

# East Sussex Pension Fund

## Data Improvement Project Closure Report

July 2020

Susan McKenzie  
Project Manager  
For and on behalf of Hymans Robertson LLP

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## 1 Document Control

Version	Date	Author	Change Description
V0.1	13 July 2020	Susan McKenzie	Initial draft
V0.2	30 July 2020	Susan McKenzie	Comments on initial draft

## 2 Document Sign Off

The creation of a project closure report is a formal process. Once the document is finalised the intention is that it be reviewed by various groups involved in the project and signed off accordingly.

Group	Names	Sign off date
Hymans Robertson (Hymans)	Susan McKenzie Peter Riedel Richard Warden	
Orbis Administration	Nick Weaver Sarah Spence	
East Sussex Pension Fund Officers	Ian Gutsell Michelle King Paul Punter	
ABS Working Group & Pension Committee Chair	Councillor Gerard Fox	
ABS Working Group Members	Ray Martin Diana Pogson Stephen Osborne	For Review Only
East Sussex County Council – Internal Audit	Russell Banks Danny Simpson	For Information Only

## 3 Document Purpose

This project closure report is the final project document providing full and objective assessment of the East Sussex Pension Fund Data Improvement Project delivery.

To formally close the project this report will document:

- Delivery to the project objectives
- Key achievements and challenges
- Highlights and best practice for future projects
- Lessons learned and recommendations
- Confirm outstanding tasks/issues and owners of those

This document is intended to be used internally and to aid any similar exercises in future.

## 4 Executive Summary

Following a workshop in October 2019, which included attendees across Hymans, AON, Orbis and the Fund, a scoping paper was agreed, detailing data cleansing work for East Sussex Pension Fund. The Data Improvement Project was approved at the Pension Committee in November and communicated to Employers at the Fund's November Employer Forum.

A kick off meeting in January set the scene for the project and work commenced with more detailed communications to Employers, articulating what was expected of them during the project.

The ABS Working Group were given delegated decision-making authority from the Pension Committee to oversee the project. Monthly meetings were held from February 2020. During March as the COVID-19 situation emerged, the Working Group meetings moved to twice monthly to facilitate more regular formal communication of progress and escalation and resolution of issues.

It was acknowledged early in the project that success was highly dependent on employer engagement and action and this was raised as a risk.

The project successfully delivered on key objectives; however, the project's success was hampered by the COVID-19 pandemic and the impacts of employers who were forced into unplanned remote working and furlough of their staff. This resulted in more challenging employer engagement and ultimately more time taken to resolve the queries.

## 5 Background & Objectives

### 5.1 Background

The primary purpose of the Fund is to pay the correct pension benefits to its members when they become due. It is therefore imperative that the East Sussex Pension Fund (ESPF) achieves and maintains the highest possible standards of member data quality, in order to comply with its core functions and to ensure the cost-effective use of resources. High quality member data is also at the heart of all fund valuations and employer work, and facilitating effective decision making linked to them.

Keeping and maintaining high quality member data is, however, becoming increasingly difficult due to:

- the continual expansion of the Fund in terms of number of participating scheme employers, and the differing needs of each type of employer;
- the increasing number of payroll providers being used by the scheme employers;
- the continuing increase in membership; and
- the administrative complexity inherent in the scheme's design.

Added to this is the increased overriding legislative requirements and external scrutiny that is being applied to all public service pension schemes, including the Local Government Pension Scheme (LGPS). In order to avoid adverse publicity and criticism it is important for the ESPF to continually consider how it meets its regulatory requirements, including the quality of its member data, and to take the appropriate steps to address any concerns as they are identified.

