

Rem Category		Rem Plan Ref	Action No.	Action	Original Deadline	Capita amended deadline	Further detail	Status	BRAG	Action Owner
Data Quality & Completeness	Further UDE supplied on 4/11. Conditional data tests being run	2.1	1	Complete phases 1 and 2 of conditional data cleanse plan (TPR submitted Jan plan)	31-Aug		To be evidenced via submission of the excel plan	Completed		DD
		2.1	2	Run member records through Hymans Brain Portal and cleanse	31-Jul		Cleansing in progress and on track	Completed		DD
		2.1	3	Explore feasibility of further conditional data run	31-Aug	31-Oct		Completed		DD
		2.1	4	Commence monthly data collection and reconciliation implementation	31-Aug		Liaison required with client to implement	No longer required		DD/KB
		2.1	5	Fully compliant process with 2.1..4	31.03.20			No longer required		DD/KB
Admission Agreements & Bonds	Procedure agreed. Progress delayed by other priorities. Planning now in train	2.2	1	Capita and LBB have agreed a revised admission/bond process	July		In place	Completed		DD/SS
		2.2	2	Capita to provide single point of contact to coordinate data provision	31-Jul		Individual now confirmed	Completed		DD
		2.2	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		Ongoing		
Aged Casework	On track to clear ahead of schedule	2.3	1	Full analysis of outstanding work required	01-Jul	30-Aug	Age profile of overdue cases produced	Completed		DD
		2.3	2	Detailed recovery plan to be created	08-Jul	06-Sep	Not yet fully documented. Prioritisation required	Completed		DD
		2.3	3	Recovery plan weekly progress updates to be provided	15-Jul	13-Sep	Template being developed by Governance Manager	Completed		DD
		2.3	4	Full breakdown of o/s work incl 3rd party to be provided to LBB	09-Aug	13-Sep		Completed		DD
		2.3	5	Capita to clear the aged cases by the end of 2019.	31-Dec			Completed		
Annual Benefit Statements 2019	8 out of 9 actions completed (89%). ABSs issued by end August. Working through member queries arising	2.4	1	2019 ABS plan to be reviewed bi-weekly	Ongoing		Being progressed	Completed		DD
		2.4	2	2019 ABS plan to be a standing item on fortnightly LBB Finance call	Ongoing		Being progressed	Completed		DD
		2.4	3	Capita admin team to carry out 3% minimum sample check	31-Aug		Being progressed	Completed		DD
		2.4	4	Capita Technical to carry out additional ABS data quality review post production- Deferred	31-Aug		Complete	Completed		CC
		2.4	5	Summary of checks by Technical provided to LBB Finance-deferred	12-Aug			Completed		CC
		2.4	6	Capita Technical to carry out additional ABS data quality review post production- actives	15-Aug			Completed		CC
		2.4	7	Summary of checks by Technical provided to LBB Finance-actives	15-Aug			Completed		CC
		2.4	8	2018 ABS data to be rerun through conditional data set to prove quality to TPR - Action removed - agreed with Matt Banks	31-Aug		Is this still required?			Leeds?
		2.4	9	Post issue of ABS, process to be put in place to deal with member queries incl root cause	01-Sep	30-Sep	Update required	Completed		DD
		2.4	10	Report on any issues raised by members and the resolution to be prepared for the regulator	30/09 and then bi weekly			Completed		DD
		2.4	11	Review the system routine in regards to calculation of NRA				Not required		

Contributions Monitoring	New procedures in place. Regular reminders being issued to non compliant employers	2.5	1	Monthly confirmation of contributions to commence from June	30-Jun		Done	Completed		KB
		2.5	2	Analytics to support data set to be provided with exception reports, closing Audit actions	31-Aug		Provided as part of July Appendix	Completed		KB
		2.5	3	Develop MI to report on monthly contribution monitoring and provide initial cut	31-Aug		Update required	Completed		KB
Complaints	6 out of 7 actions completed (86%). Complaints reduced and being reported on weekly. Proposed procedure to be finalised	4.1	1	A SharePoint site will be created to hold details of open complaints	July		Created in July	Completed		AS
		4.1	2	SharePoint data to be sent weekly to LBB for 4.1.1	Ongoing			Completed		AS
		4.1	3	Monthly status report will be developed and circulated	Ongoing	31-Aug	Update required	Completed		MR
		4.1	4	CSG to review and implement LBB proposed complaint handling process	30-Aug			No longer required		PF
Breaches	Now included within monthly performance report	4.2	1	Sharepoint site will be widened to include Breaches	31-Jul		Done	Completed		AS
		4.2	2	Monthly status reports will be enhanced to include Breaches information	31-Jul	31-Aug	See 4.1.3 for update	Completed		MR
Administration	New workload management process bedding in. Knowledge dev ongoing	5	1	Build a knowledge pool of LBB activities to support all process training	31-Dec		Needs to be reviewed after August 2019	No longer required		MR
		5	2	Resource planning activity to be rolled out to manage scheme events and impact on BAU	31-Aug	30-Sep		Completed		DD
		5	3	Enhanced version of workflow software to be delivered for greater visibility of bottlenecks	31-Aug	30-Sep		No longer required		DD
		5	4	Develop the levels of knowledge in the Contact Centre and increase LBB confidence	31-Dec		Needs to be reviewed after August 2019	Completed		AK
		5	5	Incentivise staff to undertake professional qualifications	Ongoing			Completed		IG
		5	6	All LBB processes to be fully reviewed , focussing on cross group activity, adopting a "Live Lab" approach	30-Sep	30-Nov	Revised date- as the work is very time consuming and will need to focus on reduction plan	No longer required		DD
Reporting	Weekly and monthly reporting taking place. Continuing to refine	7	1	A fortnightly work update to be provided for 3 months	June-Aug		Currently occurring	Completed		MR/PF
		7	2	With client consent, after 3 months this will be replaced with monthly reporting	09-Sep			Now weekly		MR/PF
		7	3	Work items that fail SLA on a particular day will be recovered within 5 working days			Date to be set after work completed on 2.3.3	Completed		MR
Internal Control Improvements	Preliminary hearing took place on 22 October. Case will now be heard on 5 November	8	1	Awaiting details of criminal proceedings and trial date for fraud case	Ongoing		Still awaited	Completed		MR
		8	2	Capita Control Enhancements tabled at July Risk and Compliance Committee	July		Done	Completed		MR
		8	3	Capita to provide note of recommendation and actions taken from the review of controls	16-Aug		Done	Completed		PF
		8	4	KPMG internal controls review to be performed annually			To be accommodated during Capita's AAF 01/06 audit schedule	Ongoing		IG
Data improvement plan	To be produced after common and conditional data tests run	9	1	Production of data improvement plan				Completed		IG/PF