

Annual Business Plan

2018-19



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Introduction

This Business Plan covers the period 1 April 2018 to 31 March 2019 which will represent the first complete year in the SPPA's journey in 'providing excellent customer service, combining skills and technology to maximise efficiency and deliver best value to taxpayers in Scotland'.

Strategic Context

In March 2018 members of the Management Advisory Board and the Strategic Leadership Team spent a day devoted to strategic planning using a 'PESTLE' type approach (political, economic, social, technological, legal and environmental). The principal threats and opportunities to the achievement of the Agency's aims and objectives were considered and the output from this assessment is included in the Agency's rolling 5-year Strategic Plan. The Plan aims to translate the 'Vision' into practical key tasks and measures of success in furtherance of the Agency's objectives.

The Agency's 5-year Strategic Plan sets out four strategic aims linked to the achievement of the Vision.

- Customer first – focus on our 'customers' journey' at all times
- Service delivery – deliver 'best in class' customer standards
- Operational excellence – deliver 'digital era' business solutions to enhance the customer experience and deliver cost efficiencies
- Developing our people – make SPPA the pension administrator 'employer of choice' trained in delivering what the customer needs and offering great prospects

Operational Context

The Agency has committed to developing a new target operating model that will underpin the strategic direction articulated in the Vision. For instance, 'excellent customer service' in the Vision links to the strategic aim of 'delivering best in class customer standards'. Also, the Vision of 'combining skills and technology' links to strategic aim of 'developing our people' and 'operational excellence'.

The creation of a new organisational structure putting the customers' needs at the heart of what we do and new job descriptions that fit with the new structure are the essential building blocks for such a new approach. Key tasks to achieve the Agency's objectives are articulated in the Annual Business Plan and also help inform annual staff objectives and performance management.

Key Issues

The Agency is aware that there are also a number of key issues to be addressed. The strategic planning day which took place in March 2018 also used 'SWOT' analysis (strengths, weaknesses, opportunities and threats) to consider issues to take forward and address in the rolling Strategic Plan. Among the challenges facing the Agency include:

Agency

To seek new ways of adding value to the customer experience. Capturing the customer experience is an essential pre-requisite for the Agency's mission to succeed.

"To put the customers' needs at the heart of our business planning and service delivery."

Policy

To put the policy function in the best position possible to address future changes in the pension policy landscape and meet stakeholders' expectations.

Finance

To take every opportunity to obtain a sustainable funding stream sufficient to meet the recurring expenditure and service investment needs.

Customer Services

To make further improvements to the quality of membership data, in order to underpin the accuracy of pension scheme valuations and the Agency's change programme and to provide a sound basis for more 'value added' customer services.

Change Programme

To get closer to the customer and better understand the scope and scale of their expectations for the future and for digital services, in particular. To seek to embrace future innovation through a 'digital first' approach but with due regard to the diversity of our customer base and the ever present threat of cyber attack.

Human Resources

Within the constraints of public sector pay and personnel policy and in adherence with current employment and safety legislation and in accordance with the Agency's People Strategy, to help the Agency ensure that the right people, with the right knowledge, skills and experience and behaviours are in the right place at the right time.

IT

To make the improvements to the IT infrastructure and service functionality necessary in order to help make the Agency 'fitter for the future'.

Governance

To ensure appropriate levels of scrutiny are adopted and applied, commensurate with the needs of the business. To also optimise the governance arrangements already in place, in order to assist the work of the Accountable Officer.

Objectives and Key Performance Indicators (KPIs)

The Agency has a number of mandatory roles and responsibilities that form the basis of departmental KPIs. Furthermore, each department has a suite of service standards that must be maintained to ensure high levels of customer satisfaction and that also support the achievement KPIs. Each Department sets its objectives based on the Agency's objectives (as set out in this Plan). Specific targets within KPIs have been set to measure achievement against key business objectives. KPIs are reviewed annually and are listed in tables in the Annex to this Plan

The Agency's 5-year Strategic Plan also identifies high level strategic objectives which provide the backcloth to Annual Business Plans during the Strategic Plan period. Strategic objectives centre on:

Year 1 – 2018/19 – Foundation & Transition

Year 2 – 2019/20 – Customer First and Efficiency

Years 3 – 5 2020/23 – Continued Transformation and Excellence

Key Risks

The key tasks included in the Annual Business Plan are based on the Agency's Objectives. In order to capture the key risks to the achievement of the objectives and/or key tasks, Corporate and Pension Board Risk Registers are prepared. Risks assessments can change throughout the year and are informed by a number of sources including from project, fraud and departmental risk registers. The Corporate and Pension Board Registers are regularly reviewed and updated by the Agency's Risk Governance Group comprised of deputy directors and specialist post holders within the Agency. The Group takes responsibility for preparing the Agency and Pension Board Risk Registers and seeking input from the Strategic Leadership Team (SLT) prior to sharing with the Audit and Risk Committee and Pension Boards.

The risk universe is examined in a number of forums including the Strategic Planning Day held in March 2018. Each meeting of the Audit and Risk Committee examines risk management as an agenda item and carries out 'horizon scanning' and 'deep dive' exercises. The exercises help ensure that the Committee look above and below 'the parapet' when examining sources of risk and the application of relevant internal controls. This process assists in the achievement of the tasks in the Annual Business Plan by highlighting threats but also in ensuring sufficient actions are taken to mitigate the risks and if necessary allocating more resources to take the risk assessment down to the residual risk target.

Since the closure of the PS Pension Project in February 2018, the foremost risk to the Agency is in relation to the need to 'obtain a sustainable funding stream sufficient to meet recurring expenditure and service investment needs'. For the last 4 years the Agency has been reliant on the Justice, Health and Social Care, Education portfolios for making in-year budget transfers to help fund the Agency's costs of administering fire and police pensions and the full cost of actuarial services provided to the Agency by the Government Actuary. As budget constraints have tightened, there has been increasing pressure from other portfolios for SPPA to find a sustainable budget baseline to match the financial commitment. In 2017 and 2018 the pension administration baseline was uplifted for the cost of administering fire and police pensions but the nature of the cost of actuarial services is inherently volatile varying between £1m and £2.5m p.a. and a permanent transfer mechanism is still to be agreed.

The signing of a contract variation for the integrated pension platform with Aquila Heywood in July 2018 to replace the PS Pensions Project has had, and will continue to have, major consequences for the Agency's budget position. Going forward, the Agency faces a shortfall in capital funding in 2018-19 and in resource and capital funding from 2019-20 to 2023-24. The full extent of the shortfall thereafter will not be known until the re-procurement of the pension and payroll platform is completed in 2020-21.

This places a requirement on the Agency to improve continuously the efficiency and effectiveness of processes and establish new ways of working.

The second key risk to the Agency is a reputational risk associated with the production of Annual Benefit Statements. Delivery of Annual Benefit Statements for four pension schemes to time and quality is a requirement by the UK Pension Regulator (TPR). The threat to meeting the 2017 ABS deadline materialised before the 31 August deadline and as a result the Agency self-reported to TPR. It is anticipated that the Agency will improve compliance with the requirement once again in 2018 but may well fall short. The Agency faces sanction in the press and possibility of fines if statements are not made available without due cause.

The third key risk is in relation to successful delivery of the Target Operating Model (TOM) with minimal disruption to core business and providing a sound foundation for the achievement of the Agency's Vision and meeting stakeholders' expectations. A key dependency to 'future proofing' the TOM were from the benefits to be derived from the PS Pensions Project. The adoption of an integrated pension administration and payroll system including 'straight through processing', 'customer self-service' and improved IT functionality and streamlined workflows were clearly identified benefits that would contribute to the Agency's efficiency agenda.

Therefore, if the original benefits are still to be attainable, the Agency is reliant on the contract extension and variation negotiated with Aquila Heywood. Achieving the planned benefits from a rescheduled implementation plan alongside a new strategic supplier relationship represents the fourth key risk to the Agency.

Organisation Chart and Workforce

The current organisation chart is presented in Annex 1.

One of the Key Tasks for H1 2018-19 is to write job descriptions for the Finance and Policy teams with Corporate Services and Customer Services to follow in H2. The grading of all posts emerging from revised job descriptions and numbers of posts to satisfy the target operating model more generally will not be finalised until the very end of 2018-19. Hence the figures in the table below is based on the latest information as at 1 July 2018 and staff numbers and grade will change as the year progresses.

It is anticipated that Heads of Department will be required, as part of the agreed organisation structure, to agree a staff complement in 2019-20 in order to populate a workforce plan and actively manage vacancies in the future. In the meantime, in order to fill vacancies more quickly a number posts are being filled by internal competition and full use of temporary agency staff is being made.

Table 1

Staff numbers FTE										
	A3	A4	B1	B2	B3	C1	C2	C3	SCS	Grand Total
Chief Executive	1			1		1	1		1	5
Corporate Services	12.81		7.79	6.81	5.57		1			33.98
Finance	7.21		5.68	2.81	2	2	1			20.7
Customer Services	143.6	18.5	48.9	15.6	6	2	1	1		236.54
Policy	0.81		3.72	5.81	1	1	1			13.34
Grand Total	165.4	18.5	66.1	32.1	14.6	6	5	1	1	309.56

Budget and Efficiency Savings

Budget

Table 2

Budget Line	2018-19 Budget	2017-18 Budget
Staff costs	£	£
Gross salary costs	10,320,000	9,971,000
Staff costs transferred to capital	(175,000)	(500,000)
Overtime	175,000	230,000
Net salary costs	10,320,000	9,701,000
Fee-paid staff	50,000	50,000
Training	88,000	120,000
Recruitment & advertising	10,000	40,000
Travel and subsistence	50,000	60,000
Total staff costs	10,518,000	9,971,000
Premises and IT costs		
Rates	124,000	121,000
Facilities management	104,000	95,000
Minor maintenance	75,000	103,000
Utilities	65,000	68,000
Carbon reduction commitment charge	5,000	5,000
Telephone charges	18,000	18,000

IT services	653,000	1,967,000
Office machinery	20,000	32,000
Total premises and IT costs	1,064,000	2,409,000
Other administration costs		
Catering	4,000	7,000
Conferences & stakeholder meetings	15,000	15,000
Publications	90,000	88,000
Contingency (inc. compensation)	238,000	254,000
Stationery and printing	26,000	22,000
Minor purchases	40,000	35,000
Postage	333,000	341,000
Legal and professional	21,000	85,000
Pension schemes sanction charges	20,000	50,000
Financial and legal services - pension levy	18,000	20,000
Medical services	78,000	90,000
Actuarial services	1,692,000	2,148,000
Bank and finance charges	5,000	6,000
Project costs - related advisory spend	244,000	279,000
Project costs - website	243,000	0
Project – record management system	50,000	0
Project – communications review	6,000	0
Project – customer contact team		50,000
Total other administration costs	3,123,000	3,490,000
Total administration costs	14,705,000	15,870,000
Income	(216,000)	(230,000)
Total administration costs less income	14,489,000	15,640,000
Programme costs		
Project related advisory	152,000	0
Project legal cost	150,000	0
Project – Heywood, Northgate, Pulsion - IT related expenditure	30,000	150,000
Project – Heywood, Northgate, Pulsion, Oracle – support and maintenance	1,437,000	0
Project – Capita – legacy support and maintenance	129,000	
Project – procurement support	22,000	
Project – contingency	150,000	0
Project - GMP	776,000	1,000,000
Net revenue costs	17,335,000	16,790,000
Depreciation	1,400,000	1,900,000
Total Resource Budget	18,735,000	18,690,000
Total Capital Budget	2,400,000	2,000,000
Additional in-year bid to SG for funds	1,662,000	0
Revised Capital Requirement	4,062,000	2,000,000
TOTAL BUDGET	21,135,000	20,690,000

Efficiency Savings

As the new relationship between Aquila Heywood and the Agency matures, improvements and enhancements of the Altair system are developed and planned benefits are realised, it is anticipated that efficiency savings will emerge.