Given the above, the ESPF has a duty to ensure accurate records are maintained in respect of its scheme members, as well as communicating all information in an accurate, timely and secure manner. In order to achieve this, it is imperative that scheme employers are clear on their individual responsibilities and have the required support from pension administrators in fulfilling their duties. The recent issues noted by the Pension Administration in delivering the 2019 Annual Benefit Statements has highlighted a number of concerns regarding scheme employer understanding of their responsibilities, as well as their ability to provide accurate and complete data in a timely manner. The Fund Actuary, Hymans Robertson, in undertaking of the Triennial Valuation as at 31 March 2019, similarly identified a high level of validation and critical data error points within scheme employer common and scheme specific data, which highlights the need to undertake an assessment and review of employer data sets.

Given the increased focus of the Pension Committee regarding day-to-day administration, together with the accuracy of member data and its impact on scheme liabilities the purpose of this report is to set out the steps being proposed to undertake a comprehensive review of scheme member data held by scheme employers, reconcile this with that held on scheme member data records and ensure appropriate procedures are in place to support scheme employers for the future.

### 5.2 Objectives

The Pensions Regulator (TPR) has set accuracy targets of 100% for both common and scheme specific data, although the exact definition of scheme specific data for the LGPS has still to be confirmed by the Scheme Advisory Board. In measuring scheme specific data, therefore, the ESPF uses measurements set out in the Heywood Altair reporting as benchmarks to measure its data quality.

The key objectives of the data cleanse project are:

- to ensure accuracy of historic active scheme member data records to 31 March 2020, to ensure the correct calculation of pension entitlements and employer liabilities;
- to ensure that the ESPF is compliant with legislation and in particular, with the guidance of TPR. Furthermore, in doing so, to ensure it establishes a robust, reviewable and transparent framework necessary for the acquisition and upkeep of accurate, complete and up-to-date records
- to ensure the ESPF 2020 annual benefit statement exercise is successfully completed in advance of the statutory 31 August deadline;
- to ensure the percentage of Annual Benefit Statement sent on time is as close to 100% as possible;
- to prepare Orbis Business Operations and the participating scheme employers for the introduction of monthly receipt and posting of scheme member pension contributions and member data via the i-Connect module of the administration system Altair;
- to avoid censure from TPR as a consequence of any material breaches of the law directly attributable to poor or missing scheme member data.

Supplementary benefits of the data cleanse project include:

- 1 ensuring clarity of roles and responsibilities between the ESPF and scheme employers, ensuring all parties are committed to continuing engagement to improve data quality and promote ongoing accurate record keeping;
- 2 ensuring that all data collection processes are clearly documented and regularly reviewed to check the validity of data

### 5.3 Scope

High level deliverables in scope as follows:

**Scheme employer communication** – creation and issue of employer communication introducing the data cleanse project and preparing scheme employers for the introduction of i-Connect during 2020;

**High level data analysis** – undertaking a high-level analysis of the ESPF active member data set versus the Heywood Altair common and scheme specific data reports in order to quantify the number and significance of the data issues requiring attention and reporting on the results;

**Data cleanse (common data items)** – undertake a cleanse of common data items for all active members (including those currently held under “status 2” (unresolved leaver) and “status 9” (frozen refunds) on Altair) against scheme employer payroll records;

**Data cleanse (CARE pay)** – sense check of CARE pay and remuneration in respect of active members, with corrections where required, from 1 April 2014 to 31 March 2019;

**Data cleanse (agreed scheme specific data items)** – high level consistency check of agreed scheme specific data items, to ensure accuracy of active member data sets;

**31 March 2020 year end** – preparation, in collaboration with Orbis, for the 2019/20 year-end reconciliation exercise ahead of Orbis completing the 2020 annual benefit statement exercise.

## 6 Structure and Control

Following an initial planning workshop in October 2019 a regular meeting and reporting schedule was established. This consisted of:

- The creation of the ABS Working Group, Terms of Reference were approved by the Pensions Committee who also delegated decision making powers to this group
- Monthly meetings of the ABS Working Group, Hymans and Orbis were established. This was the project's decision-making forum; twice monthly meetings were initiated from April, following COVID-19 impact on the project
- Pension Board and Pension Committee reporting;
- Weekly progress emails were issued initially, however these were superseded by more regular ABS Working Group meetings
- Adhoc meetings as required; and
- Bi- weekly meeting of Hymans and Orbis was set up moving to weekly as data corrections were being collated for Orbis to update and as key Annual Benefit Statement preparation and planning evolved.

