

Rem Category		Rem Plan Ref
Data Quality & Completeness	Further UDE supplied on 4/11. Conditional data tests being run	2.1
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Admission Agreements & Bonds	Procedure agreed. Progress delayed by other priorities. Planning now in train	2.2
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Aged Casework	On track to clear ahead of schedule	2.3
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Annual Benefit Statements 2019	8 out of 9 actions completed (89%). ABSs issued by end August. Working through member queries arising	2.4
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Contributions Monitoring	New procedures in place. Regular reminders being issued to non compliant employers	2.5
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Complaints	6 out of 7 actions completed (86%). Complaints reduced and being reported on weekly. Proposed procedure to be finalised	4.1
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Breaches	Now included within monthly performance report	4.2
		4.2
Administration	New workload management process bedding in. Knowledge dev ongoing	5
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Reporting	Weekly and monthly reporting taking place. Continuing to refine	7

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Internal Control Improvements	Preliminary hearing took place on 22 October. Case will now be heard on 5 November	8
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Data improvement plan	To be produced after common and conditional data tests run	9

Action No.	Action	Original Deadline	Capita amended deadline
1	Complete phases 1 and 2 of conditional data cleanse plan (TPR submitted Jan plan)	31-Aug	
2	Run member records through Hymans Brain Portal and cleanse	31-Jul	
3	Explore feasibility of further conditional data run	31-Aug	31-Oct
4	Commence monthly data collection and reconciliation implementation	31-Aug	
5	Fully compliant process with 2.1..4	31.03.20	
1	Capita and LBB have agreed a revised admission/bond process	July	
2	Capita to provide single point of contact to coordinate data provision	31-Jul	
3	Capita to provide full assistance and support in resolving as many admission agreements, cessations and bonds as possible by the end of 2019	31-Dec	31-Oct
1	Full analysis of outstanding work required	01-Jul	30-Aug
2	Detailed recovery plan to be created	08-Jul	06-Sep
3	Recovery plan weekly progress updates to be provided	15-Jul	13-Sep
4	Full breakdown of o/s work incl 3rd party to be provided to LBB	09-Aug	13-Sep
5	Capita to clear the aged cases by the end of 2019.	31-Dec	
1	2019 ABS plan to be reviewed bi-weekly	Ongoing	
2	2019 ABS plan to be a standing item on fortnightly LBB Finance call	Ongoing	
3	Capita admin team to carry out 3% minimum sample check	31-Aug	
4	Capita Technical to carry out additional ABS data quality review post production- Deferred	31-Aug	
5	Summary of checks by Technical provided to LBB Finance- deferred	12-Aug	
6	Capita Technical to carry out additional ABS data quality review post production- actives	15-Aug	
7	Summary of checks by Technical provided to LBB Finance- actives	15-Aug	

8	2018 ABS data to be rerun through conditional data set to prove quality to TPR - Action removed - agreed with Matt Banks	31-Aug	
9	Post issue of ABS, process to be put in place to deal with member queries incl root cause	01-Sep	30-Sep
10	Report on any issues raised by members and the resolution to be prepared for the regulator	30/09 and then bi weekly	
11	Review the system routine in regards to calculation of NRA		
1	Monthly confirmation of contributions to commence from June	30-Jun	
2	Analytics to support data set to be provided with exception reports, closing Audit actions	31-Aug	
3	Develop MI to report on monthly contribution monitoring and provide initial cut	31-Aug	
1	A SharePoint site will be created to hold details of open complaints	July	
2	SharePoint data to be sent weekly to LBB for 4.1.1	Ongoing	
3	Monthly status report will be developed and circulated	Ongoing	31-Aug
4	CSG to review and implement LBB proposed complaint handling process	30-Aug	
1	Shareport site will be widened to include Breaches	31-Jul	
2	Monthly status reports will be enhanced to include Breaches information	31-Jul	31-Aug
1	Build a knowledge pool of LBB activities to support all process training	31-Dec	
2	Resource planning activity to be rolled out to manage scheme events and impact on BAU	31-Aug	30-Sep
3	Enhanced version of workflow software to be delivered for greater visibility of bottlenecks	31-Aug	30-Sep
4	Develop the levels of knowledge in the Contact Centre and increase LBB confidence	31-Dec	
5	Incentivise staff to undertake professional qualifications	Ongoing	
6	All LBB processes to be fully reviewed , focussing on cross group activity, adopting a "Live Lab" approach	30-Sep	30-Nov
1	A fortnightly work update to be provided for 3 months	June-Aug	

2	With client consent, after 3 months this will be replaced with monthly reporting	09-Sep	
3	Work items that fail SLA on a particular day will be recovered within 5 working days		
1	Awaiting details of criminal proceedings and trial date for fraud case	Ongoing	
2	Capita Control Enhancements tabled at July Risk and Compliance Committee	July	
3	Capita to provide note of recommendation and actions taken from the review of controls	16-Aug	
4	KPMG internal controls review to be performed annually		
1	Production of data improvement plan		

Further detail	Status	BRAG	Action Owner
To be evidenced via submission of the excel plan	Completed		DD
Cleansing in progress and on track	Completed		DD
	Completed		DD
Liaison required with client to implement	No longer required		DD/KB
	No longer required		DD/KB
In place	Completed		DD/SS
Individual now confirmed	Completed		DD
	Ongoing		
Age profile of overdue cases produced	Completed		DD
Not yet fully documented. Prioritisation required	Completed		DD
Template being developed by Governance Manager	Completed		DD
	Completed		DD
	Completed		
Being progressed	Completed		DD
Being progressed	Completed		DD
Being progressed	Completed		DD
Complete	Completed		CC
	Completed		CC
	Completed		CC
	Completed		CC

Is this still required?			Leeds?
Update required	Completed		DD
	Completed		DD
	Not required		
Done	Completed		KB
Provided as part of July Appendix	Completed		KB
Update required	Completed		KB
Created in July	Completed		AS
	Completed		AS
Update required	Completed		MR
	No longer required		PF
Done	Completed		AS
See 4.1.3 for update	Completed		MR
Needs to be reviewed after August 2019	No longer required		MR
	Completed		DD
	No longer required		DD
Needs to be reviewed after August 2019	Completed		AK
	Completed		IG
Revised date- as the work is very time consuming and will need to focus on reduction plan	No longer required		DD
Currently occurring	Completed		MR/PF

	Now weekly		MR/PF
Date to be set after work completed on 2.3.3	Completed		MR
Still awaited	Completed		MR
Done	Completed		MR
Done	Completed		PF
To be accommodated during Capita's AAF 01/06 audit schedule	Ongoing		IG
	Completed		IG/PF