Alongside the functionality improvements Altair to enable more digital and automated transaction processing, the Agency has also set up a Group in Customer Services to look at introducing more 'lean' systems. The Group have been identifying the value and non-value added components of current business processes and,

in particular, the necessity for widespread use of system workarounds. The output from this Group will contribute to a continuous improvement agenda which will be replicated across the Agency in due course. It has been assumed that time releasing efficiency savings generated by these means will translate into cost savings made real by managing the replacement of staff leaving through natural turnover.

Efforts will also be made as part of the review of the Agency's Procurement Strategy to identify opportunities for strategic partnerships to increase buying power on large contracts and increased competitive tension on contract renewals.

It should be noted that in moving towards a target operating model that puts the customer first there may be posts which require to be filled outwith the current establishment and existing posts that carry more responsibility that are more highly graded. Should this occur the Agency would need to budget for an increased annual payroll.

Key Performance Outcomes

Year 1 (above) forms the basis on this Annual Business Plan. Much of the planning and preparation for the various projects are being carried out and significant phases of implementation will have begun. The continuous improvement work stream will have gained momentum and overall progress against plans will be closely monitored and reported. There will be an improved understanding of the customer demand.

This Plan articulates the contributions that will be made to the Foundation and Transition objective. These include:

Customer First

To focus on engaging with our customers; by building on customer service reviews; ensuring that the services we provide are appropriately adapted to their needs; and, delivering outcomes that put the customer at the heart of all that we deliver

Expected outcomes:

- Website refresh project commenced
- Customer panels established
- Customer personas developed

Service Delivery

To meet agreed service standards and achieve or surpass levels of performance in our Key Performance Indicators

Expected outcomes:

- Service levels redefined
- End to end process times established for all processes
- Customer Contact Team fully implemented
- Pension Dashboard planning and preparation commenced

Operational Excellence

To facilitate innovation; continuous improvement; foster a culture of managed risk taking; and, adopting a disciplined approach to project management and business change.

Expected outcomes:

- Establish continuous process improvement mechanisms and structures
- Introduce demand planning and base-line the organisation
- Deliver organisational change to support opportunities for change
- KPIs reviewed and efficiency measurements introduced

Developing and Empowering our People

To continue to embed 'Investors in People' practices and policies in order to strengthen workforce capacity and capability; make the SPPA an 'employer of choice'; and ensure that, at all times, we have the right people, in the right place at the right time.

Expected outcomes:

- Process in place to support Phase 1 of restructure
- Staff able to clearly link objectives to strategic plan
- Change managers in place
- Customer service training for all customer-facing employees delivered
- Continuous improvement training delivered
- Improvements to internal communications delivered

Schedule of Annexes

The annexes to the Plan set out:

- The current organisational structure
- The proposed organisational structure
- Departmental KPIs
- Key tasks to achieve organisational objectives by department

Chart 1: SPPA Organisational Chart as at 1 July 2018

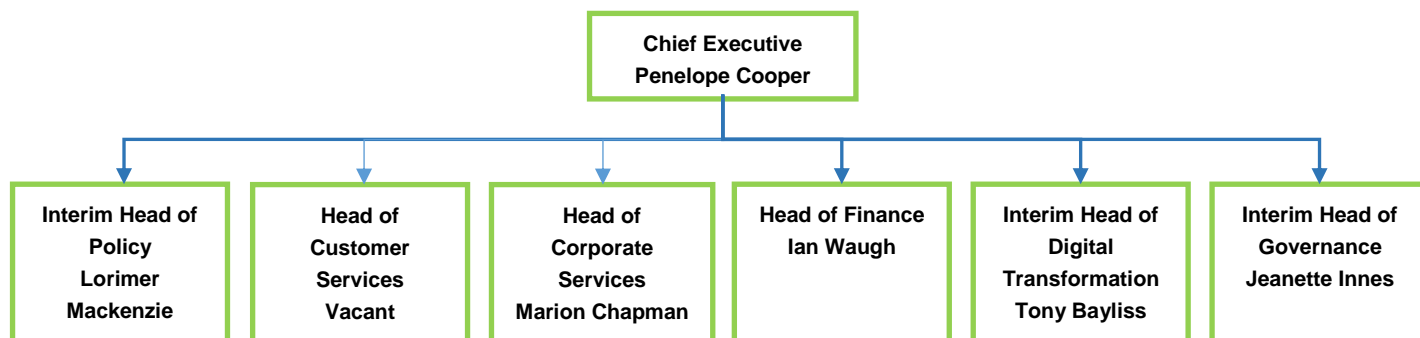


Chart 2: Proposed Revised Department Structure

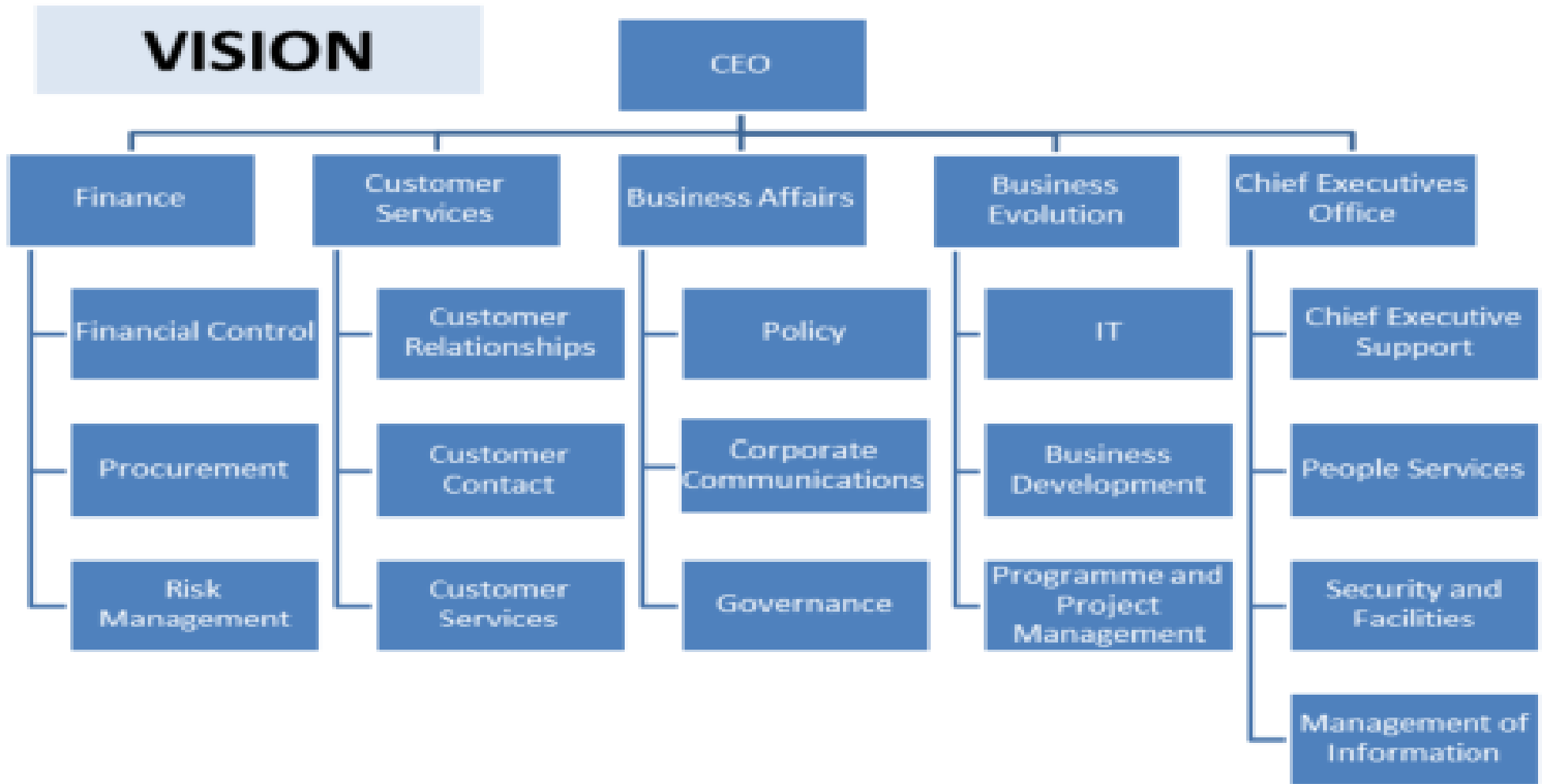


Table 3: Finance Department KPI's 2018-19

KPI	Key Performance Indicator	Target	Definition	Purpose
1	Member Pensions (on time)	Pay 100% of all existing pensions on due date	Payment files are generated in Resourcelink to run pensioner payments on behalf of member groups within each pension scheme	To ensure that member pensions are paid at the required frequency and on time
2	Contribution Collection (on time)	Collect 96% of contributions by value within the timescales defined in the Schemes' regulations.	NHS: The Pensions Act 1995 requires contributions to be paid to the Scheme within 19 days of the end of the month in which they were deducted from salary .e.g. For April payment should be received by the SPPA by 19th May STSS: The Pension Act 1995 requires payment to be submitted by the 7th of the month after due e.g. For April payment should be received by the SPPA by 7th May.	To ensure that members' contributions have been received on time and are allocated to the employers accounts correctly.
3	Contribution Receipts and Advice Notes 'SCANS' (on time)	99% of Contribution receipts and advice notes (SCANS) by value processed within 5 days of the following month end.	The value of items outstanding comes from the EPICOR report "Customer invoice period". The report shows the value of receipts and invoices. It also shows the balance to be matched.	The measure is the value of items processed. The timely processing of these items of work is essential for the scheme income accounting and forecasting scheme income and expenditure.
4	SEAS Payment Processed to pensioners and dependants (on time)	Payments made within an average of 3 working days of receipt of notification.	Requests for SEAS payments are date stamped on receipt at the Finance team. Payments are recorded on a spread sheet for tax calculation. This spread sheet includes the date processed. A column has been added to show the date received. The receipt date will be treated as day zero. A formula has been added to the sheet: receipt date - processed date.	To ensure that members' payments are made promptly when Finance are requested to make the payment via the Scottish Government Accounting System (SEAS).
5	Unaccounted for or Unidentified Receipts at Month End (accuracy of reporting)	Complete accounting process on unidentified receipts for 99% by value and inform Operations within 5 working days of month end. Complete	Process and target aims to minimise 'suspense' receipts in-year and eliminates any 'unaccounted' for sums at the year end	To improve the integrity of NHS & STSS member records through measuring the number and value of bank receipts where the sender or recipient record is unknown.