A project plan was created to capture granular detail on each workstream.

A high-level summary project view of workstreams and milestones was shared at each ABS Working Group meeting.

## 7 Summary of Workstreams

### 7.1 Project Management and Stakeholder Engagement

The purpose of this workstream was to:

- Scope and plan the activities within the project
- Provide structure and a framework to track progress
- Identify and address risks and issues and document key decisions
- Communicate within and outside the project

A detailed project plan was created to identify and manage all activities across all stakeholders and a RAID log was created and maintained throughout the duration of the project. Regular ABS Working Group packs were issued to the Fund and regular project meetings kept stakeholders informed and engaged.

### 7.2 High Level Analysis

A data extract was required from Altair, the administration system to obtain a starting position. This extract formed the basis of the data cleanse and was taken as at 30 January 2020.

This allowed an initial high level analysis to be shared with the ABS Working Group and was used to inform the project approach.

Initial findings indicated that:

#### Membership

- 11 Employers accounted for 88% of the membership – this group of employers was designated “Annex A”
- 112 Employers accounted for the remaining 12% of the membership – these remaining employers were designated “Annex B”

#### Status 2 (Unresolved Leavers)

- 15 Employers accounted for 88% of Status 2 cases, all of which had more than 10 cases – this population was agreed as the primary focus for resolution.
- 27 Employers accounted for the remaining 12%
- 71 Employers had no Status 2 cases

#### Status 8 (Incomplete Joiners)

- 20 Employers accounted for all Status 8 cases

#### Status 9 (Frozen Refunds)

- 11 Employers accounted for 90% of Status 9 cases
- 46 Employers accounted for the remaining 10%
- 66 Employers had no Status 9 cases

### 7.3 Employer Communications

The project was heavily reliant on positive employer engagement. Communications with employers occurred at various points in the project

- Advanced notice of the project was communicated at the November Employer Forum

- Email communication was issued to all employers on 28<sup>th</sup> January 2020 by the Fund to introduce the project and the Hymans team
- The employer communication was then split across the 2 annexes: Annex A covered 11 larger employers with over 200 members and Annex B covered the remaining 112 employers with less than 200 members.
- Initial requests for data were tailored to these annexes, with requests for payroll information and status 2 & CARE pay information requested separately from Annex A employers. Annex B data requests were combined. These communications contained explanations, worked examples and contact points at Hymans for assistance.
- Regular reminders were issued to non-responding employers with escalation to the ABS Working Group as required.
- Annex A responses received
  - 8 out of 11 (72%) Annex A Payroll responses were received
  - 3 out of 11 (27%) Annex A Status 2 & CARE pay responses were received
- Annex B responses received
  - 89 out of 112 (79%) responses were received
- Contact details from the Fund and Orbis as the Administrator were used to identify contact points. Any new contact points advised to Hymans were passed to Orbis.
- Project transition will be communicated to Employers by Orbis.

#### **7.4 Unresolved Leavers (Status 2)**

Opening position for Status 2 cases as at 30 January 2020: 977 cases

The workstream dealt with resolving as many status 2 cases as possible, which was reliant on employer engagement and ability and desire to respond:

- Identifying employers with higher volumes of cases – 15 Employers accounted for 859 status 2 cases (88%), with the remaining 118 cases (12%) split across 37 employers
- Communicating with employers, including educating employers on which cases to prioritise
- Contacting employers to confirm request received by correct contact point and chasing responses from employers' multiple times
- Passing leaver forms to Orbis for processing
- 532 cases were resolved during the project.
- 117 cases are with Hymans to validate and forward to Orbis to resolve

