable monitoring of the progress	%age rectified	1944 starting point / 1491 affected members
	Any queries fed back to the provider	MC	Monthly	Any further data issues will be captured and further data requirements requested to the external payroll providers		
	Re run valuation reports again	MC	31.12.18	To validate and confirm no further data issues		
	Close project with provider and report back to the pension board	MC/JT	15.01.19	All data issues resolved and corrected on the Altair pensions system, using the Hyman's data portal to confirm this	Complete	
Undertake progress reporting to pensions board/committee	MC/LB	24.04.18		Complete		
Undertake progress reporting to pensions board/committee	MC/LB	12.06.18		Complete		
Undertake progress reporting to pensions board/committee	MC/LB	23.10.18				
Notifications to members who will not be receiving annual benefit statements due missing data	MC / DQO	31.08.2018	Dates and numbers of letters sent	Complete	Letters sent to all affected members	
Upload All Employers to our specially designed validation spreadsheet.	AT/LAG	31/12/2017	This will provide us with a record of data issues from external payroll providers form 01/04/2016	Complete		
Sort the spreadsheets into Employers.	AT/LAG	31/12/2017	Data issues will be filtered to individual Employers which will indicate data issues for that Employer and enable the Team to request data information for the individual Employers.	Complete		
Seek board approval for recruitment of a fixed term data analysis role	MC	14/12/2017	Agreed. Advertised and closing date for applications 19 January 2018	Complete		
Recruit a fixed term data analyst role (DAO)	MC/GS	31/05/2018	A specialist will be appointed to improve our data quality.	Complete	First recruitment round unsuccessful. 2nd round of advertisements 2 candidates to be interviewed 13/4 should that no provide provide a suitable candidate - role will be re-advertised as trainee role interview 13/14 April - Recruit commencing employment 21 May	
Arrange meeting or telephone call with payroll providers to inform them of the issues	MC	31/05/2018	e mail contact made with the Payroll providers/Schools/Employers (AD Bodies) informing of TPR involvement, our data quality improvement plan, the appointment of our DAO, the meeting taking place with School 27 June and informing as to what will be required of them in order to rectify the issues we have. We will also negotiate time frames to resolve issues.	Complete		
Provide overview and training on current data collection process particularly information from third parties, external payroll providers and admitted bodies	Pensions Team/DQO	31/07/2018	Training completed.	Complete		

Data issues from the 2016 Valuation and up to 31 March 2017. We have run some data cleansing reports supplied by Hyman's up to 31/03/2017 and will be exploring ways in which we can get the data cleansed without impacting the day to day work of the Pensions Team. \*Additionally it has been agreed that, ITM Ltd will be resolving data issues from April 2017 - March 2018.