		accounting process for 100% of prior year by 30th May.		
6	New Overpayments Processed (on time)	Processed within an average of 5 working days of receipt of overpayment information to Finance (100%).	Time taken to process pension overpayments when all required information is passed by Payroll to Finance [any incorrectly-made SPPA payment (NHS or STSS), where the member or dependant has received payment(s) in excess of their entitlement] recorded on EPICOR and invoiced to members or their representatives. Information comes from EPICOR report Overpayment KPI. The date of receipt is recorded on EPICOR. The report compares the date of receipt with the invoice date.	To highlight the value & volume of overpayments made by SPPA through measuring the average processing overpayments turnaround time and to provide the opportunity to improve upstream business processes with the aim of reducing overpayments.
7	Overpayment Recovery (all overpayment debt)	Volume and Value of Overpayments Recovered - average collection period 150 days for all overpayment debt.	Overpayment collection period. [Any incorrectly-made pension payment (NHS or STSS), where the payment(s) was in excess of entitlement]. Overpaid pension is recorded and recovered using the Agency Income Collection system (EPICOR).	To track the effectiveness of the overpayment recovery process.
8	Produce Budget Monitoring Reports Monthly for Scheme Accounts (on time)	Budget Monitoring reports monthly for Scheme Accounts within 5 days of SEAS closing (100%).	Budget Monitoring reports monthly for Scheme Accounts within 5 days of SEAS closing (100%).	To support the Agency outcome of ensuring governance & compliance by complying with our statutory obligations and managing resources effectively by regular monitoring of the Agency Budget.
9	Account for BACS Returns	Process BACS Returns with 10 working days of month end.	Account for BACS returns and process within 10 working days of month end.	To measure performance of Finance team in the timely management of BACS returns.
10	Produce Budget Monitoring Reports Monthly for Agency Accounts (on time)	Budget Monitoring reports monthly for Agency Accounts within 5 days of SEAS closing (100%).	Budget Monitoring reports monthly for Agency Accounts within 5 days of SEAS closing (100%).	To support the Agency outcome of ensuring governance & compliance by complying with our statutory obligations and managing resources effectively by regular monitoring of the Agency Budget.
11	Pay supplier invoices (on time)	Pay 97 % of Supplier Invoices within 10 working days.	Date invoice received [defined as date invoice delivered to SPPA: this is date stamped for evidence] – Date payment received by supplier [this is taken to be within 2 days of SPPA bank instruction to pay] if within 10 or <10 days, then the case has passed, if > 10 days = fail Invoices which are in	To support the Agency outcome of ensuring governance & compliance by complying with our statutory obligations and managing resources

			dispute (i.e. we haven't received all the goods/services) are put 'on hold' and not counted until the dispute is resolved.	effectively by prompt payment of invoices as required by The Scottish Government
12	Employer Recharging (on time)	Ensure invoice raised within an average of 5 working days from agreement to recharge.	Corporate Governance - these costs are paid by SPPA on behalf of NHS employers and then recouped by SPPA. They are not part of the scheme liabilities.	To measure finance performance in invoicing early retirement costs with NHS employers once agreement has been made by Operations.
13	Agency Accounts Signed (on time)	Draft Agency Accounts completed by 31/05/18 Agency Accounts signed by 15/08/2018.	Complete Draft Agency Accounts by 31/05/18 Sign Agency Accounts by 15/08/18 [measured by date CEO signs the Accounts]	To support the Agency's themes of Ensuring Governance and Compliance through complying with our statutory obligation to have audited accounts approved, signed-off and laid before Parliament.
14	Scheme Accounts Signed (on time)	Draft Scheme Accounts completed by 21/07/18 Accounts signed by 30/09/18.	Complete draft Scheme Accounts by 21/07/18 Sign Scheme Accounts by 30/09/18.	To support the Agency's themes of Ensuring Governance and Compliance through complying with our statutory obligation to have audited accounts approved signed-off and laid before Parliament.
15	Publish Annual Expenditure Information in conformity with the Public Services Reform Act (on time)	Published by 30/04/2018.	Publish expenditure [categories = public relations; overseas travel; hospitality and entertainment; external consultancy; payments with a value in excess of £25,000 (not including remuneration; the number of members or employees (if any) who received remuneration in excess of £150,000.] where applicable to SPPA "as soon as is reasonably practicable after the end of the financial year" [this is what it states in the Act] or by the 30/04/13.	Compliance with statutory obligations and in-line with Public Service Reform Act.
16	Manage NHSSS and STSS budgets (outturn)	Ensure year end outturn is not more than 1% below budget and that the budget is not exceeded	Manage NHSSS and STSS Budget to ensure year end resource outturn is not more than 1% below budget.	To support the Agency outcome of ensuring governance & compliance by complying with our statutory obligations and managing resources effectively by regular monitoring of the Budgets.
17	Manage Agency Budget (outturn)	Ensure Year end resource out turn is not more than 1% below budget and that the budget is not exceeded.	Manage Agency Budget to ensure year end resource outturn is not more than 1% below budget.	To support the Agency outcome of ensuring governance & compliance by complying with our statutory

				obligations and managing resources effectively by regular monitoring of the Budgets.
18	Finance Related Audit Recommendations (implemented)	Implement Finance related audit recommendations within timescales agreed with audit.	Implement Finance-related audit recommendations within timescales agreed with audit - date completed compared with the target date held within Audit Tracker.	Compliance with statutory obligations and in-line with Public Service Reform (Scotland) Act 2010.
19	Develop Knowledge Sharing across Finance Functions (resilience in team)	Ensure that all key tasks can be accomplished by at least 2 members of finance team by March 20 19.	Ensure that all key tasks can be accomplished by at least 2 members of finance team by March 2019.	To ensure all staff can cover other business areas and no reliance on one member of staff.
20	Appraisals	All staff to have completed their yearend appraisal by 31 May and their mid-year review by 31 October.	Per target. To include monthly conversations.	IIP best practice.
21	Personal development plans	All Finance staff to have agreed their PDP with their manager by 31 May.	Per target.	IIP best practice and to recognise the importance of staff training and development in an 'excellent' organisation.
22	Personal objectives	Personal objectives to be agree with managers by 31 May.	Per target.	IIP best practice and to align with Agency and Divisional objectives.
23	Ministerial Correspondence - Ministerial Replies	Submit draft responses to Private Office within 10 days of receipts in 100% cases.	Letters entered onto the MACCS system accessible on Saltire which relate to financial aspects of the Agency or Scheme accounts which must be submitted for Ministerial approval e.g. written by Action Officer on behalf of Ministers subject to their approval to other MSPs.	To ensure compliance with national service standards.
24	Ministerial Correspondence - Ministerial Replies	Improve quality of draft replies submitted to Private Office.	Private Office have an internal target to turn around correspondence which will be negatively impacted by poor drafting of replies by the Agency.	To ensure compliance with national service standards.
25	Ministerial Correspondence - Official Replies on behalf of Ministers	Respond within 20 working days of receipt in 100% of cases.	Letters entered onto the MACCS system accessible on Saltire which relate to financial aspects of the Agency or Scheme accounts e.g. written by Action Officer as an SG Official on behalf of Ministers to members of the public.	To ensure compliance with national service standards.
26	Ministerial Correspondence - ('Red' Folders)	Respond within 15 working days of receipt in 100% of cases.	Letters entered onto the MACCS system accessible on Saltire which relate to financial aspects of the Agency or Scheme accounts.	To ensure compliance with national service standards.
27	Parliamentary Question (on time)	Oral or written submitted within set timescales.	Written PQs to be answered and submitted within 5 days by the official to enable the Minister to meet the 10 day deadline and Oral PQs by the set deadline depending on the type of PQ i.e. topical, themed, general, oral, first minister's questions, inspired	To ensure compliance with national service standards.

		http://intranet/InExec/AboutUs/PermSec/GovernmentPublicAdmin/DevolvedAdministrations/PQGuidance	
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Table 4: Customer Services Department KPI's 2018-19

KPI	Key Performance Indicator	All Schemes	Purpose
1	New Retirement Awards – Timeliness	Pay 98% within one month of due date. Full applications received at least three months before the due date, the target is to pay within one month of the due date.	Pay 98% of new awards on 1st of the month following the date of retiral, where full application paperwork has been received at least 28 working days prior to the date of retiral.
2	New Payments	Maintain accuracy level of new awards at 95% or better	
3	Transfer Value In (Quote)	Complete 100% of cases within 2 months of the transfer request*	
4	Transfer Value In (Actual)	Complete 90% of cases within 20 days of all required information being received	
5	Transfer Value Out (Quote)	Complete 100% of cases within 3 months of the transfer request*	
6	Transfer Value Out (Actual)	Complete 100% of cases within six months of the guarantee date unless the request is returned out with the time limit of the statement of entitlement*	
7	Refunds	Process 97% of refund applications within one month of all required information being received	
8	Estimates	Process 90% of cases within 2 months of request (unless one has already been issued in previous 12 months)	
9	Death in Service	Complete 98% within two months of receipt of all required information	Complete 98% within one month of notification of Certificate of Confirmation
10	Death in Pension	Complete 98% within two months of receipt of all required information	Complete 98% within 28 days of receipt of all required information
11	Existing Pensions (Changes)	Process prior to following close down in 98% of cases	n/a
12	Divorce - CETV	Provide information to courts, solicitors or members within three months of request in 100% of cases where SPPA has received all the required information needed to perform calculation.	
13	Divorce - PSOD	Implement pension sharing order within four months of receipt in 100% of cases subject to receipt of relevant documentation, and the SPPA administration charge, as per legislation	
14	SPSS/SLAB SLA's	100% of SLA targets specified in SLA's with SPSS and SLAB	