Closing position for Status 2 cases: 323 cases are to be passed to Orbis to resolve – see appendix for detail

- 8 Employers account for 282 cases (87%)
- 16 Employers account for the remaining 41 cases (13%)

#### **7.5 Frozen Refunds (Status 9)**

Opening position for Status 9 cases as at 30 January 2020: 4,650

This workstream dealt with:

- Validating that all status 9 cases were in fact true status 9's
- All were found to be genuine, with the exception of 6 cases which were discussed with Orbis
- An ageing analysis was carried out to allow Orbis to focus on oldest refunds first – see appendix for detail

This workstream culminated in action agreed at the ABS Working Group of 30 April 2020 for Orbis to issue refund payments and to undertake a member tracing exercise where required.

## 7.6 Incomplete New Starter (Status 8)

This workstream dealt with incomplete new starter records. These cases were unlikely to impact the Annual Benefit Statements and investigations were planned towards the end of the project.

Opening position for Status 8 cases in May 2020: 287

- Removal of duplicated members removed 40 cases: 247
- Investigations carried out resulted in the following findings:
  - 67 cases appear to be errors from system notes
  - 123 cases investigated by Hymans Robertson and appear to be errors. Findings shared with Orbis as part of the project closure handover
  - 57 cases to be investigated by Orbis

Deletion of records were discussed with the ABS Working Group; however, a decision was not reached.

To close this workstream Orbis should agree an approach on deletion of records with the Fund and review current processes to avoid recurrence.

## 7.7 Common Data

This workstream focussed on comparing payroll data and pension fund data across key data items, detailed in appendix 3. A key assumption made early in the project was that payroll data was correct, however this proved to be flawed, which resulted in additional Hymans effort to validate data for correction. Following comparison of payroll and pension administration data, a number of anomalies were investigated by Hymans and categorised under 3 error points as follows:

- 1 Pension Administration system updates required
  - 42 Employers records had corrections applied to their pension record by Orbis. The total number of adjustments required was 8,630
  - The largest volume of changes related to forenames, job title and payroll references
- 2 Payroll corrections required
  - 25 Employers records had corrections returned to them. We are not able to validate that corrections have been made. The total number of adjustments required was 1,730
  - The largest volume of changes related to forenames and joining dates
- 3 Unable to conclude which record was correct
  - Across 40 Employers Hymans were unable to confirm if payroll or pension records were correct. The total number of anomalies identified were 3,148
  - The anomalies were reported on titles, surnames, addresses and post codes, job titles

- Corrections were identified across 49 Employers
  - 21 Employers were reported across all 3 error points
  - 16 Employers were reported across 2 error points
  - 12 Employers were reported across 1 error points

## 7.8 CARE Pay

Following discussions with Orbis and a sample of Employers, we provided comfort to the Fund and the ABS Working Group that the process of calculating CARE pay and the accuracy of CARE data on the Pension Admin system was robust.

This workstream focussed on 2 elements of CARE pay

- 2019/20
  - As part of the data improvement project return we asked Employers to provide their member's most recent pensionable pay information .This was compared with the pensionable pay held by the Pension Fund for the 2018/19 scheme year, to see if it highlighted any significant changes (increases or decreases) in any individual's pensionable pay that may be worthy of further investigation.
  - Members were highlighted where it appeared that a member's pensionable pay during the 2019/20 scheme year had increased or decreased to an extent that suggested further investigation might be required. We were not suggesting that the pensionable pay information was inaccurate, the purpose of this exercise was to provide an advanced warning ahead of the Fund's year-end exercise and help the employer in pre-empting queries from the Fund.
- 2014 - 2019
  - During the course of our data improvement work we identified a number of cases where it appeared individuals had missing CARE pay, some going back to the 2014/15 scheme year when the CARE accrual was introduced. We sent employers an email setting out each instance where a CARE pay amount was either missing or significantly lower than expected. We further advised that it was likely that missing or low CARE pay arose as a result of a member being on parental leave or long-term sickness absence and an assumed pensionable pay figure was required to be calculated. We provided additional information on assumed pensionable pay with our communication to assist with calculations.