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<p>Data issues from April 2017 onwards. For data issues from April 2017 we have designed a spreadsheet template that validates the data received from the admitted bodies and school payroll providers. We then interrogate the data and any issues are then raised with the admitted body or payroll provider. We then update our Altair Pension system.</p>	Attendance at data Section 13 regional Workshope facilitated by Barnett Wddingham - with presentations by		Presentations by GAD, The Pension Regulator and Bob Holloway		Session held in Barnett Waddingham's London office covering Data and Section 13. Key learnings: GAD - Depending on size of data will have an impact on tolerance levels set. Look at smaller employers and data shows poorer data from smaller employers/payroll providers.tPR - common and conditional data - how and whom measuring it. Cyber security important to ensure data protection.LGA - Visits to Pension Funds by tPR (23 will receive visits to discuss how fund is adhering to code 14.	
	Meeting with Hymans	MC	04.06.2018	Complete	Very productive meeting Hymans now engaged with our Plan and offered their assistance to support our objectives. Further meeting before the end of the year to take place to sure-up the valuation plan.	
	Telephone conference calls arranged with key payroll providers Strictly Education and Capita	JT/MC/DQO	06.06.2018	Further discussion regarding information e mailed and negotiation and agreement of timeframes to resolve the issues and queries	Complete	Face to face meeting scheduled for 15.08.2018 in London.
	Attendance at CIPFA event The Data Challenge In 2018	MC and DQO	08.06.2018	Opportunity to network as well as gaining knowledge and an understanding of the implications of poor data on Actuarial Valuation, the role of the Pensions regulator, identify good practice in data management including learning on legal and regulatory developments.	Complete	
	Briefing to Head Teachers and School Governors	DQO	15.06.2018	Briefing ahead of the meeting with School Business managers on 27 June, to include Pension regulators instructions from third parties	Complete	e mail sent to Governors and Head Teachers 8 June
	Data Analyst to create relationship with School Business Managers	MC	15.06.2018	Meeting arranged with School Business Managers regarding the shortfall in data provided by outsourced payroll providers, informing them of our Data Improvement Plan and setting the ground rules and expectations for the future.	Complete	SBM's encouraged to attend Employer Froum 13 July - followed up with an e mail 10/7 to remind of the event and inform again who will be attending and what will be covered
	Sending out issues	DQO/MC	27-Jun-18	Relevant data issues will be sent to external payroll providers and Schools/Employers etc. with a view to their help in resolving the issues	Complete	481 items of missing data identified. 245 items sent to providers requesting information
	Processing data returned	DQO	27/06/2018	The Data Specialist will ensure the data is validated.	Complete	These actions are being undertaken by ITM Ltd and will be reported on under work plan 1.
	Amending altair	DQO		The validated data will be up loaded into the pension system, Altair.		These actions are being undertaken by ITM Ltd and will be reported on under work plan 1.
	Up load to Hymans's data cleansing report	DQO	On Going	This will then be up loaded to Hymans's data validation system to ensure the data has been amended correctly and it is of good quality.		Ongoing project
	Facilitate an Employer Forum, coffee & chat session, following pension fund committee meeting	MC	Monthly	To discuss our administration strategy, data improvement plan, I connect projects, new website etc....Attendee School Business Managers and Admitted Bodies		I connect will be presenting and we hope to have an officer from the Pension Regulator to help set the scene. * June communication sent to SBM and Admitted Bodies. Employer forum completed with 16 attendees.
	Undertake progress reporting to pensions board/committee	JT LB/MC LB/MC LB/MC	13/07/2018 24.04.18 12.06.18 23.10.18	Reports will be configured to supply the correct data to the i-connect software. Automating processes.	Complete Complete Complete	
	Absoft to configure i-connect with SAP	Absoft/Dean	31/12/2017	Phase One - testing of simple generic data	Complete	
		DQO/GS	01.06.2018	Phase Two - testing of specific more complex examples e.g.	Complete	Results of testing scenarios to Absoft for investigation and amendments to SAP reports. Testing has not been straight forward, but is still ongoing. CS is working with Absoft and I-Connect regularly to move testing forward. Next meeting planned with I-Connect w/c 10/09/2018. I-Connect has now been moved into the live system for testing. Few issues identified with SAP and these are being dealt with by Absoft to enable I-Connect to move forward.
		DQO/GS	06.07.2018	Phase Three - testing of Phase One and Two examples to ensure rectification complete		
		DQO/GS	17.08.2018	Final stage of testing underway. IWC July payroll data submitted to I-Connect Portal with error rate of 4%, which is very good. I-Connect team are very encouraged by this.	Partially complete	
		DQO/GS	31.08.2018			

**Work Plan 3**



	Action	Owner	Time Scale	Outcome	Progress	Comments
Establishment of required processes for the issuing of annual allowance statements in accordance with statutory timescales.	Launch of new website	JT/MC	30.09.2018	launch to include communication in the IWC weekly newsletter, The Vine		improvements to be made
	Training for the Pensions Team to gain greater understanding of Annual Allowance and HMRC requirements to help with member queries.	Hymans's Robertson/LGA	10.01.2018	Having a Pensions team confident enough to deal with Annual Allowance queries.	Complete	
	Procedure in place for running 2018 Annual Allowance within the Aquila Heywood system and added to Pensions Annual Plan.	Matt Collier	01.01.2018	Pension members can be assured that the will have Pensions Savings Statements within the time frame to ensure they are able to complete their self-assessment returns by 31.01.2018	Complete	
	Issuing of Pensions Savings Statements to those members who have breached the Annual Allowance	Matt Collier	06.10.2018	Improved employee confidence in the administration of the pension scheme and adherence to statutory obligations	Complete	All statements and letters produced and sent by 25/09/2018
	Delivery of briefing sessions to all those staff who have received Pension Savings Statements to ensure understanding of the process and their responsibilities.	Jo T/ Matt Collier/Benefit Consultants	30.11.2018	Those affected will be able to understand their tax implications		
	Report Pensions Input Amounts to HMRC through Aquila Heywood's report system for up load to HMRC.	Matt Collier	31.01.2019	Compliance with statutory and regulatory requirements.		
	Understand and develop process for updating member records on Altair system to record scheme pays adjustments to future benefits for payment.	Matt Collier	31.03.2018		Complete	