15	Complaints	98% resolved within 5 days for stage 1 complaints and within 20 days for stage 2 complaints	
16	IDRP 1	Respond within two months of receipt in 100% of cases for Medical and Non-Medical IDRP's (extensions to the date may be made if third party information is not available)	Respond within two months of receipt in 100% of cases for Non-Medical IDRP's (extensions to the date may be made if third party information is not available)
17	Records Maintenance (Data Cleanse)	Ensure that 95% of active members do not have any interface errors by 31/3/18	
18	Records Maintenance (up to date records)	Ensure that 97% of active employments are up to date at 31/3/18	
19	Records Maintenance (activities to support 100% of ABS delivery)	Ensure 100% of annual returns received by 5th July are sense checked and loaded to the interface by 31st July. Ensure 95% of errors generated from annual returns loaded by 31st July are cleansed by 17th August	
20	Annual statements	Ensure that accurate statements are available to 100% of active scheme members by 31 August each year.	
21	Ministerial Correspondence (Ministerial Replies)	Ministerial Replies - respond within 10 days of receipt Official Replies & Red Folders – respond within 20 days of receipt Parliamentary Questions – respond by designated date	
22	Annual allowance	Issue 100% of statements where the member has breached the annual allowance threshold by 6 October 2018. This is subject to having received accurate data from the employer by 6 July 2018	
23	Customer Contact Team • Call Service Level	CCT should answer 90% of calls within 30 seconds	
24	Customer Contact Team • Email Service Level	CCT should answer 90% of emails within 24 hours (Mon-Fri)	
25	Customer Contact Team • First Call Resolution	CCT should resolve 80% of enquiries in the first call	
26	Customer Contact Team • Contact Quality	CCT should achieve 80% positive scores on customer survey	

Table 5: People Services Department KPI's 2018-19

KPI	Key Performance Indicator	Target	Definition	Purpose
1	Complete Target Operating Model process for Finance and Policy	Job Matching complete and structure in place by 1 October 2018.	TOM is in place to support the Agency through our Strategic Plan to meet the Vision and provide excellent Customer Service	To ensure that the structure of support teams are agreed and in place
2	Complete TOM process for Customer Services	TOM process commencing October 2018 with Job Matching complete by 31 March 2019.	TOM considers the structure of the Customer Services teams and ensures improvements which benefit the organisation and work towards the Vision	To ensure that we provide an improved service to our members working more efficiently
3	Complete TOM for other areas	Remaining departments in process by 31 March 2019	The remaining support functions have a number of dependencies and therefore other areas will be completed first.	To ensure the whole organisation structure is fit for purpose.
4	People Survey 2017 Actions	Complete a Pulse survey to measure improvements by July 31 2018	Pulse Survey used to highlighted key areas of concern and to develop further action points in advance of People Survey 2018	To ensure that staff engagement and concerns are fully considered, published and action taken
5	People Survey 2018	Survey results published with initial overview by 31 December 2018.	People Survey report required for all staff to ensure open and transparent information issued	To ensure concerns are considered quickly and Action Plan can be provided.
6	People Survey 2018	Action Plan approved by SLT, MAB and in place by 31 January 2019	Results and Action Plan need to be circulated as soon as possible. Focus on communication and L&D	To provide SLT, MAB and staff with a full analysis ensuring that clear action is taken and issues addressed as soon as reasonably possible after the results are issued. Plan training to support results.
7	People Strategy	Review SPPA People Strategy by 31 December 2018	Considering the results of the People Survey and aligning with SG2020 and the TOM, update the SPPA People Strategy to reflect actions required and focus on improving People Network	To change the focus of the Agency and work more with our people to improve engagement and morale
8	HR Management information	Working with SLT provide monthly relevant and accurate Metrics	Consider improvement to the format of metrics which will enhance the overall information providing and understanding	To support the Agency outcome of ensuring governance and communication of accurate information

9	People Services Service Level Agreements	Meet Quarterly with SG People Services to improve Service Consider SPPA People Services SLA's by 31 March 2018	Improve relationships centrally and build on HR and recruitment support already in place – link also to other agencies.	To measure performance of People Services team dealing with SG policies and guidance
10	SPPA Recruitment Guidance	Provide clear SPPA guidance on recruitment processes by 31 January 2018	In line with TOM timings and working closely in Partnership and with SG centrally provide information to all People which clearly explains the recruitment process from and agency perspective	To support consistency and fairness
11	Produce an annual Training Plan	Ensure the annual training plan is updated by 31 October 2018	Taking into account the TOM and the need for upskilling ensure that the 18/19 training plan clearly supports Year 1 of the Strategic plan. Continued focus on improving behaviours and culture.	To support Year 1 of the Agency Strategic Plan
12	Provide a Learning and Development Strategy (considering the Customer Services focus)	Ensure the L&D strategy for 3 years is completed by 31 March 2019	Taking into account the TOM (and the budget) ensure a 18-19 to 21-22 strategy in place. Introduce Learning Journeys across agency and grade.	To support the Agency Strategic Plan and the TOM structure
13	Improve understanding and implementation of Change Management in the SPPA	Mandatory sessions for all staff completed by 30 September 2018.	All staff to have a minimum understanding and support mechanisms in place for the changes ahead. Senior managers to all complete a qualification to support a better understanding	To improve management of change and ensure all people have received at least a very minimum level of training
14	liP – New format	Complete the initial assessment in the new format by July 2018	Complete the first interim review of the liP under the new arrangements – consider action points and develop along with the People Survey action plan	To support staff with learning and development, understanding of the business, well-being and health

Table 6: Corporate Services Department – IT KPI's 2018-19

IT KPIs are contained in the ITaPS Service Level Agreement. This covers service hours, service availability and reliability, scheduled and exceptional processing, service performance, including response times, and capacity.

Table 7: Corporate Services Department – Communications KPI's 2018-19

KPI	Key Performance Indicator	Target	Definition	Purpose
1.	Freedom of Information Requests	By 20 working days from receipt (Agency target)	The Freedom of Information (Scotland) Act 2002 (FOISA) was introduced to give people access to information held by Scottish public authorities.	To ensure compliance with national service standards

A key task for Comms is developing a Service Level Agreement which will form the basis of an extended range of KPIs

Table 8: Policy Department KPI's 2018-19

KPI	Key Performance Indicator	Target	Definition	Purpose
1	IDRP Appeals	Full response to be issued for both medical and non-medical appeals within 4 months of receipt of the initial request but aim to provide a decision within 20 working days of all necessary information being held.	To consider and decide on appeals under the new one stage IDRP process introduced from 1 May 2018	Improved service delivery to members in appeal process from initial consideration through to potential decision by the Pensions Ombudsman.
2	Ministerial Correspondence - Ministerial Replies	Submit draft responses to Private Office within 10 days of receipts in 100% cases.	Letters entered onto the MACCS system accessible on Saltire which relate to Policy related which must be submitted for Ministerial approval e.g. written by Action Officer on behalf of Ministers reflecting Ministers preferences. Draft subject to checks by senior Policy Managers and head of Policy before issue to Ministers	To ensure compliance with national service standards.
3	Ministerial Correspondence – Official Replies	Respond within 20 working days of receipt in 100% of cases.	Letters entered onto the MACCS system accessible on Saltire which relate to Policy. Reply made by SPPA official on behalf of Minister. Draft subject to checks by senior Policy Managers and Head of Policy before issue to correspondent.	To ensure compliance with national service standards.

Table 9: Governance Department KPI's 2018-19

KPI	Key Performance Indicator	Target	Definition	Purpose
1	Review and update Agency Framework and associated documentation	6-monthly checks in line with Strategic Plan and any regulatory changes.	Ensure that Agency Framework and all associated documentation is up to date and fit-for-purpose. Clear changes with SLT and Chief Executive prior to notification to Divisional head(s) and Minister. Publish refreshed document through relevant channels. Establish process going forward. Any material changes required to the Framework itself need to be discussed with the senior stakeholder before changes made.	Any changes to Agency processes are captured and communicated to ensure that all interested parties have clarity. Ensures expectations are managed. Helps in managing reputation of Agency.
2	Board member appraisals and Board Self-Assessment	Appraisals completed by 31 st May. Board Self-Assessment complete by mid-May.	Communicate process and due date to Pension Boards and their Chairs. Ensure that Pension Board Chairs undertake the process with Vice-Chairs and members, and submit their reports to the Governance Team by the due date. Ensure that the Chief Executive and/or delegated senior official carries out the appraisal process with Chairs. Have a process in place for dealing with poor performance and next steps, following HR guidance.	Manages performance of Board members and addresses poor performance. Boards remain effective. Proactive approach gets the best out of Boards for the Agency.
3	Pension Board Annual Report	Pension Board Annual Reports ready for publication by end June.	Communicate process and due date to Pension Boards. Ensure that Pension Board Chairs undertake the process and provide their report to the Governance Team by the due date. Governance Team collates responses and puts into standard format.	Pension Boards remain accountable and activities and outputs transparent. Effectiveness of Boards is reported.
4	Review and ensure that governance communications are fit-for-purpose	At least quarterly. Responsive to any changes in or new documents or information. Publish minutes from SLT, MAB and Pension Boards within 15 days of meetings.	Participation in the Agency Web Project. Reviewing documents published and publishing updates as they become available. Ensure that activities of Boards is or can be communicated to all stakeholders. Minutes of meetings to be ratified and published in line with Pension Regulator guidance, the Publications Scheme and the Terms of Reference for each Board. Maintain records for all Pensions Boards as per The Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014.	Clear and relevant communications to stakeholders on Agency governance arrangements and activity. Reputational management.
5	Establish a methodology for continuous improvement	Q4	Outline the process and communicate to relevant stakeholders.	Gives assurance that governance framework and processes remain fit for purpose.

		Minimum quarterly review. Monitoring routines for best practice and tools		Assists the Agency in achieving accountability and transparency. Supports the Chief Executive as Accountable Officer.
6	Set up a Pension Board Annual Conference	Q3 First Conference takes place	Planning for a first Pension Boards Annual Conference as recommended in the KPMG review (2016-17) to take place in Q3 and then on an annual basis. Include external speakers, create networking opportunities	Enables sharing of and identification of experience and good practice. Facilitates inter-Board networking.
7	Governance-related Audit Recommendations	Implement governance-related audit recommendations within timescales agreed with audit report	Implement governance-related audit recommendations within timescales agreed with audit - date completed compared with the target date held within Audit Tracker.	Compliance with statutory obligations and in-line with Public Service Reform (Scotland) Act 2010.
8	Establish team resilience and ensure cross-team capability	Q4 Ensure that all key tasks can be accomplished by at least 2 team members by March 2019.	Ensure that there is a clear understanding of what needs to be done to provide a) continuous level of service to MAB and Pension Boards and b) answers to governance-related questions or ability to signpost towards relevant bodies of knowledge.	To avoid single points of failure.
9	Appraisals	All staff to have completed their year-end appraisal by 31 May and mid-year review by 31 October.	Per target. To include monthly conversations.	IIP best practice/compliance with organisational requirements.
10	Personal development plans	PDPs to be agreed with their manager by 31 May.	Per target.	IIP best practice and to recognise the importance of staff training and development in an 'excellent' organisation.
11	Personal objectives	Personal objectives to be agreed with managers by 31 May.	Per target.	IIP best practice and to align with Agency and Divisional objectives.
12	Ministerial Correspondence - Ministerial Replies	Submit draft responses to Private Office within 10 days of receipts in 100% cases.	Letters entered onto the MACCS system accessible on Saltire which relate to non-financial governance aspects of the Agency which must be submitted for Ministerial approval e.g. written by Action Officer on behalf of Ministers subject to their approval to other MSPs.	To ensure compliance with national service standards.