## 7.9 Annual Benefit Statements (ABS)

The purpose of this workstream was to coordinate across the data improvement project and the ABS run, targeting 30 June completion date. This date moved to 31 July following the impact of COVID-19 on the project, specifically the ability of employers to respond to the Year End request for data and the ability to run statements remotely.

Remote production of the statements was trialled by running employers separately and this was deemed successful and gave the ABS Working Group confidence that running statements remotely was possible.

Following detailed checking, issues were identified with the content of the statements and risks were raised as any fixes for Altair were reliant on Heywood, who would be working to the industry deadline of 31 August for statement production.

As at the transition of the project to Orbis, the Heywood calc fixes has been implemented. The ABS run was confirmed as targeting 31 August 2020 for completion

## 7.10 Handover to Pensions Administrator

The purpose of this workstream was to formalise a handover to Orbis following the closure of the project.

- Employer Communication
  - Email advising Employers that project is now transitioned to Orbis and contact point provided
  - Employers may advise of further changes following our review of their common data return
- Status 2 (unresolved leavers)
  - 323 outstanding cases passed to Orbis to resolve
  - 117 Employer returns to be passed to Orbis to update Altair
- Status 8 (incomplete joiners)
  - Agree deletion approach with the Fund
  - 190 cases to be validated and deleted
  - 57 cases to be investigated
  - Current processes which allocate members to status 8 to be reviewed
- Status 9 (frozen refunds)
  - Refund of member contributions, with member tracing as required.
- CARE pay 2014 - 2019 gaps and queries
  - Responses received prior to 30 June reviewed and forwarded to Orbis for update to Altair
  - Responses received by Hymans post 30 June to be forwarded to Orbis for review
  - ESPF may choose to chase outstanding responses from employers, following final Hymans chaser.
- Annual Benefit Statements
  - Risks relating to the fixes required to run the statements are being managed by the Orbis project team
  - Production of the Annual Benefits Statements remains an Orbis responsibility

## 8 Lessons Learned

### 8.1 What went well on the project

- The application of overarching project management worked well and provided structure and discipline for the project. Frequency of meetings was appropriate.
- Sharing project updates with the Pension Board and Committee gave confidence that the project was well controlled and on track.
- High level of engagement across the project and a desire to work together was evident.
- Some of the employers responded positively to the project engagement and benefited from the education and examples provided in the data packs and supporting email and phone contact.
- Updated contact points provided to Hymans were passed on to Orbis
- The Orbis Year End team processed the common data corrections with no impact to the year end processes, using overtime approved by the Fund
- Insight provided to the Fund and the ABS Working Group on the member population and the employer engagement, highlighting areas for attention.
- Altair access was a real benefit to the Hymans team
- Any new contact points notified to Hymans were shared with Orbis

### 8.2 What didn't go well on the project

- Some of the employers did not respond positively to the project and a higher level of engagement was required with these employers than had been anticipated. Escalations from the ABS Working Group did not always have a positive impact.
- COVID-19 negatively impacted the ability of the employers to respond to the project, due to remote working and furlough. This delayed the project and impacted their ability to resolve status 2's. At times employers seemed to have to choose between DIP and Year End.
- An early assumption that payroll data was correct proved flawed which resulted in more effort to check common data than was anticipated
- Additional resource required for data corrections was not fulfilled early enough to be onboarded before COVID-19 impact hit
- Some contact points provided to Hymans were out of date
- A data breach was reported to the ABS Working Group

### 8.3 What could be done differently

- Future data cleanse projects would benefit from being distanced from the year end processes, which may increase the likelihood of employer engagement. Use of high level analysis is key to focus attention on areas of concern.
- Suggest Orbis liaison point for Employers to assist with employer engagement and relationships

## 9 Reliance and Limitations

The analysis in this report and recommendations are built on the cumulative work done to date for East Sussex Pension Fund Data Improvement Project, supported by Hymans Robertson LLP.

