

ANNEX A – ADMINISTRATION KEY PERFORMANCE INDICATORS

Table A - Total number of casework

Ref	Casework KPI	Total number of cases open as at 31 March (starting position)	Total number of new cases created in the year (1 April to 30 March)	Total number of cases completed in year	Total % of cases completed in year	Total number of cases completed in previous year	Total % of cases completed in previous year
A1	Deaths recorded of active, deferred, pensioner and dependent members						
A2	New dependent member benefits						
A3	Deferred member retirements						
A4	Active member retirements						
A5	Deferred benefits						
A6	Transfers in (including interfunds in, club transfers)						
A7	Transfers out (including interfunds out, club transfers)						
A8	Refunds						
A9	Divorce quotations issued						
A10	Actual divorce cases						
A11	Member estimates requested either by scheme member and employer						
A12	New joiner notifications						

Ref	Casework KPI	Total number of cases open as at 31 March (starting position)	Total number of new cases created in the year (1 April to 30 March)	Total number of cases completed in year	Total % of cases completed in year	Total number of cases completed in previous year	Total % of cases completed in previous year
A13	Aggregation cases						
A14	Optants out received after 3 months membership						

Table B - Time taken to process casework

Ref	Casework KPI	Suggested fund target*	% completed within fund target in year	% completed in previous year
B1	Communication issued with acknowledgement of death of active, deferred, pensioner and dependent member	5 days		
B2	Communication issued confirming the amount of dependents pension	10 days		
B3	Communication issued to deferred member with pension and lump sum options (quotation)	15 days		
B4	Communication issued to active member with pension and lump sum options (quotation)	15 days		
B5	Communication issued to deferred member with confirmation of pension and lump sum options (actual)	15 days		
B6	Communication issued to active member with confirmation of pension and lump sum options (actual)	15 days		
B7	Payment of lump sum (both actives and deferreds)	15 days		
B8	Communication issued with deferred benefit options	30 days		

B9	Communication issued to scheme member with completion of transfer in	15 days		
B10	Communication issued to scheme member with completion of transfer out	15 days		
B11	Payment of refund	10 days		
B12	Divorce quotation	45 days		
B13	Communication issued following actual divorce proceedings i.e application of a Pension Sharing Order	15 days		
B14	Communication issued to new starters	40 days		
B15	Member estimates requested by scheme member and employer	15 days		

*Days in this column are a suggested fund target for completion and not the statutory timescale.

Table C - Communications and engagement

Ref	Engagement with online portals	Percentage as at 31 March
C1	% of active members registered	
C2	% of deferred member registered	
C3	% of pensioner and survivor members	
C4	% total of all scheme members registered for self-service	
C5	Number of registered users by age	
C6	% of all registered users that have logged onto the service in the last 12 months	
	Communication	
C7	Total number of telephone calls received in year	

C8	Total number of email and online channel queries received		
C9	Number of scheme member events held in year (total of in-person and online)		
C10	Number of employer engagement events held in year (in-person and online)		
C11	Number of active members who received a one-to-one (in-person and online)		
C12	Number of times a communication (i.e newsletter) issued to:		
	a) Active members		
	b) Deferred members		
	c) Pensioners		

Administration KPI table D – Resources

Ref	Resources	
D1	Total number of all administration staff (FTE)	
D2	Average service length of all administration staff	
D3	Staff vacancy rate as %	
D4	Ratio of all administration staff to total number of scheme members (all staff including management)	
D5	Ratio of administration staff (excluding management) to total number of scheme members	

Table E - Data Quality

Annual Benefit Statements		
E1	Percentage of annual benefit statements issued as at 31 August	
	Short commentary if less than 100%	
	Data category	
E3	Common data score	
E4	Scheme specific data score	
E5	Percentage of active, deferred and pensioner members recorded as 'gone away' with no home address held, or address is known to be out of date	
E6	Percentage of active, deferred and pensioner members with an email address held on file	
Employer performance		
E7	Percentage of employers set up to make monthly data submissions	
E8	Percentage of employers who submitted monthly data on time during the reporting year	

Administration KPIs guidance notes

Definitions for casework KPIs	
Measurement starts	Measurement of working days starting on the day of receipt of all relevant, accurate and full information to process the casework. This should generally be the same day of the notification by email, phone, employer, in-person, self-service. If use following day, this should be stated.

Measurement ends	When the processing casework is completed. If the casework is completed when payment made, rather than payment set up date, this should be stated.
Internal delays	Any internal team delays should be included in the measurement in the time taken
External delays	Any external delays should be deducted from the time taken if the case cannot proceed. Example external delays are. delayed or missing information from employers or other teams, scheme member or family/next of kin delays
Days to complete	Working days

Ref	Guidance Notes for specific KPIs
A13	Notes to table should state whether this KPI also includes post number changes, internal transfers, actual aggregations, concurrent record etc.
A14	It is acknowledged that funds may not hold the opt out data for employees who opt out in the first 3 months.
B1	First communication following notification according to internal fund process. This could be from the initial notification following Tell Us Once, email, phone call or upon receipt of death certificate
B2	Payment of death grant and money due to the estate not included because this is often complex casework with multiple external factors. This KPI should measure how quickly survivor benefits are communicated following confirmation that a survivor benefit is due under the regulations and following receipt of all relevant and accurate information.
B3	This KPI records the time taken from receipt of all relevant and accurate information to provide scheme member with pre-retirement scheme benefit options i.e lump sum conversion options
B4	This KPI records the time taken from receipt of all relevant and accurate information to provide scheme member with pre-retirement scheme benefit options i.e lump sum conversion options
B5	Confirmation of benefits payable and payment date notification following receipt of all relevant and accurate information from scheme member

B6	Confirmation of benefits payable and payment date notification following receipt of all relevant and accurate information from scheme member
B7	Following receipt of all relevant and accurate information from scheme member, the time taken to make the payment of the lump sum. If fund's internal process means casework is completed when payment made, rather than payment set up date, this should be stated.
B8	Note that measurement of time taken starts when all relevant information received.
B9	Funds to confirm whether this included interfund transfers. KPI measurement should only take place when all required and full information received by the fund to proceed.
B10	Funds to confirm whether this included interfund transfers. KPI measurement should only take place when all required and full information received by the fund to proceed.
B11	Starting point is from receipt of all relevant and accurate information to proceed with payment of the refund. If fund's internal process means casework is completed when payment made, rather than payment set up date, this should be stated.
B12	Funds may also be providing relevant death and normal pension age benefits with this quotation, if this is the case, this should be stated as this may be more time consuming and reflected in statistics.
B13	When all relevant and full information received. Recognising this is complex casework. Measurement should only take place when all required and full information received by the fund.
B14	Following receipt of relevant and full information from employer.
B15	Measurement of issuing an individual member estimate to scheme member following a request and receipt of all relevant and full information
D2	Include non-processing staff (i.e systems, communications, employer support staff and management involved in administration)
D3	Include non-processing staff (i.e systems, communications, employer support staff and management involved in administration)
E5	Include all individual active, deferred and pensioner/survivor records
E6	Include all individual active, deferred and pensioner/survivor records