13	Ministerial Correspondence - Ministerial Replies	Improve quality of draft replies submitted to Private Office.	Private Office have an internal target to turn around correspondence which will be negatively impacted by poor drafting of replies by the Agency.	To ensure compliance with national service standards.
14	Ministerial Correspondence - Official Replies on behalf of Ministers	Respond within 20 working days of receipt in 100% of cases.	Letters entered onto the MACCS system accessible on Saltire which relate to non-financial governance aspects of the Agency e.g. written by Action Officer as an SG Official on behalf of Ministers to members of the public.	To ensure compliance with national service standards.
15	Ministerial Correspondence - ('Red' Folders)	Respond within 15 working days of receipt in 100% of cases.	Letters entered onto the MACCS system accessible on Saltire which relate to non-financial governance aspects of the Agency.	To ensure compliance with national service standards.
16	Parliamentary Question (on time)	Oral or written submitted within set timescales.	Written PQs to be answered and submitted within 5 days by the official to enable the Minister to meet the 10 day deadline and Oral PQs by the set deadline depending on the type of PQ i.e. topical, themed, general, oral, first minister's questions, inspired http://intranet/InExec/AboutUs/PermSec/GovernmentPublicAdmin/DevolvedAdministrations/PQGuidance .	To ensure compliance with national service standards.
17	Freedom of Information (on time)	Response sent within 20 days of receipt.	Requests received under Freedom of Information (Scotland) Act 2002 (FOISA) or the Environmental Information (Scotland) Regulations 2004 (EIRs) entered onto on-line tracker http://sh130eda/foitracker/Index.aspx Handling guidance provided on-line http://sgsharepoint/sites/freedomofinformation/FOIEIR%20Wiki/FAQs.aspx .	To ensure compliance with national service standards.
18	Data Protection (on time)	Response sent within 40 days of receipt.	Requests allow for 30 days to collate the information, complete an inventory, perform any redaction (removing any information that the individual does not have a right to see) and forward to the Data Protection and Information Assets Team.	To ensure compliance with national service standards.

Table 10: Finance Department Key Tasks 2018-19

ID	Strategic Aim Approach	Key Task Description	Delivery Teams	Owner	Risk Areas	1. Measures 2. Benefits
1	Customer First: Project management	<ul style="list-style-type: none"> Embed latest version of Epicor into current processes. Refine Epicor reports to suit organisational reporting needs. Use common SSRS platform to collate a single report from multiple sources 	Pension scheme finance	MC	<ol style="list-style-type: none"> Roll out of Windows 10 Prompt recruitment to fill vacancies Retention of key staff 	<ol style="list-style-type: none"> Adherence to project timetable Increased level of automation and reduced level of manual intervention contributing to time releasing savings
2	Customer First: Project management	<ul style="list-style-type: none"> Website review – updated and new content Pulsion review – messaging and link to website 	All	MC	<ol style="list-style-type: none"> Finance staff participation in wider project at key delivery points Customer engagement on content 	<ol style="list-style-type: none"> Adherence to project timetable Increased on-line activity as measured by 'google analytics' to improve service accessibility
3	Service Delivery: Continuous improvement - financial reporting	<ul style="list-style-type: none"> Scope the possible use of 'dashboards' into day to day work 	All	JM	<ol style="list-style-type: none"> Target most relevant metrics/ workflows to enhance performance 	<ol style="list-style-type: none"> Most important and most frequently requested information Turnaround times reduced
4	Service Delivery: Continuous improvement - financial reporting	<ul style="list-style-type: none"> Ensure targets within KPIs still fit for purpose. Identify the Key Risk Indicators that relate to the Department's KPIs 	All	IW	<ol style="list-style-type: none"> Customer engagement Controllability of KPIs where dependencies on other departments 	<ol style="list-style-type: none"> Reported quarterly to MAB Open and transparent reporting
5	Service Delivery: Continuous improvement – financial reporting	<ul style="list-style-type: none"> ARC recommendation to seek opportunities to streamline the narrative and where appropriate introduce more graphical enhancements into annual report and accounts 	Agency finance	IW	<ol style="list-style-type: none"> Communications team engagement Availability of relevant data 	<ol style="list-style-type: none"> Increased use of tables, charts, diagrams and relevant analysis Open and transparent reporting

6	Service Delivery: Continuous improvement – Strategy and policy	<ul style="list-style-type: none"> Procurement strategy update Overpayment policy update Contract Register update 	Agency procurement	ML	1. Delays in recruitment of Procurement and Contract Officer	1. Number of strategy and policy documents refreshed 2. Improved governance
7	Service Delivery: Continuous improvement – procurement	<ul style="list-style-type: none"> Deliver new procurements e.g. proof of life Renew existing contracts /SLAs e.g actuarial services 			1. Commissioning officer's key dependency to inform timeously and support procurement process 2. Obtaining competitive bids to achieve efficiency savings	1. Meeting procurement timetable – as advised 2. Contribution towards Best Value targets
8	Operational Excellence: Project management	<ul style="list-style-type: none"> Integrate payroll processing into Finance Integrate procurement and contract management into Finance Temporarily integrate Security, Facilities and mailroom into Finance 	AI	JM/FT/IW/ML/RC	1. Staff resource in Finance to manage integration 2. Integration after return of staff from PS Pension project and ahead of future payroll migration to Altair	1. Adherence to project timetable - transfer of employee details in HR systems by June 2018 and performance manage staff in line with targets for remainder of year e.g. monthly conversations, appraisals 2. Contribution to Target Operating Model
9	Operational Excellence: Project management	Contribute to TOM: <ul style="list-style-type: none"> new organisational structure new job descriptions update procedure notes update skills matrix 	All	IW	1. Staff and union engagement 2. Uncertain timelines and outcomes 3. Organisational inter-dependencies	1. Adherence to project timetable – end Q2 2. Contribution to Target Operating Model
10	Operational Excellence: Project management	<ul style="list-style-type: none"> Annual Pension Increase 	Agency Payroll	Business systems and Payroll Manager	1. Requires experienced project manager 2. Requires pan-Agency cooperation and commitment	1. Adherence to project timetable – end Q4 2. Achievement of Key Performance Target
11	Operational Excellence: Continuous improvement - forecasting	Contribute to TOM through application of: <ul style="list-style-type: none"> Operational research in developing improved processes Statistician to develop: <ul style="list-style-type: none"> customer demand models 	Agency Statistical	CK	1. Establishing a Management Information Unit 2. Availability of specialist staff 3. Coordinating effort across departments to add value to the management information to improve performance	1. Demand model, segmentation and analysis produced 2. Value added forecasting

		<ul style="list-style-type: none"> ○ customer segmentation analysis as part of customer relationship management ○ performance analysis to support governance arrangements and financial reporting 				
12	Operational Excellence: Continuous improvement – Best Value	<ul style="list-style-type: none"> ● Procurement Manager to develop procurement strategy and contract management approach 	Agency Procurement	ML	1. Availability of specialist staff	1. Completion of procurement strategy and contract management approach 2. Contribution to Best Value targets
13	Develop our People: Continuous improvement – investing in people	<ul style="list-style-type: none"> ● Investment in SSRS report writing skills and exploit embedded reporting functionality ● Increase EASEbuy support – frequent users meetings and FAQs, more rigorous use in requisition process in advance of invoice arrival, complementary use of ePC 	Agency/ Scheme Finance	MC/FF	1. Availability of training opportunities	1. Demonstrating diverse range of learning and development opportunities exploited – civil service portal or SG , on-line or distance learning, bespoke or off the shelf courses, individual coaching, secondments. 2. Increased productivity and quality

Table 11: Customer Services Department Key Tasks 2018-19

ID	Strategic Aim Approach	Key Task Description	Delivery Teams	Owner	Risk Areas	1. Measures 2. Benefits
1	Customer First	Issue starter Letters	RMT	GC	<ul style="list-style-type: none"> • Failure to meet legislative requirement. • Transfer in deadline missed. • Member benefit enhancements lost 	<ul style="list-style-type: none"> • Issue starter letter to members within 2 months of being an active member (subject to having received such notice from the employer) • Members awareness of options available in the scheme.
2	Customer First	Issue leaver Letters	RMT	GC	<ul style="list-style-type: none"> • Failure to meet legislative requirement. • Transfer out Opportunities reduced/lost • Not providing options on leaving 	<ul style="list-style-type: none"> • Issue letter to leavers within 2 months of being notified when they have left employment
3	Service Delivery	LTA (retired members)	Awards	KW	<ul style="list-style-type: none"> • Member breaching tax allowances 	<ul style="list-style-type: none"> • Ability to calculate the LTA for relevant retired members and make that information available to them within 3 months of the BCE and annually thereafter to HMRC • Informs member of details required for tax purposes
4	Operational Excellence	Ensure that external stakeholders are provided with up to date and accurate information including supporting the Web Project	SL/TTT	SB	<ul style="list-style-type: none"> • Inadequate communication with stakeholders 	<ul style="list-style-type: none"> • Web Project approach in line with project plan • Timely and accurate information for all external stakeholders via web, circular and meetings

5	Service Delivery	Member charter to set out roles and responsibilities	SL/TTT	SB	<ul style="list-style-type: none"> Lack of clarity of roles and responsibilities Details of charter not agreed 	<ul style="list-style-type: none"> Agree approach end October 2018 Customer engagement and product development from Nov 18 to Mar 19 Communicate and launch by 31/03/2019
6	Continuous Improvement	Employer engagement to support understanding the requirements of data submission to improve the standard of data quality	RMT	GC	<ul style="list-style-type: none"> Reduced data quality Calculations based on erroneous data Impact on scheme valuations 	<p>Employer Engagement plan of activity for all four schemes (part of record keeping plan) for the year by end of September which includes:</p> <ul style="list-style-type: none"> Regular TWG engagement. Access for employers to receive training and/or awareness re data Requirements. Communication activities Escalation procedures where employers fail to provide correct data on time Employer seminars
7	Service Delivery	Service Levels Redefined	SL/TTT	SB	<ul style="list-style-type: none"> Measure of customer service are not aligned 	<ul style="list-style-type: none"> More efficient and effective service delivery in line with customer expectations. Service standards and KPI's aligned to required service standard.
8	Customer First	Pilot single event surveying and make recommendations about its future use	Awards	KW	<ul style="list-style-type: none"> Limited useable responses Low response rate 	<ul style="list-style-type: none"> Introduce a pilot of single event surveying by the end of September 2018 Provide feedback and recommendations about its wider use. Initial issue of survey link to 100 members commenced 31/08/2018 with further 1400