References throughout the report to “we” or “us” refer to the project team.

The purpose of this report is to provide a summary of the work undertaken in respect of the East Sussex Pension Fund Data Improvement Project, identify the highlights, challenges and issues that arose, as well as suggesting a number of recommendations that the project sponsor and other key parties may wish to consider. This document is intended to be used internally and to aid any future similar exercises.

Hymans Robertson accept no liability to any third party relying on the advice or recommendations in this paper. Any associated documentation, standard materials or templates that were developed for the project and referred to within this document are shared for information only. East Sussex Pension Fund shall take full responsibility for the future use of such materials for other projects. Hymans Robertson accepts no liability of any nature in respect of their future use or reliance.

Prepared by:-

Susan McKenzie

31 July 2020

For and on behalf of Hymans Robertson LLP

# Appendices

Appendix 1 - RAIDs Final

Appendix 2 – Plan Summary Final

Appendix 3 – Handover Final

See attached items

## Appendix 1 - RAIDs Final

### Risks

EAST SUSSEX PENSION FUND - Risk log as at 31/07/2020												HYMANS ROBERTSON		
Risk no.	Notified by & when	Owner	Workstream	Deliverable	Description of risk	POSSIBLE MITIGATION: Prevention, reduction, acceptance, contingency,	Impact	Probability	Risk level	When is it likely to	Last review date	Next review date	Progress / risk level update	Date closed
1	22/10/19	Hymans Robertson (PR/AMK/IC)	Comms & Employer Engagement	Data Cleanse	There is a risk that the required Employer action around data fixes will not be gained as a result of poor engagement or limited resource at the Employers leading to limited success of the Data Improvement Project	MITIGATE - creation of a tracker to identify non-responders and allow escalation where required	High	Medium	High	from Feb onwards	12/06/20	25/06/20	21/07 - 6 YE returns are outstanding. Risk closed as being managed by Orbis 23/06 - YE returns are slowing arriving. One DIP return since last meeting. Final push for DIP responses planned for July 12/06 - the number of YE returns has increased however as not all top 15	21/07/2020
3	22/10/19	ESPF (MK)	Data Cleanse	Data Cleanse	There is a risk that there is no Single Point of Contact at Employers as a result of limited resource or experience leading to limited traction on data fixes	MITIGATE - contact points received from East Sussex and Orbis to widen contact points.	Medium	Medium	Medium	from Feb onwards	12/06/20	25/06/20	13/07 - closed due to end of project and no further contact details will be received - contact list issued to Orbis 23/06 - contact point knowledge being	21/07/2020
4	22/10/19	ESPF/Orbis (MK/NW)	Data Cleanse	Data Cleanse	There is a risk that Orbis Resource will not be available to support the DIP as a result of other priorities leading to limited traction on DIP deliverables	MITIGATE - Good engagement so far	Medium	Low	Low	from Jan onwards	12/06/20	25/06/20	13/07 - closed - summary of remaining activities advised to ABS Working Group 23/06 - common data corrections well underway. Data cut off date now passed. Any	21/07/2020
11	22/06/20	Orbis	ABS Planning 2020	ABS Run	There is risk that Heywoods known calc errors will not be fixed in time to hit the targetted ABS run of 31 July leading to a delay in the ABS run.	ACCEPT: Heywoods is an LGPS standard system and it is unlikely that the fix will not be made, however this may impact the targetted run date The population impacted by the errors is low volume	Medium	Low	Low	01/07/2020	22/06/20	25/06/20	21/07 - closed as now an issue Heywood fix received by Orbis mid July however will impact targetted ABS run date of 31/07 23/06 - the Status of the Heywood fix will be discussed at the weekly Orbis meeting	13/07/2020
12	22/06/20	Orbis	ABS Planning 2020	ABS Run	There is a risk that the recent 14/19 corrections required will not be carried out in time to hit the 2020 ABS Run leading to incorrect statements being issued.	ACCEPT: The statements could be re-run and issued to the member Any 14/19 amends will be done on a best endeavours basis given the date cutoff date has passed	Medium	Low	Low	01/07/2020	22/06/20	25/06/20	13/07 - closed as will be managed up by Orbis 23/06 - Currently the volume of amends is low and a sample are being reviewed by Orbis to validate action to be taken	13/07/2020

### Actions

EAST SUSSEX PENSION FUN 31/07/2020												HYMANS ROBERTSON	
Action No.	Notified by & when	Description / level			Action			For	Deadline	Update			Date closed
58	ABS Working Group - 30/04/20	East Sussex College Group only have payroll information from 1 April 2018 when merger took place and cannot confirm final salary figures, alternative is using P35 or P60 for the members affected			Pete to request P60/P35 information from East Sussex College Group to assist in clearing status 2's where final salaries cannot be confirmed			Pete	15/05/2020	13/7 - closing action PR to send email to ESCG and Hastings Academies Trust 12/06 - Hymans have had no response as yet, Pete will chase with ESCG 28/05 - no response has been received, this action will remain open to monitor progress 15/05 - update given earlier in the meeting			
68	ABS Working Group - 28/05/20	Diana noted a number of Academies were on non-responders and it was agreed that when contacting the Academies, the letter should be sent to the Principal to ensure they are aware of the non-engagement			Pete to draft letter of information required to be issued to Principals of the Academies/College			Pete	28/05/2020	13/7 - closing action PR to send email to ESCG and Hastings Academies Trust 12/06 - Pete is drafting the letter and will send to Michelle for review			
71	ABS Working Group - 12/06/20	It is common at the end of a project to produce a 'lessons learned' document on points that have gone well and points that could have gone better or where a different approach could have been taken			All to feedback any points to Susan by email or by telephone			ALL	26/06/2020	13/7 - closed - no items received from ABS WG 23/06 - chaser for replies and on agenda for 25/06			21/07/2020