						emails with link being issued 05/09/2018
9	Develop our People	Provide technical training and opportunities for development to match the requirements of customer services staff and to reflect the needs of the business	SL/TTT	SB	<ul style="list-style-type: none"> Staff are not skilled appropriately for the administration of pensions 	<ul style="list-style-type: none"> 18/19 Training Plan in place by 30/6/18 Training delivered in line with needs of Customer Services Directorate with reference to each team's skills matrix
10	Develop our People	Agree an action plan on the outcomes of the staff survey and implement with the aim to improve outcomes by 31/12/2018	CSSMT	CJ	<ul style="list-style-type: none"> Reduction in key staff completing survey Staff participation 	<ul style="list-style-type: none"> Identify aspects of feedback from staff which could be addressed as quick wins. Staff engagement
11	Develop our People	Job Objectives	CSSMT	CJ	<ul style="list-style-type: none"> Retention of key staff Strategic directions 	<ul style="list-style-type: none"> All personal objectives agreed by 31/5/18. All staff aware of personal objectives.
12	Develop our People	Sick absence	CSSMT	CJ	<ul style="list-style-type: none"> Impact on service delivery Operational effectiveness within the business 	<ul style="list-style-type: none"> Maintain and if possible improve sick absence levels in 2018/19 Manage sick absence reduction in sick absence levels in 2018/19
13	Service Delivery	Regularly review level staffing resources to ensure priorities are met, staff pressures are addressed and recruitment is considered	CSSMT	CJ	<ul style="list-style-type: none"> Increase in operating costs Retention of key staff 	<ul style="list-style-type: none"> Required resources available for business delivery. Manage workload planning tool across all teams to ensure optimum productivity and overtime control.
14	Operational Excellence	Support the implementation of Altair Improvement Project	CSSMT	CJ	<ul style="list-style-type: none"> Customer engagement Rollout of Altair Programme 	<ul style="list-style-type: none"> Prepare Customer Services for the business change Greater efficiency in business delivery.
15	Continuous Improvement	Review our approach to continuous improvement and the feedback from the business	CSSMT	CJ	<ul style="list-style-type: none"> Lack of engagement from staff Reduction in staff morale 	<ul style="list-style-type: none"> Delivery of improvement initiatives and embedding of CI

		planning sessions and make recommendations to improve the capture of staff ideas whilst implementing standard processing and measurement.				<ul style="list-style-type: none"> • across CS. • Improvement in operational efficiency.
16	Service Delivery	Implement a record keeping plan of activity for all four schemes to support service delivery, the Pensions Dashboard and the Agency's aim of straight through processing	SL/RMT	GC	<ul style="list-style-type: none"> • Poor data quality • Impacts on timescales for all other KPI • Impacts on customer confidence and satisfaction 	<ul style="list-style-type: none"> • Plan updated by end of September 2018 • Deliver a range of improvement activities in line with the plan (including resolution of historic data issues) • Up to date and accurate data for 95% of active members and other KPIs <p>Monthly reports to CSSMT Consider:</p> <ul style="list-style-type: none"> • Data quality measurement • Feasibility/benefits of moving to monthly data • Resolution of historic data issues • Record maintenance/error handling training for all
17	Service Delivery	Review our service delivery commitments for deferred members and recommend improvements	CSSMT	BC	<ul style="list-style-type: none"> • Accuracy of member data • Ineffective service to members 	<ul style="list-style-type: none"> • Ability to contact preserved members in advance of their NPA. • Ability to pay benefits due.
18	Operational Excellence	Implement Customer Contact Team Phases 3 & 4 in line with the project plan ensuring business is ready to receive the change	Awards	KW	<ul style="list-style-type: none"> • Not able to secure appropriate resources • Training not fully fit for purpose • System issues 	<ul style="list-style-type: none"> • Tasks to be identified as per project plan. • Staff engagement and communications secured on CCT changes and email blending change • First point of contact resolution for members

19	Continuous Improvement	Hold regular meetings with all Directorates to improve “joined up working” and to work with Policy to resolve outstanding regulatory issues and ensure adequate horizon scanning to inform change management process	CSSMT	CJ	<ul style="list-style-type: none"> Delays in regular meetings causing failure in communications. Organisational interdependency 	<ul style="list-style-type: none"> Review working arrangements to ensure joined up working across Directorate tasks. Deliver improved communications between Directorates
20	Continuous Improvement	Change managers in place - Identify changes that require dedicated change managers (from strategic plan) SLT review	CSSMT	CJ	<ul style="list-style-type: none"> Failure to deliver full benefits of change initiative. 	<ul style="list-style-type: none"> Successful acceptance and implementation of change, with change managers providing a support network throughout Agency. Embed a continuous improvement culture via continuous improvement group
21	Operational Excellence	Pension dashboard project initiated (Compliance with Government requirements) Establish project, plans, requirements and resources to deliver SLT review	CSSMT	BC	<ul style="list-style-type: none"> Members unaware of full pension benefits due to them. 	<ul style="list-style-type: none"> Establish project, plans, requirements and resources to deliver. Member awareness for entitlements.
22	Service Delivery	Implement Customer Services related audit recommendations for Internal Audit (IA) and Audit Scotland (AS)	CSSMT	CJ	<ul style="list-style-type: none"> Unsecure and inefficient business delivery procedures. 	<ul style="list-style-type: none"> Considering draft recommendations within 14 days Agreeing at SLT and responding to IA/AS within 30 days Implementing actions on time Maintain audit tracker
23	Service Delivery	Deliver a quality assurance regime that is “fit for purpose” and meeting audit requirements	SL/TTT	SB	<ul style="list-style-type: none"> Audit requirements not met. 	<ul style="list-style-type: none"> QA checks undertaken and reported monthly to OSMT Six monthly and annual QA summary report

24	Service Delivery	Detailed team plans for each business area within Customer Services	CSSMT	CJ	<ul style="list-style-type: none"> Out of date information risking quality of business delivery. 	<ul style="list-style-type: none"> Understanding of link between personal objectives, team plans and directorate and agency tasks. Delivery of key outcomes
25	Operational Excellence	Monthly analysis of Performance Management Reports to improve workflow control and inform SLT/Management Advisory Boards/Pension Boards	SL/TTT	SB	<ul style="list-style-type: none"> Insufficient information provided to SLT, Management Advisory Boards & Pension Boards 	<ul style="list-style-type: none"> Monthly exception and quarterly monitoring reports produced on time and accurately Analysis of trends and make recommendations for improvements
26	Service Delivery	Ensure the Agency's compliance with the Pension Regulator's Code of Practice 14	SL/TTT	SB	<ul style="list-style-type: none"> Non-compliance with the regulators code of practice 	<ul style="list-style-type: none"> Regular reviews carried out. Compliance with Code of Practice
27	Customer First	Effectively manage appropriate forum for engagement with key external stakeholders: NHS & Teachers employers, Inter-scheme, Duradiamond	SL/TTT	SB	<ul style="list-style-type: none"> Stakeholders feel uninformed and not joined up with the Agency. Forums are not involved or aware of changes that could impact them. 	<p>Review external stakeholder engagement for Customer Services by</p> <ul style="list-style-type: none"> Creating an Operations stakeholder map 31/08/2017 Analysing current external engagement activity and proposing recommendations (link to task number 6) Create and maintain a timetable of stakeholder engagement ensuring: <ul style="list-style-type: none"> Regular meetings and effective communications Actions completed effectively and on time
28	Continuous Improvement	Act on benchmarking exercise and continuous survey and customer feedback to deliver improved results.	SL/TTT	SB	<ul style="list-style-type: none"> Not aligning with the customer service levels of our peers 	<ul style="list-style-type: none"> Submit 2017/18 CEM data by 31/7/2018 Prepare an action plan for agreed improvements by end

						<p>of November (report output dependant)</p> <ul style="list-style-type: none"> • Implement recommendations from last CEM survey by agreed dates in action plan • Delivery of improved continuous survey outcomes by regularly reviewing results and implementing small scale improvement to customer services.
29	Service Delivery	Comply with National Fraud Initiative in Scotland 2018/19	Awards	KW	<ul style="list-style-type: none"> • Late return of NFI data • Conflicting priorities impacting ability to process exercise • Reputational impact if incorrect administration resulted in overpayment 	<ul style="list-style-type: none"> • 2016/17 NFI exercise completed in early in 2018/19 year • 2018/19 NFI extractions will be prepared by SPPA around October 2018 • Saving to the tax payer through enforcing earnings limits
30	Service Delivery	Support the effective delivery of the Pension Boards for all four schemes	CSSMT	CJ	<ul style="list-style-type: none"> • Pension Board insufficiently supported in their responsibility to assist Scheme Manager 	<ul style="list-style-type: none"> • Actions completed timeously • Appropriate papers and information for Boards • Effective engagement with Board members
31	Service Delivery	Data Security	CSSMT	CJ	<ul style="list-style-type: none"> • Failure to meet training requirement • Availability of service delivery 	<ul style="list-style-type: none"> • Staff fully trained • All staff complete Protecting Information Level 1 and Responsible for Information Course annually and staff fully trained. • B1s and above complete Protecting Information Level 2 annually • Security of data and reputation.

32	Operational Excellence	Review all internal controls for outgoing data	CSSMT	JM	<ul style="list-style-type: none"> Failure to meet legislative data requirements 	<ul style="list-style-type: none"> Annual review mechanism conducted. Security of data.
33	Service Delivery	Deliver the reconciliation with HMRC of the NHS, teachers, Police and Fire-fighters scheme GMP data.	GMP Project	VP	<ul style="list-style-type: none"> Inaccurate pensions data held resulting in incorrect pensions being paid. 	<p>Support the project to achieve the following outcomes:</p> <ul style="list-style-type: none"> Complete reconciliation of records by 31/03/2019 Rectify member records affected by GMP by 31/07/2019
34	Operational Excellence	Implement bulk care accrual	CSST	BC	<ul style="list-style-type: none"> Missing or incorrect member data. Employers failure to provide required data. 	<ul style="list-style-type: none"> Ensure 100% of active scheme members with CARE earnings up to 31/03/2018 have their CARE Accrual calculated by 31/12/2018.
35	Continuous Improvement	Employer Performance Tracking (STPS only)	RMT	GC	<ul style="list-style-type: none"> Reduced data quality Calculations based on erroneous data Impact on scheme valuations 	<p>From April 2018 start monitoring employer performance relating to timeliness and accuracy of data with a view to providing large employers with a performance score by October 2018</p> <p>Create mechanism to baseline employer performance scores to measure effectiveness of engagement and escalation by end of October 2018</p>

Table 12: People Services Department Key Tasks 2018-19

ID	Strategic Aim Approach	Key Task Description	Delivery Teams	Owner	Risk Areas	1. Measures 2. Benefits
1	Customer First	Complete TOM Finance and Policy	TOM	FR	<ul style="list-style-type: none"> Agreement with Partnership colleagues Approval by SG People Service Consultation Group involvement 	<ul style="list-style-type: none"> Ensure consultation process in place Ensure all staff involvement <p>Improved Customer service Better structure and more efficient processes. More opportunity</p>
2	Customer First	Complete TOM for Customer Services	TOM	FR	As above	<ul style="list-style-type: none"> All teams involved in Identification workshops Staff involvement and influence <p>Improved customer service More opportunity for our people Better structure</p>
3	Customer First	Complete TOM for other areas	TOM	FR	<ul style="list-style-type: none"> Need to ensure that nothing is missed from the plan May need additional resources or skilled staff 	<ul style="list-style-type: none"> All teams involved in consideration of structure Improved Support Services function <p>Improving service to internal and external customers More efficient and effective teams</p>
4	Develop our People	People Survey 2017 Actions	People Services L&D	JMc	<ul style="list-style-type: none"> SLT and staff understanding of work towards actions 	<ul style="list-style-type: none"> Pulse survey results improvements Increased Engagement score <p>Attendance at all staff events will highlight that SLT taken notice of concerns and improve morale</p>