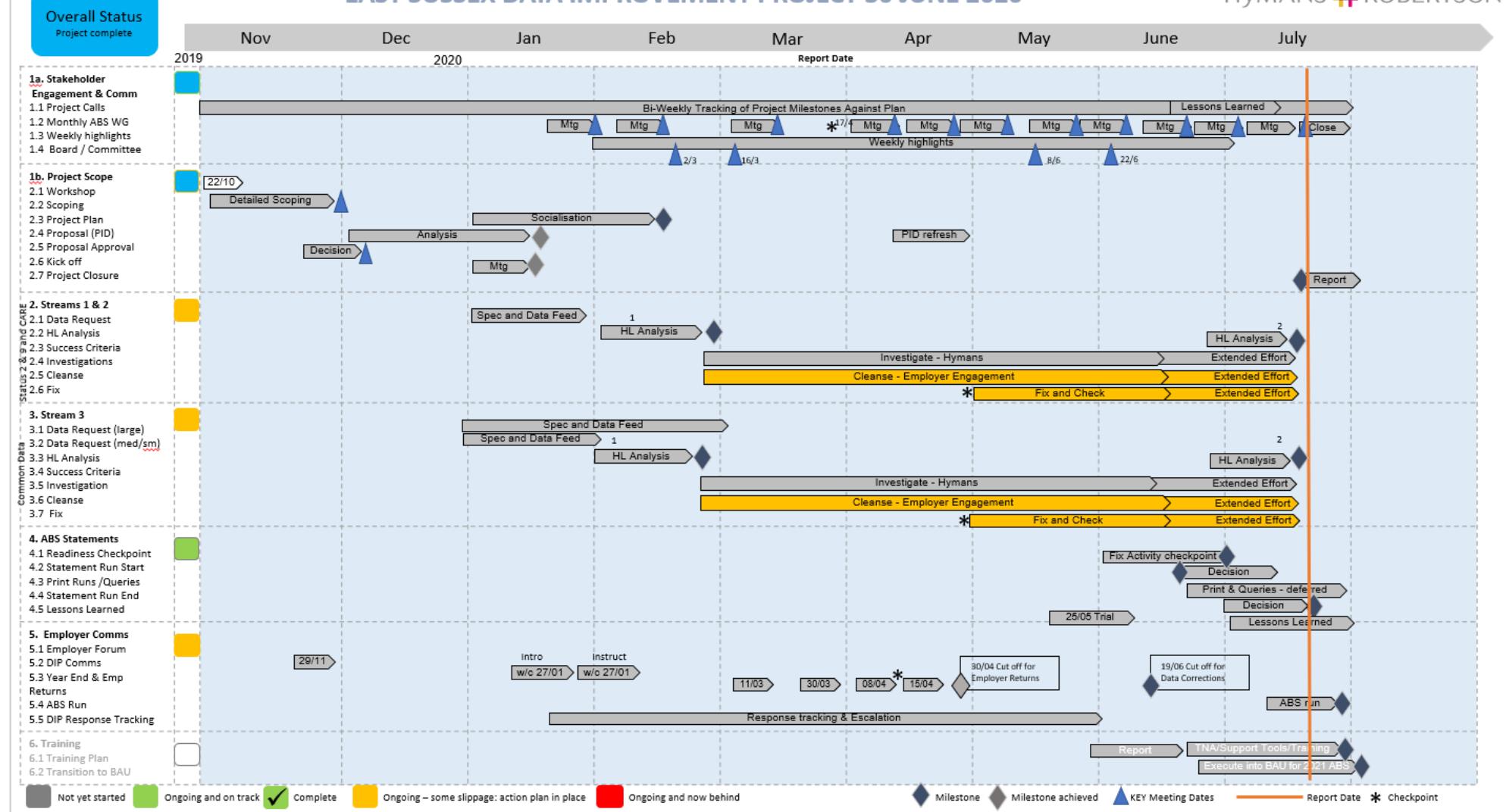
July 2020

Closure Report

## Appendix 2 Plan Summary – Final

EAST SUSSEX DATA IMPROVEMENT PROJECT 30 JUNE 2020

HYMANS # ROBERTSON



## Appendix 3 – Handover Final

Items 2-5 will be loaded to the East Sussex Focalpoint site, Orbis Folder

1. Employer Communication
  - a. Email advising Employers that project is now transitioned to Orbis and contact point provided.
  - b. Employers may advise of further changes following our review of their common data return.
2. Status 2 (unresolved leavers)
  - a. 323 outstanding cases passed to Orbis to resolve.
  - b. 117 Employer returns to be passed to Orbis to update Altair.
3. Status 8 (incomplete joiners)
  - a. Agree deletion approach with the Fund.
  - b. 190 cases to be validated and deleted.
  - c. 57 cases to be investigated.
  - d. Current processes which allocate members to status 8 to be reviewed.
4. Status 9 (frozen refunds)
  - a. Refund of member contributions, with member tracing as required.
5. CARE Pay 2014 - 2019 gaps and queries
  - a. Responses received prior to 30 June reviewed and forwarded to Orbis for update to Altair.
  - b. Responses received by Hymans post 30 June to be forwarded to Orbis for review.
  - c. ESPF may choose to chase outstanding responses from employers, following final Hymans chaser.
6. Annual Benefit Statements
  - a. Risks relating to the fixes required to run the statements are being managed by the Orbis project team.
  - b. Production of the Annual Benefits Statements remains an Orbis responsibility.