5	Develop Our People	Pulse Survey 2018 – complete actions and target approach	People Services L&D	JMc	<ul style="list-style-type: none"> • Low morale • Low completion rate 	<ul style="list-style-type: none"> • Engagement score • Behaviours and culture <p>Opportunity to gain insight into concerns in advance of full People Survey</p>
6	Develop our People	People Survey 2018 – preparation, questions, communications and issue of survey for 1 October 2018	People Services	JMc and SK	<ul style="list-style-type: none"> • Low completion rate • Staff not aware of the actions from last survey 	<ul style="list-style-type: none"> • Increased completion rate • Interest and comments around target questions <p>Will support production of a more targeted action plan.</p>
7	Develop our People	People Survey 2018 results – Action plan following results approved by SLT, MAB and in place by 31 January 2019	People Services	JMc and SK	<ul style="list-style-type: none"> • Staff resources to complete the analysis (JMc moved on to another post) 	<ul style="list-style-type: none"> • Staff Engagement score increase • Bullying and Harrasment score improvements <p>Provides a clearer picture of how our Agency has improved in last 12 months.</p>
8	Develop Our People	Review of People Strategy and focus on 4 key themes from People Survey by 31 January 2019	People Services	SP and HS	<ul style="list-style-type: none"> • Themes from survey are unclear • 4 themes are too many especially if major concerns on high priority area 	<ul style="list-style-type: none"> • Comparison to previous surveys • Benchmarking with other similar organisations <p>Provides team with a clear focus and staff will understand the link to the action plan.</p>
9	Develop our People	Update the People Network/People Focus Group	People Services	SP	<ul style="list-style-type: none"> • No volunteers • Need to change our terms of reference • Staff involvement at team level 	<ul style="list-style-type: none"> • Improvement engagement and morale <p>More involvement with the SLT/Projects and Events</p>
10	Service Delivery	HR Management information and tools available and usable by all SLT. Reviewed by end of Q3 and provide monthly/quarterly/annual information	People Services	MK	<ul style="list-style-type: none"> • Lack of accurate information available from Edinburgh • SLT requirements unclear 	<ul style="list-style-type: none"> • Improved and accurate information which support SLT decisions. <p>Clearer on areas to target All SLT have same information so consistenr approach</p>

11	Service Delivery	Ensure SLA's in place with SG centrally regarding HR support	People Services HR	CH	<ul style="list-style-type: none"> • SG involvement 	<ul style="list-style-type: none"> • Improved service • Improved communication <p>Clearer understanding of support required and given</p>
12	Service Delivery	Ensure SLA's in place with SPPA providing key support information with regards to recruitment, attendance, performance, conduct	People Services HR	CH	<ul style="list-style-type: none"> • SPPA involvement • Understanding of what is required and what can be provided 	<ul style="list-style-type: none"> • Improved service • Improved relationships • Improved communication <p>Staff have a better understanding of the HR function and how we can support</p>
13	Service Delivery	Update the SPPA Recruitment guidance information in line with SG policy and in consultation with PCS	People Services	SP and JG	<ul style="list-style-type: none"> • Review of Authority to Recruit processes • Recording of accurate vacancies 	<ul style="list-style-type: none"> • Improved service <p>Staff have clearer expectations and understanding of processes</p>
14	Service Delivery and Operational Excellence	Recruitment internal and external	People Services	CH SP	<ul style="list-style-type: none"> • CS recruitment principles must be followed • SG Policy must be followed • Accurate information required 	<ul style="list-style-type: none"> • Improved service when filling posts <p>Timescales to complete the process can be reduced and benefit the business by filling post more effectively</p>
15	Operational Excellence	Staff Retention and succession planning guidance	People Services	SP	<ul style="list-style-type: none"> • SG opportunities attract our staff via train link • Key staff leave • Single points of failure 	<ul style="list-style-type: none"> • Improved service to our customers • Staff with specialist knowledge encouraged to stay • Staff encouraged to train and gain qualifications
16	Develop our People	Produce an annual Training Plan	People Services CL	HS	<ul style="list-style-type: none"> • Priorities keep changing • No focus on key themes 	<ul style="list-style-type: none"> • Improved support to our people • Opportunity to build key skills <p>Upskilled staff who provide excellent Customer Service</p>
17	Develop Our People	Corporate Learning team SLA introduced	People Services	HS	<ul style="list-style-type: none"> • Unclear requirements across departments • Approach inconsistent 	<ul style="list-style-type: none"> • Need to set clear expectations • More influence and understanding of budget <p>Clearer understanding for our people and more information for budget proposals</p>

18	Develop Our People/continuous Improvement	Complete a 3 year Learning and Development Strategy to include all grade Learning Journeys	People Services	SP	<ul style="list-style-type: none"> Requirements and priorities change 	<ul style="list-style-type: none"> SLT and staff have focus on what the plans for the future are Meet the requirements within the Strategic plan and build an agency that provides excellent Customer Service Better understanding of budget required
19	Service Delivery and Develop our People	SLT and MAB succession and retention planning including support for learning journeys	People Services	SP	<ul style="list-style-type: none"> SLT and MAB commitment Training at correct level 	<ul style="list-style-type: none"> Improved skills and knowledge within senior team and external board More consistent approach across Agency
20	Develop Our People and Continuous Improvement	Mandatory Change Management training in line with grade to ensure understanding and qualifications	People Services	SP	<ul style="list-style-type: none"> Staff commitment Staff understanding 	<ul style="list-style-type: none"> Opportunity to see change within teams Change in staff survey improves All staff prepared for any changes they face SLT and senior managers have a better understanding of how they can support people through change Understanding of the main concerns when going through change and therefore more prepared
21	Develop Our People	Investors in people	People Services	SP	<ul style="list-style-type: none"> Staff commitment Understanding of new standards 	<ul style="list-style-type: none"> Retain our Gold award Gain our Health and Well-being award <p>Supports the Agency with our Strategic Plan Customer Service improvements Valued award with the public</p>

Table 13: Corporate Services Department – IT Key Tasks 2018-19

Task	Description	Target	Definition	Purpose
1	Potential Altair Upgrade - IT Infrastructure	30 November 2018	As per Heywood proposal	To support Altair project to deliver improved service to members
2	IT Review	31 December 2018	Review and implementation of IT Review held in 2017	To improve support across SPPA
3	IT Documentation	31 December 2018	Update and implement IT Documentation for ALL systems - better IT practice (ITIL)	To improve support across SPPA
4	IT Infrastructure	30 September 2018	Upgrade all desktop kit to windows 10 as per core SG plan	To keep the IT desktop infrastructure up to date and in line with the Core SG
5	IT Infrastructure	31 December 2018	Review SPPA IT Hosting Infrastructure	Provision of Cloud Hosting Options for SPPA infrastructure
6	IT Infrastructure	30 June 2018	Implement Unified Data Protection back up technology	To improve and modernise SPPA server backup, data retention and recovery
7	IT Infrastructure	31 October 2018	Implementation of update network to support test, development and externally hosted digital platforms	To create and install the correct subnets for the new Altair system
8	IT Infrastructure	31 August 2018	Review and implement the upgrade of IT desktop kit	Replace all old desktop kit in line with SG policy
9	Improve Performance	31 October 2018	Maintenance of the Altair Database to improve performance and service to users	To implement a new policy and holding system for the Altair Audit Data
10	Improve Performance	31 December 2018	As per SPPA web site project	To support the SPPA web project to deliver a new web site for SPPA
11	Improve Performance	31 March 2019	Implementation of eRDM	Commence the implementation of a roll out of eRDM to SPPA

12	Improve Performance	31 March 2019	Respond to and meet all agreed SLA's	Continuous tracking of helpdesk calls, requests for project support and systems issues as agreed within the SPPA IT SLA documentation
13	Improve Performance	31 December 2018	Review IT SLA's- current SLA's embedded here	Review and agree all SPPA IT Team SLA's
14	Improve Performance	31 December 2018	All IT Staff training on ITIL	All IT staff to complete and gain accreditation in ITIL best practice
15	Improve Performance	31 March 2019	Provision of IT support and guidance	Provide IT support to all areas of the business ensuring best practice, cyber security and general IT standards are adhered to at all times.
16	Develop Knowledge Sharing across IT Functions (resilience in team)	31 March 2019	Ensure that all key tasks can be accomplished by at least 2 members of IT team by March 2019.	To ensure all staff can cover other schemes and no reliance on one member of staff.
17	Appraisals/Monthly conversations.	31 March 2019	All staff to have completed their year-end appraisal by 31 May and their mid-year review by 31 October. All staff to have monthly conversations.	IIP best practice.
18	Personal development plans	31 March 2019	All staff to have agreed their BCS with their supervisor by 31 May.	IIP best practice and to recognise the importance of staff training and development in an 'excellent' organisation.
19	Personal objectives	31 March 2019	Personal objectives to be agreed with managers by 31 May.	IIP best practice and to align with Agency and Divisional objectives.

Table 14: Corporate Services Department – Communications Key Tasks 2018-19

Task	Description	Target	Definition	Purpose
1.	Website Project	In line with project timetable, completion in June 2019	Renewal of SPPA website	To improve customer service
2.	Communications Strategy	<p>Delivery in stages over the next 3-5 years.</p> <p>By November 2018:</p> <ul style="list-style-type: none"> ▪ Communications Database (including roll-out of SLAs) ▪ Communications Dashboard 	To define how the SPPA's communications activities should be managed for the next three to five years.	To provide a comprehensive communications and stakeholder engagement plan
3.	Comms SLA	November 2018	Agreement and implementation of a Service Level Agreement for Comms, covering external and internal communications, including media enquiries, newsletters, intranet articles, surveys, publishing, design work and branding.	To provide colleagues and stakeholders with a clear commitment to service delivery

Table 15: Policy Department Key Tasks 2018-19

ID	Key Task Description	Owner	1. Measure 2. Benefits
1	Regulations Scheme Specific for all funded and unfunded schemes including LGPS, STSS, Scottish NHS, Police and Firefighters	Policy Managers	Each individual SSI has a specific timetable Ensure that scheme amendments are delivered timorously and reflect policy intention ensuring necessary quality checks are applied where necessary.
2	Scheme Advisory Boards (unfunded schemes). Meet all secretariat and other agreements within the Terms of Reference 1. Arrange training and support for SAB members 2. Apply TPR guidance 3. Implement recommendations from KPMG 4. Support sub groups 5. Produce and present papers when required	All staff working to unfunded schemes	Measure secretariat targets against each SAB and measure progress against each SAB work plan. Effectively supporting SAB to provide fully considered and researched advice to Scottish Ministers on proposed changes to the scheme. Also allows SAB to provide informed advice on scheme specific assumptions for the valuations and post valuation consideration including any breach of the cost cap.
3	Scheme Advisory Board (funded scheme, LGPS) 1. Support SAB to review scheme structure 2. Support the SAB to review regulation changes 3. Develop and maintain stakeholder relationships	LGPS team	Provide support as required as SAB's are arranged The SAB is a statutory requirement but SPPA's role provides a positive conduit between the development of policy advice and consideration by Scottish Ministers.
4	GAD 1. To work with GAD colleagues surrounding the valuation process 2. Managing the GAD contract, holding quarterly service review meetings 3. Work directly with GAD colleagues in respect of factor reviews and cost cap valuation	Senior Policy Managers Policy Managers Policy Business Manager	Quarterly service review meetings. GAD provide high quality actuarial advice including undertaking the unfunded scheme valuations. It plays a central role in advising the SAB's on a number of issue and provides training to SAB members when necessary for example on how valuations and the employer cost cap should work. GAD also provides advice across emerging issues for example it has been extensively involved in the development of a preferred solution for the potential transfer of British Transport Police to Police Scotland
5	To established a solution for the pensions of potentially transferring officers and staff from the British Transport Police	Iain Coltman	Implementation of transfer has been deferred consider position at end Q4 Considerable work has been completed to set out a proposal to the BTP Trustee that would meet the Scottish Minister's aim of no detriment on pensions for the transferring staff. That proposal can be taken forward as soon as a revised timetable for British Transport integration has been confirmed.

6	<p>New Fair Deal-</p> <p>1. Establish equivalent within scheme regulations</p> <p>2. Agree details for requested transfer of staff made by a contractor mind contract</p>	Jim Preston	<p>Consider any necessary legislative amendments to reflect equivalent policy by end Q4. Confirm timetable for transferring staff back from mid-contract request by end Q4.</p> <p>Will highlight and confirm established policy on how staff compulsorily transferred from public service schemes in Scotland should be treated i.e. that they can maintain membership of their public service scheme following their transfer to a private contractor</p>
7	To provide a consistent approach when dealing with forfeiture cases across schemes.	Policy Managers	<p>By end Q4 Establish each scheme approach on forfeiture and identify changes that could be made to reflect greater uniformity on process.</p> <p>Although rare forfeiture can be applied where the necessary conditions are met. There are clear common approaches on how forfeiture is applied but if possible greater uniformity would provide a more easily understood and transparent policy. This will help ensure that forfeiture decisions made by Scottish Ministers are consistent and aims to reduce the risk of a successful legal challenge.</p>
8	Review Policy Budget on a monthly basis.	Head of Policy Policy Business Manager	<p>Monthly.</p> <p>To support the Agency outcome of ensuring governance & compliance by complying with our statutory obligations and managing resources effectively by regular monitoring of the Agency Budget.</p>
9	Policy Related Audit Recommendations	Senior Policy Managers	Implement Policy-related audit recommendations within timescales agreed with audit - date completed compared with the target date held within Audit Tracker.
10	Develop Knowledge Sharing across Policy Functions (resilience in team)	All	Ensure that all key tasks can be accomplished across the team by March 2019.
11	Appraisals/Monthly conversations.	All staff	<p>All staff to have completed their yearend appraisal by 31 May and their mid-year review by 31 October.</p> <p>All staff to have monthly conversations as per target. Provides support to team members and identifies areas for development in working towards team's key tasks. Encourages engagement and ownership of team's key tasks and an understanding of how they fit into the wider Agency Business Plan</p>
12	Personal development plans	All staff	<p>All staff to have agreed their PDP with their manager by 31 May.</p> <p>PDP's help individuals to deliver on their own personal objectives whilst at the same time widen their knowledge and expertise to the benefit of the team in delivering its objectives, Agency and wider stakeholder groups.</p>

13	Personal objectives	All staff	<p>Personal objectives to be agreed with managers by 31 May.</p> <p>Provides clear understanding of what is expected from role in reporting year and that they are SMART and relevant to the teams business plan.</p>
14	Provide replies to Chief executive formal responses ('Red' Folders)	All	<p>Respond within 15 working days of receipt in 100% of cases.</p> <p>Provide response that are consistent and set out the position clearly and fairly reflecting apologies where necessary.</p>
15	Parliamentary Question and FMQ briefing	Policy Managers Senior Policy Managers Head of policy	<p>To ensure compliance with Scottish Government service standards.</p> <p>Provide high standard responses and background information on PQ's and concise and relevant briefing on FMQ's.</p>
16	Freedom of Information	Policy Managers Senior Policy Managers Head of Policy	<p>Response sent within 20 days of receipt.</p> <p>Ensure compliance with national service standards</p>
17	Data Protection (on time)	Policy Managers Senior Policy Managers Head of Policy	<p>Response sent within 40 days of receipt.</p> <p>Ensure compliance with national service standards</p>

Table 16: Governance Department Key Tasks 2018-19

ID	Key Task Description	Owner	1. Measure 2. Benefits
1	Governance Team structure, terms of reference and objectives established	HoG	Q2 Clear scope of responsibilities and tasks. Q3 Documented processes, roles and responsibilities Establish a clear structure of responsibilities and objectives for the Governance Team to carry out tasks associated with Agency governance requirements, including TPR Code of Practice requirements, Administration and Secretariat to the MAB and Pension Boards.
2	Governance Team resourcing at a suitable level	HoG	Q2 resource requirements agreed. Q3 resources in place Ensure that resourcing is in place to be able to carry out Governance Team responsibilities adequately and therefore meet regulatory and Agency requirements.
3	Establish a methodology for strategic planning	HoG	Q2 publication of rolling 5-year Agency Strategic Plan. Method agreed for maintenance and updating. Progress work started Q4 2017-18 to ensure that a revised Agency Strategic Plan has been written, agreed and published by end of Q2 2018-19. Methodology for keeping the Plan maintained and updated including programmed date for planning workshop for 2019-20 updates.
5	Establish a process for business planning	HoG	End Q2 planner populated, communicated and published. Methodology communicated and documented Establish key activities for Governance team to achieve objectives, develop and put in place an annual business planner for Agency key deadlines, events, meetings, etc and set up a method for updating and making available to all on a continuous
6	Establish processes to manage the MAB	HoG	End Q2 Process written. Papers to Boards one working week in advance of the meeting. Draft meeting minutes to the Chair within 5 working days.

			Develop and document processes for the MAB, including managing the relationship with and administration for non-executives, secretariat arrangements, service levels for MAB, planning annual agenda and forward planning. Minutes of meetings to be ratified and published in line with Pension Regulator guidance, the Publications Scheme and the Terms of Reference for each Board. Maintain records for all Pensions Boards as per The Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014.
7	Establish processes to manage the four Pension Boards	HoG	<p>End Q2 Process written. Papers to Boards one working week in advance of the meeting. Draft minutes to the Board Chair within 5 working days of the meeting.</p> <p>Develop and document processes for the four Pension Boards, including managing the relationship with and administration for all members, secretariat arrangements, service levels for the Boards, planning annual agendas and forward planning. Minutes of meetings to be ratified and published in line with Pension Regulator guidance, the Publications Scheme and the Terms of Reference for each Board. Maintain records for all Pensions Boards as per The Public Service Pensions (Record Keeping and Miscellaneous Amendments) Regulations 2014.</p>
8	Improve information sharing and use of digital options	HoG	<p>End Q3</p> <p>Establish a methodology and mechanism for sharing board papers electronically. Research mechanism for enabling Board members to dial into meetings when attendance would otherwise be difficult. Communicate appropriate to Board members when the digital options become available and ensure that meeting processes have been updated.</p>
9	Ensure that all Board Terms of Reference are up to date	HoG	<p>Q3</p> <p>Review existing Terms of Reference, ensuring that they remain aligned with regulations and legislations, that they are clear and that they align with stated roles of all Board members. Liaise with colleagues during the process and circulate to all Boards for approval. Publish once approved.</p>
10	Ensure that all Board member roles are accurate and understood.	HoG	<p>End Q2</p> <p>Review existing roles, ensuring that they remain aligned with regulations and legislations, that they are clear and that appointment letters are aligned. Liaise</p>

			with HR colleagues during the process and ensure that dialogue is maintained where appropriate with colleagues and Board members.
11	Establish a process for ensuring compliance with The Pensions Regulator Code of Practice	HoG	<p>Monthly review of compliance with identified responsibilities. Annual feedback to TPR (co-ordinated by Customer Services)</p> <p>Team will, on a monthly basis, check TPR list of governance items to ensure remaining compliant and/or that actions are in place and/or progressing towards achievement. Team will provide updated return to the Agency co-ordinator to forward as part of the compliance return for the Agency.</p>
12	Review governance policies, ensuring they are fit-for-purpose	HoG	<p>Quarterly check. Updating in response to or in anticipation of any regulatory or legislative or organisational changes that impact the existing policies.</p> <p>Ensure that the appropriate policies are written, that they reflect current legislation and regulations, that they are communicated effectively across the stakeholder community, internally and externally to the Agency as appropriate. Establish monitoring and checking mechanisms to ensure that policies are being implemented.</p>
13	Establish processes around succession planning for all boards	HoG	<p>Q3 process. Quarterly thereafter. Regularly monitored Clear communications with Board members.</p> <p>Flag up tenure end dates and plan for filling upcoming vacancies across all Boards either through a recruitment process or nominations process. Put in place a process and documentation for proactively managing planned vacancies and a controlled response to unplanned vacancies.</p>
14	Review and ensure that all training and CPD for board members remains fit-for-purpose	HoG	<p>Regularly monitored and updated. Quarterly checks with board members</p> <p>Record and review updates received from Board members. Obtain and store any documentation, eg Certificate from TPR Toolkit. Ensure diversity of experience across boards to align with Agency needs. Review and update Induction Training. Seek out training opportunities for Boards and offer to members.</p>

Table 17: Digital Transformation Key Tasks 2018-19

ID	Strategic Aims	Task	Owner	Measure of Success
1.	Customer First	Altair Programme - Develop MSS Member Portal (all schemes)	HoDT	Functionality of portal tested ready for roll-out by March 2019
2.	Customer First	Altair Programme –Develop I-Connect Employer Portal (all schemes)	HoDT	Functionality of portal tested ready for roll-out by March 2019
3.	Operational Excellence	Altair Programme – Payroll Migration (NHS & Teachers)	HoDT	First tranche of enhancements delivered and data requirements defined by March 2019
4.	Operational Excellence	Altair Programme – Improvement Programme	HoDT	8+ sprints delivered improving use of system in Customer Services.